

DCI Consulting Group

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City of Chicago Police Department Sergeant and Lieutenant Promotion Processes:

Review, Evaluation, and Recommendations



Report Date: December 30, 2020

Executive Summary

In August 2020, the City of Chicago (City), through Taft Law Firm, engaged DCI Consulting Group, Inc. (DCI) to conduct an independent expert review and evaluation of the current promotion processes for the ranks of sergeant and lieutenant in the Chicago Police Department (CPD). DCI's research goals were directed in main part by the requirements set forth in the Consent Decree, which was the impetus for the review effort.

On January 31, 2019, the City and CPD entered into a Consent Decree to address deficiencies noted in a Department of Justice (DOJ) Investigatory Report, published in January 2017, and substantially supporting a report published in 2016 by the Police Accountability Taskforce (PATF)¹. The Consent Decree outlines sweeping reforms required by CPD in the areas of impartial policing, community policing, crisis intervention, use of force, recruitment, hiring, promotion, training, supervision, officer wellness and support, accountability, and transparency. Paragraph 261 of the Consent Decree requires, in substantive part, that DCI (the independent expert) review available information to conduct an assessment of the sergeant and lieutenant promotions processes.

The sergeant and lieutenant promotions assessment, at a minimum, will identify:

- a) Processes by which CPD selects candidates for promotion to sergeant and lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and this Agreement;*
- b) Methods for consideration of each candidate's disciplinary history in the selection process;*
- c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community;*
- d) Frequency with which CPD should hold promotional exams;*
- e) Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions; and*
- f) Recommendations for any modifications to the current promotions processes, which would enable CPD to address the requirements of this section.*

Information Collection

DCI collected information from various sources regarding the CPD sergeant and lieutenant promotion processes. Sources and their primary uses included: documents and materials; information gathering meetings; existing data; CPD personnel survey; and CPD personnel focus groups. DCI supplemented CPD and City information with technical or professional guidance, responses from other municipal police departments, and research literature where appropriate or applicable.

Overall Summary Findings and Evaluation Results

DCI created an evaluation framework and identified focal areas to streamline the evaluation process and facilitate identification of actionable recommendations across the Consent Decree requirements. The final evaluation balanced information obtained from documents and materials, stakeholders, CPD personnel, available data, and other jurisdictions, as well as professional and legal considerations.

Exhibit 1 below summarizes the overall evaluation of the CPD sergeant and lieutenant promotion processes based on the framework, indicating the Consent Decree requirement aligned in superscript.

¹ Both reports can be accessed at: <https://chicagopatf.org/>

Exhibit 1. Evaluation Results Summary

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
Promotion Process Development and Content	<ul style="list-style-type: none"> • Comportment with professional standards and practices in test development • Level of rigor • Persuasiveness of job-related validity evidence • Reasonableness of eligibility criteria, including extent to which and where discipline or performance should be considered • Processes to maintain security of content under development 	<ul style="list-style-type: none"> • Reviewed materials tend to support there is structure and rigor in the way the process is developed, including conducting a job analysis and basing content development on that data.^a • Most eligibility criteria are consistent with other departments and considered adequate by personnel; however, the application fee is an outlier.^a • Control of access to test materials was a significant concern raised in meetings and the survey, indicating additional control measures may be warranted.^a
Promotion Process Implementation	<ul style="list-style-type: none"> • Frequency of exams • Comportment with professional standards and practices in test development • Selection, training, and monitoring of assessors • Security of materials • Processes to score candidate responses and verify accuracy of scores • Reasonable and consistent process to select individuals from eligibility list 	<ul style="list-style-type: none"> • The City should consider increasing the frequency of promotional processes.^d • The administration is coordinated by a vendor and candidate feedback typically indicated practices on test day met expectations, despite a few minor complaints or concerns raised.^a • DCI's review of the assessor training and monitoring described in vendor reports comports with typical practices.^a • Some candidates indicated concerns with the type of assessor selected (i.e., psychology students) in previous processes.^a • Adequate processes are in place to score and verify accuracy of candidate scores. Communication could be enhanced because candidates indicate they do not understand the process.^a • Rank ordered selection from an eligibility list is used by some jurisdictions and can be a reasonable and transparent method to employ.^a

² Superscript indicates the Consent Decree requirement to which the evaluation aligns.

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
Accountability / Oversight	<ul style="list-style-type: none"> • Clear ownership, roles and responsibilities • Frequency of exams • Checks/balances on steps and decisions 	<ul style="list-style-type: none"> • There are several departments and groups with responsibilities for the process. As a result, ultimate ownership, responsibility for oversight, and methods of checks and balances are not always clear.^a
Transparency in the Process	<ul style="list-style-type: none"> • Quality, frequency, and modes of communications about the promotion processes, eligibility requirements, and expectations for the job and the promotion process • Efforts to inform and encourage diverse personnel to apply for promotion • Transparency of evaluation basis or criteria in testing components • Feedback and challenge avenues • Transparency of promotion decisions 	<ul style="list-style-type: none"> • City disseminates information or makes it available for candidates to view in multiple modes. The City may over-rely on email which is accessed less often by many officers.^e • The City and CPD do not engage in strategies to encourage particular groups to apply for promotion but have implemented strategies to recruit new police officers who reflect a broad cross-section of the community to the department.^c • The City coordinates with a test vendor to create written study guides for both parts of the promotion processes, and the study guides include general information about how the parts will be evaluated. However, CPD personnel feedback indicated a lack of understanding around the scoring procedures and criteria, suggesting additional communication or information may be warranted.^e • Although no feedback was previously provided on exam performance, the City plans to provide feedback on Part 2 performance associated with the 2019 sergeant process, when complete.^e • Rank ordered promotion decisions are transparent. The process of promoting merit candidates and the resulting impact to rank promotions is not clear. In other words, because candidates do not have access to a rank list, there is no transparent means of verifying how close one is to a rank-based promotion.^e • CPD personnel indicated that merit-based promotion decisions are not understood, and individuals promoted this way are often viewed as illegitimate.^{a,c}

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
Data – Availability and Analysis	<ul style="list-style-type: none"> Collection and retention of data to support analysis of candidate flow through the processes, from initial application to promotion Evaluation of psychometric properties of tests Evaluation of implementation factors, including candidate flow through process steps 	<ul style="list-style-type: none"> Many relevant pieces of data are collected by either the City or CPD; however, the data are often housed in separate systems or databases that do not link or occasionally have conflicting information.^{a-e} Test vendors are responsible for evaluating the psychometric properties of their tests and the results.^a Other analyses are only undertaken as necessary based on specific requests, due in part to a lack of resources or available data.^a
Documentation / Records	<ul style="list-style-type: none"> Availability of written and centralized documentation regarding applicable policies, procedures, and processes 	<ul style="list-style-type: none"> The City was able to produce a volume of documents and materials, but the information was sometimes dispersed across departments or vulnerable to version control issues.^a

Summary of Recommendations

Exhibit 2 summarizes DCI’s recommendations, based on the evaluation and analysis of information and data collected from document and material reviews, stakeholder historical and context meetings, CPD personnel survey and focus group sessions, other jurisdiction similarity review, existing data analysis, and comportment with relevant professional and legal guidelines. DCI presented preliminary recommendations for the City’s consideration in November 2020 and incorporated clarifications from that process into these final recommendations. **Exhibit 2** introduces each of DCI’s recommendations, including a suggested priority level along with estimated resource requirements and implementation timeframes. Chapter 5 provides detail around each recommendation.

Exhibit 2. Summary of Recommendations

Rec #	Recommendation	Priority Level	Resource Requirements	Time to Implement
261(a) Streamline Responsibility and Oversight				
1	Clarify ownership and responsibility for processes.	High	Low	Short
2	Clarify oversight and accountability mechanisms.	High	Low	Short
261(a) Evaluate Eligibility Criteria				
3	Review eligibility criteria.	Medium	Low	Short
4	Reconsider the application fee.	Medium	Low	Long
261(a) Make Process Development Changes				

Rec #	Recommendation	Priority Level	Resource Requirements	Time to Implement
5	Implement a consistent timeline.	High	Medium	Long
6	Consider updated position requirements in new job analysis.	High	Low	Short
7	Increase job specification consistency.	Medium	Medium	Moderate
8	Consider substantial changes to the promotion process components.	High	High	Long
9	Limit use of CPD subject matter experts (SMEs) to review test content.	High	High	Moderate
10	Change assessor parameters.	High	Medium	Long
11	Reevaluate cut score use.	Medium	Medium	Moderate
261(a) Enhance Data and Document Availability				
12	Centralize documentation retention across the City.	Low	Medium	Moderate
13	Establish a central repository to maintain candidate information	Low	Medium	Long
14	Consider additional analyses related to the promotion processes.	Low	High	Long
15	Add to reporting on job content coverage.	Low	Low	Short
16	Update applicant tracking process documents.	Low	Low	Long
17	Incorporate new data into the next review.	Low	Low	Long
261(b) Consider Discipline in the Promotion Process				
18	Consider discipline prior to promotion.	High	Low	Long
19	Determine the parameters for considering discipline.	High	Medium	Long
261(c) Engage in Additional Efforts to Identify and Promote Qualified, Diverse Officers and Sergeants				
20	Continue efforts to attract new police recruits who reflect a broad cross-section of the community.	Medium	Low	Short
21	Consider additional efforts to attract new, diverse police recruits.	Medium	Medium	Moderate
22	Establish mentorship programs.	High	High	Long
23	Ensure officers have the opportunity to see sergeants and lieutenants who look like them.	High	Low	Moderate
24	Adopt new phrases to describe approaches that evaluate a broader set of qualities.	Medium	Low	Moderate

Rec #	Recommendation	Priority Level	Resource Requirements	Time to Implement
25	Consider data-driven comparisons of representation.	Medium	Medium	Short
261(d) Increase the Frequency of Promotion Processes				
26	Consider conducting a new sergeant promotion process in two years, to incorporate these recommendations.	High	High	Long
27	Conduct promotional processes for each rank at least every four years.	High	High	Long
28	Project anticipated promotions based on workforce data.	High	Medium	Moderate
261(e) Increase Process Awareness				
29	Increase communication modes with candidates.	Medium	Medium	Moderate
30	Expand and improve on study options.	Medium	High	Long
261(e) Increase Process Transparency				
31	Consider sharing more process information.	High	Medium	Moderate
32	Provide candidates with feedback on their performance. [^]	High	Medium	Moderate

**Resource Scale: Low = minimal impact on current resources; Medium = additional effort by existing staff and/or additional funding needed; High = significant effort by existing or new staff and additional funding needed*

***Time to Implement Scale: Short = approximately 0-6 months; Moderate = approximately 6-12 months; Long = more than one year*

[^] Recommendation is in process.

It is important to note that DCI's responsibility, per the Consent Decree, was to provide actionable recommendations to improve the sergeant and lieutenant promotion processes. The next step will require the City to further evaluate the feasibility of these recommendations and determine an implementation timeline and plan (paragraph 262 of the Consent Decree). Updated information or data may impact the relevance or priority of some recommendations.

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Chapter 1: Background and Introduction

In August 2020, the City of Chicago (City), through Taft Law Firm, engaged DCI Consulting Group, Inc. (DCI) to conduct an independent expert review and evaluation of the current promotion processes for the ranks of sergeant and lieutenant in the Chicago Police Department (CPD). DCI's research goals were directed in main part by the requirements set forth in the Consent Decree, which was the impetus for the review effort.

CPD is the second largest municipal police department in the United States (U.S.) with over 12,000 sworn officers and has existed for 185 years. The Department is currently divided into 1) an Office of Operations, including the Bureau of Detectives, Bureau of Counterterrorism and Special Operations, and six areas which further divide into 22 districts as well as 2) an Office of Constitutional Policing and Reform, including the Reform Management Group and Training and Support Group. The City of Chicago, as of 2018 data, was ranked 29th on a list of dangerous U.S. cities. With a violent crime rate of over 1,000 per 100,000 and over 550 homicides, Chicago almost doubled the number of murders in New York – despite having approximately one third of the population³.

The sergeant position is a critical role in police departments. Sergeants are the first-line supervisors, ensuring the policies and procedures established by command staff are implemented and understood by officers. According to the Police Executive Research Forum (PERF, 2018), sergeants provide direct supervision to approximately 85% of department personnel on average. Similarly, the role of lieutenant is crucial to translate broad direction from command staff into actionable procedures for sergeants to implement with officers, while also often serving as the highest ranking official typically responding to more complex incidents.

In accordance with the Hiring Plan established by the City in 2014, CPD conducts a sergeant or lieutenant promotion process at least every six years. A sergeant promotion process was initiated in 2019 and was anticipated for completion in March of 2020. However, due to the COVID-19 pandemic, the second part of the exam has yet to be administered. A lieutenant promotion process was planned to begin in 2021, but the request for proposal to select a vendor has not been completed as of the date of this report.

The Consent Decree

On January 31, 2019, the City and CPD entered into a Consent Decree to address deficiencies noted in a Department of Justice (DOJ) Investigatory Report, published in January 2017, and substantially supporting a report published in 2016 by the Police Accountability Taskforce (PATF). Both reports were spurred by the release of video showing a White police officer shooting a Black teenager, Laquan McDonald. This event was viewed as a tipping point requiring investigation into longstanding concerns about use of force and systems for officer accountability in CPD.

The Consent Decree outlines reforms representative of those the DOJ report recommended for CPD in the areas of impartial policing, community policing, crisis intervention, use of force, recruitment, hiring, promotion, training, supervision, officer wellness and support, accountability and transparency. This report focuses on a review of the Sergeant and Lieutenant Promotion Processes, as directed by paragraph 261 of the Consent Decree, requiring that:

Within 18 months of the Effective Date, and at least every three years thereafter, CPD will obtain an independent expert assessment of its promotions processes for the ranks of Sergeant and Lieutenant to ensure that its policies and practices comply with the law, are transparent, and are consistent with this Agreement. The independent expert will review the existing Hiring Plan, and

³ <https://www.usatoday.com/story/money/2019/10/26/crime-rate-higher-us-dangerous-cities/40406541/>

any relevant collective bargaining agreements in order to conduct the assessment of the Sergeant and Lieutenant promotions processes. The Sergeant and Lieutenant promotions assessment, at a minimum, will identify:

- a. Processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and this Agreement;
- b. Methods for consideration of each candidate's disciplinary history in the selection process;
- c. Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community;
- d. Frequency with which CPD should hold promotional exams;
- e. Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions; and
- f. Recommendations for any modifications to the current promotions processes, which would enable CPD to address the requirements of this section.

Paragraph 262 requires CPD to develop an implementation plan to respond to recommendations identified in this report within 60 days, and to include a timeline for implementation.

Scope of the Review and Evaluation

In order to address the requirements set forth in paragraph 261, DCI proposed a four-phase study to review the existing promotion processes through a multi-prong information collection effort completed between August and December 2020. **Exhibit 1** below visually identifies the timeline and relationship between the proposed phases and the research described in this report. For ease of description in this report, all information collection methods are combined into one information collection stage, while the process evaluation, which is a component of proposal phases 1-3, is listed as Stage 2 in this report.

Exhibit 1: Proposed Phases, Timeline, and Alignment in this Report

	Weeks																					
Project Phases / Steps	8/10	8/17	8/24	8/31	9/07	9/14	9/21	9/28	10/05	10/12	10/19	10/26	11/02	11/09	11/16	11/23	11/30	12/07	12/14			
Proposal Phase I:	Preliminary Prep & Materials Review																					
Proposal Phase II:					Subject Matter Expert Research																	
Proposal Phase III:									Data Driven Research													
Proposal Phase IV:																	Recommendations					
Report Stage 1:	Information Collection: Materials, CPD Personnel, Data, Similarity Survey																					
Report Stage 2:									Process Findings and Evaluation													
Report Stage 3:																	Recommendations					

Stage 1: Information Collection – This stage included DCI’s collection and review of approximately 300 individual documents and materials relevant to the sergeant and lieutenant promotion processes, as well as existing data collection for research and analysis where appropriate. This phase also included a brief survey deployed to all CPD officers, sergeants, lieutenants, and captains, as well as a series of focus groups to gather CPD personnel and command staff perspectives. DCI also facilitated contextual and historical discussions with internal process stakeholders and SMEs from various City departments, as well as outreach to over 25 other municipal police departments in the U.S., to gather information on their processes⁴.

Stage 2: Process Findings and Evaluation – This stage included the results of DCI’s review of collected materials, relevant literature, data-driven research, and outreach to other large municipal police departments. Sworn personnel survey responses and focus group feedback provided additional perspectives, which DCI incorporated into all applicable findings and evaluation components.

Stage 3: Recommendations – DCI reviewed and evaluated the above information to identify areas of strength and opportunity, which DCI defines in actionable recommendations within this report. As part of this review and evaluation, DCI did not conduct any local validation studies or job analyses but did review vendor technical reports describing these activities. Similarly, DCI did not review specific test items, but did review technical reports and interview individuals with knowledge about the development of the items.

Organization of this Report

The remainder of this chapter describes DCI’s qualifications to conduct the review. Chapter 2 describes the research approach and methodology, including the various inputs and sources of information considered. Chapter 3 provides an overview and history of the sergeant and lieutenant promotional processes at CPD. Chapter 4 lists the findings and evaluation results in line with the Consent Decree requirements. Chapter 5 presents DCI’s recommendations stemming from the findings and evaluation, and Chapter 6 concludes the report.

About DCI

DCI is a human resources compliance, data analytics, and litigation support consulting firm located in Washington, D.C. All of DCI’s industrial/organizational (I/O) psychologists have advanced degrees in I/O psychology or a related discipline. I/O psychologists are uniquely qualified to understand the intersection of work and human behavior, as they are trained to evaluate employment decision-making, work performance, and organizational behavior using rigorous methods.

The I/O psychologists at DCI have specialized knowledge in personnel selection and psychological measurement in the equal employment opportunity (EEO) and affirmative action (AA) regulatory compliance context, and frequently assist clients with evaluating employment selection systems.

The qualifications of the core project team and report writers are described below (presented in alphabetical order).

Michael G. Aamodt, Ph.D., is an I/O psychologist and a Principal Consultant at DCI. He provides consulting services to employers and management law firms on a wide variety of human resource risk management issues, particularly in the areas of compensation analysis, employee selection, and test validation. For 26 years, Mike was a professor of Industrial and Organizational Psychology at Radford

⁴ This was not a formal benchmarking effort, though that is an optional task that can be added or requested at a future date.

University in Virginia, where he taught courses in employee selection, job analysis, employee training and development, organizational psychology, and forensic psychology. Mike has published over 60 journal article and book chapters and presented over 150 papers at professional conferences. He is also the author of “Industrial/Organizational Psychology: An Applied Approach,” the author of “Research in Law Enforcement Selection”, the coauthor of “Human Relations in Business,” and the coauthor of “Understanding Statistics: A Guide for I/O Psychologists and Human Resource Professionals.” He has extensive editorial experience, having served on the editorial boards of Applied HRM Research, Assessment Council News, Criminal Justice and Behavior, Journal of Business and Psychology, Public Personnel Management, and Journal of Police and Criminal Psychology. Mike is a past President of the New River Valley SHRM chapter and a member of many professional organizations including SIOP, SHRM, and IPAC. In 2020, Mike received IPAC’s prestigious Stephen E. Bemis Memorial Award. Mike has a Ph.D. and M.A. degree in Psychology from the University of Arkansas. He received his B.A. degree in Psychology at Pepperdine University.

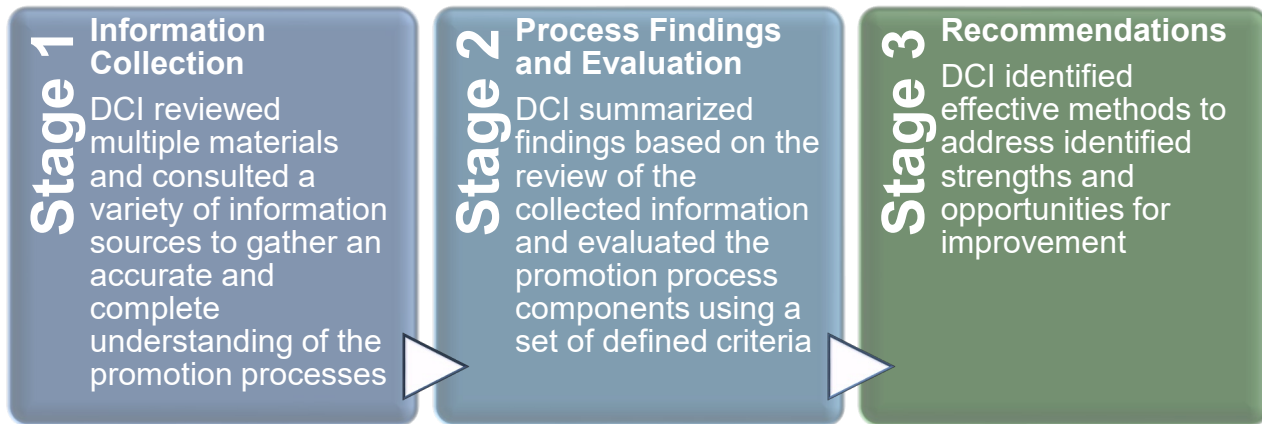
Melissa Haudek, M.S., is an I/O psychologist and a Senior Consultant at DCI in the Employment & Litigation Services Division. In this role, she provides consultation and support for a variety of employee selection, litigation, and other human capital services. Melissa’s primary areas of expertise are in job analysis, assessment development, and validation for both private and public sectors. Prior to joining DCI, Melissa worked at the U.S. Office of Personnel Management as a Personnel Research Psychologist where she developed and improved employee selection and developmental processes for a variety of federal agencies. Melissa provided a range of services including, competency modeling, assessment development, validation, organizational assessment, competency gap analysis, and program evaluation. Melissa earned her Master of Science degree in Industrial/Organizational Psychology from Missouri State University and a Bachelor of Arts degree in Psychology from the University of Oklahoma.

Kristen Pryor, M.S., is an I/O psychologist and an Associate Principal Consultant at DCI. Kristen has over 10 years of experience developing, implementing, and evaluating human capital systems in both the private and public sector. For three years at DCI, she also worked with clients in the equal employment opportunity and affirmative action arena, including developing affirmative action plans, conducting pay equity analyses, and recommending strategies to further compliance initiatives. Kristen’s primary expertise is in selection-related work, which includes conducting job analyses; developing, validating, and recommending the use of a variety of pre-employment and promotional assessments; and conducting complex data analyses to evaluate the performance of human capital systems. Kristen earned her Master of Science degree in Industrial and Organizational Psychology from the University of Central Florida.

Chapter 2: Research Approach and Methodology

As noted in Chapter 1, research for this effort occurred in three main stages between August and December 2020 (see **Exhibit 2**).

Exhibit 2. Research Stages



The remainder of this chapter details the information collection efforts. **Chapter 4** describes the process findings and evaluation. **Chapter 5** presents the recommendations.

To begin this project, DCI collected information on the sergeant and lieutenant promotion processes by reviewing existing documentation and conducting meetings with knowledgeable and relevant stakeholders and SMEs within CPD and the City. **Exhibit 3**, below, provides a high-level summary of the information sources used. **Appendix A** provides a list of documents and material.

Exhibit 3. Summary of Information Collection Sources

Source	Summary
Documents and materials related to: <ul style="list-style-type: none">• Consent Decree and related reports• Union agreements• Policies and procedures• Relevant municipal code⁵• Candidate communications, application information, and test preparation materials• Job information• Technical reports	DCI reviewed approximately 300 documents to inform the findings and recommendations in this report. The documents included CPD and DHR policies related to the promotional processes; standards, regulations, and bargaining agreements governing aspects of the processes; vendor technical reports describing the job analysis, test development, content validation, and results of the most recently completed processes for sergeant and lieutenant; existing reports mentioning or critiquing the promotional processes; and various communications, study guides, and other materials related to the promotional processes.

⁵ https://codelibrary.amlegal.com/codes/chicago/latest/chicago_il/0-0-0-2438966

Source	Summary
Information gathering meetings for historical and situational context	DCI conducted a series of meetings with stakeholders from the City, including representatives from the Department of Human Resources (DHR), Office of the Inspector General (OIG), Department of Law, the Chief Diversity Officer, CPD representatives, and the Office of Public Safety Administration (PSA), to gather context and historical perspective for current processes and practices.
Data for evaluation and analysis, including: <ul style="list-style-type: none"> • Sergeant and lieutenant promotional process results • Discipline, performance, activity, education, assignment, and award data • Applicant Tracking System (ATS) and Chicago Integrated Personnel and Payroll System (CHIPPS) data 	DCI requested data from various systems and sources to evaluate perceptions presented via the information gathering process and to evaluate the potential impact of recommendations (e.g., the extent to which application of discipline considerations would have altered the course of promotions from the most recent lists).
CPD Personnel Survey	DCI developed and administered a brief survey, deployed on October 2, and closed on November 2, to all CPD officers, sergeants, lieutenants, and captains. The survey was anonymous, to promote candor, and asked for perceptions about the promotion processes from the initial notification of an upcoming process through the eligibility list promotion decisions. An open comment box provided opportunity for additional thoughts.
CPD Personnel Focus Groups	DCI conducted 15 focus groups with members of CPD. Two focus groups were conducted at the end of September with Union leadership, one focus group was conducted with command staff, and 12 focus groups were conducted with officers, sergeants, and lieutenants (four at each rank).
Input from other municipal police departments	DCI coordinated with DHR to develop a brief survey asking questions related to the requirements in the Consent Decree. The survey was deployed to over 25 police departments on October 5, and responses were requested by the 23 rd of October. A full benchmarking study was outside the scope of this effort; DCI indicated where additional follow-up may be warranted, as appropriate.

Source	Summary
Literature review	DCI grounded recommendations in research, as noted, and relied on three accepted technical guidance documents in evaluating the professional rigor of existing processes ⁶ : the Uniform Guidelines on Employee Selection Procedures (<i>Uniform Guidelines</i> , 41 CFR 60-3) ⁷ , the Principles for the Validation and Use of Personnel Selection Procedures (<i>Principles</i>) (SIOP, 2018), and the Standards for Educational and Psychological Testing (<i>Standards</i>) (AERA et al., 2014).

Document and Material Review

Existing documentation related to the sergeant and lieutenant promotion processes was provided and reviewed between August and November 2020. As the materials arrived, DCI inventoried and reviewed the documentation to develop an understanding of the promotion processes, identify initial questions and additional areas of research, and determine when additional documentation was needed. **Exhibit 4** lists the documents and materials most pertinent for evaluating particular aspects of the promotion process.

Exhibit 4. Consent Decree Requirement and Associated Critical Materials Reviewed

Requirement	Materials
261(a) The processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the Consent Agreement	<ul style="list-style-type: none"> • Job Postings and applicant/candidate communications (eligibility, evaluation, exam administration, and promotion criteria) • Vendor Technical Reports (professional rigor, standardization, persuasiveness of validity evidence) and communications • Appeals, complaints, lawsuits, and previous review findings • CPD and DHR promotion-related policies and procedures • Relevant municipal code and CALEA standards • Union agreements
261(b) Methods for consideration of each candidate's disciplinary history in the selection process	<ul style="list-style-type: none"> • DOJ Report • PATF Report • Police Board Report • Disciplinary Review Matrix
261(c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community	<ul style="list-style-type: none"> • Promotion related communications • Hiring Plan • Vendor Technical Reports and communications • CPD Recruitment Campaign reports

⁶ In addition to an evaluation of professional rigor, DCI also incorporated a consideration of CPD personnel perceptions where appropriate.

⁷ The Uniform Guidelines on Employee Selection Procedures is the most frequently referenced authority for evaluating validity evidence in the public safety promotion context, although the Principles for the Validation and Use of Personnel Selection Procedures and the Standards for Educational and Psychological Testing also provide more contemporary technical guidance.

Requirement	Materials
261(d) The frequency with which CPD should hold promotional exams	<ul style="list-style-type: none"> • Hiring plan • DOJ report • DHR promotion process policy
261(e) Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions	<ul style="list-style-type: none"> • Applicant/candidate process and procedure related communications • Study guides and other preparation materials • Candidate test instructions • Test results communications • CPD Directives and other materials defining promotion decision criteria

DCI used the kick-off call in August 2020, to identify the initial scope of relevant, available materials. DCI reviewed arriving materials to identify initial questions or clarifications and follow-up items. Those questions were addressed either in weekly project stakeholder meetings or in the contextual and historical focused meetings with stakeholders and SMEs. On an ongoing basis, DCI incorporated additional documents and clarifying information into a working understanding of the sergeant and lieutenant promotion processes to facilitate the subsequent evaluation. Ultimately, DCI leveraged the information gained as part of the documents and materials reviewed to understand the processes and to identify potential gaps in understanding (e.g., context and history) to clarify via stakeholder and SME meetings. Note that because the 2019/2020 sergeant process was not complete, document and material review related to this process was limited.

Chapter 4 provides detailed findings and resulting evaluation, but in general:

- Reviewed materials tend to support there is structure and rigor in the way the process is developed, including conducting a job analysis and basing content development on that data;
- The City coordinates with a test vendor to create written study guides for both parts of the promotion processes, and the study guides include general information about how the parts will be evaluated;
- DCI's review of the assessor training and monitoring described in vendor reports comports with typical practices;
- Adequate processes are in place to score and verify accuracy of candidate scores; and
- The City was able to produce a volume of documents and materials, but the information was sometimes dispersed across departments or vulnerable to version control issues.

A listing of documents reviewed can be found in **Appendix A**.

Information Gathering Meetings

To gather additional information, context, and history around the sergeant and lieutenant promotion processes, DCI requested meetings with individuals who would be able to speak to particular aspects of the promotion processes. SMEs included representatives from CPD (e.g., HR, Bureau of Internal Affairs (BIA), Research and Development (R&D), Patrol, Strategic Initiatives) and the City (e.g., DHR, Legal Affairs, OIG). The meetings were conducted via video conferencing in September and October of 2020. DCI opened each meeting with an explanation of the purpose and intended use of the information. DCI then used a set of open-ended questions distributed before the meeting to gather specific information from the SMEs. See **Appendix B** for a list of the questions distributed in advance of each specific meeting. It was anticipated that these meetings would yield insight into the aspects of the promotion process review noted in **Exhibit 5**.

Exhibit 5. Consent Decree Requirement and Focus of Information Gathering Meeting

Requirement	Information Gathering Meeting Focus
261(a) The processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the Consent Agreement	<ul style="list-style-type: none"> • Eligibility criteria review and evaluation • Considerations in development of test components: <ul style="list-style-type: none"> • Selecting content • Selecting test(s) • Development process • Validation methodology • Considerations in administration of test components: <ul style="list-style-type: none"> • Consistency • Accommodations • Assessor identification and training • Procedures to ensure standardization • Adequacy of security protocols • Eligibility list creation and use
261(b) Methods for consideration of each candidate's disciplinary history in the selection process	<ul style="list-style-type: none"> • Considerations regarding available information or data for this evaluation • Considerations regarding fair and equitable implementation of a performance or discipline consideration • Impact of concurrent Consent Decree related efforts in this area
261(c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community	<ul style="list-style-type: none"> • Considerations regarding available information or data for this evaluation⁸ • Considerations regarding efforts currently planned or underway • Impact of efforts to recruit new police officers
261(d) The frequency with which CPD should hold promotional exams	<ul style="list-style-type: none"> • Historical context for frequency • Perceptions on appropriateness of and considerations influencing current frequency
261(e) Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions	<ul style="list-style-type: none"> • Historical context for existing communications and study materials • Perceptions of adequacy of current materials • Common questions or clarifications relating to current materials • Opportunities to expand or improve transparency and awareness

The focus of each meeting or set of meetings was as follows:

- On September 18, DCI conducted an initial meeting focused on gathering general context and historical recollections regarding the promotion processes.
- On September 28, September 30, and October 2, DCI conducted a series of meetings to gather more granular detail and context on the process to implement the promotion processes,

⁸ DCI focused this evaluation on comparing CPD's representation by sex and race/ethnicity, as that data was available.

including vendor selection, administration, application process, candidate communications and preparation, etc.

- On September 30, October 22, and November 4, DCI conducted a series of meetings to discuss the extent to which diversity and inclusion are considered in the promotion processes.
- On October 1, DCI met with stakeholders and SMEs to determine the extent to which likely avenues of data driven research had already been conducted by CPD; as part of this meeting, but also on August 31, October 29, November 3, and November 10, DCI discussed feasibility of various data requests.
- On October 16, DCI met with stakeholders and SMEs to evaluate the considerations involved in evaluating discipline as part of the promotion processes.

The meeting descriptions and driving questions distributed to participants are in **Appendix B**.

CPD Personnel Research

DCI actively sought to gather input from CPD members, not just on the transparency and awareness aspects of the promotion processes, but also on the other required review areas via both a survey data collection and focus group meetings. **Exhibit 6** lists the insight sought, as aligned to the Consent Decree requirements.

Exhibit 6. Consent Decree Requirement and Focus of Information Gathering Meeting

Requirement	Sworn Personnel (Survey and Focus Groups)
261(a) The processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the Consent Agreement	<ul style="list-style-type: none"> • Perceptions on: <ul style="list-style-type: none"> • Eligibility requirements, • Exam content and focus, • Adequacy of security protocols, • Standardization of administration, • Qualifications of raters, and • Use of eligibility lists
261(b) Methods for consideration of each candidate's disciplinary history in the selection process	<ul style="list-style-type: none"> • Perceptions on inclusion of performance or disciplinary record
261(c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community	<ul style="list-style-type: none"> • Reactions to efforts to increase awareness and interest in applying for promotion in officers and sergeants with diverse characteristics • Perceptions of process outcomes relating to promotion of diverse officers and sergeants, including minorities and females • Perceptions of potential barriers to promotion of officers and sergeants with a broad set of backgrounds and perspectives
261(d) The frequency with which CPD should hold promotional exams	<ul style="list-style-type: none"> • Perceptions on appropriateness of current frequency
261(e) Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions	<ul style="list-style-type: none"> • Understanding of process and expectations for performance • Perceptions on promotion decision process (i.e., selection from the eligibility list)

Survey Development and Administration

To ensure all officers, sergeants, lieutenants and captains had the opportunity to provide input to the promotion process review, DCI developed a brief survey, and deployed the survey with an anonymous link (i.e., not unique or tied to any individual) through CPD HR. DCI kept the survey short to encourage participation, including fewer than 20 items, and used branch methods based on respondent input (i.e. if an officer had not applied to a process, the process focused items were skipped), such that the survey was even shorter for some respondents. To encourage candor in responding, DCI created the anonymous link and did not request any individually identifying information from respondents. DCI included an open comment field at the end of the survey to provide respondents with the opportunity to express any additional perspectives not adequately covered in the survey.

DCI developed the initial survey items to solicit respondent input on: process effectiveness (261(a)), discipline as part of the process (261(b)), process frequency (261(d)), and process transparency and awareness (261(e)). Stakeholders reviewed the initial survey items and provided feedback, which was incorporated into the Qualtrics survey build. Union leadership representatives (i.e., the Fraternal Order of Police (FOP), Sergeant Policemen's Benevolent and Protective Association (PBPA), and Lieutenant (PBPA) were provided an opportunity to view and submit feedback on the survey as well. DCI also presented the planned survey items to the monitoring team prior to deployment.

DCI coordinated with CPD HR to provide language for advance communication about the upcoming survey that was distributed on October 1, 2020. The survey was delivered to all active officers through captains - 13,030 CPD personnel – comprising 11,461 (87.9%) officers, 1,278 (9.8%) sergeants, 260 (2.0%) lieutenants, and 31 (0.2%) captains - on Friday, October 2 and Saturday, October 3 via the CPD HR mailbox with email language crafted by DCI. Reminders were sent on or around October 14 and 23 before the survey closed on Monday, November 2. See **Appendix C** for survey communication language used for each notification stage.

Survey Response Summary

Because of the anonymous nature of the survey, the summary of respondent demographics in **Exhibit 7** is based on self-reported information, and it was not possible to verify the accuracy of reported information. A total of 1,710 responses were received; however, of those, 181 were removed for lacking any responses after rank and time in rank or sworn position. A total of 1,529 responses remained, and of those: 1,088 (71.2%) were officers, 337 (22.1%) were sergeants, 96 (6.3%) were lieutenants, and 7 (0.5%) were captains. Thus, the survey responses included an over-representation of sergeants and lieutenants, who were the incumbents of interest and most likely to have relevant recent experience around the promotion processes.

Exhibit 7. Survey Response Demographics

Demographic	Officer	Sergeant	Lieutenant	Overall*
Tenure				
Mean Years in Rank	14.24	5.97	3.80	11.69
Mean Total Years Sworn	14.80	20.68	24.33	16.77
Gender				
Female	212 (22.0%)	45 (14.2%)	11 (12.2%)	269 (19.5%)
Male	575 (59.6%)	202 (63.7%)	54 (60.0%)	834 (60.5%)
Other	13 (1.3%)	3 (0.9%)	0 (0.0%)	16 (1.2%)
I do not wish to provide	165 (17.1%)	67 (21.1%)	25 (27.8%)	260 (18.9%)
Blank	123	20	6	150
Race/Ethnicity				
American Indian or Alaskan Native	2 (0.2%)	0 (0.0%)	0 (0.00%)	2 (0.2%)
Asian	20 (2.1%)	1 (0.3%)	0 (0.00%)	21 (1.5%)
Black or African American	158 (16.5%)	37 (11.7%)	5 (5.6%)	200 (14.6%)
Hispanic	223 (23.2%)	44 (13.9%)	7 (7.8%)	274 (19.9%)
Native Hawaiian or Other Pacific Islander	2 (0.2%)	1 (0.3%)	0 (0.00%)	3 (0.2%)
White	219 (22.8%)	98 (30.9%)	32 (35.6%)	351 (25.6%)
Two or More Races	32 (3.3%)	8 (2.5%)	5 (5.6%)	45 (3.3%)
I do not wish to provide	304 (31.7%)	128 (40.4%)	41 (45.6%)	478 (34.8%)
Blank	128	20	6	155

**Note: Captain information is not reported separately, as there were only seven responses and therefore separate breakdown information could jeopardize respondent anonymity.*

Survey Analysis

DCI established a data analysis plan to define the approach for reviewing the quality of and summarizing the survey responses in meaningful ways. The results of the analysis were primarily used to inform the focal areas for the post-survey focus groups, discussed below, and to inform recommendations, particularly as a gauge of perceptions related to understanding of current processes. Items of particular interest to drive focus group discussion included:

- Suggestions to repair trust in the process,
- Reasons officers do not take the sergeant exam,
- Effectiveness of current notification and preparation approaches, and
- Areas of improvement for the processes.

See **Appendix D** for the final version of the survey. See **Appendix E** for a summary of the results.

Focus Groups

DCI first met with union leadership representatives in two focus group sessions. DCI met with the officers' FOP representatives on September 22 and met with both the Sergeant and Lieutenant PBPA representatives on September 25. These meetings served two purposes, the first was to obtain feedback regarding the processes from union representatives, and the second was to provide those representatives with an opportunity to view and provide feedback on the survey prior to deployment. DCI provided no parameters for union representatives, though the current presidents, vice-presidents, and other officials participated in each.

DCI also met with command staff representatives on October 28 to gather senior official perspectives on the processes. Participants were selected using a stratified random sampling approach, which was refined to replace those lacking availability to meet on any of the proposed dates or times. See **Appendix B** for a list of the guiding questions sent in advance to the union and command staff focus groups.

Further, DCI met with officers, sergeants, and lieutenants in a series of 12 focus groups (four at each rank), focused on gathering context around responses obtained from the survey through October 19 and providing a different forum for other feedback and perspectives relating to the processes. DCI coordinated with the CPD's Audit Division to identify a stratified random sample of personnel to invite to participate in the focus groups. DCI established minimum criteria, provided overarching demographic expectations, including ethnicity/race, sex, and a mixture of patrol as well as other unit assignments. DCI then evaluated the extent to which, at the officer rank, there was a sufficient number of participants who had participated in previous promotion processes. The Audit Division provided double lists to afford DCI the flexibility to adjust participants based on the promotion process involvement variable, which was derived from a different data set. DCI provided CPD with the final participant lists, split into four separate focus groups at each rank, including one focus group targeted to provide female perspectives and one focus group targeted to provide minority perspectives at each rank.

Exhibit 8 lists the requested demographic parameters in the second column and the final invited sample proportion at each rank in the last three columns. DCI requested race/ethnicity and sex representation to match the demographic makeup of the City, not that of the rank, to be consistent and to address the lack of female and minority representation at the sergeant and lieutenant ranks.

Exhibit 8. Focus Group Participant Demographics

Demographic Variable	DCI Requested Parameter	Final Sample Proportion		
		Officers* (n=48)	Sergeants (n=48)	Lieutenants (n=40)
Race				
White	30%	29%	31%	43%
Hispanic	30%	31%	27%	23%
Black or African American	30%	29%	29%	25%
Other ⁹	10%	10%	13%	10%

⁹ Data provided by CPD combined personnel reporting as American Indian or Alaska Native, Asian, Native Hawaiian or Pacific Islander, and Two or More Races due to low representation.

Demographic Variable	DCI Requested Parameter	Final Sample Proportion		
		Officers* (n=48)	Sergeants (n=48)	Lieutenants (n=40)
Sex				
Female	45%	44%	50%	40%
Male	55%	56%	50%	60%
Assignment**				
Districts	PO -60% SGT -55% LT -65%	67%	44%	75%
Other	PO -40% SGT -45% LT -35%	33%	56%	25%

*Only officers with at least three years on the job (i.e., more than one year out of probation, but including some officers who would have lacked eligibility to apply to the 2019 process by approximately one year).

**Sample proportions do not reflect detail assignments or specialty units that run out of a particular district.

The twelve focus groups were conducted on October 22, October 29, and October 30. Participation was voluntary, and no CPD or other City personnel attended the focus group sessions, other than to set up technology for those attending in person in a conference room at CPD headquarters. See **Appendix F** for a list of the guiding questions discussed with officer, sergeant, and lieutenant focus groups. The final number of sworn personnel participating in the officer, sergeant, and lieutenant focus groups were 14, 15, and 12, respectively.

Chapter 4 provides detailed findings and resulting evaluation, but in general survey comment and focus group feedback indicated:

- Control of access to test materials was a significant concern raised in meetings and the survey, indicating additional control measures may be warranted;
- Practices on test day met expectations, despite a few minor complaints or concerns raised (e.g., test day sequester times; permissible items, assessor selection);
- Some concerns with the type of assessor selected (i.e., psychology students) in previous processes; and
- Communication could be enhanced because candidates indicate they do not understand the process.

Data-Driven Research

DCI approached the preparation for data-driven research by first conducting a series of discussions with stakeholders and SMEs to understand what data analysis had already been conducted, what data was reasonably available, and the most appropriate method to request that data. Those discussions indicated that outside of vendor contracted analysis and ad hoc reporting requested within CPD, the vast majority of potential data-driven research questions had not been evaluated and some would be difficult or impossible to conduct with existing data. DCI requested de-identified data (i.e., data with personnel names and some other personal information redacted) related to candidate performance on the 2013/2014 sergeant promotion process and the 2015 lieutenant process, as well as various workforce related data, including performance, discipline, assignment, education, activity, and awards data for evaluation. **Exhibit 9** indicates the questions DCI sought to answer through evaluation of the available data.

It is also important to note that the performance management system and discipline systems are concurrently being updated in separate Consent Decree related workstreams. As a result, it is

expected that the data available regarding discipline specifically and performance more generally will change soon. For example, CPD is currently piloting a new system developed in partnership with the University of Chicago Crime Lab to provide a dashboard of metrics around officer performance. The relevance of this new data to considerations relating to the promotion processes is currently unknown.

Exhibit 9. Consent Decree Requirement and Data Analysis Plan

Requirement	Data Analysis
261(a) The processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the Consent Agreement	<ul style="list-style-type: none"> • Review of test related analyses conducted by test vendors • Evaluation of eligibility criteria • Analysis of incomplete application reasons • Analysis of zip code and unit at test time
261(b) Methods for consideration of each candidate's disciplinary history in the selection process	<ul style="list-style-type: none"> • Evaluation of prevalence of sustained CRs or SPARs • Evaluation of performance, activity, and awards data
261(c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community	<ul style="list-style-type: none"> • Comparison of department to Chicago community • Comparison of the applicant pool to the representation at the broader applicant rank
261(d) The frequency with which CPD should hold promotional exams	<ul style="list-style-type: none"> • Number of typical annual promotions • Evaluation of list degradation
261(e) Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions	<ul style="list-style-type: none"> • N/A

Similarity Review

DCI initially proposed a full benchmarking study but modified the proposal and instead developed a simple Microsoft Word survey (included as **Appendix G**), soliciting input aligned to the Consent Decree requirements. DHR provided input on the draft survey and sent the requests during the week of October 5 to the 25 largest municipal police departments in the United States, as well as some geographically local departments and one Canadian department that had provided information on a previous request. Designated points of contact were asked to respond by October 23, 2020. **Exhibit 10** lists the type of information DCI sought from these departments.

Exhibit 10. Consent Decree Requirements and Similarity Review Information

Requirement	Similarity Review
261(a) The processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the Consent Agreement	<p>Policies and procedures of similar police departments, including:</p> <ul style="list-style-type: none"> • Eligibility criteria • Test focus identification and test types • Eligibility list use • Appeals/ complaint procedures
261(b) Methods for consideration of each candidate's disciplinary history in the selection process	<p>Policies and procedures of similar police departments, including:</p> <ul style="list-style-type: none"> • Use of disciplinary history information in promotional processes
261(c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community	<p>Policies and procedures of similar police departments, including related to:</p> <ul style="list-style-type: none"> • Efforts to increase diverse candidates • Efforts to identify barriers to career growth opportunities
261(d) The frequency with which CPD should hold promotional exams	<ul style="list-style-type: none"> • Frequency of exams
261(e) Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions	<p>Policies and procedures of similar police departments, including related to:</p> <ul style="list-style-type: none"> • Efforts to ensure awareness of processes, procedures, and expectations related to the promotion process

DCI received responses from 15 of the surveyed police departments. Themes and summary insights are provided in **Appendix H** and referenced where pertinent in both the evaluation results (findings) and recommendations, Chapters 4 and 5, respectively. However, in general, DCI found that:

- CPD's eligibility requirements aligned with other departments;
- CPD's promotion process parts are similar to the approach of some departments though there was variety in the approaches departments take; and
- CPD's frequency of promotion processes and consideration of discipline are not aligned with most other departments.

It is important to note that while a comparison of similarities and differences across departments can be informative, it does not necessarily portray the driving forces behind the processes of a particular department. For example, some departments have processes driven by their own Consent Decrees, bargaining agreements, or municipal codes.

Chapter 3: Overview of the Sergeant and Lieutenant Promotion Processes

At the conclusion of *Information Collection*, DCI had developed an understanding of the CPD sergeant and lieutenant promotion processes. The remainder of this report uses this understanding to organize the evaluation efforts and final recommendations. This chapter documents DCI's understanding of the promotion processes based on the document and material review and the sworn personnel and data-driven research efforts. The subsequent chapters detail the information used to conduct the evaluation and develop the recommendations.

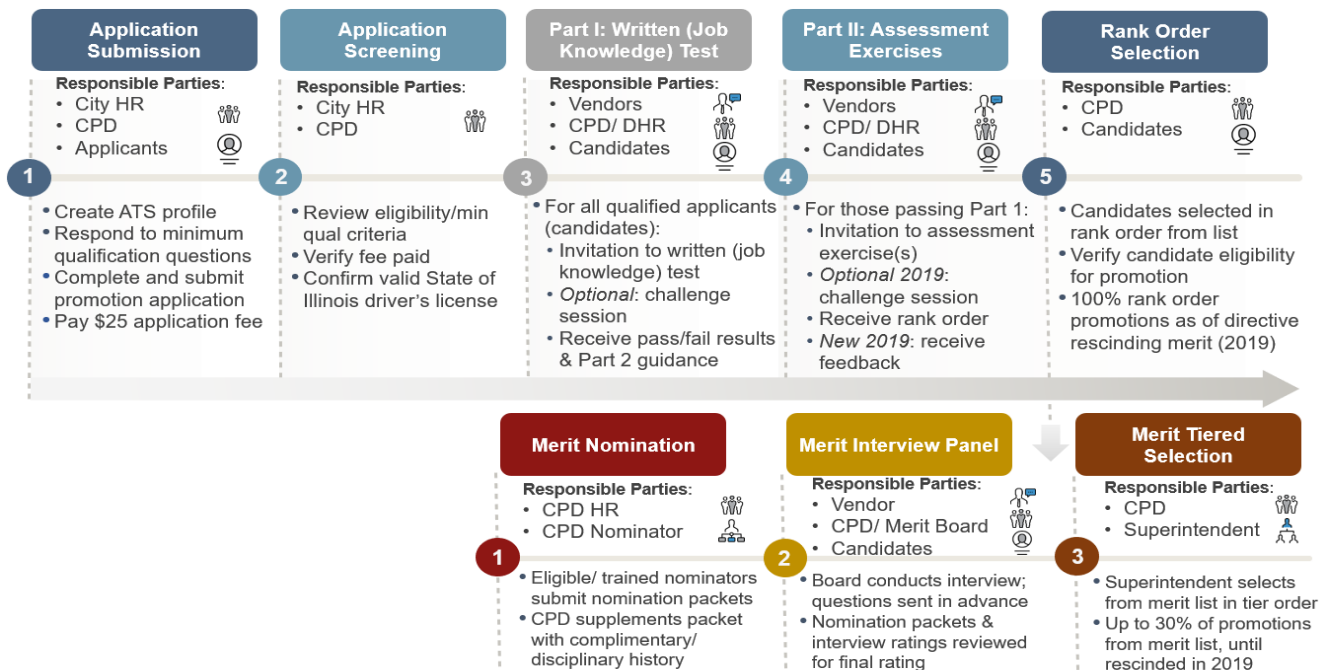
History of the Processes

Since at least 1998, both the sergeant and lieutenant testing processes have consisted of two main parts: 1) a written job knowledge exam and, for those who pass the exam, 2) an assessment exercise(s). Candidates are rank ordered on the eligibility list based on their final Part 2 score. Ties are broken by seniority date and then birth date.

From the mid- to late-1990s through 2019, both the lieutenant and sergeant processes included a secondary path to promotion, the “merit process.” In consideration of the historical adverse impact that had been observed on minority candidates, the merit process was intended to identify CPD personnel who did not necessarily score well on tests and yet exhibited supervisory potential. The development and administration of merit process requirements evolved over time, with the most recent processes including a partnership whereby the test vendor developed and validated the guidelines for meritorious selection and CPD HR coordinated CPD administration of the process.

The 2014 Hiring Plan stipulated that up to 30% of promotions to sergeant and lieutenant could be merit promotions, whereas the remaining 70% must promote in rank order from the eligibility list. All promotion candidates must pass the written exam and at least appear for the assessment exercise to be placed on the rank ordered eligibility list; there is no fail point on the assessment exercise(s). See **Exhibit 11** for a depiction of the process, including the subset applicable to Merit, before it was rescinded.

Exhibit 11. Sergeant and Lieutenant Process Flow



The sergeant and lieutenant promotion processes for CPD have often been challenged legally (by both minority and non-minority officers, as well as both female and male officers, and minority sergeants)¹⁰. Further, the promotion processes have also often involved allegations of cheating or other acts of unfairness (e.g., 2015 allegations of cheating on the lieutenant exam, decision to have candidates retake the 2006/2007 lieutenant Part 2 oral assessment exercise after technical issues – using the same questions as the first administration, and allegations of cheating in the bathroom on a 1998 sergeant exam).

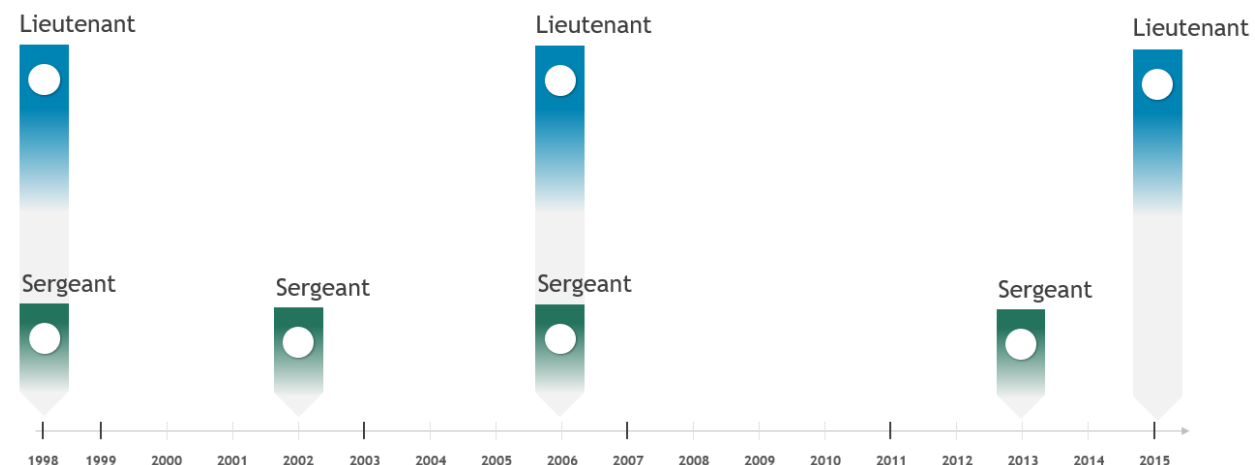
Applicant pools for both the sergeant and lieutenant promotion processes tend to be large, in line with the size of the CPD overall, as depicted in **Exhibit 12** below. Because so many candidates attend Part 2, the overall percent of candidates promoted from each eligible list tends to be low. The current lists have resulted in a higher percentage of promotions as a result of increased officer hiring and decreased span of control policies for sergeants.

Exhibit 12. Typical Applicant and Candidate Pools Sergeant and Lieutenant Promotion Processes

Applicant / Candidate Stage	Sergeant	Lieutenant
Number of Applications	~3500-5300	~800-1000
Percent Passing Written Job Knowledge Test (Part 1)	84-88%	90-95%
Number of Promotions from Current Lists	23%	42%

Promotion processes have not been held on a consistent timeline, with various factors influencing the time between processes, including but not limited to 1) legal challenges, 2) budget, and 3) number of promotions from a list. The 2014 Hiring Plan, however, established a maximum of six years between eligibility lists. **Exhibit 13** marks the year of promotion process Part 1 over the last 20 years.

Exhibit 13. Sergeant and Lieutenant Promotion Process Years

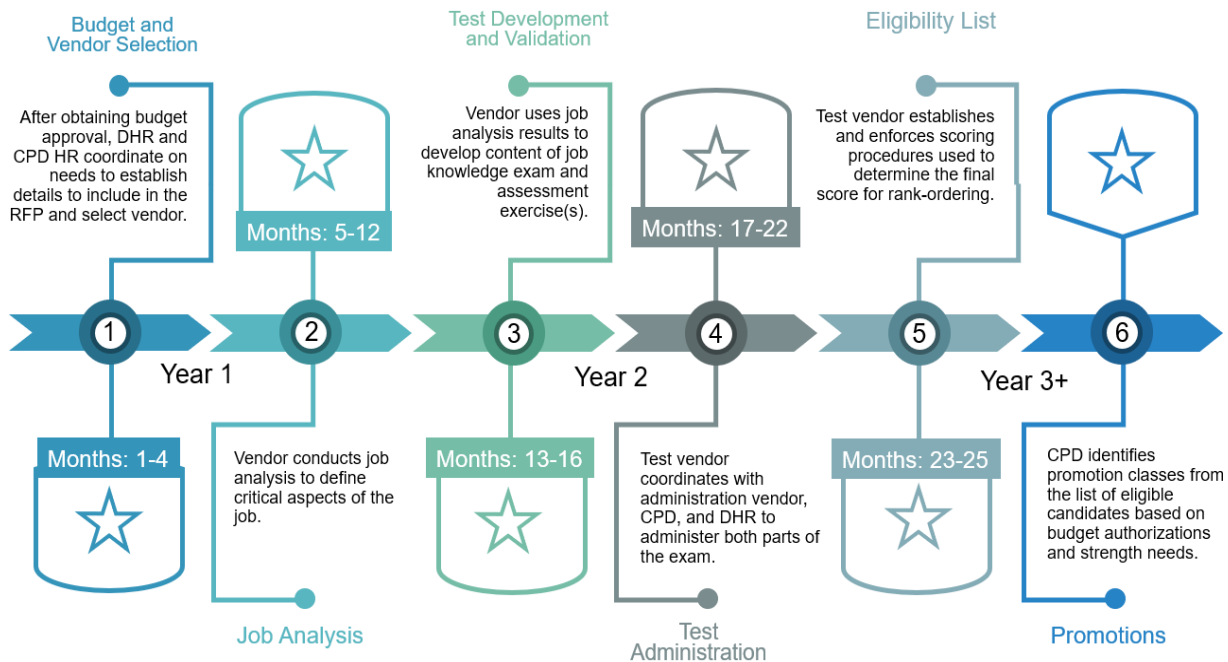


¹⁰ Cases referencing the sergeant process: *Adams v. City of Chicago* (2006); *Allen v. City of Chicago* (2003); *Barnhill v. City of Chicago, Police Department* (2001); *Price v. City of Chicago* (2001). Cases referencing the lieutenant process: *Brown v. City of Chicago* (1998); *Bryant v. City of Chicago* (2000). Cases pertaining to both processes: *Reynolds v. City of Chicago* (2002); *United States v. City of Chicago* (1976, 1975, 1974).

Current Process and Timeline

The promotion process begins with obtaining budget approval approximately two years before a new list is desired. **Exhibit 14** below provides a general timeline for other major milestones. Note that the 2019/2020 sergeant process is an example of one with a test administration timeframe that is well outside typical estimates, because of the pandemic and various subsequent issues that have arisen since Part 2 was originally scheduled to be administered in early March 2020.

Exhibit 14. High-Level Overview of Process Steps



As depicted in **Exhibit 14** above, once budget approval is obtained, DHR coordinates with CPD HR to formalize the requirements to build into a request for proposal sent to vendors on an approved list. The proposal process typically takes 3-4 months. The selected vendor then conducts a complete job analysis (6-9 months), develops the exam content (2-4 months), and the City engages a separate administration vendor to handle the administration of the process (some vendors could bid to both develop and administer the process, but in practice these tend to not be the same vendor).

Information about the upcoming process is disseminated beginning approximately 2-3 months in advance of the application window. Applications must be submitted through the ATS, and the job opportunity must remain open for at least 14 days. Applicants must meet the minimum qualifications and pay a \$25 fee to the City to be eligible to take the written exam; see **Exhibit 15** for the qualifications to sit for the promotion exam and also to be promoted from the eligibility list.

Exhibit 15. Eligibility Requirements for the Sergeant and Lieutenant Promotion Processes

Eligibility Requirements	Sergeant	Lieutenant
To Sit for the Process:	<ul style="list-style-type: none"> - Completed probationary period plus two full years active service as a CPD officer - Successfully completed the application process, including paying a \$25 application fee* 	<ul style="list-style-type: none"> - Completed probationary period plus two full years active service as a CPD sergeant
To Be Promoted:	<ul style="list-style-type: none"> - Completed probationary period plus five full years active service as a CPD officer by pre-service training report date - Report and verify 60 semester hours of college education** - Be in full-duty status (not medical roll or leave of absence (unless military), relieved of police powers, on suspension, or suspended pending separation) - Valid State of Illinois Driver's License - Not be indebted to the City (DHR Rule 18, Item 52) - City resident* 	<ul style="list-style-type: none"> - Completed probationary period plus three full years active service as a CPD sergeant by pre-service training notice date - Report and verify received bachelor's degree from an accredited university

* Eligibility criteria defined in the Municipal Code of Chicago (2-152-050 resident; 2-74-020 fee).

**New officers joining the department are also required to have 60 semester hours of college credit, although this requirement can be waived for veterans who are eligible to substitute active-duty experience for college hours.

The vendor provides written study guide material, and the Department, as of the 2019 sergeant process, makes an entire copy of the General Orders (GOs) available – frozen as of the date specified for the exam. However, it is the candidates' responsibility to locate the subset of GOs and other materials listed as relevant for exam purposes. Many candidates participate in informal study groups or pay third-party test preparation vendors for more in-depth assistance with studying and preparing for the exam.

Candidates take Part 1, the written job knowledge test, on the same day. Separate rooms are maintained for accommodation-related needs, and as of the 2019 process, an alternate version was available such that candidates with particular accommodation needs could be granted an opportunity to test on a different day or time if necessary. Scantrons are copied on site, but in recent administrations they are not preliminarily scored on site. The administration vendor scans and creates a database of candidate responses after test day. Identifying information is removed before the responses are securely sent to the test development vendor for initial scoring. Item appeal (or challenge) sessions allow candidates to indicate perceived issues relating to particular items. A panel of CPD SMEs is convened to review and adjudicate appeals, typically resulting in between two and five re-scored items, although some vendors have also proactively re-scored items with poor psychometric properties. The result of the written exam is a pass or fail score – with the vendor providing recommendations on the specific cut point. In recent processes, no feedback is given to candidates, particularly any item level information, for example whether they answered particular items correctly or incorrectly.

All candidates who pass the written exam are invited to participate in Part 2: the assessment exercise(s). The sergeant assessment exercise has typically consisted of written in-box or situational judgement test (SJT) type items, though the 2019/2020 process will have candidates participate in an oral response exercise. Lieutenant candidates have typically participated in two assessment exercises – one written and one oral response. Oral responses are audio recorded for asynchronous assessor scoring. The final score on the assessment exercise(s) is the sole basis for rank ordering candidates, with ties broken by seniority date and subsequently by birthdate.

In recent years, the merit process was limited to candidates on the rank ordered list and meeting additional merit criteria to be eligible for nomination by a command staff member or director. A supporting nomination packet was prepared, including a candidate resume, signed nomination forms and letters of recommendation, written justification from the nominator, candidate discipline and performance information supplied by HR, as well as other components. Candidates also participated in a Merit Board (i.e., command staff) interview developed and validated by the test vendor. The test vendor also prepared a study guide material. Though a merit interview was included in the 2019 sergeant contract with the test vendor, that portion has not been exercised given the rescission of the merit process by Acting Superintendent Charlie Beck in December 2019 – it does not mean the option could not be exercised if the Department decides to reinstate the merit process. The final score from the total package placed candidates in a tiered list for merit promotion. However, merit promotion lists were occasionally exhausted or replaced, wherein command staff were requested to start the nomination and interview process again to establish a new merit promotion list.

The following chapters will present the evaluative information and results culminating DCI's recommendations for these processes.

Chapter 4: Summary of Findings and Evaluation Results

DCI gathered and reviewed information to understand and evaluate the sergeant and lieutenant promotion processes, specifically focusing on the following Consent Decree requirements defined in paragraph 261:

- a. Processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and this Agreement;*
- b. Methods for consideration of each candidate's disciplinary history in the selection process;*
- c. Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community;*
- d. Frequency with which CPD should hold promotional exams; and*
- e. Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions.*

This chapter organizes the findings and evaluation results in accordance with the Consent Decree requirements above. The sections in this chapter detail the findings associated with each requirement based on the totality of information collected across:

- Document and material review,
- Historical and context informational meetings with stakeholders,
- CPD personnel survey and focus groups,
- Survey responses from other police department jurisdictions,
- Data analysis, and
- Professional standards and guidance.

At the conclusion of the information collection, DCI transitioned to formalizing evaluations of the promotion processes and required elements of evaluation within the Consent Decree. The results of the evaluation then drove the identification of recommendations to address areas of opportunity.

To better communicate the evaluation results, DCI identified a relevant set of factors that could be used to evaluate the promotion processes. If there are more identified opportunities than strengths within the factors, it could indicate a higher likelihood of negative outcomes such as potential legal challenges and reduced quality of promotions. **Exhibit 16** outlines each of DCI's evaluation factors and associated focus areas. This framework was used to guide the requested process evaluation and to assist in prioritizing associated recommendations.

Exhibit 16. Promotion Process Evaluation Factors (DCI Framework)

Evaluation Framework	Evaluation Focus ¹¹
Promotion Process Development and Content	<ul style="list-style-type: none"> • Comportment with professional standards and practices in test development ^a • Level of rigor ^a • Persuasiveness of job-related validity evidence ^a • Reasonableness of eligibility criteria ^a, including extent to which and where discipline or performance should be considered ^b • Processes to maintain security of content under development ^a
Promotion Process Implementation	<ul style="list-style-type: none"> • Comportment with professional standards in test administration ^a • Selection, training, and monitoring of assessors ^a • Security of materials ^a • Processes to score candidate responses and verify accuracy of scores ^a • Reasonable and consistent process to select individuals from eligibility list ^a
Accountability / Oversight	<ul style="list-style-type: none"> • Clear ownership, roles, and responsibilities ^a • Frequency of exams ^d • Checks/balances on steps and decisions ^{a,e}
Transparency in the Process	<ul style="list-style-type: none"> • Quality, frequency, and modes of communications about the promotion processes, eligibility requirements, and expectations for the job and the promotion process ^e • Efforts to inform and encourage diverse personnel to apply for promotion ^c • Transparency of evaluation basis or criteria in test components ^e • Feedback and challenge or appeal avenues ^{a,e} • Transparency of procedures for promotion decisions ^e
Data – Availability and Analysis	<ul style="list-style-type: none"> • Collection and retention of data to support analysis of candidate flow through the processes, from initial application to promotion ^a • Evaluation of psychometric properties of tests ^a • Evaluation of implementation factors, including candidate flow through process steps ^a
Documentation / Records	<ul style="list-style-type: none"> • Availability of written and centralized documentation regarding applicable policies, procedures, and processes ^a

For each factor in **Exhibit 16** above, the key drivers of that evaluation are noted in the evaluation results sub-section for the relevant Consent Decree requirement. The final section of this chapter provides an overall summary of the evaluation results. The next chapter presents the recommendations stemming from these findings and evaluation results.

¹¹ The sub-paragraph of the Consent Decree most closely aligned with the evaluation focal area is listed in superscript after each statement.

Findings Related to Paragraph 261(a): the processes by which CPD selects candidates for promotion to sergeant and lieutenant

In order to satisfy Paragraph 261(a), DCI confirmed the existing processes via various information collection approaches, as noted in Chapter 2 and including: document and material review, interviews, and focus groups. DCI evaluated the processes by which CPD selects candidates for promotion to sergeant and lieutenant, ensuring compliance with CPD policy and the Consent Decree based on the gathered information as well as data driven analysis where available. When applicable, DCI noted comportment with professional guidelines. DCI also indicated the extent to which policies or practices are similar to other departments that responded to the distributed questions¹².

Responsibility and oversight for processes

There are several departments across the City as well as external vendors involved in developing and administering each promotion process. Both the City (via the Department of Human Resources (DHR)) and CPD have written procedural guidance related to the promotion processes. The DHR process documentation outlines the various parties involved¹³ in or responsible for specific steps as well as the approximate timeline necessary to complete a promotion process¹⁴. CPD's written guidance defines the critical aspects of the job, the eligibility requirements to apply for promotion, general steps in the process¹⁵, and use of the eligibility lists. A merit promotion directive also exists, although the merit process is not currently in use (discussed later in this section).

See **Exhibit 14** in **Chapter 3** for a high-level overview of the process steps. Each sergeant or lieutenant promotion process is initiated by obtaining budget authorization. Once funding is established, the City (via DHR) engages with a vendor, qualified per a master consulting agreement, to develop and validate the promotion process. The City typically engages a separate vendor to administer the process, though some vendors are qualified under the master agreement to perform both services. DHR maintains oversight of the vendors. The test vendor's responsibilities include:

- Conducting a full job analysis to inform the critical aspects of the job prior to promotion test development and detailing the research and results in a technical report;
- Working with DHR and CPD to update the job specifications based on the job analysis results, potentially including a review of eligibility criteria;
- Developing exam content aligned to the job analysis results for pre-identified test types (i.e., written job knowledge test for Part 1 and one or more assessment exercises for Part 2)¹⁶;
- Performing content validity research;
- Coordinating with the test administration vendor to securely deliver test content and receive de-identified candidate responses (i.e., scores associated with identification numbers as opposed to candidate names) for scoring;
- Recommending cut-score methodology for the City's consideration;

¹² Similarity or dissimilarity to other departments provides comparative information but does not provide insight to the appropriateness of the policies or practices or the specific factors driving them.

¹³ At the time of this report, the Office of Public Safety Administration is in the process of taking over responsibility for promotion process administration as the CPD HR function is relocated under that office.

¹⁴ See the Findings Related to Paragraph 261(d) for a discussion of the timeframes associated.

¹⁵ Unlike some jurisdictions, neither the union agreements nor the City municipal code include substantive, proscriptive requirements related to the promotion processes, with some minor exceptions (e.g., eligibility considerations in the code or prohibitions on summary punishment consideration in the Sergeant PBPA agreement).

¹⁶ See Chapter 3 for more detail on the typical focus and format of the tests in each Part for each rank.

- Recruiting and training assessors for assessment exercise evaluations;
- Calculating scores on tests, including recalculating scores to include item challenge results;
- Reporting process development, validation, administration, and results information in a technical report;
- Coordinating with DHR to respond to inquiries from the Consent Decree monitor or the Office of Inspector General (OIG) as necessary; and
- Providing expert support in the event of a challenge to the process.

The main City entity tasked with oversight of the sergeant and lieutenant promotion processes is the Office of the Inspector General (OIG). To have context in the event of a challenge or complaint, the OIG observes most steps of the promotion process. In addition, the OIG conducts periodic audits of the promotions made from the eligibility list to ensure policies are followed (e.g., rank order, use of merit promotions, reasons if anyone was skipped).

- Although the OIG is an option for candidates with a challenge or complaint, DCI's review found that candidates often turn to union leadership for guidance, information, or initial assistance with questions and complaints. However, the grievance process generally does not apply to promotions to these ranks, except in rare circumstances.
- Most documents reviewed did not reference a specific oversight authority, except in certain specific situations.

Appeal (or challenge) procedures provide candidates with an opportunity to ensure concerns about the promotion processes are evaluated (Posthuma & Campion, 2008), without necessarily resorting to litigation. In past processes, an appeals procedure was implemented for the written knowledge exam only. To fully align with the Commission on Accreditation for Law Enforcement Agencies (CALEA) standard 34.1.2, however, appeals for assessment exercises will also be permitted beginning with the 2019 sergeant promotion process. Note there was an almost even split between the number of jurisdictions reporting an appeal process for the written exam only – CPD's previous process – and those reporting an appeal process for both the written exam and other components of the process (e.g., assessment centers, interview boards) – CPD's planned process.

Eligibility criteria

The City defines separate criteria to 1) sit for the promotional exam and 2) be promoted from a promotional eligibility list. See **Exhibit 12** in Chapter 3 for a list of the eligibility requirements. The majority of requirements are in line with those reported by or observed in other departments. Further, survey and focus group responses generally indicated that the current eligibility requirements are perceived as adequate, with exceptions noted below:

- In the survey, 27% of lieutenants, 31% of sergeants, and 33% of officers indicated that the requirements to apply for promotion could be improved. Survey comments and focus group participants indicated that drivers for identifying this as an area for improvement included that the:
 - Time in rank requirement for officers being promoted to sergeant should be more stringent (i.e., longer) to ensure officers have more experience in the job before supervising others. However, the lack of opportunities to test drove most to support keeping the requirements to sit the same and instead considering applying more stringent requirements for promotion.
 - Education requirement is not adequately aligned with the requirements of the position. Those with this perception typically suggested that experience should be able to substitute for formal education, particularly military service which is substituted for education on entry to the CPD. That said, more survey respondents and focus group participants indicated that education attained should be recognized (i.e., receive a point value in a point focused system).

- Fee perpetuates a “pay-to-play” connotation; this sentiment was only expressed by a few personnel. The historical purpose of the fee was to ensure applicants demonstrated a vested interest in the process. That said, this practice is not common - the similarity review noted only one other responding jurisdiction (NYPD) that charges a fee, though DCI is aware that a couple of other large departments (e.g., Boston) may also still use this practice.

Process component development

In accordance with the contract, the test vendor conducts a full job analysis and uses the results to develop and validate exam content for the test types defined by the City. In other words, the City defines the type of tests (e.g., written job knowledge exam, assessment exercise) to be developed and the test vendor is responsible for developing content based on the job analysis and gathering evidence of content validity to confirm the test aligns to critical aspects of the job¹⁷. Since at least 1998, the City has used substantially similar test types¹⁸, consisting of a written qualifying job knowledge exam as Part 1, and one or more assessment exercises comprising Part 2 (e.g., typically a written in-box or situational judgment style assessment for sergeant and both a written in-box style and oral response assessment for lieutenant), with Part 2 accounting for the totality of the score used to rank order candidates on the eligibility list. In recent processes, the test vendor is also contracted to develop and validate the merit promotion process interview and scoring.

Both the written job knowledge exam¹⁹ and assessment exercise(s)²⁰ are test format types commonly administered in police and public safety promotion testing. The City has indicated a willingness to explore additional test format options and is planning to administer an oral exercise instead of a written exercise at the rank of sergeant for Part 2 of the ongoing 2019 sergeant promotion process. Test format options have historically been limited by: 1) the volume of applicants (i.e., over 5,000 candidates for sergeant and upwards of 800 to 1000 for lieutenant), 2) concerns about test content compromise, and 3) cost constraints. For example, because of test security concerns, candidates have been tested in one sitting; tested in two or more overlapping groups, where no group is released until all groups are secured; or tested on multiple versions depending on feasibility considerations often driven by candidate volume, physical space options, and cost.

Regarding the current process parts, approximately 60% of survey respondents indicated there was opportunity to improve the type of test(s) used in the promotion process. Survey comments and focus group feedback tended to indicate that the written multiple-choice job knowledge tests were perceived as most fair, both in terms of content (job knowledge derived from written procedures with clear right

¹⁷ Test vendors provide a technical report detailing the development, administration, results, and validity efforts after each process. Different vendors have different approaches; for example, some test vendors provided a separate job analysis report followed by a development and validation report; other vendors provided one report describing all activities under the contract.

¹⁸ See Chapter 3 for a detailed description of the promotion processes, including the test types.

¹⁹ Job knowledge exam items are typically derived from a combination of department orders or directives and laws and regulations, though other materials (e.g., bargaining agreements and leadership books) can also be included in announced source material (Barrett, Doverspike, & Young, 2010). If the exam is designed to be “closed-book”, or completed without access to reference material, the items should be confirmed as necessary to memorize (Lammlein, 1986).

²⁰ These assessment exercises as implemented by CPD most closely resemble individual exercises often included as part of assessment centers. Typical assessment centers include multiple raters evaluating candidate performance in multiple exercises, using pre-determined and validated scoring rubrics (e.g., behaviorally anchored rating scales (BARS) or behavioral checklists) to categorize observed behavior or responses in a consistent manner (International Taskforce on Assessment Center Guidelines, 2014; Campion, Palmer, & Campion, 1997).

or wrong answers) and method of administration (potential for quick and objective scoring). However, DCI received feedback from a large number of officers in the survey²¹ and focus groups indicating the totality of reading material is too cumbersome and should be more narrowly tailored, as the typical list is thousands of printed pages.²²

Survey responses and focus group participants had mixed feedback regarding the assessment exercise(s). The main concern related to the use of raters and the perception that scoring this type of test is inherently subjective because a human is reviewing candidate responses and assigning a score²³. Specifically, over 60% of the survey comments indicating that removing subjectivity from the process would improve it, suggested using a scantron-based test as the only test type. Additionally, particularly at the sergeant rank, concerns were raised regarding plans to test people over multiple days because of the perception that those testing on the last day may have the opportunity to hear about the experiences of others, even if the items are changed. Several survey comments²⁴ and focus group participants provided suggestions for alternate tests or evaluation components and metrics to consider in addition to or as a replacement for portions of the current promotion processes, including point systems for education, tenure, assignments, time as a field training officer (FTO)²⁵, performance, and discipline or adding physical fitness evaluations or interview boards to provide more well-rounded views of candidates for promotion. The PATF report also found it notable that the lieutenant process does not consider a sergeant's performance or that of the sergeant's officers as part of the process.

The test vendors use CPD SMEs to conduct the job analysis, provide input on test content identification, review drafted content for accuracy and alignment with CPD processes and procedures, and participate in item appeal or challenge reviews and decisions. The use of internal SMEs is a typical and commonly employed method for developing promotional processes. DHR has also implemented additional security measures for the 2019 sergeant process, including a policy that no single CPD SME sees the full test content.

However, DCI noted the following concerns related to CPD SME involvement in test development:

- There have been various cheating allegations and scandals dating back to at least the 1980s.
- There is a pervasive perception that internal SMEs share information with other Department personnel in a manner that would facilitate cheating or at least provide improper advance knowledge of likely test topics.
- Most recently, the 2015 lieutenant test included allegations that a senior SME provided test content to a candidate, who subsequently achieved the highest score on the Part 2 exam, and

²¹ Approximately 55% of officers indicated the preparation material could be improved, and of the open comments related to preparing for the exam, 32% specifically mentioned streamlining or narrowing the focus of the study material.

²² This was a point of disagreement. Many indicated the material is important to know. Some instead indicated that most of the information is important to reference when needed, with a substantially fewer number of orders entirely memorized and appropriate for a closed book exam.

²³ Research has demonstrated that subjectively scored tests can be more reliable than objectively scored tests, and dependent on other factors, can result in smaller race differences (Arthur, Edwards, & Barrett, 2002).

²⁴ Three survey comments mentioned that a similar survey had been distributed by a CPD sergeant just before the DCI survey. That sergeant shared with DCI his staff study report associated with coursework for Northwestern University's Center for Public Safety School of Police Staff and Command (Thompson, 2020). The report focused on proposed changes to the promotion process, namely instituting a point system similar to one used in the military.

²⁵ The PATF and DOJ reports also recommended that CPD consider providing some sort of "credit" in the promotion process for officers who serve as FTOs.

to others who participated in a private study group and subsequently achieved high ranking scores.

Process component implementation

DHR engages a vendor to coordinate the administration of the promotion processes. The administration vendor coordinates with the test development vendor to confirm administration requirements, ensure test security during administration, receive, and print test materials, and return applicant materials for scoring. DCI's information collection noted the following:

- Vendor proposals and stakeholder historical meetings indicated that the administration vendor maintains consistency on test day via an administration manual, completes problem logs for issues encountered on test day, and coordinates with appropriate City or CPD officials to address test day issues.
- Most focus group participants indicated the actual test administration was in line with other large testing processes (e.g., in school).
- A few survey respondents indicated the large-scale multiple-choice testing did not “feel” like a supervisory promotion process, typically because of the format (i.e., testing in a large space with stringent controls on items that can be brought to testing) or because of the content (e.g., focus on job knowledge over leadership or supervisory potential).
- A few focus group participants noted that the oral response portion of the last lieutenant process was distracting because candidates could hear others responding while trying to formulate their own response. The City has taken steps to reduce this issue with adjustments to both space and technology configurations.
- Some focus group and survey respondents indicated that the lengthy testing day, as a result of sequestered time, made the process undesirable to participate in; while others indicated that one long day was preferable to a multi-day process wherein individuals on later days would have the advantage of hearing about the process from others.
- According to complaint documents reviewed, a few sergeant candidates grieved being removed from testing for alleged cheating; though those complaints were deemed not grievable.

Merit promotion process

In consideration of the historical adverse impact that had been observed on minority candidates, the merit process was intended to identify CPD personnel who did not necessarily score well on tests and yet exhibited supervisory and leadership potential. The test vendors for the 2013/2014 sergeant and 2015 lieutenant processes created the content for the Merit Interview Board, in addition to the job knowledge and assessment exercise parts²⁶, and reported the development and validation effort in the technical report. When the merit process was active, CPD would request new merit nominations from command staff when merit candidates were depleted or when a new merit list was desired, and subsequently conduct a new merit interview panel to establish a new list. Candidates must have passed the written qualifying job knowledge exam (Part 1), and “completed”²⁷ the assessment exercise(s) (Part 2), in addition to other eligibility requirements, to be eligible for nomination or consideration under the Merit promotion rules. DCI's review identified the following:

²⁶ Though the 2019 sergeant vendor proposed developing a Merit process in line with the City's RFP, Interim Superintendent Charlie Beck's directive to cease Merit promotions (December 2019), resulted in DHR not moving forward with that portion of the sergeant process.

²⁷ Because there is no failing score on the assessment exercise(s), this requirement effectively translates to a requirement that the candidate attend the Part 2 exam, not a requirement to expend effort.

- Perceptions from multiple personnel and document sources indicate widespread mistrust in, and disdain for, the merit process. The merit process is seen as a method to promote friends, family, and those with “clout.”²⁸ These perceptions are not new and have been documented previously in other reports (e.g., the DOJ report).
- Though some personnel indicated knowing at least one meritoriously promoted sergeant or lieutenant who embodied the ideals of the process, the vast majority of promotions via this method are perceived to lack legitimacy.
- Specific aspects of the process lacking the trust of personnel include: the nomination process, the use of CPD exempt staff to conduct interviews, and perceptions that requirements for nomination and promotion via merit are not uniformly applied.
- Survey and focus group respondents indicated several refinements should be implemented if the process is re-instituted, including overhauling the nomination process or instead incorporating some of the merit considerations in the broader process (e.g., by allotting points for complimentary history or experiences) and including external raters on the interview panel.

Process scoring procedures

The written job knowledge exam (Part 1) is scored as a pass/fail only; the score is not considered further in the process. The test administration vendor scans the written exams multiple times to ensure accurate reading of responses and sends the data securely to the test development vendor, with only candidate numbers – no names, for scoring. The test vendor recommends a cut score for Part 1 based, in part, on the results of each test administration – and thus the cut score may change with each administration. There is no failing score for Part 2; everyone who attends that portion of the exam will be placed on the list, though historically the department has not promoted more than 25% of the eligible candidates for sergeant, or more than half of the eligible candidates for lieutenant²⁹. DCI’s review identified that:

- Many Department personnel believe the cut score is set low or set after the test is administered to allow specific people to pass, though none of the information collected or reviewed provided support for this perception.
- For the lieutenant rank, only 10 candidates (2%) failed Part 1 in 2015, and only 63 (8%) failed Part 1 in 2006. This means that in 2006 almost 90%, and in 2015 approximately 95% of the individuals who did not end up on the eligibility list did not fail an exam; they instead dropped from the process due to an incomplete/rejected application or failure to show for one part of the exam (see Exhibit 17 for a depiction).
- For the sergeant rank, between 13- 16% of candidates failed the written job knowledge exam across the last three administrations (2006, 2013, 2019). For each of those administrations, the Part 1 failures account for between 30-40% of the total individuals who initially applied but did not end up on the final eligibility list. In other words, more people drop out of the process because of rejected or incomplete applications or failure to show for one part of the process than because they did not pass the written Part 1 exam, though the percentage is less stark than at the lieutenant rank (see Exhibit 17).
- The methods considered or employed to select assessors is unclear based on the materials reviewed. Previous test vendors did not report the race/ethnicity or sex breakdown of external industrial-organizational psychology graduate student assessors who scored the assessment

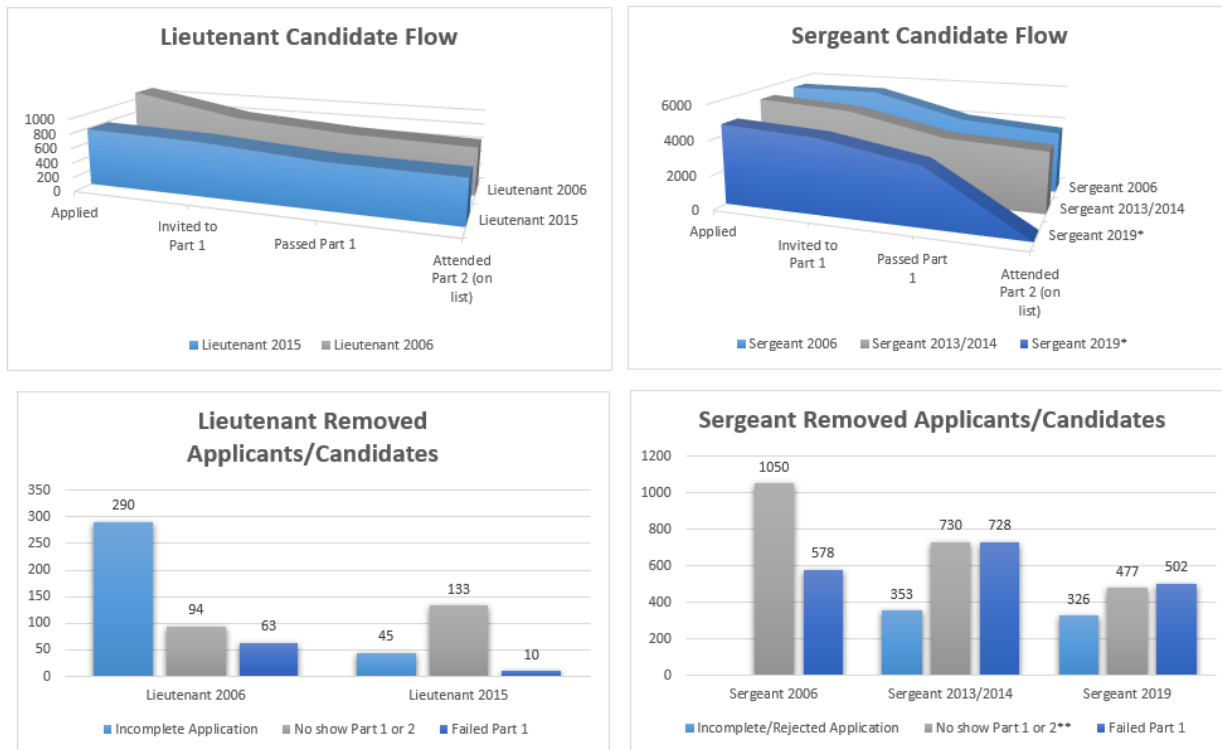
²⁸ See the survey response text analysis section of Appendix E for more details on these sentiments.

²⁹ Typically, fewer than 35% of the eligible candidates on a lieutenant list are promoted, but just over 40% have been promoted from the 2015 lieutenant list to date and that will continue to rise as this list will likely be active for at least another 18 months to two years before a new process has been completed.

exercise(s). CPD command staff comprised the Merit Board conducting the merit interview panels. The assessors for the current sergeant promotion process are anticipated to include external law enforcement personnel.

- Survey responses and focus group feedback from several participants indicated a deep skepticism around the scoring process for the assessment exercises (73% of survey respondents indicated scoring was an area that could be improved). For some, this skepticism stems from previous issues (e.g., the 1987 lieutenant test), while others expressed general concern around the likelihood multiple raters interpreting candidate responses would be consistent and accurate, particularly if scored by students. Despite general reference to the process for scoring assessment exercises in the written study guides, a substantial majority of survey responses indicated having no (56%) or very little (23%) knowledge about how a final assessment exercise score is derived, which was substantiated in focus group sessions.

Exhibit 17. Candidate Flow Through Promotional Processes



*Part 2 of the 2019 Sergeant process has not been administered, so no final Part 2 attendance is reported in the top right graph, and the “no show” value in the bottom right graph represents no shows to Part 1 only.

**DCI could not confidently separate incomplete or rejected applications from candidates who did not show for Part 1 of the 2006 sergeant process. Therefore, all applicants who did not receive a score for Part 1 are listed as no shows.

Promotions from the list of eligible candidates

The Part 2 score is the basis for the rank-ordered eligibility list. Seniority and then birthdate are used to break ties. The majority of promotions through December 2019 (at least 70%), were made in rank order; since December 2019, 100% of promotions are in rank order³⁰. Candidates on the eligibility list can waive a promotion and be offered an opening for the next class. Similarly, candidates who do not meet the eligibility requirements for promotion (see **Exhibit 12** in **Chapter 3**) will be passed over and offered the promotion when they meet requirements. Until December 2019, up to 30% of promotions could be made from the subset of eligible candidates on the merit promotion list. DCI's review indicated that:

- The Department identifies the number of promotions to be made from the list in line with strength needs (i.e., the number of positions necessary for adequate staffing) and budget availability.
- Several survey and focus group respondents expressed frustration with the lack of information around promotion timing, including the short time between a promotion announcement and the requirement to report to pre-service training.
- Only union leadership and CPD HR have access to copies of the promotion eligibility list. Eligible candidates know their rank number, but because promotions are irregular and up to 30% of promotions per class could be meritorious, it is not a straightforward process for a candidate to determine what set of rank numbers will be promoted next.

261(a) Themes and Evaluation Results

The above findings related to the processes by which CPD selects candidates for promotion to sergeant and lieutenant who possess a core set of competencies, characteristics, and capabilities, and when applicable, who are effective supervisors in compliance with CPD policy and the Consent Decree. As a preliminary matter, the City and the selected vendors take actions in line with accepted professional guidelines and standards (e.g., conduct job analysis³¹, align content of tests to content of job via content validity research, practices to ensure consistency in administration). That said, **Exhibit 18** provides the evaluation drivers, including opportunities to improve the utility of the processes, make changes to enhance trust or reduce skepticism about the fairness of the processes, and better track data related to the promotional processes.

³⁰ In December of 2019, Interim Superintendent Charlie Beck rescinded the order authorizing merit promotions. New Superintendent David Brown has not indicated an intent to reinstate the merit process.

³¹ DCI's findings discuss the "full" job analysis conducted by test vendors because that is the level of job analysis agreed to in the contracts. DCI is not suggesting that a full job analysis is always necessary.

Exhibit 18. 261(a) Evaluation Results

Evaluation Framework ³²	Evaluation Drivers
Promotion Process Development and Content	<ul style="list-style-type: none"> • The test vendor conducts a full job analysis and designs promotion process content within testing parameters defined by the contract and based on job analysis results, in accordance with content validity strategies. <ul style="list-style-type: none"> • Survey comments that identified critical qualities for promotion most often cited leadership, interpersonal skills, communication, or job knowledge as aspects important to consider. • The eligibility criteria appear reasonable, are in line with other departments surveyed, and were viewed as appropriate by a majority of CPD survey respondents; however, formal review of the criteria does not appear to have been a consistent part of process development. • A small number of CPD personnel (just under 20 survey respondents and a few focus group participants) indicated the time in rank requirement for promotion to sergeant should be increased. Approximately 16 survey respondents indicated education requirements should be substitutable for military or supervisory experience. • Only a few CPD survey respondents indicated a perception that the application fee was inappropriate, but that practice is generally not used in other jurisdictions, except New York and Boston. • CPD personnel in the survey responses (one third of those that mentioned cheating issues) and the majority of focus group sessions indicated a perception that the biggest threat to test content security was the use of internal SMEs, based on past allegations of cheating. • Just over 60% of survey respondents indicated that different types of assessments or evaluation criteria would improve the promotion processes. Several respondents and focus group participants provided suggestions to facilitate substantial changes to the current processes (e.g., implement a point system, add an oral interview board, add a fitness test, remove the assessment exercise(s)). • The development of the merit process included steps aligned with professional standards and practices (e.g., content validation research to support interview items and pre-defined scoring criteria). That said, CPD personnel consistently expressed a lack of perceived fairness often driven by issues with the merit process; the merit process specifically was viewed with outright disdain in many instances, emphasized by the unsolicited mention of the merit process as a concern in 41% of the open comments and supported in focus group discussions.

³² See Exhibit 16 at the beginning of this Chapter for the focal areas associated with each framework component.

Evaluation Framework ³²	Evaluation Drivers
Promotion Process Implementation	<ul style="list-style-type: none"> • Candidate pool size is a challenge – for locating testing sites and determining feasibility of certain types of tests. • Test vendors did not expound on the process used to select assessors, but did describe the training and monitoring efforts, which aligned with professional guidance. • Some CPD personnel expressed skepticism that non-law enforcement assessors could effectively evaluate responses to exercises. • The administration vendor provides security for printed and electronic materials on site, and procedures as written comport with typical practices. • Double entry and quality control measures are in place to verify accuracy of scoring procedures. • The test vendor recommends a cut score for the written job knowledge exam (Part 1) based on methods that comport with professional standards. However, application of the cut score tends to result in limited utility of the exam (i.e., the vast majority of candidates pass Part 1). • The process to select individuals from the eligibility list (absent merit), is straightforward (i.e., rank order with predefined tie breakers). However, because there is no cut score for Part 2, any candidate who attends that part is placed on the promotion eligibility list.
Accountability/ Oversight	<ul style="list-style-type: none"> • DHR is responsible for oversight of vendors and coordinating with CPD HR. • OIG has oversight of promotions and certain complaint investigations. • It is unclear how the transition from CPD HR to PSA will impact roles and responsibilities, particularly regarding coordination with CPD. • Implementation of an appeal/challenge opportunity for Part 2 will provide candidates with an avenue to request a review of potential perceived scoring anomalies, as exists for Part 1.
Transparency in the Process	<ul style="list-style-type: none"> • The City disseminates upcoming promotion process information and application requirements using multiple modes of communication (e.g., email, printed flyers, CPD messaging systems). • The written study guides created by the test vendors provide information about the scoring process. However, the survey responses and focus group discussions indicated that many CPD personnel did not remember or understand the scoring process, particularly regarding Part 2, suggesting an opportunity to improve communication about that aspect of the process. • Many CPD personnel (55% of open survey comments related to scoring) indicated skepticism about receiving scantron-based scores months after the test date as opposed to receiving a preliminary score on site, which personnel indicated had occurred for the 1998 exam. • The procedures regarding rank-ordered promotion from the eligibility list are clear.
Data – Availability and Analysis	<ul style="list-style-type: none"> • Data relevant to the promotion process is collected in various systems and spreadsheets but is not centralized. • Test vendors are responsible for conducting psychometric analyses related to the promotion tests. • Responsibility for ongoing implementation analyses is unclear.
Documentation/ Records	<ul style="list-style-type: none"> • Test vendors deliver technical reports documenting job analysis, content development, content validation, and process administration and results. • Various City agencies have separate procedures relating to the processes.

Findings Related to Paragraph 261(b): the methods for consideration of each candidate's disciplinary history in the selection process

In order to satisfy Paragraph 261(b), DCI used document and material review, interviews, and focus groups to confirm the existing consideration of discipline. DCI evaluated the methods for consideration of each candidate's disciplinary history in the selection process based on the gathered information as well as data driven analysis and similarity data where available.

Before discussing the consideration of discipline in the context of the promotion processes, it is important to understand discipline in the context of this department. The discipline process at CPD, as part of the accountability structure and system, was deemed broken in the DOJ report. The length of the process and the number of individuals who are afforded an opportunity to weigh in were specifically identified as problematic, in areas relevant to this evaluation. The DOJ report further indicated that the draft discipline matrix, which is currently not in use, would benefit from additional refinements to ensure it would be useful for the intended purpose: increasing consistency and transparency in the assignment of discipline based on specific offenses and other factors. DCI recognizes that separate and parallel streams of activity are occurring to address the aspects of the Consent Decree relating to CPD's discipline and accountability systems.

As the discipline process currently exists, Complaint Register (CR) investigations are triggered by a complaint, which can be lodged by citizens or members of the department. The initial CR investigation can take over a year, and results in a finding of sustained (with various penalties), not sustained, unfounded, or exonerated. From that finding, the accused has various grievance and appeal options that can take years to work through. Summary punishment action requests (SPARs) are not discipline and are not grievable. As such, SPARs are a faster process for addressing minor infractions, but are specifically barred from consideration in promotion decisions in some bargaining agreements (i.e., Article 8.4, Sergeant PBPA, 2020).³³

With regard to the current rank-ordered testing process, there is no consideration of discipline, unless the person on the eligibility list is relieved of police powers at the time of promotion, in which case that person is passed over. Such a person would, however, be eligible for the next promotion occurring after police powers are reinstated. With regard to the merit process, nominees were required to have: no sustained CR investigations for misconduct resulting in suspensions of more than seven days within the preceding 12 months; nor three or more sustained CRs resulting in suspensions of any length within the past five years.

DCI's discussions with various stakeholders and CPD personnel provided insight regarding several concerns with implementing a consideration of discipline as part of the promotion process, including the following:

- CPD personnel in focus groups expressed concern around differential opportunity to receive CRs, including longer tenured officers and officers in busier districts or certain assignments. This issue was less of a concern if there is a limited timeframe (e.g., five (5) years in accordance with existing bargaining agreements) and if the focus is on sustained CRs.

³³ DCI received a copy of the 2020 agreement, still to be finalized, as part of the document and material review. The FOP agreement is expired and is still being negotiated at the time of this writing – it is unclear what, if any, limitations that agreement will place on the use of discipline in considerations for promotion.

- Some CPD personnel indicated that any consideration specific to particular categories of misconduct would be problematic absent a case-by-case review to provide appropriate opportunity to evaluate the actual issue, the source of the complaint, and the officer's role in the situation at a minimum.
- Some CPD personnel indicated that focusing on suspension days would be problematic because different penalties are currently recommended for the same category of offense, dependent on an individualized review, and initial suspension days may be adjusted as the result of grievances or Police Board appeals – through a process that can itself take more than a year to resolve.
- Discussions with stakeholders and CPD personnel resulted in agreement that it would be inappropriate to keep someone from applying for promotion or taking an exam based on discipline, in large part because of issues relating to the timeliness of investigations and challenge opportunities after the initial finding.
- A few stakeholders raised the need for a pre-defined process to address the potential for an individual to be passed over for promotion because of an initial finding or penalty that is later reduced below the threshold level on appeal.
- The inconsistencies in penalties and length of the discipline process need improvement and should be considered carefully before broad application to determine whether someone is suitable for promotion. In the interim, in depth, personalized reviews against set criteria may be necessary, depending on the approach selected.

Despite these concerns, many Department personnel agreed that there could be a pattern of discipline issues indicating someone should not be promoted, but that they should have the opportunity to improve, and that evaluations of discipline records should involve looking into the full file, not relying solely on the category or number of suspension days.

- A few CPD personnel recommended considering a lack of CRs as a positive factor in promotions, as opposed to focusing on the existence of CRs as a negative.
- CPD is the only jurisdiction, of those that responded to the similarity questions, that does not consider discipline prior to a promotion. All responding departments either consider discipline at the time of promotion, in that a candidate could be skipped over for promotion because of discipline, or consider discipline via points assessed or deducted as part of the overall promotion score.

Over the life of the 2015 lieutenant promotion list, to date, applying the merit thresholds prior to promoting a sergeant would have delayed promotion for a total of one sergeant on the basis of having three or more sustained CRs within five years of the start of pre-service training. One additional sergeant was not promoted due to being relieved of police powers at the time of selection for pre-service training, and a consideration of having a sustained CR with a greater than seven-day suspension within 12 months of the start of pre-service training would have provided the same result. While a few officers were close to the thresholds above, none would have been impacted based on their pre-service training date. In other words, the vast majority of the promoted individuals had no sustained CRs meeting the criteria that would have precluded them from consideration based on applying merit process thresholds at the time of selection for pre-service training.

261(b) Themes and Evaluation Results

The above findings related to the methods for consideration of each candidate's disciplinary history in the selection process. As a preliminary matter, DCI notes that the CPD does not currently consider discipline, unless a candidate is relieved of police powers at the time of a promotion, as a factor in promotions. That said, **Exhibit 19** provides the evaluation drivers related to considerations of discipline and performance more broadly.

Exhibit 19. 261(b) Evaluation Results

Evaluation Framework	Evaluation Drivers
Promotion Process Development and Content	<ul style="list-style-type: none"> Based on the current functioning of the discipline process in CPD, consideration of discipline as an eligibility factor to sit for a promotional process as opposed to a factor that may result in a delay of promotion, would be problematic both because of the length of time involved in reaching a final discipline outcome and because of the potential for initial penalties to be overturned on appeal. Most other jurisdictions that responded to the survey indicated a consideration of discipline at the time of promotion. Current methods for determining discipline levels for specific violations result in inconsistent amounts of discipline for the same or similar offenses because other factors, such as the specific circumstances or an officer's complimentary history, are considered in setting a penalty.
Promotion Process Implementation	<ul style="list-style-type: none"> Several stakeholders will need to provide input on and agree to any consideration of discipline.
Accountability/Oversight	<ul style="list-style-type: none"> While the DOJ report indicated too many checks and inputs into discipline itself, because discipline is not a current consideration as part of promotions, clear oversight and responsibilities do not exist outside of those established for the current processes.
Transparency in the Process	<ul style="list-style-type: none"> There is widespread mistrust in the fairness of discipline as a factor in promotions, stemming from: <ul style="list-style-type: none"> the variability in timeliness of investigations, the variability in penalties associated with the same or similar offenses, differential opportunity to receive CRs based on assignment and activity, potential for retaliatory CRs to impact someone's chance at promotion.
Data – Availability and Analysis	<ul style="list-style-type: none"> BIA maintains data on CRs and SPARs, though the data is cumbersome to pull. CPD is piloting a new system that would combine several other pieces of information to provide a more complete picture of a member's concerning activity. CPD is also working on a refined performance management and rating approach.
Documentation/Records	<ul style="list-style-type: none"> The type of data captured in the current system does not allow for more nuanced evaluation of allegations (e.g., centrality of member's involvement in situation, actual nature of the complaint) absent an individualized review of the case.

Findings Related to Paragraph 261(c): the department's strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community

In order to satisfy Paragraph 261(c), DCI confirmed the existing efforts to encourage officers and sergeants reflecting the Chicago community to apply for promotions. DCI focused primarily on sex and racial/ethnic diversity, via document and material review, interviews, and focus groups. DCI evaluated the Department's strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community based on gathered information as well as data driven analysis and similarity data where available. Note that data and directional limitations prevented DCI from evaluating the CPD's reflection of the Chicago community from other perspectives, and this limitation will be addressed as a recommendation.

The City and CPD have engaged in several activities to recruit new officers with diverse backgrounds and demographics to join the force, particularly over the last few years. However, the Department does not currently engage in efforts specifically designed to encourage or prepare officers or sergeants who reflect the community to take the promotional exams. Relatedly, CPD is initiating a pilot mentorship program to pair new recruits with an officer-mentor but has not yet focused on expanding the mentorship programs to existing personnel. Superintendent Brown expressed a continued concern for officers who may work hard and perform well but not test well and an interest in identifying strategies to provide those officers with an opportunity to demonstrate readiness for promotion.³⁴

Regarding increasing the diversity and representativeness of new recruits, the City and CPD's efforts have been making an impact:

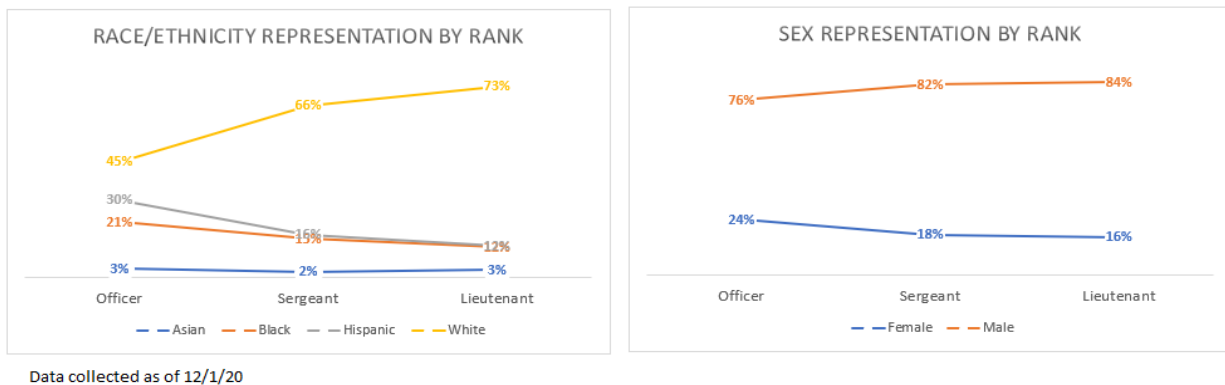
- The percentage of new officers who are female has increased from an average of approximately 20% in 2009-2015 to an average of 27% from 2016-2019.
- New Asian officers represent more than 4% of the hires from 2017-2019, and the percentage of new Hispanic officers has been steadily increasing from a low of 14% in 2011 to a high of 45% in 2019.
- New Black or African American officers have been increasing from a low of 9% in 2015 to 20% and 19% in 2018 and 2019, respectively.
- A review of termination data indicates that at least 90% of the officers who joined since 2009 are still active. This trend holds true across sex and race/ethnicity.
- Efforts the City has made to improve no show rates for the written entrance exam appear to be working, in that overall no show rates significantly dropped between 2018 and 2019 recruitments.

³⁴ <https://chicago.cbslocal.com/2020/04/20/city-council-public-safety-committee-confirms-david-brown-chicago-police-superintendent/>

The Department's current representation³⁵ in relation to the City more broadly³⁶ is described in bullets below and visualized in **Exhibit 20**:

- Officer representation is closest to that of the community (which is approximately 29% Hispanic or Latino, 30% Black or African American, and 33% White), from a race/ethnicity perspective.
- Just under 25% of officers are female (compared to half of the City residents), and representation drops as rank increases. Approximately 20% of the applicants for the 2013 and 2019 sergeant promotion processes were female.
- Officers and sergeants apply for promotion at the rates we would expect given their representation in the current rank (e.g., just over 20% of officers applying for sergeant are female).

Exhibit 20. Representation of Sex and Race/Ethnicity by Rank



CPD's primary focus on new recruit diversity and planned implementation of mentorship opportunities is in line with the efforts of many other departments that responded to the similarity review request. Most responding police departments indicated a focus on recruiting more minority and female officers to enter the Department. Some of the departments surveyed have close overall approximations to their surrounding community in terms of race/ethnicity representation, but all are lacking in female representation compared to their communities, which is a typical finding within both policing and public safety more generally. One department indicated it was establishing a mentoring program, and two departments indicated they were increasing the frequency of promotion process offerings (e.g., Campion 2019).

Many Department personnel indicated in focus groups and in the survey that some great leaders do not test well, and that there should be a process that allows individuals to demonstrate leadership qualities, either as part of the main process, or via a re-imagined merit system.

- Female and non-white officers, sergeants, and lieutenants who were asked about efforts the Department undertook to encourage female or minority personnel to prepare for and apply for promotion indicated that 1) the Department has not taken meaningful action, but also 2) that individuals need to want to apply for the promotion.
- At least one individual indicated becoming disengaged after a poor test result, allegations that others cheated to get ahead, a long wait for another opportunity, and having obtained a desirable assignment and schedule by the time the next opportunity arose.

³⁵ <https://informationportal.igchicago.org/chicago-police-department-active-sworn-officer-overview/>

³⁶ <https://www.census.gov/quickfacts/chicagocityillinois>

- A couple of focus group participants suggested that providing mentorship and concerted opportunities to ensure diverse officers are able to see sergeants and lieutenants who look like them would be helpful, including increasing employee resource groups. These suggestions are in line with research in this area (e.g., Avery, Hernandez, & Hebl, 2004).

Outside of race/ethnicity and sex comparisons, DCI did not have sufficient data to analyze other potential variables of interest in determining the extent to which CPD reflects the community. Further, while the City is considering an effort to request additional demographic data (e.g., disability, LGBTQ, veteran statuses), DCI cautions that this type of data collection often results in a substantial number of missing data, particularly as roll out occurs. When there is a large percentage of unknown data, and no way to determine the extent to which the proportion who responded look like the proportion that is missing, substantial caution must be exercised in attempting to generalize those results.

261(c) Themes and Evaluation Results

The above findings related to CPD strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community. As a preliminary matter, DCI notes that the CPD does not currently employ specific strategies to promote qualified applicants reflecting a broad cross-section of the Chicago community, outside of the merit promotion process, which was instituted as a method to address historical adverse impact against minorities observed on promotional exams. That said, **Exhibit 21** provides the evaluation drivers related to strategies for promoting qualified, diverse candidates.

Exhibit 21. 261(c) Evaluation Results

Evaluation Framework	Evaluation Drivers
Promotion Process Development and Content	<ul style="list-style-type: none"> • Outside of the currently rescinded merit promotion process, CPD and the City do not engage in strategies to encourage specific demographics to apply for promotion. • CPD and the City do engage in strategies to encourage broad cross-sections of the community to apply for entry to the department, which will increase the availability of diverse promotion candidates over time, to the extent those efforts are successful. • There are opportunities to consider alternate testing and evaluation component strategies to provide candidates with avenues to balance test scores and other aspects of readiness for promotion. • Several other jurisdictions also focus on increasing entry-level diversity.
Promotion Process Implementation	<ul style="list-style-type: none"> • The City provides reasonable accommodations and military accommodations, as required, which may encourage candidates with certain disabilities or military experience to apply for promotion.
Accountability/Oversight	<ul style="list-style-type: none"> • Because specific strategies are not currently employed, responsibilities or oversight are not defined.

Evaluation Framework	Evaluation Drivers
Transparency in the Process	<ul style="list-style-type: none"> • CPD personnel overwhelmingly noted that the City and the department do not encourage any particular group of potential applicants to apply for promotion. Rather, all eligible officers and sergeants are given notice of upcoming processes and thus the same opportunity to apply. • Though the merit process was rooted in addressing historical adverse impact concerns, current perceptions are that the process was often used to promote friends and family and that the standing of the command staff who nominated a merit candidate influenced the candidate's overall rating and chance at merit promotion.
Data – Availability and Analysis	<ul style="list-style-type: none"> • The OIG publishes data on sex, race/ethnicity, and age of CPD personnel. • CPD HR collects data on entry-level recruitment candidates' race/ethnicity and sex at application/invitation through appearing for the written exam to track where particular applicants fall out of the process. • DHR maintains applicant and candidate flow data from promotions, except that CPD HR maintains the promotion eligibility list, and any merit promotion lists.
Documentation /Records	<ul style="list-style-type: none"> • Because specific strategies are not currently employed, documentation does not exist.

Findings Related to Paragraph 261(d): the frequency of CPD promotional processes

In order to satisfy Paragraph 261(d), DCI evaluated the frequency of CPD promotional processes via a survey, interviews, and focus groups. DCI evaluated the frequency with which CPD should hold promotional exams based on the gathered information as well as data driven analysis and similarity data.

The sergeant and lieutenant promotion processes at CPD have historically been held sporadically. There is significantly less information available about processes prior to 1998, though DHR was able to provide dates for the promotional processes from 1998 to present. **Exhibit 13** in Chapter 3 displays a timeline of the processes between 1998 and 2015. The City initiated a sergeant process anticipated for completion in 2020, in accordance with the 2014 Hiring Plan's requirement to create a new promotion eligibility list every six years. However, only the Part 1 job knowledge exam was completed in 2019; Part 2 was anticipated for completion in the first half of 2020, but was delayed by a series of events, including the global pandemic. The lieutenant promotion process should be initiated soon to meet timelines necessary to establish a new list by 2022.

DCI's information gathering around the frequency of exams identified that CPD is an outlier in that most other police departments, outside of delays related to lawsuits or significant budget issues, conduct exams more frequently.

- Survey and focus group participants overwhelmingly indicated (approximately 90%) that the process should be more frequent. Survey respondents cited several concerns with the current timeframe, including that:
 - Although the process may start within the six-year timeframe, there has yet to be evidence that a new list will consistently be established within that timeframe.

- The gap between the processes results in some officers not having enough time on the job to test until they have almost a decade in the job (i.e., new recruits in 2004 had their first opportunity to test in 2013, and new recruits in 2011 had their first opportunity to test in 2019).
- Survey respondents further cited several perceived benefits of more frequent testing, which align with Police Executive Research Forum (PERF) findings as well (PERF, 2018):
 - Keeping personnel up to date on the general orders and directives as they study for frequent exams;
 - Improving morale based on the perception that there will be another chance to take a test if one did not perform well or if one does not apply for a particular test because it is not the right time;
 - Promoting someone based on more recent performance.
- The DOJ report recommended the processes be held at least every four years, which is more in line with the maximum amount of time between tests in other police departments.
 - Evaluation of other jurisdictions that responded to the similarity survey indicated that other departments typically test every one to two years, on average, though some departments have options to extend lists for a year. NYPD is a notable departure in that they test every four years, and are the only department that is larger than CPD.

261(d) Themes and Evaluation Results

The above findings related to the frequency with which CPD holds promotion processes. DCI understands that the City does not have unlimited funds and that each process is expensive. DCI further understands that the City desires to get appropriate use from an established list (e.g., not test upwards of 5,000 officers to make 100 promotions and start over). That said, the current pace of promotional testing, coupled with uncertainty around timelines and anticipated promotions, may have a chilling effect on some personnel who would otherwise be interested in promotion. **Exhibit 22** provides the evaluation drivers related to the frequency of promotions.

Exhibit 22. 261(d) Evaluation Results

Evaluation Framework	Evaluation Drivers
Promotion Process Development and Content	<ul style="list-style-type: none"> • A full promotional process currently requires approximately 18 months to two years of effort. • Efficiencies may be identified if processes are conducted more frequently (e.g., a job analysis update instead of a full job analysis where one was recently conducted). • Some CPD personnel suggested development of a written exam question bank, but DCI cautions that frequently updated directives or general orders require questions to be reviewed or updated on a regular basis to confirm continued relevance. That is not to say a question bank cannot be created, but instead to say it is more resource intensive than likely anticipated.
Promotion Process Implementation	<ul style="list-style-type: none"> • Increasing the frequency of testing without implementing a more regimented schedule will negate some of the benefits. • CPD personnel do not currently have a reliable estimate for when promotional processes will be offered, or how long resulting promotion eligibility lists will be active, which was often a source of frustration in the survey and focus group sessions.

Evaluation Framework	Evaluation Drivers
Accountability/ Oversight	<ul style="list-style-type: none"> It was noted in historical and context meetings that obtaining budget approval for a new promotion process more frequently may be difficult or require change management strategies. Current division of responsibilities appears to be insufficient to allow for consistent development and administration of exams on a schedule.
Transparency in the Process	<ul style="list-style-type: none"> CPD personnel expressed frustration with the lack of transparency around timing of upcoming promotion processes and components, and in particular a lack of notice of planned promotions from eligibility lists. Several sources suggested using workforce and budget data to project promotions necessary over a year, and pre-establish promotion dates (e.g., spring and fall), so members can anticipate at least the timing of promotions. Others suggested conducting pre-service training further in advance with a larger group of eligible candidates, similar to the process used for captain promotions, particularly at the lieutenant rank where promotion classes are typically small.
Data – Availability and Analysis	<ul style="list-style-type: none"> The extent to which available data is used to evaluate promotional needs, outside of budget authorizations, is unclear. Preliminary evaluation of eligibility lists did not indicate significant change in number of candidates waiving or being removed from the list as time passed, though anecdotally, lists retained for closer to 10 years did result in complaints over the quality of later promotions.
Documentation/ Records	<ul style="list-style-type: none"> DHR maintains a policy outlining the timelines typically involved in accomplishing major milestones of a promotional process. The Hiring Plan indicates eligibility lists should be effective for no more than six years, though the new Plan is being finalized and may have different requirements.

Findings Related to Paragraph 261(e): the opportunities to increase transparency and officer awareness about the promotions process and promotions decisions

In order to satisfy Paragraph 261(e), DCI evaluated opportunities to increase transparency and officer awareness about the promotion processes and decisions, including, but not limited to identifying criteria for promotions via a survey, interviews, and focus groups as well as comparisons with other police departments.

Regarding officer awareness, the City uses multiple modes to announce upcoming promotion processes. When an application window is approaching, the City places flyers on CPD bulletin boards, uses the administrative message center (AMC) to inform, and sends email notifications. The City also provides general process information via several documents, including:

- A directive that outlines important aspects of the job and the main steps in the process, including eligibility criteria, referring candidates to the specific posting announcement for other details;
- A separate directive detailing the Merit process;

- As of 2019, an FAQ document to ensure all candidates had answers to questions that were being asked regularly;
- A written study guide for each part of the promotion process, developed by the test vendor;
 - The test vendor for the 2019/2020 sergeant process provided a link to a website to view preparation information for the Part 2 oral assessment exercise.
- A list of reference material on which the job knowledge test will be based (it is the responsibility of individual officers to print the reference material if necessary), though the City did provide candidates with a link where the material could be accessed as part of the 2019 process.

In general, CPD survey and focus group participants indicated they were informed of upcoming promotion processes. However, despite the above steps to disseminate process information, DCI's review of the survey results and discussions in subsequent focus groups identified significant issues with transparency and general trust in the promotion processes, including that:

- Many candidates feel the need to pay a third-party test prep company³⁷ because of the perception that the City's study and preparation materials do not provide sufficient information on what to expect and what type of responses are being sought. This lack of information leads to further feelings of inequity for those who cannot pay the \$700-\$2000 price indicated by various personnel as the typical charges for various levels of third-party preparation.
- There is very little understanding of, and extreme mistrust associated with, the merit process, from the method of nomination to the process for considering merit nominees.
- Many CPD officers believe the time between completing the multiple-choice test and receiving their results is too long. Absent other explanations, several believe that scores are being adjusted in secret, though DCI received no evidence for this and there are procedures in place to prevent that type of meddling with results (i.e., the test vendor recommends the cut score and does not have access to scores associated with names).
- CPD officers further indicated having little to no understanding of how their responses to the assessment exercise(s) were scored and being extremely skeptical of the accuracy of that scoring, given the City's history on scoring fairness, dating back to the 1980s.
- Similarly, in past processes, no feedback was provided about how scores were derived, outside of the written study guide, or areas of strength and opportunity based on the exam results. The current sergeant process plans to incorporate a feedback mechanism for the first time.

261(e) Themes and Evaluation Results

The above findings related to opportunities to increase officer awareness of and transparency around promotional processes and promotion decisions. Although the City has taken several steps to provide upfront communications about promotional processes, there remains a significant deficiency in what CPD personnel understand or believe to be true about how their performance is evaluated in the promotional processes. **Exhibit 23** provides the evaluation drivers related to awareness and transparency.

³⁷ The City does not have control over third-party test preparation companies, and similar companies exist in many jurisdictions.

Exhibit 23. 261(e) Evaluation Results

Evaluation Framework	Evaluation Drivers
Promotion Process Development and Content	<ul style="list-style-type: none"> Eligibility criteria is clearly communicated, though anecdotally, CPD personnel indicated that time in rank requirements have occasionally been lowered or adjusted close to a promotion process date. CPD personnel do not trust that the test content remains secure during development.
Promotion Process Implementation	<ul style="list-style-type: none"> Candidates do not understand how the Parts are scored, how the cut score is set for Part 1, how assessors are selected or trained, how Part 2 is evaluated, or how that evaluation translates to the final score. It is unclear to what extent some lack of understanding is related to the time between testing for the rank and being asked by DCI to speak about it versus a lack of retention of the written study material. Candidates do understand how the rank ordered promotions work, but do not have a way to accurately determine how many people have been promoted or what rank number is next in line for promotion (i.e., how close they are to being promoted), particularly when merit promotions were active.
Accountability/Oversight	<ul style="list-style-type: none"> Candidates typically turn to the union to help navigate questions or concerns with the process. Other options for seeking information are often either not trusted or not known.
Transparency in the Process	<ul style="list-style-type: none"> The City and CPD provide several communications and use several modes to distribute information about upcoming promotion processes. Despite that, the City and candidates agree that email, which is a primary form of communication, may not be the best primary method of communication. New in 2019, the City and CPD coordinated to develop and disseminate an FAQ document in response to questions received from multiple candidates. The City and CPD do not provide live or recorded information sessions to prepare candidates for the promotion processes, though several other jurisdictions do. Instead, candidates preferring this method of preparation turn to third party vendors who charge for the service. The process by which the promotion process parts are scored is opaque and not understood by candidates. Lack of knowledge about areas of strength and areas of growth within the test content also make it difficult to improve. Many candidates indicated that Part 1 should result in a preliminary score on site or almost immediately after, understanding that item challenges may adjust the final score. Candidates indicated that the Part 1 item challenge session was difficult to navigate without a keyed version of the test to indicate which items were deemed correct or incorrect. New, for the 2019 sergeant process, the City plans to provide both an appeal process for and feedback on Part 2 performance.
Data – Availability and Analysis	<ul style="list-style-type: none"> N/A

Evaluation Framework	Evaluation Drivers
Documentation /Records	<ul style="list-style-type: none">• The City (DHR) and CPD have copies of the communications and study materials provided to candidates.• CPD directives regarding the promotional processes are available for all personnel to view.

Findings in Addition to Those Required Under the Consent Decree

Although DCI's specific purview was the evaluation of the promotion processes, we learned from the CPD survey and focus group participants that there is opportunity to improve the consistency and value of training provided upon promotion. Specifically, personnel indicated the pre-service training could be improved by including:

- More hands-on observation and practice with tasks expected regularly for the rank;
- More time with senior sergeants or lieutenants to discuss what to expect and how to respond/helpful tips³⁸;
- More consistent approach to curriculum and topic coverage between promotion classes within a rank;
- More consistent effort to ensure new sergeants are not placed in the same location from which they were promoted; and
- Specific training related to or acclimation time when moving personnel between substantially different districts.

A focus group participant also suggested that CPD consider conducting pre-service training for sergeant and lieutenant ranks in a manner more similar to the captain rank, wherein a larger group from the eligibility list undergoes the pre-service training in advance of upcoming promotions. Feedback indicated conducting this training in advance may provide for more consistent training cohort groups and allow the department to stagger training of individuals likely to be promoted over an extended period of time.

Summary of Findings and Evaluation Results

This chapter presented the findings stemming from the information collected from the City and personnel as well as other relevant sources. Evaluation drivers balanced information obtained from documents and materials, stakeholders, CPD personnel, data, and from other jurisdictions, as well as professional and legal considerations. **Exhibit 24** summarizes the overall evaluation of the CPD sergeant and lieutenant promotion processes based on the framework. Chapter 5 presents the resulting recommendations.

³⁸ This could also be accomplished with a mentorship program, which was recommended along with more hands on or scenario-based training in the PERF (2018) research and discussions with several law enforcement agencies.

Exhibit 24. Evaluation Results Summary

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ³⁹
Promotion Process Development and Content	<ul style="list-style-type: none"> • Comportment with professional standards and practices in test development • Level of rigor • Persuasiveness of job-related validity evidence • Reasonableness of eligibility criteria, including extent to which and where discipline or performance should be considered • Processes to maintain security of content under development 	<ul style="list-style-type: none"> • Reviewed materials tend to support there is structure and rigor in the way the process is developed, including conducting a job analysis and basing content development on that data.^a • Most eligibility criteria are consistent with other departments and considered adequate by personnel; however, the application fee is an outlier.^a • Control of access to test materials was a significant concern raised in meetings and the survey, indicating additional control measures may be warranted.^a
Promotion Process Implementation	<ul style="list-style-type: none"> • Frequency of exams • Comportment with professional standards and practices in test development • Selection, training, and monitoring of assessors • Security of materials • Processes to score candidate responses and verify accuracy of scores • Reasonable and consistent process to select individuals from eligibility list 	<ul style="list-style-type: none"> • The City should consider increasing the frequency of promotional processes.^d • The administration is coordinated by a vendor and candidate feedback typically indicated practices on test day met expectations, despite a few minor complaints or concerns raised.^a • DCIs review of the assessor training and monitoring described in vendor reports comports with typical practices.^a • Some candidates indicated concerns with the type of assessor selected (i.e., psychology students) in previous processes^a • Adequate processes are in place to score and verify accuracy of candidate scores. Communication could be enhanced because candidates indicate they do not understand the process.^a • Rank ordered selection from an eligibility list is used by some jurisdictions and can be a reasonable and transparent method to employ^a

³⁹ Superscript indicates the Consent Decree requirement to which the evaluation aligns.

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ³⁹
Accountability/ Oversight	<ul style="list-style-type: none"> • Clear ownership, roles, and responsibilities • Frequency of exams • Checks/balances on steps and decisions 	<ul style="list-style-type: none"> • There are several departments and groups with responsibilities for the process. As a result, ultimate ownership, responsibility for oversight, and methods of checks and balances are not always clear.^a
Transparency in the Process	<ul style="list-style-type: none"> • Quality, frequency, and modes of communications about the promotion processes, eligibility requirements, and expectations for the job and the promotion process • Efforts to inform and encourage diverse personnel to apply for promotion • Transparency of evaluation basis or criteria in testing components • Feedback and challenge avenues • Transparency of promotion decisions 	<ul style="list-style-type: none"> • City disseminates information or makes it available for candidates to view in multiple modes. The City may over-rely on email which is accessed less often by many officers.^e • The City and CPD do not engage in strategies to encourage particular groups to apply for promotion but have implemented strategies to recruit new police officers who reflect a broad cross-section of the community to the department.^c • The City coordinates with a test vendor to create written study guides for both parts of the promotion processes, and the study guides include general information about how the parts will be evaluated. However, CPD personnel feedback indicated a lack of understanding around the scoring procedures and criteria, suggesting additional communication or information may be warranted.^e • Although no feedback was previously provided on exam performance, the City plans to provide feedback on Part 2 performance associated with the 2019 sergeant process, when complete.^e • Rank ordered promotion decisions are transparent. The process of promoting merit candidates and the resulting impact to rank promotions is not clear. In other words, because candidates do not have access to a rank list, there is no transparent means of verifying how close one is to a rank-based promotion.^e • CPD personnel indicated that merit-based promotion decisions are not understood, and individuals promoted this way are often viewed as illegitimate.^{a,c}

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ³⁹
Data – Availability and Analysis	<ul style="list-style-type: none"> Collection and retention of data to support analysis of candidate flow through the processes, from initial application to promotion Evaluation of psychometric properties of tests Evaluation of implementation factors, including candidate flow through process steps 	<ul style="list-style-type: none"> Many relevant pieces of data are collected by either the City or CPD; however, the data are often housed in separate systems or databases that do not link or occasionally have conflicting information.^{a-e} Test vendors are responsible for evaluating the psychometric properties of their tests and the results.^a Other analyses are only undertaken as necessary based on specific requests, due in part to a lack of resources or available data.^a
Documentation/ Records	<ul style="list-style-type: none"> Availability of written and centralized documentation regarding applicable policies, procedures, and processes 	<ul style="list-style-type: none"> The City was able to produce a volume of documents and materials, but the information was sometimes dispersed across departments or vulnerable to version control issues.^a

Chapter 5: Recommendations

This chapter presents DCI's recommendations, based on the evaluation and analysis of information collected from document and material reviews, stakeholder historical and context meetings, CPD personnel survey and focus group sessions, other jurisdiction similarity review, existing data analysis, and comportment with relevant professional standards and guidelines. DCI weighed the information sources differently depending on what was being evaluated (e.g., evaluation of professional rigor was driven by technical report alignment with professional standards over perceptions of CPD personnel, whereas evaluation of transparency perceptions was driven by CPD personnel feedback more so than documentation). For details on the findings and evaluation factors that drove these recommendations, see **Chapter 4**. DCI presented preliminary recommendations for the City's consideration in November 2020, and incorporated clarifications from that process into these final recommendations. **Exhibit 25** introduces each of DCI's recommendations, including a suggested priority level along with estimated resource requirements and potential implementation timeframes. The remainder of the chapter provides detail around each recommendation.

It is important to note that DCI's responsibility, per the Consent Decree, was to provide actionable recommendations to improve the sergeant and lieutenant promotion processes. The next step will require the City to evaluate the feasibility of these recommendations and determine an implementation timeline and plan (paragraph 262 of the Consent Decree). Updated information or data may impact the relevance or priority of some recommendations.

Exhibit 25. Summary of Recommendations

Rec #	Recommendation	Priority Level	Resource Requirements	Time to Implement
261(a) Streamline Responsibility and Oversight				
1	Clarify ownership and responsibility for processes.	High	Low	Short
2	Clarify oversight and accountability mechanisms.	High	Low	Short
261(a) Evaluate Eligibility Criteria				
3	Review eligibility criteria.	Medium	Low	Short
4	Reconsider the application fee.	Medium	Low	Long
261(a) Make Process Development Changes				
5	Implement a consistent timeline.	High	Medium	Long
6	Consider updated position requirements in new job analysis.	High	Low	Short
7	Increase job specification consistency.	Medium	Medium	Moderate
8	Consider substantial changes to the promotion process components.	High	High	Long
9	Limit use of CPD subject matter experts (SMEs) to review test content.	High	High	Moderate
10	Change assessor parameters.	High	Medium	Long

Rec #	Recommendation	Priority Level	Resource Requirements	Time to Implement
11	Reevaluate cut score use.	Medium	Medium	Moderate
261(a) Enhance Data and Document Availability				
12	Centralize documentation retention across the City.	Low	Medium	Moderate
13	Establish a central repository to maintain candidate information	Low	Medium	Long
14	Consider additional analyses related to the promotion processes.	Low	High	Long
15	Add to reporting on job content coverage.	Low	Low	Short
16	Update applicant tracking process documents.	Low	Low	Long
17	Incorporate new data into the next review.	Low	Low	Long
261(b) Consider Discipline in the Promotion Process				
18	Consider discipline prior to promotion.	High	Low	Long
19	Determine the parameters for considering discipline.	High	Medium	Long
261(c) Engage in Additional Efforts to Identify and Promote Qualified, Diverse Officers and Sergeants				
20	Continue efforts to attract new police recruits who reflect a broad cross-section of the community.	Medium	Low	Short
21	Consider additional efforts to attract new, diverse police recruits.	Medium	Medium	Moderate
22	Establish mentorship programs.	High	High	Long
23	Ensure officers have the opportunity to see sergeants and lieutenants who look like them.	High	Low	Moderate
24	Adopt new phrases to describe approaches that evaluate a broader set of qualities.	Medium	Low	Moderate
25	Consider data-driven comparisons of representation.	Medium	Medium	Short
261(d) Increase the Frequency of Promotion Processes				
26	Consider conducting a new sergeant promotion process in two years, to incorporate these recommendations.	High	High	Long
27	Conduct promotional processes for each rank at least every four years.	High	High	Long

Rec #	Recommendation	Priority Level	Resource Requirements	Time to Implement
28	Project anticipated promotions based on workforce data.	High	Medium	Moderate
261(e) Increase Process Awareness				
29	Increase communication modes with candidates.	Medium	Medium	Moderate
30	Expand and improve on study options.	Medium	High	Long
261(e) Increase Process Transparency				
31	Consider sharing more process information.	High	Medium	Moderate
32	Provide candidates with feedback on their performance. [^]	High	Medium	Moderate

**Resource Scale: Low = minimal impact on current resources; Medium = additional effort by existing staff and/or additional funding needed; High = significant effort by existing or new staff and additional funding needed*

***Time to Implement Scale: Short = approximately 0-6 months; Moderate = approximately 6-12 months; Long = more than one year*

[^] Recommendation is in process.

Paragraph 261(a) Recommendations: the processes by which CPD selects candidates for promotion to sergeant and lieutenant

DCI's evaluation of the "processes by which CPD selects candidates for promotion to sergeant and lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the consent agreement" focused primarily on the development and implementation of the processes, accountability and oversight mechanisms, and the availability of data and documents or records to evaluate. DCI's review determined that the processes are developed and administered in line with professional standards and guidance, oversight and accountability mechanisms exist, and critical documents (i.e., technical reports) were available for evaluation. That said, there is room to improve the availability of data for analysis (or the ease with which data can be provided in a usable format). DCI identified the recommendations below to improve the development and implementation of the promotion processes.

Streamline Responsibility and Oversight

1. **Clarify ownership and responsibility.** Several parties are involved in the promotion processes, and there appears to be opportunity to clarify responsibility. For example, as the CPD HR responsibilities transition to the Office of Public Safety Administration (PSA), the City will need to identify what CPD unit or division will be responsible for coordinating CPD's remaining responsibilities for the promotional processes. DHR and the PSA should also review existing procedural documentation to identify necessary updates reflecting PSA's responsibilities and capitalize on any opportunities to streamline or clarify delineation of responsibilities for the processes.
2. **Clarify oversight and accountability mechanisms.** The City should add to existing procedural documentation clear delineation of the existing oversight mechanisms, the triggers for those mechanisms to engage, and other mechanisms by which accountability is established for outcomes associated with the promotion processes.

Evaluate Eligibility Criteria

3. **Formally review eligibility criteria.** As part of each job specification update in preparation for posting a promotion announcement, the City should require a formal review of proposed eligibility criteria to ensure the criteria continue to reflect the requirements of the job and the needs of the Department.⁴⁰
4. **Reconsider the application fee.** The Municipal Code of Chicago allows the City to charge a nominal application fee for the promotion processes; however, a reading of the Code indicates it is not a requirement. It is exceedingly rare for jurisdictions to charge a fee to apply for promotion; only NYPD in the similarity respondents also charges a fee, though DCI is aware that Boston also charges a fee. Further, despite the understandable historical context of wanting to ensure applicants were committed to the process, more than one survey comment indicated the fee is perceived as a “pay-to-play” step, which could combine with other factors to result in a chilling effect on some potential applicants’ interest in promotions.

Make Process Development Changes

The development processes used by the test vendors are in line with those typically used in similar promotion processes and appear to comport with professional standards in test development. That said, there are a number of recommendations related to test development:

5. **Implement a consistent timeline.** The City should establish and adhere to a specific timeline for promotion process activities. This is separate from the frequency of exams addressed under subparagraph (c) recommendations, and instead relates to the timeframes between parts of a process. For example, when planning the process, set dates or date ranges for each part of the exam, to include appeals timelines and when scores will be released. List all anticipated dates up front in the announcement with a brief description around the reason more time is necessary to complete some parts. Retain existing language regarding the City’s ability to make adjustments as necessary.
6. **Consider updated position requirements in new job analyses.** Given specific requirements for the sergeant and lieutenant positions delineated in the Consent Decree, the City should ensure that future test vendors review and incorporate those requirements as part of the job analysis effort, to ensure all aspects of the positions are considered and those areas with increased prominence are appropriately incorporated (e.g., community policing).
7. **Increase job specification consistency.** DCI observed that each vendor appears to create distinct lists of critical tasks as well as competencies or knowledge, skills and abilities. To increase consistency across vendors and job analyses, the City should direct vendors to start with existing language and update (i.e., edit, add, remove) as appropriate to ensure job requirement updates reflect meaningful changes to job specifications and not the stylistic vendor preferences.
8. **Consider substantial changes to the promotion process components.** The current promotion processes lack utility and present an opportunity to implement changes in content, format, and structure to improve the City’s ability to identify and select candidates who exhibit qualities associated with readiness for promotion. The City should first re-evaluate the most critical characteristics and factors to evaluate prior to promotion, then consider the format (i.e., tests or assessments, candidate work factors, other achievements, etc.) and structure (i.e.,

⁴⁰ Note that discussions indicated this occurs informally, but it is not a required step in any policy or procedure document DCI reviewed.

order of evaluation components, method of evaluation, process to arrive at a final evaluation, etc.) that align to the purpose as well as organization considerations. The following are initial suggestions to consider, in coordination with stakeholders as appropriate:

- a. **Consider options to incorporate aspects of the former merit process into the broader promotional process.** The merit process was established to consider exemplary work performance as well as broader worker characteristics (beyond job knowledge) in the promotion process. This broader consideration improves representation of the performance space and can help to identify a diverse set of candidates who exhibit qualities expected of supervisors and leaders in CPD within their current assignments. That said, the overwhelmingly negative perception of this process throughout the CPD renders it detrimental both from a general morale perspective and as a delegitimizing stigma for individuals promoted in this manner (Jacobs, 2011). Despite this, many survey and focus group respondents indicated that aspects of the merit process (e.g., evaluation of complimentary history and consideration of leadership skills via the interview board) were important considerations in evaluating candidates for promotion. Thus, DCI recommends the City consider options to incorporate some aspects of the merit process more broadly, as opposed to reinstating the merit process in its current configuration.
- b. **Consider other characteristics and factors.** Given recent changes to both sergeant and lieutenant role expectations, this is an opportunity for the City to reconsider what characteristics (e.g., qualities and knowledge, skills, and abilities) are most critical to evaluate prior to promoting sergeant or lieutenant candidates. Expanding the evaluated characteristics, including considering other factors (e.g., performance⁴¹, time in job, time as a FTO, assignments⁴², accolades, discipline, education, training) would broaden the measured performance space and could provide an opportunity for more diverse candidates to demonstrate readiness.
- c. **Consider format and structure changes.** There are a number of different types of tests or evaluation methods suited to measuring certain characteristics and factors. In addition, there are multiple options that can be appropriate for developing evaluation criteria and combining multiple scores into an overall result. For example:
 - i. Job knowledge is consistently identified as critical, particularly for promotion to sergeant, and job knowledge measures have typically demonstrated validity (Dye, Reck, & McDaniel, 1993). However, the current job knowledge test lacks utility as used. A traditional job knowledge test is not the only method for evaluating job knowledge (e.g., assessment exercises and situational judgment tests⁴³ can also elicit demonstrations of job knowledge). Further, a job

⁴¹ There are potential obstacles to address when contemplating using performance, particularly typical performance ratings, as part of a process. In particular, overall performance ratings tend to lack variability, such that the score associated with those ratings approximates adding a constant to the scores. There are methods to reduce the likelihood of this occurring (e.g., rater training, formal calibration sessions) (Postuma & Campion, 2008); however, Jacobs, Cushenbery, & Grabarek (2011), suggest instead using a performance evaluation rating specific to the process and only using it to remove “problematic” candidates. Note that CPD is in the process of implementing a new performance management system, so DCI cannot opine on the potential use of data from that system in a promotion context.

⁴² Differences in assignment opportunity can make it difficult to compare these experiences effectively (Joiner, 1984).

⁴³ Situational judgment tests typically demonstrate useful validity and can result in less pronounced subgroup differences, depending on the content and format (McDaniel, Morgeson, Finnegan, Campion, & Braverman, 2001; Lievens, Peeters, & Schollaert, 2008).

knowledge test does not have to be an initial hurdle for promotion – it can be included in an overall composite score, or even moved to post-training but pre-promotion.

- ii. The department could include a weighted application blank or accomplishment record to incorporate other factors (e.g., performance, accolades, assignments, discipline, education, training, certifications) into a first hurdle to reduce the candidate pool for testing in Part 2, a compensatory model wherein scores from the application or accomplishment record would be combined with any other testing scores for an overall result, or a pre-promotion evaluation criteria (e.g., reason(s) a candidate would be skipped in a rank order list).
 - d. **Request input from vendors.** DCI has provided some initial examples of opportunities to reconsider existing content and format or add new; these are not comprehensive or intended to limit other approaches. DCI recommends the City consider engaging in a request for information process with test vendors to obtain recommendations for reimagining the sergeant and lieutenant promotion processes within the CPD's specific set of constraints. This would also give the City a better idea of potential cost implications.
9. **Limit use of CPD SMEs to review test content.** CPD SMEs provide input on several aspects of the promotional process, and DCI is not suggesting that CPD SMEs should be limited from providing input on job analysis efforts or participation in item challenge/appeal review. However, 62% of survey respondents indicated that the security of the exam and materials was in the top five areas for improvement, almost 20% of the comments mentioned cheating and almost a third of those specifically called out issues with CPD SME access to test content. Focus group participants concurred with the survey results and indicated that trust in the process cannot be restored without either removing CPD SMEs from test development altogether or increasing controls around that involvement. Given the severe lack of trust currently associated with CPD SME involvement, DCI recommends the City:
- a. **Use external⁴⁴ law enforcement personnel as SMEs.** The City should coordinate with the test vendor to identify and select individuals with law enforcement experience from other parts of country to provide input on written exam items based on CPD general orders and directives. Use of external SMEs may incur additional costs but should be confirmed with the test vendor.
 - b. **Incorporate a “final check” from CPD SMEs.** Only solicit input from CPD SMEs 1) as needed to clarify specific areas of uncertainty around implementation of CPD orders and directives and 2) to review proposed scoring rubric(s) after all candidates have been sequestered for testing. The second prong would allow the City and the vendor to refine the scoring methodology, if necessary, without providing SMEs with opportunity to share that information with candidates.
 - c. **Periodically reassess whether CPD SMEs can be reintroduced in test development.** The trust issues related to internal SMEs will not be repaired by implementing the external SME procedures for a single promotion process. The City should re-evaluate CPD personnel perceptions around internal SME involvement prior to each vendor contract award. If the City does reintroduce internal SMEs, DCI recommends doing so in a tightly controlled manner, similar to practices now in place

⁴⁴ The City should coordinate with the test vendor to define parameters for participation, including active or retired status, rank, ability to align with CPD values, and demographic variables across SMEs.

(e.g., small number of SMEs, none reviewing an entire test) and with additional caveats banning SME participation in study groups.

10. **Change assessor parameters.** Implement changes to assessor identification and selection and apply to all parts of the process – including merit interviews if reinstated. Work with the test vendor to identify external law enforcement personnel (active or retired) at a minimum, consider the feasibility of including community members, and potentially incorporate individuals trained in industrial-organizational psychology (Lievens, 2001 and 2005) to serve as assessors. DCI recommends considering the following assessor parameters with the test vendor:
 - a. **Include outside law enforcement.** Many department personnel believe that individuals who have not served as police officers would not understand how to score their responses. That said, personnel from CPD and surrounding jurisdictions should not be used as assessors to limit potential conflicts of interest or familiarity (Tsacoumis, 2007; Lowry, 1993).
 - b. **Consider including community members.** Recent initial research (i.e., Hutchinson, 2019) has demonstrated that community members can score as accurately against a rubric as law enforcement personnel; and their inclusion, although not required, would further the increased community involvement expected in the Consent Decree⁴⁵.
 - c. **Avoid students as sole raters.** Research indicates that students, particularly industrial/organizational psychology students, can be accurate raters (Lievens, 2005). That said, several CPD personnel indicated having a negative perception around the legitimacy of a score received solely from a student rater. DCI recommends future vendors either avoid using students as raters or pair them with law enforcement personnel to address the negative perceptions surrounding that source of raters within CPD.
 - d. **Verify diverse assessors are included.** DCI could not verify the demographic profile of assessors based on the information in the technical reports for the most recently completed processes. Ensure the test vendor recruits diverse assessors and includes those demographics, minimally including the sex and race/ethnicity of assessors, in the technical report.
 - e. **Retain assessor-related professional standards and practices.** Continue to ensure test vendors adhere to professional standards and practices to encourage accuracy in assessor ratings, including but not limited to, providing frame-of-reference training, providing training to recognize and avoid biases, limiting the number of dimensions being rated and otherwise reducing cognitive load where possible (Lievens, 2001; Wirz, et al., 2013; Caldwell, et al., 2003).

Process Scoring and Eligibility Lists

11. **Reevaluate cut score use.** The City should revisit the current process for cut score setting in light of significant mistrust and questionable utility.
 - a. **Consider applying the cut score to different tests.** If the processes are reimagined (e.g., in response to recommendation eight), the City should consider whether any other tests or evaluation components could replace the written job knowledge exam as the first hurdle. If the City intends to continue moving the vast majority of candidates past a first hurdle, then scores derived from that hurdle should be considered for

⁴⁵ DCI understands there are a number of factors influencing the feasibility of this consideration and anticipates the City will explore those with appropriate stakeholders to evaluate the viability of community inclusion.

inclusion in the overall result. Further, there is not currently a fail point on Part 2, and the City should consider whether the test or evaluation components ultimately selected to comprise the final score should incorporate a pass/fail score.

- b. **Improve communication about the cut score.** If a cut score is used on any evaluation component, the City should better explain to candidates how the cut score is set, including who is involved in setting the score, or consider setting and announcing the cut score in advance. DCI is not suggesting the City or the vendor provide the technical details of cut score setting, but instead seek to find a balance that informs candidates a professionally sound approach was used without providing too much information that becomes overwhelming or confusing.

Enhance Data and Document Availability

The City was able to provide several materials and data files for DCI's review and analysis. That said, there are a number of recommendations related to data collection, integrity, and maintenance, as well as document and record storage:

12. **Centralize documentation retention across the City.** Create and maintain a centralized list of all laws, policies, procedures, accreditation standards, and other relevant regulations, agreements, and policies that impact processes. Despite the involvement of several departments, each with some of their own governing documents or policies, the most up-to-date versions of these documents should be retained in one central location with one responsible department. Given the creation of the Office of Public Safety Administration, evaluate whether, and to what extent, that office should be responsible since it is tasked with managing promotion processing (Municipal Code 2-96-040⁴⁶).
13. **Establish a central repository to maintain candidate information.** The City should work to determine one database-of-record to house applications, including movement through stages, relevant and accurate personal information – including unique identifier(s) allowing for cross-reference to other pertinent systems and data, scores on tests, and data necessary to confirm eligibility according to established criteria for application or promotion.
 - a. **Establish timeframes for updating candidate information.** The City should establish and verify accordance with realistic timeframes for updating candidate related information after receiving a notice to make changes. For example, recruiters should update the candidate information in the applicant tracking system in a timely manner. The 2019 sergeant applicant statuses still reflected a pre-testing stage despite almost a year having passed since the Part 1 testing was administered.
 - b. **Conduct periodic audits of candidate data.** The City should periodically audit records to ensure recommended practices for candidate data collection and maintenance are followed.
14. **Consider additional analyses related to the promotion processes.** The City should dedicate resources to conduct additional analyses relating to both the promotion tests and outcomes. The test vendor is currently tasked with conducting test-focused analyses, for example related to test psychometrics and cut scores; the City should also consider having the vendor conduct additional test-related psychometric and candidate-centric analyses to determine if there are findings that would warrant additional research.
15. **Add to reporting on job content coverage.** Future test vendors should provide an indication in the technical report of the extent to which critical characteristics are being evaluated in the

⁴⁶ https://codelibrary.amlegal.com/codes/chicago/latest/chicago_il/0-0-0-2559455#JD_2-96-040

promotional processes, not just the extent to which test content reflects important duty areas associated with the positions.

16. **Update applicant tracking process documents.** The City should review the stages and statuses associated with the promotion processes in the applicant tracking system to ensure they align with planned stages and appropriate status outcomes. DCI recommends performing the review when any revisions to the process steps and order have been confirmed so that any updates related to the recommendations in this document are included. The process flow should then be updated to reflect any adjustments to the reality of the stages associated with the processes.
17. **Incorporate new data into the next review.** The next independent review should leverage data anticipated to be available by that time regarding particular systems of interest. The new data could be useful in the promotion processes evaluation component context or to evaluate the outcomes of the current sergeant process and the next lieutenant process. For example, the performance evaluation system is in the process of being updated to provide more robust data on personnel performance. Similarly, a pilot program is currently underway to establish a dashboard of information to help identify problems earlier. Neither of these were complete in time to evaluate as part of this review.

Paragraph 261(b) Recommendations: the methods for consideration of each candidate's disciplinary history in the selection process

DCI's evaluation of the "methods for consideration of each candidate's disciplinary history in the selection process" focused on factors that would impact development and implementation of procedures, accountability and oversight mechanisms, and the availability of data and documents or records to evaluate. DCI's review confirmed that the City does not consistently consider discipline in the current processes, but that it should, despite noted issues and concerns with the discipline process. As such, DCI identified the recommendations below.

18. **Consider discipline prior to promotion.** The City should not prevent a candidate from sitting for a promotional exam on the basis of an unfavorable discipline record, particularly in light of the challenges with the current discipline process. Instead, the City should consider each candidate's discipline record prior to promoting that individual from the eligibility list.
19. **Determine the parameters for considering discipline.** A panel of stakeholders should be convened, with facilitation from a neutral third party, to determine the parameters for considering discipline. DCI recommends only considering sustained discipline, and only within a specified timeframe (e.g., the five-year period specified in some bargaining agreements). Further, the following mechanisms would be appropriate starting points for evaluating methods to consider discipline:
 - a. **Consider using merit thresholds.** The panel should consider whether applying the existing merit thresholds or a variation on that prior to selecting a promotion class (e.g., sustained CR with a seven-day or more suspension within 12 months or three sustained CRs within last five years) would be appropriate.
 - b. **Consider using a matrix.** The panel should consider the appropriateness of evaluating the discipline records of candidates proposed for promotion against a matrix including the number, severity, and recency of complaints that would result in being passed over for promotion (e.g., one CR of a particular severity within a timeframe or multiple CRs forming a pattern over a timeframe).
 - c. **Consider using a ratio.** The panel should consider whether an evaluation of each candidate's discipline-to-activity ratio against a threshold (e.g., number of complaints compared to number of arrests or awards, where the number of complaints may be higher when arrests are also higher, thereby accounting for increased opportunity) would be appropriate.

- d. **Ask other jurisdictions.** The panel should review responses from participating jurisdictions and determine if follow-up or additional jurisdiction input would be beneficial to assist in defining the appropriate point, for CPD, at which discipline should impact promotability.

Paragraph 261(c) Recommendations: CPD's strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community

DCI's evaluation of the "strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community" focused on factors that would impact process development and implementation, transparency, accountability and oversight, and the availability of data and documents or records. DCI's review confirmed that the City does not currently engage in efforts targeted at encouraging the promotional population to apply for promotions. However, the City is implementing or has implemented strategies to increase the diversity of new officer recruits. These strategies are impacting the makeup of the CPD as a whole, and over time, have the opportunity to impact the representativeness of officers applying for promotion to both sergeant and lieutenant. The recommendations below focus solely on direct strategies to consider, whereas recommendation eight in 261(a) relates to the consideration of alternate strategies to incorporate a broader set of characteristics and factors in the promotion process, without reinstituting the existing merit process, the recommendations in 261(d) address the issue of bringing in diverse officers, but then not having an opportunity to evaluate their readiness for promotion for up to a decade based on current timelines, and recommendations in 261(e) relate to improved preparation and study options for everyone, some of which have the potential to reduce subgroup testing differences (Chung-Herrera et al., 2009).

20. **Continue efforts to attract new police recruits who reflect a broad cross-section of the community.** The City and CPD have engaged in several campaigns, particularly since approximately 2017, to encourage diverse job seekers to apply. The City and CPD have already identified several potential barriers in this area and implemented measures to positively impact incoming recruit diversity, including incorporating a diverse recruiting support team, addressing transportation issues to take tests, and reminding applicants to attend the tests (applicant no shows are the largest source of minority applicant removal from consideration).
21. **Consider additional efforts to attract new, diverse police recruits.** The City and CPD have engaged with several community organizations and institutions but should also evaluate whether there are additional community sources for applicants – for example, technical institute or college athletic programs and additional organizations focused on particular cross sections of the community. Youth programs – including mentoring or tutoring opportunities – could provide positive police encounters that would potentially encourage a next generation to consider policing as a career (this strategy was also identified in the PATF report as a long-term initiative).
22. **Establish mentorship programs.** The City should build on the efforts currently underway to establish formal mentorship programs for new recruits. The expanded mentorship program could work with existing employee resource groups, or via an alternate mechanism to provide mentorship opportunities at various levels within CPD (e.g., sergeants mentoring officers, lieutenants mentoring sergeants).
23. **Ensure officers have the opportunity to see sergeants and lieutenants who look like them.** The City should continue to consider who is presenting the message about upcoming

promotional opportunities⁴⁷, ensuring that officers and sergeants see personnel at higher ranks that look like them – while also being cognizant about whether those leaders have a stigma associated with their path to promotion. Similar to the mentorship program, this could be implemented in coordination with existing employee resource groups, or outside of those groups. For example, the LAPD sends sergeants, lieutenants, and captains out to districts to provide test preparation support; CPD could evaluate using a similar approach to ensure diverse supervisors participate and are visible in any pre-promotion materials (Sackett & Ryan, 2012).

24. **Adopt new phrases to describe approaches that evaluate a broader set of qualities.** The City and CPD should engage in a concerted effort to stop describing efforts to incorporate qualities beyond job knowledge in promotion evaluations as identifying individuals who “just don’t test well.” This phrase has been used to explain the reason the merit process existed (despite disdain for its implementation), and most suggestions related to test or evaluation process improvements were aimed at providing quantifiable other factors or characteristics to supplement job knowledge. However, there is evidence to suggest this type of language could trigger a stereotype threat condition, which could influence minority candidate test performance in a negative direction (Shewach, Sackett, & Quint, 2019).
25. **Consider data-driven comparisons of representation.** The City should continue to evaluate the extent to which personnel at various ranks reflect the Chicago community. Currently, available data limits that comparison to age, sex⁴⁸, and race/ethnicity factors. The City is contemplating data collection efforts for other demographic variables, and CPD should monitor any City-based changes in data collection. However, DCI cautions that demographic variables with significant missing data range from uninterpretable (e.g., a 10% response rate with 90% missing) to requiring caution in evaluation. Comparisons between ranks can help to identify potential barriers or opportunities.

Paragraph 261(d) Recommendations: the frequency of CPD promotional processes

DCI’s evaluation of the frequency of processes focused on factors that would impact implementation, transparency, accountability, and oversight. DCI’s review confirmed that the City is an outlier in conducting processes less frequently than the substantial majority of other jurisdictions. There are several potential concerns with less frequent testing cycles, including promoting individuals based on performance that may not reflect current standing or current CPD priorities and limiting opportunity for more recently hired diverse officers to demonstrate readiness for promotion.⁴⁹ DCI’s evaluation considered the potential benefits to morale and personnel knowledge as well as the feasibility and cost considerations in identifying the recommendations below.

26. **Consider conducting a new sergeant promotion process in two years to incorporate these recommendations.** The current sergeant process, which began in 2019, was initiated before several policy and direction changes that could impact future processes. The mid-process timing also makes it impossible to implement many of these recommendations, with

⁴⁷ One study found that females may be dissuaded from participating in a process if male supervisors encourage participation (Archbold & Schulz, 2008).

⁴⁸ The City and CPD refer to this demographic information as “gender” but currently limit the data collection to male and female as required for federal reporting of race/ethnicity and sex data.

⁴⁹ The City engaged in significant efforts to hire diverse officers, particularly in 2017 and 2018. Those officers were not eligible to apply for promotion to sergeant when the process was offered in 2019. If the City continues with the current hiring plan, those officers likely will not have another opportunity to test until 2025 at the earliest.

exceptions noted where appropriate. DCI recommends the City complete this current process, but also plan to conduct a new process, implementing more of these recommendations in two years.

27. **Conduct promotional processes for each rank at least every four years.** The City should establish and adhere to a timeline for promotions that provides for testing at least every four years. All departments responding to the similarity review indicated testing at least every two years, except the NYPD that reported testing every four years. DCI acknowledges that in some instances, that frequency of testing is required by Consent Decree, bargaining agreement, or local ordinances; however, two departments indicated implementing more frequent testing to provide opportunity for the influx of more diverse officers to demonstrate readiness to move to supervisory positions. In addition to the overall frequency of testing, the City should:
- a. Establish the series of years in which testing will occur (e.g., 2019, 2023, 2027 for sergeant) and coordinate those with other regular testing (e.g., detective and lieutenant processes).
 - b. Define the required actions by responsible parties and the test vendor to adhere to the schedule.
 - c. Identify circumstances under which the established schedule may be adjusted and what communications will be triggered in that event.
28. **Project anticipated promotions based on workforce data.** The City should use workforce projections to anticipate the number of promotions during the life of a list, based on factors such as: budget, number of expected retirements, ideal pre-service training class size, and the number of new sergeants or lieutenants the department can effectively absorb while still providing sufficient senior supervisors for new promotions to shadow. The resulting projections should be used to set a typical promotion schedule (e.g., approximate timeframes and class sizes). The projected number of promotions should be communicated to personnel, with caveats about budget and other restrictions that may impact actual promotions.

Paragraph 261(e) Recommendations: opportunities to increase transparency and officer awareness about the promotions process and promotions decisions

DCI's evaluation of the "opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to identifying criteria for promotions" focused on factors that would impact implementation and transparency, as well as relationships to expressed distrust. DCI's review confirmed that despite written procedures, communications, and guidance, there are several aspects of the process with which personnel are not familiar. In some instances, particularly with relation to scoring results, the City has not historically shared substantive information with candidates. The infrequency of testing (discussed in 261(d)), the lack of understanding around procedures, and the historical allegations of impropriety in the testing processes add to the severe lack of trust in the process. Several recommendations in 261(a) reference process adjustments in response to candidate distrust or misunderstandings. The recommendations below aim to provide additional avenues to increase transparency and consistency in implementation, which may have a positive impact on trust in the processes over time.

Increase Awareness

29. **Increase communication modes with candidates.** The City should identify and implement additional modes of reliable communication to officers and sergeants preparing to take the sergeant and lieutenant promotional processes (e.g., use of text messages in addition to email).

30. **Expand and improve on study options.** The City should improve the candidate study and preparation materials provided to candidates. The City should work with the test vendor to develop and administer test preparation classes and study sessions, considering, at a minimum, the extent to which all personnel have access to these classes and study sessions (e.g., consider providing several dates, times, and locations or supplementing with online options).
- a. **Consider leadership and supervisory courses.** Future efforts should consider whether the Department could feasibly offer leadership and supervisory courses to officers interested in promotion to sergeant and advanced courses for sergeants interested in promotion to lieutenant⁵⁰. The purpose of these courses would be to provide potential supervisors and leaders with more formal introduction to the supervisory and leadership qualities expected of sergeants and lieutenants in the department and address a recommendation in the PATF report noting that the current sergeant training includes approximately seven hours of focus on leadership.
 - b. **Request feedback on study options.** The City should elicit feedback from candidates on the study material and methods as well as modes and frequency of communication at pivotal points in the process (e.g., immediately after Part 1 and Part 2, but before responses are contaminated by knowledge of results) to solicit input for future improvements.

Increase Transparency

31. **Consider sharing more process information.** The City provides some procedural information within the written study guides. However, survey results and focus group participants indicated that information is likely not read, not retained, or not well understood (i.e., some officers were still not clear on whether the current sergeant Part 2 would be a written or oral exercise). The City should consider increasing the methods and the amount of information shared about the process. In particular, the City should consider including some information about 1) how the content of the processes is identified, 2) information about how tests or evaluation factors are scored, and 3) how appeals are evaluated⁵¹. For example, the City should consider providing a one-page summary of next steps as candidates leave a test administration – providing brief reminders of the steps necessary to score and verify results and the timeframe to receive results to set appropriate expectations.
32. **Provide candidates with information about their performance.**
- a. **Provide Part 1 preliminary results more quickly.** For the written exam, the City should consider providing preliminary right/wrong indications for Scantron scored tests. Same day results are only possible if all candidates taking the test are tested on the same day, at approximately the same time, and it is possible to incorporate onsite scanning as part of the test day. Absent that, the City should identify other avenues to report preliminary scores in a timelier manner. DCI recommends the City ensure preliminary scores are presented with a reminder of their preliminary nature and potential reasons they would change.
 - b. **Provide feedback on Part 2 results.** For the assessment exercises, the City should consider providing some indication of areas of performance that drove candidate

⁵⁰ Research has found that situational training or relevant experience can result in better performance on situational tests (Moses & Ritchie, 1976), and more recent research found that test-based demonstration of leadership competencies can be increased through focused training (Miller, Watkins, & Webb, 2009).

⁵¹ This is not an exhaustive list, and the City does provide most of this information to some degree in the study guide. However, feedback from CPD personnel indicate the effectiveness could be improved.

scores (Posthuma & Campion, 2008). The City should coordinate with the test vendor to agree upon a format and level of specificity, as well as a mode of communication and timeframe for preparation and delivery, which should be driven by the City's philosophy around the purpose of the feedback (e.g., is the focus on developmental feedback or score explanation). For candidate pools of this size, feedback is often in the form of a written score report, whereas some smaller departments provide oral feedback on candidate performance. DCI understands DHR is currently coordinating with the sergeant process test vendor to implement a feedback mechanism.

Chapter 6: Conclusion

DCI was contracted to conduct an evaluation of the Chicago Police Department's (CPD's) sergeant and lieutenant promotion processes, with particular emphasis on five aspects defined in paragraph 261 of the Consent Decree. Between August and December 2020, DCI:

- Reviewed approximately 300 documents and materials related to the promotion processes,
- Conducted several historical and context related meetings with stakeholders and SMEs,
- Deployed a survey to all CPD personnel at the rank of Captain and below,
- Conducted 15 focus groups with CPD personnel at the rank of officer through exempt (command) staff,
- Created and coordinated with the City to deliver a survey to other police departments relating to their promotional processes for the sergeant and lieutenant ranks,
- Received and analyzed City and CPD data related to the promotional processes or aspects of performance under evaluation, and
- Conducted literature-based research to support findings and recommendations.

It is important to note that DCI did not conduct a job analysis or any local validation research related to the promotional processes. Similarly, DCI did not conduct a red-line evaluation of documents and materials reviewed. Instead, the information collected was reviewed, evaluated, and balanced to inform actionable recommendations and areas for future evaluative research.

DCI's review and evaluation determined that while the sergeant and lieutenant promotion processes generally comport with professional guidelines and standards, the outcomes associated with the processes as currently implemented, leave several opportunities for improvement. With regard to the required evaluation around inclusion of discipline considerations and frequency of promotional processes, CPD emerged as an outlier compared with other departments and typical practice. In addition, several recommendations focus on actions to improve transparency and provide the foundation for a path to restore some trust in the fairness and legitimacy of the processes, which was deemed sorely lacking based on CPD personnel feedback received.

Exhibit 25 in Chapter 5 outlines DCI's recommendations resulting from the review of sergeant and lieutenant promotional processes along with suggested prioritization levels, estimated resource requirements, and projected time necessary for implementation. The recommendations are primarily grouped by the aspect of the Consent Decree addressed. The remainder of Chapter 5 provides additional detail around the impetus for each recommendation and anticipated focal points.

As required by paragraph 262 of the Consent Decree, DCI anticipates the next steps will require the City and CPD to evaluate the feasibility of implementing these recommendations, as well as realistic timelines that consider budget and resource constraints for those deemed feasible. Some recommendations will necessitate further stakeholder collaboration, research, or negotiation to establish a specific implementation approach. DCI recommends the City and CPD establish a communication strategy to facilitate transparency around timelines and expectations for identified process changes. Because some documents (e.g., the Hiring Plan, the FOP agreement) and some data systems (e.g., performance management) were being updated while this research was conducted, the next independent review will need to incorporate those updates and evaluate the impact of any adjustments to the sergeant and lieutenant promotion processes based on these recommendations.

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Appendix A

List of City and CPD Materials Received

Application Platform

- Glossary of Taleo Application Tracking System terms
- Information Services Taleo User Group presentation
- Process maps for screening applicants
- New hire candidate selection workflows

Bargaining Unit Information

- FOP Collective Bargaining Agreement – FOP (7/1/2012 – 6/30/2017)
- PBPA Collective Bargaining Agreement – SGT (7/1/2012 – 6/30/2016)
- PBPA Collective Bargaining Agreement – LT (7/1/2012 – 6/30/2016)
- PBPA Collective Bargaining Agreement – SGT (7/1/2016 – 6/30/2022)
- PBPA Collective Bargaining Agreement – LT (7/1/2016 – 6/30/2022)
- PBPA Collective Bargaining Agreement – Captain (7/1/2016 – 6/30/2022)
- Arbitration Opinion and Award between CPD and PBPA (Sergeant Unit 156A)

CALEA

- CALEA Standard 34.1.2
- CALEA Standard 34.1.5

CPD Promotion Process Documentation

- Data tracking for Police and Fire selection exams (1997-2013)
- Quick Facts tables on Police and Fire testing
- Detailed CPD promotional hiring process outline
- Employee Resource - Career Service Rank Promotion Process
- Municipal Code 2-84-050: Superintendent of Police powers and duties
- Police Board Rules
- Recruitment Campaign Report (2017, 2018, 2019)
- The Police Recruiting Workforce Crisis report

Consent Decree Related Documentation

- DOJ Investigation of Chicago Police Department Report (1/13/2017)
- State of Illinois v. City of Chicago Consent Decree (1/31/2019)
- State of Illinois v. City of Chicago - Supervisory Unions Consent Decree Comments
- PATF Final Report (4/13/16)
- Independent Monitoring Team Survey Results Report

CPD Information

- CPD Organizational Chart
- Department unit listing
- CPD Hiring Plan (5/15/14)

- Reorganization Press Release (1/30/20)
- CPD Area Map
- CPD Police Stations

Documentation on Performance/Awards/Discipline

- Police Board: Overview of the process for deciding disciplinary cases
- Police Board Annual Report
- CR Matrix narrative report
- Allegations of Police Misconduct: A Guide to the Complaint and Disciplinary Process

LT 2006 Promotion Process

- Lieutenant Written Qualifying Test Study Guide
- Lieutenant Assessment Exercise Study Guide
- Police Lieutenant exam information and summary
- Exam announcement
- Job Analysis Technical Report (2006)
- Test Development and Implementation Technical Report (2007)

LT 2015 Job Information

- Lieutenant job description or specification
- Job Analysis Technical Report and Appendices (2016)

LT 2015 Promotion Process

- List of CPD Directives
- Lieutenant candidate preparation guide
- Examination date announcement
- Exam review session information
- Written Qualifying Test challenge session information
- Lieutenant Part I exam orientation and practice guide
- Lieutenant Part II exam preparation guide
- Order cancelling/establishing list letters
- Task Order Proposal Request – Development of Employee Selection Test and Assessment Centers
- CEB Valtera Task Order Proposal and attachments
- Test Development and Implementation technical report and appendices
- Police Lieutenant Exam FAQs
- Lieutenant Taleo job posting
- Candidate challenge session result email communication
- Police Lieutenant Examination Notice to Report (Part I and II)
- Part I exam pass/fail notice
- Part II results letter to candidates

- Test day summary and schedule
- CPD-HR Nominator Training Presentation - Lieutenant
- Merit nominee verification
- Lieutenant merit candidate preparation guide
- Lieutenant merit nomination and command nomination roster
- Lieutenant merit process nomination announcement
- Merit process extended deadline announcement
- Merit supplemental packet
- Lieutenant rank eligibility list (12/4/2015)
- Merit process nominator training sign-in sheet
- Merit Board Interview Results Signed Memo
- CPD Merit Selection Process
- Final Merit Interview Proposal
- Final merit ratings documentation
- Nominator training make-up session information
- Merit process development – Subject matter expert list
- Vendor communications on process decisions and exam analysis results

SGT 2006 Promotion Process

- Written Qualifying Test Materials
- Assessment Exercise Materials
- Sergeant Written Exam Study Guide
- Sergeant Assessment Exercise Study Guide
- Job Analysis Technical Report (2007)
- Test Development Technical Report and appendices (2007)

SGT 2013-14 Job Information

- Sergeant job description or specification

SGT 2013-14 Promotion Process

- Job posting and exam announcement
- Sergeant promotional process diagram
- Exam challenge session result letter
- Written test challenge review session notification
- Sergeant Taleo job posting
- Draft and final Sergeant exam announcements
- Sergeant exam dates flyer
- Taleo correspondence – exam date notification
- Sergeant Merit Nominator Training Supplemental (Process) Packet
- Merit nomination announcement
- Assessor script for merit selection process
- Hiring Plan Exhibit A Addendum – Merit Process

- CPD Merit Selection Process
- CPD-HR Nominator Training Presentation – Sergeant
- Employee Resource – Merit Board information
- Interview questions for Sergeant Merit Selection Process
- Merit Board rater training
- Rating criteria for Sergeant Merit Selection Process
- Rules and procedures of the sergeant merit selection process interview
- Sergeant merit candidate preparation guide
- Sergeant merit board final merit ratings documentation
- Tier placement rubric explanation
- Police Sergeant 2014 Eligibility List
- Part I-Written Job Knowledge Test score letter
- Part II-Assessment Exercises score letter
- Part I and II study guides
- Taleo correspondence – exam study guide information
- Sergeant cut-score summary
- Sergeant Job Knowledge exam adverse impact summary
- Sergeant Job Analysis and Test Development Technical Report (1/15/16)

SGT 2019-20 Job Information

- Sergeant job description or specification

SGT 2019-20 Promotion Process

- DHR and Vendor communications related to exam development and administration
- Employee Resource - Career Service Rank Promotional Process
- Sergeant Exam FAQ
- Sergeant exam “day-of” information announcement
- Challenge session update information
- Sergeant exam review session information
- Sergeant Written Exam Challenge Form
- Sergeant oral assessment orientation meeting agenda
- Cover letter and summary of results after appeals
- Taleo correspondences and job posting
- Sergeant exam reading list with explanation
- Candidate preparation guide
- Written Exam official invitation letter
- Sergeant Oral Assessment Q and A with HR responses

Appendix B

Stakeholder/Informational Meeting Protocols

Information Gathering Meetings Overview

The sections below present the list of stakeholder or informational meetings, and the topics or questions driving the discussion in each. Because this was a qualitative data collection, the information provided through discussion dictated follow-up questions or additional topics that may not be represented in the protocols.

Meeting Title	Meeting Date/Time	Page
Promotion Process Overview/History	9/18/2020; 12:00-1:30pm (ET)	B-3
SGT and LT Workforce Data and Analysis	10/1/2020; 2:30-4:15pm (ET)	B-4
SGT & LT Promotion Process Implementation 1	9/28/20; 3:00-4:30pm (ET)	B-5
SGT and LT Promotion Process Diversity and Transparency (Implementation 2) ⁵²	9/30/20; 3:30-5:00pm (ET)	B-6
SGT and LT Discipline and Performance	10/16/20; 2:00-3:30pm (ET)	B-7
SGT and LT Command Staff Perspectives	10/28/20; 12:00-1:15pm (ET)	B-8
PBPA: SGT and LT Perspectives	9/25/20; 11:00-12:00pm (ET)	B-9
FOP Perspectives	9/22/20; 11:00-12:00pm (ET)	B-10

Project Background and Introductory Script Language

Each informational meeting started with the following scripted language:

I am [Name], a consultant with a background in industrial/organizational psychology at DCI Consulting Group, the consulting firm engaged by the City to conduct the review of the Sergeant and Lieutenant promotion processes. This review is required to address Paragraph 261 of the Consent Decree. I would like to start by giving some background information on work and activities we have completed to date, and then explain what we are hoping to learn from you today.

Over the past several weeks, we have primarily been gathering as many materials related to these processes as we can locate – and reviewing them. For example, we have reviewed the hiring plan, the promotion directives, the study guides, the candidate communications, the postings, the DOJ and Police Accountability Task Force Reports, and the list goes on (over two hundred individual documents). The purpose of this session is to bring that material to life – by discussing the context around what is on paper and the extent to which that aligns with reality. This session is part of our information gathering effort; we have not formulated recommendations yet and will not be transitioning to that until we have gathered information from a variety of sources and perspectives. As part of this effort, we are also interested in the opportunities and successes you see in the current processes and any other information you are willing to share with us.

Note that information you share in this focus group will not be attributed to you individually and will only be reported to CPD or the City in summary form. Your participation or decision not to participate in this focus group will have no impact on your status in your role.

⁵² Follow up meetings were necessary to sufficiently address the driving topics and questions associated with this meeting. Additional meetings were conducted on October 2, October 22, and November 4.

Promotion Process Overview/History

Overview

This meeting is designed to gather valuable information about the history and context around the focus of the current processes, rationale for desired evaluation components, nature, and purpose of changes to the exams, historical perspective on promotion-related diversity initiatives, and initial overview on the past/current consideration of discipline history.

Driving Questions and Topics:

- Please provide us with the history of the Sergeant and Lieutenant promotion processes in the Chicago Police Department.
- How long have the current requirements (i.e., time in rank, education) to apply been in place?
- How frequently are the relevant laws, codes, regulations, agreements, etc. evaluated for continued appropriateness?
- How often are there substantial changes to the “parts” of the exams? In other words, how often do you or vendors recommend more substantive changes to the exam format or content?
 - What are the biggest similarities and differences between the Sergeant and Lieutenant exams?
- When there are complaints or challenges to the process – what are the typical source(s) of the complaints or challenges?
- What actions have you taken to encourage and prepare diverse candidates?
- Has discipline or performance ever been considered when determining either who is eligible to test or who is eligible to promote?
- Do you use, or have you considered, a probationary period for promotions?
- What was the impetus for the length of time between processes both prior to and since the implementation of the Hiring Plan?
- How often do you compare your processes to other departments or standards?
- What was the impetus for removing the Merit Selection Process from the promotion processes?

Sergeant and Lieutenant Workforce Data and Analysis

Overview

This meeting is intended to determine what analyses or evaluations have been conducted regarding or relating to sergeant or lieutenant promotions, Department evaluations of personnel performance, as well as analyses that would be useful but have not been conducted to date.

Driving Questions and Topics:

- Promotion Process Related Analysis
 - What type of analysis are conducted prior to (e.g., applicant or eligibility related), during (e.g., candidate performance), or after (e.g., test or candidate performance) each promotion process?
 - Has there been any evaluation of correlations (relationships) between any candidate centric-factors and their results?
 - Has there been any analysis related to candidate performance across test administrations?
- Descriptive or evaluative personnel analysis
 - Do you conduct any equity-type analyses (e.g., comparing diverse representation in the department, at various ranks, to the community or the department as a whole)?
 - What analyses have been conducted on performance metrics (e.g., performance ratings, rates of sustained CRs or SPARs or awards based on assignment, evaluation of subordinate performance)?
 - Are any analyses conducted when establishing a class for promotion from an eligibility list?
- Are there any other analyses conducted that we haven't asked about – but would be relevant for us to consider?

Sergeant and Lieutenant Promotion Process Implementation

Overview

In-depth discussion on the promotion process, step-by-step from posting to eligibility list: who is responsible for each step; what are the criteria; how are the parts administered; who is involved; the most relevant documents to reference for written policies on these items. The purpose of this session is to connect the dots between what is on paper and how things are done.

Driving Questions and Topics:

First, please walk us through the step-by-step process from posting to eligibility list – noting if/where there are deviations from the process outlined in the “CPD Promotion Hiring Process” guidance.

- What are the top opportunities and strengths you see in the process as it stands?
- Given the steps – what would be the minimum vs maximum likely time to get from budget approval to eligibility list?
- Do you typically see the same vendors responding to the RFPs?
- Does each vendor re-frame the job elements (e.g., tasks, KSAs or competencies, context)?
- Is there anything we should know about how responsibility for the process is shared?
- How often is there a substantive change to the Part I or Part II criteria between administrations?
- How often are the eligibility criteria evaluated for continued relevance?
- What mechanisms do you use to maintain the confidentiality of the exams – both during development and administration?
- How are assessors selected? How are SMEs selected?
- How many challenges do you typically get for the written exam?
- What types of complaints or concerns are typically received from candidates about the process?
- What are the most common ADA or military accommodation requests you receive?
- Are there any assignments that a new sergeant or lieutenant could be promoted into that would require additional qualifications?
- Regarding the eligibility list: How many are typically promoted at a time, and how often? What are the reasons someone would be skipped over or removed from the list?

Sergeant and Lieutenant Promotion Process Diversity and Transparency (Implementation 2)

Overview

This meeting is a broader discussion on implementation frequency, communication(s) the candidates receive, efforts to encourage diversity in the promotion process, and efforts to prepare candidates for and provide information about the promotion process.

Driving Questions and Topics:

- What are the top opportunities and strengths you see in the process as it stands?
- Can you tell us more about how the maximum of 6 years was set in the Hiring Plan for the frequency of exams?
- Do candidates understand the requirements to apply for promotion and know what to expect during the process?
- What methods do you use to communicate with candidates about the processes and how to prepare?
- Once a candidate is on the eligibility list, how do they know whether or when they are likely to be promoted?
- Are you aware of vendors or other groups offering test preparation to candidates?
- What efforts have you undertaken to encourage diverse candidates to prepare and apply for promotion? How were those identified/when were they implemented?
- Are new or refined efforts being implemented to encourage diverse candidates to apply for promotion?
- Have you ever asked diverse candidates for their perspectives on promotion? If so, what did you learn?

Sergeant and Lieutenant Discipline and Performance

Overview

The purpose of the meeting is to discuss the current discipline process; considerations as part of a promotion process; practical and other considerations regarding data availability and process.

Driving Questions and Topics:

- General Performance
 - How is performance in the job evaluated?
 - What indicates that an officer, sergeant, or lieutenant is doing a good job?
 - What indicates that an officer, sergeant, or lieutenant is not doing well?
- Discipline, Specifically
 - What key context and history is important to understand about the discipline process at CPD?
 - Currently, what are key triggers, decision points, and timeline factors in the CR and SPAR processes?
 - Can you share the focus of any analysis of discipline data?
 - Are there any notable updates or adjustments to the discipline process – planned or in progress - as a result of the Consent Decree or updates to labor agreements?
- Consideration in Promotions
 - What considerations are important to understand when contemplating including performance or discipline as factors in the promotion process?
 - Are there particular types of discipline or timeframes that should be considered over others?
- More generally, what would improve the sergeant and lieutenant promotion processes, in your opinion?

Command Staff Perspectives on the Sergeant and Lieutenant Processes

Overview

The intent of this meeting is to gain perspective on what is working well with the current processes, where there may be pain points, or if there are other details/factors DCI should consider in their review. Attendees will also discuss perceived gaps in what newly promoted sergeants or lieutenants need when they first promote and what they bring day one, as well as perceptions on efforts to encourage diversity.

Driving Questions and Topics:

- Sergeant and Lieutenant Promotion Processes
 - What works well and what could be improved in how the processes are developed and implemented?
 - What do you think would help to restore some trust in these processes?
 - What is your perspective on the frequency of promotional processes?
 - What are your thoughts around the inclusion of performance or discipline as a factor in these processes?
 - Do you see opportunities to more effectively encourage and prepare officers and sergeants with a range of backgrounds and perspectives to apply for promotion?
 - What else should we know and consider when evaluating these processes and developing recommendations?
- New Sergeants and Lieutenants
 - What knowledge, skills, experiences, or other qualities stand out to you as the most critical for new sergeants and lieutenants to have to be successful?
 - Are there any opportunities to improve either the preparation for promotion or the training once selected, to better prepare new sergeants and lieutenants for these positions?

Sergeant and Lieutenant Policemen's Benevolent & Protective Association (PBPA) Perspectives

Overview

This time will be used to discuss union representatives' perspectives on the sergeant and lieutenant processes: successes and pain points; any diversity initiatives; discipline as a factor in the process.

Driving Questions and Topics:

- What should we know and consider when evaluating the sergeant and lieutenant promotion processes and developing recommendations?
- What do you see as a strength – something that works well?
- What do you see as an opportunity for improvement – pain points or something that just doesn't work as well as it could?
- What is your perspective on the frequency of promotional processes?
- Is there anything we should be aware of when considering recommendations regarding the inclusion of performance or discipline as part of these processes?
- Do you think efforts to encourage diverse officers and sergeants to sit for promotion are working well? If not, what do you think would be more useful?
- Walk through/discuss upcoming planned survey

Fraternal Order of Police (FOP) Perspectives

Overview

This time will be used to discuss perspectives on the sergeant process: successes and pain points; any diversity initiatives; discipline as a factor in the process.

Driving Questions and Topics:

- What should we know and consider when evaluating the sergeant promotion process and developing recommendations?
- What do you see as a strength – something that works well?
- What do you see as an opportunity for improvement – pain points or something that just doesn't work as well as it could?
- What is your perspective on the frequency of promotional processes?
- Is there anything we should be aware of when considering recommendations regarding the inclusion of performance or discipline as part of this process?
- Do you think efforts to encourage diverse officers to sit for promotion are working well? If not, what do you think would be more useful?
- Walk through/discuss upcoming planned survey

Appendix C

CPD Personnel Survey Communications

Advanced notification – for email and roll call reading (Delivered on October 1, 2020)

Good Afternoon Command Staff,

The City of Chicago is partnering with DCI Consulting Group to review the Chicago Police Department (CPD) Sergeant and Lieutenant promotional processes, in accordance with the Consent Decree requirements. To facilitate this review, CPD HR will distribute a survey to Officers, Sergeants, Lieutenants and Captains asking for feedback on the promotional processes, including the frequency of exams, transparency, awareness, and opportunities for improvement.

Members will receive an email to their Department email address with a link to complete the survey. The email will be sent Friday, 2 Oct, and will remain open for two weeks. It is anticipated that the survey will take no more than 10-15 minutes to complete. We ask that you give your Officers time to complete this survey during their tour of duty.

The survey and system link that will be sent is managed by DCI. Responses will be anonymous, will be kept confidential, and will not be shared with CPD or the City except as reported in summary form. The participation or decision not to complete the survey will have no impact on any members status with CPD.

This is valuable information to make our promotional processes better so it is encourage to remind your Members to take this short survey.

Thank you for your support,

Drafted Final Email with Survey Link (Delivered on October 2, 2020)

The City of Chicago is partnering with DCI Consulting Group to review the Chicago Police Department (CPD) Sergeant and Lieutenant promotional processes, in accordance with the Consent Decree requirements. To facilitate the review, this email contains a link to a survey asking for feedback on the promotional processes, including the frequency of exams, transparency, awareness, and opportunities for improvement.


The survey should take no more than 10-15 minutes to complete, and will remain open for two weeks. Please make sure you have time to complete the survey once you start. Because your responses will be anonymous, if you close out of the survey before submitting your answers, your responses may be lost.

All responses will be kept confidential and not shared with CPD or the City except as reported in summary form. Your participation or decision not to complete the survey will have no impact on your status at CPD.

Survey link: https://dci.co1.qualtrics.com/jfe/form/SV_esKjEmAyqwc6Dyd

Note: if the survey does not open when you click the link above, copy the link text and paste it into your browser. You can complete the survey on the device of your choice (i.e., computer, tablet, or mobile device).

Reminder Notification #1 – Sent via AMC messaging (Delivered on or around October 14, 2020)

	REFERENCE # 261668		
	SURVEY REMINDER	Distribution Method:	
	14-OCT-2020 16:51	<input checked="" type="checkbox"/> Archive	
	GENERAL MESSAGE	<input checked="" type="checkbox"/> CPD Intranet Home Page	
		<input checked="" type="checkbox"/> Unit Inbox	
		<input type="checkbox"/> Faxed	
		<input type="checkbox"/> Email <input type="text" value="Select distribution list"/>	
To: ALL UNITS			
From: JOHNSON, KARLA E SERGEANT OF POLICE 123 - HUMAN RESOURCES DIVISION (HRD)			
Telephone No.:312.745.5300			
On Behalf Of: ROBERT F. LANDOWSKI DIRECTOR HUMAN RESOURCES DIVISION			
Message: Members who received a survey for the Sergeant and Lieutenant Promotional Processes are reminded the deadline is this Friday, 16 October 2020 to respond. Responses are confidential and your feedback is important to future promotional processes.			
Attachments:			
WARNING: This message is intended only for the use of the individual or agency to which it is addressed and may contain information that is confidential and/or exempt from disclosure under applicable law. If you have received this communication in error, please notify us immediately by telephone and destroy the original. Any unauthorized copying or dissemination of this communication is prohibited.			
CITY OF CHICAGO / DEPARTMENT OF POLICE 3510 SOUTH MICHIGAN AVENUE CHICAGO, IL 60653			

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Reminder Notification #2 – Sent via Deputy Superintendent Boik (Delivered on or around October 29, 2020)

Sergeant and Lieutenant Promotional Process:

On or about 13 October 2020, members received a survey for the Sergeant and Lieutenant Promotional Processes. The survey deadline has been extended to Friday, 30 October 2020. Members are strongly encouraged to respond. Responses are confidential. Your feedback is important to future promotional processes. The link to the survey is as follows:

https://dci.co1.qualtrics.com/jfe/form/SV_esKjEmAyqwc6Dyd .

Appendix D

Chicago Police Department - Promotional Process Survey Content

Introduction page

Background

The City of Chicago is partnering with DCI Consulting Group to review the Chicago Police Department (CPD) Sergeant and Lieutenant promotional processes, in accordance with paragraph 261 of the City of Chicago Consent Decree. The purpose of this survey is to obtain your perceptions and input relating to these promotion processes.

Your responses will be kept confidential and not shared with CPD or the City except as reported in summary form. Your participation or decision not to complete the survey will have no impact on your status at CPD.

Survey Navigation

Note that if you exit out of the survey with partial answers filled in, your answers will be lost and you will need to re-enter your responses when you click the link in your email again. Please ensure you have 10-20 minutes to devote to the survey before you begin.

When you are ready, please click the 'Next' button below to begin the survey by answering a few general questions.

General Information

Please provide us with the information requested below to help us tailor the questions asked in this survey and summarize the results. Be sure to provide a response that represents your current position.

1. What is your current rank? Some questions on the next pages are dependent on this answer.
 - a. Officer
 - b. Sergeant
 - c. Lieutenant
 - d. Captain
2. How long have you held your current rank? *[open numeric]*
3. How long have you worked in a sworn position at CPD? (In years) *[open numeric]*

Please verify that you selected the correct rank above. When you click the 'Next' button below to continue the survey, you will receive questions based on your rank.

Experience with the promotion processes

The questions on this page will be used to 1) streamline the remaining survey content to your experiences regarding the Sergeant and Lieutenant promotion processes, and to 2) effectively summarize the results.

[Officers] The questions below are designed to gather information regarding your experience as an Officer who could apply for promotion to Sergeant.

If the above statement is incorrect for your current rank, please use the 'Back' button to navigate back to the General Information section and update your current rank.

[Sergeants] The questions below are designed to gather information regarding your experience as a Sergeant who may or may not have applied to Lieutenant.

If the above statement is incorrect for your current rank, please use the 'Back' button to navigate back to the General Information section and update your current rank.

[Lieutenants] The questions below are designed to gather information regarding your experience as a Lieutenant who was successful in both Sergeant and Lieutenant promotions.

If the above statement is incorrect for your current rank, please use the 'Back' button to navigate back to the General Information section and update your current rank.

The question will branch as follows based on response to Question 1 on previous page:

4. **[Officers]** Have you ever applied for promotion to Sergeant? (Yes/No)
- *[If no]* – What reason(s) led you to not apply for promotion to Sergeant? *Select all that apply.*
 - Not interested
 - Wrong time in my career
 - Not eligible
 - Other, please specify *(open answer)*

Questions will then skip to 'Promotion Process Frequency'

- *[If yes]* Did you participate in both the Written Exam and Assessment Exercise(s) parts of the Sergeant process?

Yes – I was placed on eligibility list

Yes – but I was not placed on the eligibility list

No – the current 2019-2020 process is the first to which I applied

No – I completed Part I/the application only (previous process)

How many times have you applied for promotion to Sergeant? *[open numeric]*

Questions will then skip to 'Promotion Process Frequency'

4. **[Sergeants]** How many times did you apply for promotion to Sergeant before you were successful? *[open numeric]*
- How would you rate your level of understanding for what a Sergeant's job involved when you applied for promotion?
 - Very poor
 - Poor
 - Fair
 - Good
 - Very good
 - Have you ever applied for promotion to Lieutenant? (Yes/No)

- i. *[If no] – continue to Promotion Process Frequency*
 - ii. *[If yes]* Did you participate in both the Written Exam and Assessment Exercise(s) parts of the Lieutenant process?
 - Yes, I was placed on the eligibility list
 - Yes, but I was not placed on the eligibility list
 - No, I completed Part I only
 - No, I completed the Application Only
 - iii. How many times have you applied for promotion to Lieutenant? *[open numeric]*
4. *[Lieutenants and Captains]* How many times did you apply for promotion to Sergeant before you were successful? *[open numeric]*
- How many times did you apply for promotion to Lieutenant before you were successful? *[open numeric]*
 - *[Lieutenants]* How well did you understand what a Lieutenant's job involves when you applied for promotion?
 - Very poor
 - Poor
 - Fair
 - Good
 - Very good
 - *[Captains]* To what extent do your new Lieutenant's understand the job when they apply for promotion?
 - Not at all
 - To a small extent
 - To a moderate extent
 - To a great extent

Please click the 'Next' button below to continue the survey.

Promotion Process Frequency

5. *[All respondents]* Do you believe the current promotion process frequency (about every 6 years) is adequate?
- a. Yes
 - b. No, it should be more frequent. Please provide desired frequency (in years) below.
[open numeric]
 - c. No, it should be less frequent. Please provide desired frequency (in years) below.
[open numeric]

Promotion Process Transparency and Awareness

6. *[All respondents]* How do you typically find out that a promotional process is planned? *Select all that apply.*
- Word of mouth
 - Announcement – email/written
 - Announcement – meetings/verbal
 - Other (please specify)
7. *[All respondents]* Do you receive adequate notice that a promotional process is planned? (Yes/No)

[All respondents] For the Sergeant rank, how familiar are/were you with... (5 point scale)

Not at all
familiar

Slightly
familiar

Moderately
familiar

Very familiar

Extremely
familiar

8. The requirements to apply for promotion?
9. The parts of the promotional process?

Officers who have not completed all parts of a Sergeant process will be then skipped to question 14

[Sergeants, Lieutenants, and Captains] For the Lieutenant rank, how familiar are/were you with... (5 point scale)

Not at all
familiar

Slightly
familiar

Moderately
familiar

Very familiar

Extremely
familiar

10. The requirements to apply for promotion?
11. The parts of the promotional process?

[Sergeants, Lieutenants, and Captains; Officers who have applied for a sergeant process] To what extent did you... (4 point scale plus No Basis to Judge)

Not at all

To a small extent

To a moderate extent

To a great extent

No Basis to Judge

12. Use the preparation materials provided (e.g., preparation guides/practice materials) to prepare for the promotional process?
13. Believe the process provides you an opportunity to demonstrate your readiness for promotion?
14. Know what you were being evaluated on in the promotion process?
15. Believe enough time is provided between completing the application and participating in the first part of the promotion process (i.e., the written knowledge exam)?
16. Understand how your final score was derived?
17. *[Sergeants, Lieutenants, and Captains; Officers who have completed some or all parts of a sergeant process]* To what extent do you believe there are opportunities to improve the promotion processes?
- Not at all – current process is great
 - To a small extent – minor changes to the process are needed

- To a moderate extent – substantive changes needed
 - To a great extent – current process needs a lot of work
- a. *If above is any option except “not at all” → In what areas do you believe there are opportunities for promotion process improvement? Select the top 5.*
- i. Requirements to apply for promotion
 - ii. Type of assessment (e.g., written knowledge exam; interactive or video-based scenario-driven exercise(s), interviews)
 - iii. Evaluation criteria (i.e., the knowledge, skills, or abilities that are targeted in the assessment(s))
 - iv. Time limits for exam or exercises
 - v. Technology used in exam or exercises
 - vi. Testing procedures during exam or exercises
 - vii. Location of exam or exercises
 - viii. Scoring of exam or exercises
 - ix. Appeal/item challenge procedures
 - x. Creation and use of eligibility list
 - xi. Feedback on exam or exercise performance
 - xii. Promotion process communications
 - xiii. Exam and exercise study materials, preparation, or trainings
 - xiv. Security of exam and related materials
18. *[All respondents]* To what extent do you believe prior disciplinary actions (i.e., sustained CRs, SPARs) should be considered when making promotion decisions?
- Not at all
 - To a small extent
 - To a moderate extent
 - To a great extent
19. *[All respondents]* What other perspectives regarding the promotion processes would you like to share with us? *[open answer]*

Please click the 'Next' button below to continue the survey.

Demographic questions

As a final step, we ask that you respond to the demographic questions below.

20. *[All respondents]* Please indicate your gender?
- i. Female
 - ii. Male
 - iii. Other – Please specify: *[open text]*
 - iv. I do not wish to provide this information
21. *[All respondents]* Please indicate your ethnicity?
- i. Hispanic/Latino
 - ii. Not Hispanic/Latino
 - iii. I do not wish to provide this information

22. *[All respondents]* Please indicate your race?

- i. American Indian or Alaskan Native
- ii. Asian
- iii. Black or African American
- iv. Native Hawaiian or Other Pacific Islander
- v. White
- vi. Two or more races
- vii. I do not wish to provide this information

Please click the 'Next' button to proceed to the last page of the survey.

End of Survey

You have now completed all sections of this survey. Thank you for your time and input. Please click 'Next' below to submit the survey.

Appendix E

Sergeant and Lieutenant Promotion Process Survey Results

Survey Overview

To ensure all officers, sergeants, lieutenants, and captains had the opportunity to provide input to the promotion process review, DCI developed a brief survey, and deployed the survey with an anonymous link (i.e., not unique or tied to any individual) through the City of Chicago Police Department's (CPD) Human Resources (HR). DCI kept the survey short to encourage participation, including fewer than 20 items designed to solicit respondent input on: process effectiveness (261(a)), discipline as part of the process (261(b)), process frequency (261(d)), and process transparency and awareness (261(e)). The survey branched based on respondent input (i.e., if an officer had not applied to a process, the process focused items were skipped), and an open comment field at the end of the survey to provided respondents with the opportunity to express any additional perspectives not adequately covered in the survey.

The tables and text below describe the results of the survey, which was distributed via email on October 2 and 3, 2020 to 13,030 CPD personnel - 11,461 officers, 1,278 sergeants, 260 lieutenants, and 31 captains. DCI closed the survey to responses on Monday November 2, 2020. A total of 1,710 responses were received; however, of those, 181 were removed for lacking any responses after the initial rank and time in rank questions. A total of 1,529 responses remained and form the basis of the responses reported in this appendix. Table 1 provides demographic characteristics of the survey respondents. Note that due to rounding or "select all that apply" response options, percentages reported in this appendix do not always add to 100.

Table 1. Survey Response Demographics

Demographic	Officer	Sergeant	Lieutenant	Overall*
Tenure				
Mean Years in Rank	14.24	5.97	3.80	11.69
Mean Total Years Sworn	14.80	20.68	24.33	16.77
Gender				
Female	212 (22.0%)	45 (14.2%)	11 (12.2%)	269 (19.5%)
Male	575 (59.6%)	202 (63.7%)	54 (60.0%)	834 (60.5%)
Other	13 (1.3%)	3 (0.9%)	0 (0.0%)	16 (1.2%)
I do not wish to provide	165 (17.1%)	67 (21.1%)	25 (27.8%)	260 (18.9%)
Blank	123	20	6	150
Race/Ethnicity				
American Indian or Alaskan Native	2 (0.2%)	0 (0.0%)	0 (0.00%)	2 (0.2%)
Asian	20 (2.1%)	1 (0.3%)	0 (0.00%)	21 (1.5%)
Black or African American	158 (16.5%)	37 (11.7%)	5 (5.6%)	200 (14.6%)
Hispanic	223 (23.2%)	44 (13.9%)	7 (7.8%)	274 (19.9%)
Native Hawaiian or Other Pacific Islander	2 (0.2%)	1 (0.3%)	0 (0.00%)	3 (0.2%)
White	219 (22.8%)	98 (30.9%)	32 (35.6%)	351 (25.6%)

Demographic	Officer	Sergeant	Lieutenant	Overall*
Two or More Races	32 (3.3%)	8 (2.5%)	5 (5.6%)	45 (3.3%)
I do not wish to provide	304 (31.7%)	128 (40.4%)	41 (45.6%)	478 (34.8%)
Blank	128	20	6	155

*Note: Captain information is not reported separately, as there were only seven responses and therefore separate breakdown information could jeopardize respondent anonymity.

Experience with the Promotion Processes

To understand the perspective of respondents, DCI asked about participation in the promotion processes, as well as reasons for non-participation. **Table 2** (officer) indicates that just over 80% of the officer respondents had applied for at least one sergeant promotion. The majority (50%) of those who had not applied for a promotion indicated they were not eligible to apply for the last promotion process because of lacking time in the job. **Table 3** (sergeant and lieutenant) responses indicate that only 23% of sergeant respondents had applied for a lieutenant process; the vast majority were not eligible when the last process was offered based on their reported time as a sergeant (73% had fewer than seven years in the rank).

Table 2. Officer Experience with Promotion Processes

Response	Officers	
Ever applied for Sergeant promotion?	N	Percent
Yes	877	80.8%
Mean times applied: 1.80		
No	208	19.2%
If No, reason: Not interested	40	17.0%
If No, reason: Wrong time	28	12.0%
If No, reason: Not eligible	116	50.0%
If No, reason: Other	47	20.0%
<i>If Other: Corruption/Merit</i>	16	34.0%
<i>If Other: Issue with administration</i>	6	12.8%
<i>If Other: Not eligible (time in rank)</i>	11	23.4%
<i>If Other: Personal</i>	10	21.3%
<i>If Other: Not interested in job</i>	5	10.6%
For those who have applied, were both parts of the process completed (written exam & assessment exercise)?	N	Percent
Yes	597	70.5%
No, 2019 process is the first applied to	169	20.0%
No, completed application or part 1 of previous process only	81	9.6%

Table 3. Sergeant and Lieutenant Experiences with Promotion Processes

Response	Sergeant	Lieutenant
Sergeant Process		
Mean times applied before successful	1.63	1.40
Lieutenant Process		
Yes - Ever applied for Lieutenant	79 (23.4%)	
Yes - Completed both parts (for those who said yes above)	71 (89.9%)	
Mean times applied before successful		1.18

Perceptions Regarding Promotion Process Frequency

Paragraph 261(c) required DCI to assess the frequency with which processes are conducted. **Table 4** presents the perceptions of survey respondents regarding the frequency of promotion processes. The overwhelming majority of respondents within and across ranks (88-96% depending on the rank) indicated the promotion process should be conducted more frequently.

Table 4. Frequency of Promotion Processes

Response	Officer	Sergeant	Lieutenant	Overall*
More frequent than every six (6) years	894 (87.7%)	297 (91.1%)	88 (95.7%)	1,285 (88.9%)
Mean years process should occur (less than six)	3.45	3.60	3.40	3.48
Six (6) years is adequate	122 (12.0%)	28 (8.6%)	4 (4.4%)	155 (10.7%)
Less frequent than every six (6) years	4 (0.4%)	1 (0.3%)	NA	5 (0.4%)
Mean years process should occur (more than six)	10	8		9.6

*Overall incorporates Captains' responses, which are not reported separately because fewer than 10 were received.

Perceptions of Promotion Process Transparency and Awareness

Paragraph 261(e) required DCI to evaluate perceptions of transparency and personnel awareness of the promotion processes. As summarized in **Table 5**, between 60 and 70% of respondents, depending on rank, indicated that an adequate amount of notice is provided that a process is planned. However, over 60 unique open responses at the end of the survey addressed perceptions that there is too much study material to effectively cover in the amount of time provided (see Table 7). Recommendations included providing more time to study or narrowing and streamlining the study material and providing additional preparation or study services (e.g., classes, more interactive material).

Most respondents learn a process is being planned via department written messages and announcements. However, 55-60% of respondents (depending on rank), also indicated learning about potential processes through word of mouth. Open responses indicated that word of mouth is often the first indication, followed by third party test preparation vendors and then official department notifications.

Table 5. Awareness about Upcoming Promotional Processes

Response	Officer	Sergeant	Lieutenant	Overall*
Yes, receive adequate notice that process is planned	629 (61.4%)	217 (66.2%)	66 (71.0%)	916 (63.0%)
Learn about process by:**				
Word of mouth	625 (60.6%)	183 (55.8%)	52 (55.9%)	863 (59.1%)
Written announcement	763 (73.9%)	254 (77.4%)	75 (80.7%)	1,095 (75.0%)
Verbal announcement	203 (19.7%)	53 (16.2%)	16 (17.2%)	272 (18.6%)
Other	50 (4.8%)	30 (9.2%)	5 (5.4%)	86 (6.0%)
<i>Other: Type of Department Announcement (e.g., AMC)^</i>	13 (26.0%)	10 (33.3%)	1 (20.0%)	24 (51.1%)
<i>Other: Social Media (e.g., blogs)^</i>	13 (26.0%)	5 (16.7%)	NA	18 (38.3%)
<i>Other: third party (e.g., test prep vendor)^</i>	26 (52.0%)	1 (3.3%)	1 (20.0%)	28 (59.6%)
<i>Other: Type of word of mouth (rumors)^</i>	4 (8.0%)	3 (10.0%)	2 (40.0%)	10 (21.3%)

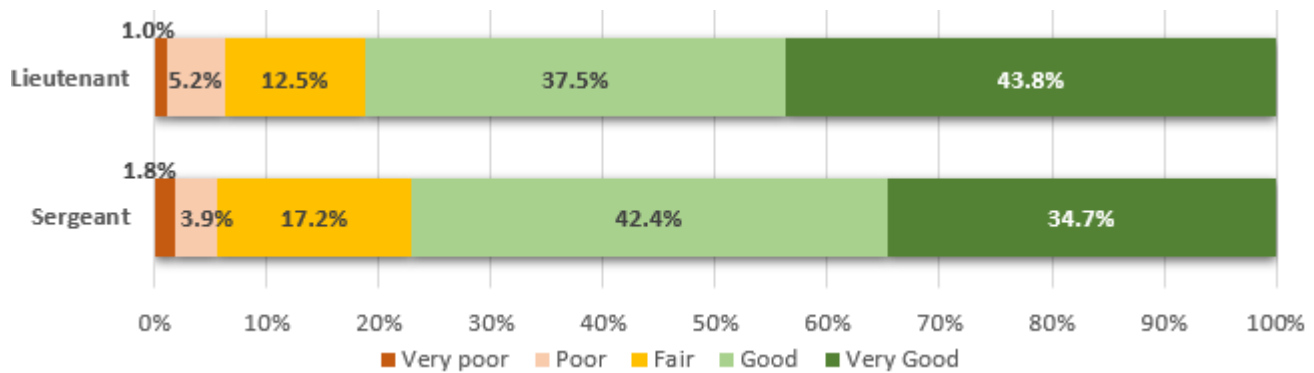
*Overall incorporates Captains' responses, which are not reported separately because fewer than 10 were received.

**This was a choose all that apply question, so 1) some respondents chose a specific listed option but also selected "other" and provided an open text response and 2) percentages are based on number endorsing the option out of the total responses to the question and do not add to 100.

^Percentages calculated out of the total number of "other" responses in the column.

Figure 1 displays the extent to which sergeants and lieutenants felt they were familiar with the job requirements when they were promoted. Over 75% of both sergeants and lieutenants indicated their familiarity with the expectations of the job were at least "good" at the time of promotion.

Figure 1. Sergeant and Lieutenant Familiarity with Job Requirements at Entry



Note: Responses in above figure are specific to lieutenant and sergeant respondents, respectively, as they were closest to the experience in question.

DCI also asked respondents to indicate the extent to which they were familiar with the requirements to apply and the parts of each promotion process. **Figure 2** presents the responses of officers and sergeants regarding the sergeant promotion process. Over 55% of officers and 75% of sergeants indicated being at least “very familiar” with the requirements to apply. However, just over 36% of officers and approximately 55% of sergeants indicated being very or extremely familiar with the actual parts of the promotion process. In fact, 10% of responding officers indicated no familiarity with the parts of the promotion process.

Figure 2. Officer and Sergeant Familiarity with Aspects of the Sergeant Promotion Process

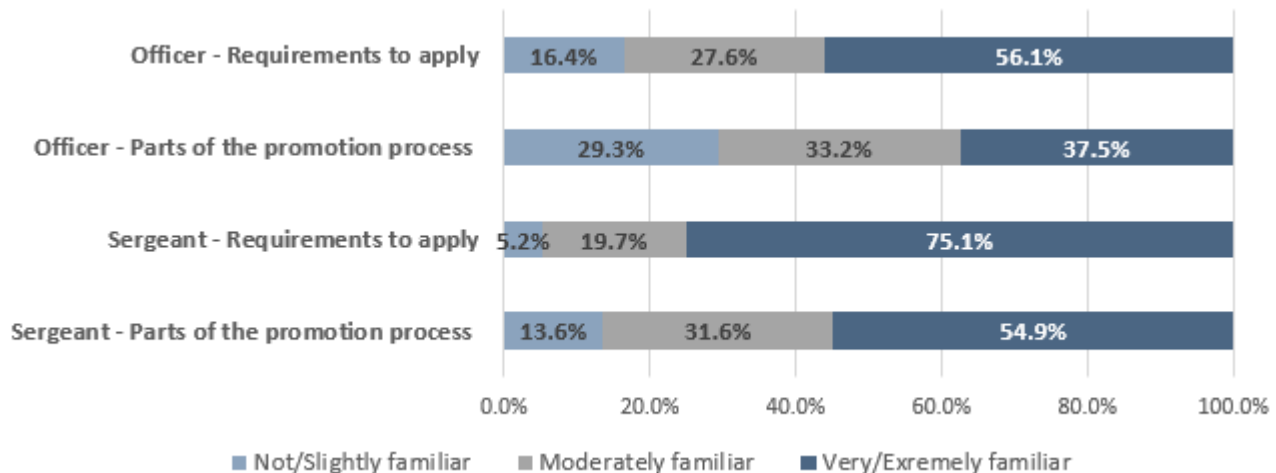
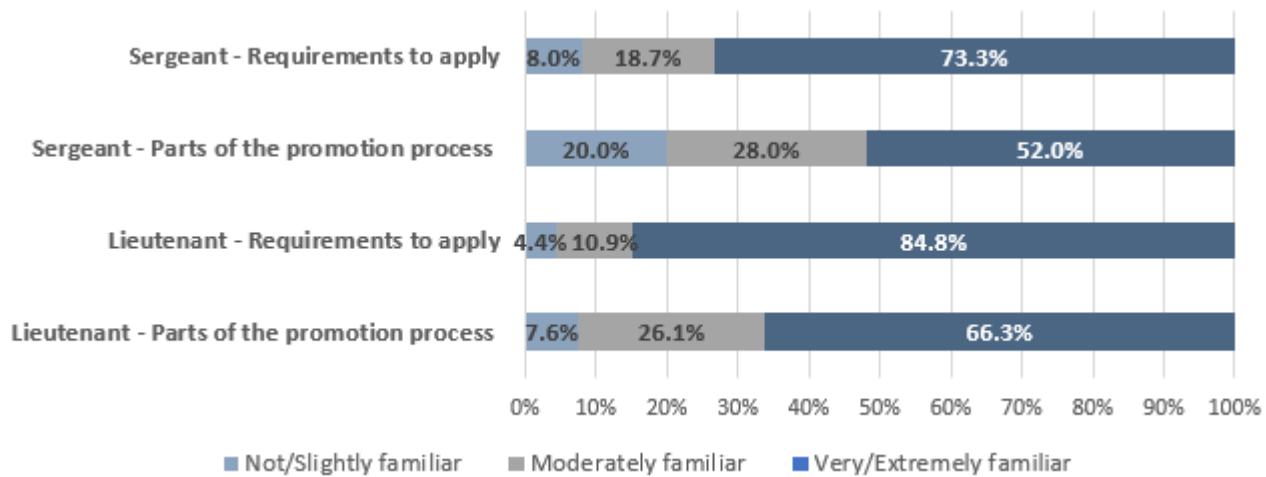


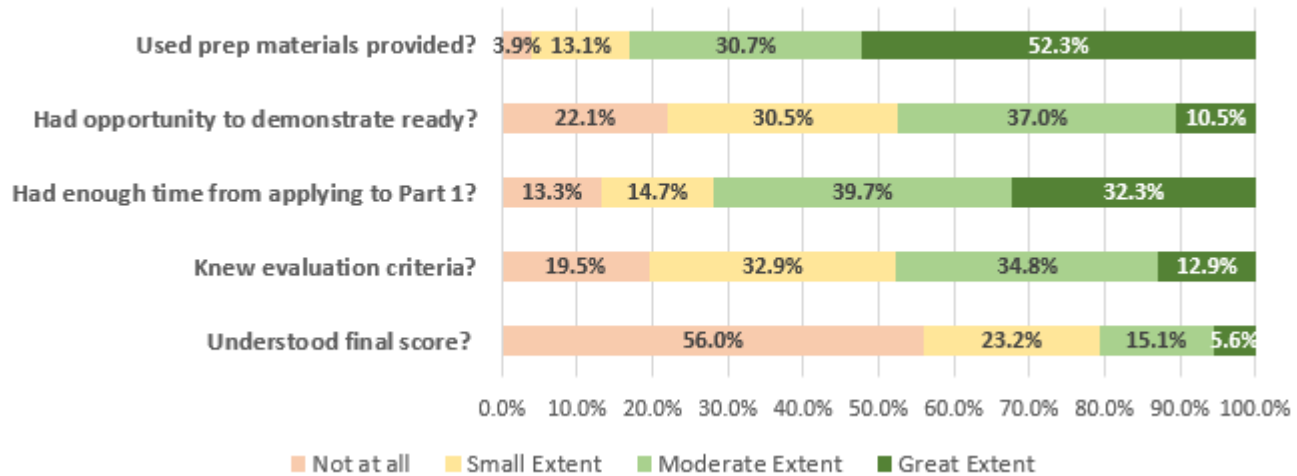
Figure 3 presents the responses of sergeants and lieutenants regarding the lieutenant promotion process. Over 70% of sergeants and over 80% of lieutenants reported being at least “very familiar” with the requirements to apply for lieutenant. Just over 50% of sergeants and 66% of lieutenants indicated being at least “very familiar” with the parts of the lieutenant promotion process.

Figure 3. Sergeant and Lieutenant Familiarity with Aspects of the Lieutenant Promotion Process



To further evaluate awareness of the promotion processes, DCI asked a series of questions regarding 1) the extent to which respondents used the preparation materials provided by the City, 2) felt they had an opportunity to demonstrate readiness for promotion in the process, 3) had enough time to prepare, 4) knew how they would be evaluated, and 5) understood how the final score was derived. **Figure 4** summarizes these results. More than 80% of respondents indicated using the preparation materials provided to at least a moderate extent. Respondents were less likely to indicate having adequate time after applying to prepare for the written job knowledge test (Part 1). Only 10% indicated that the process, to a great extent, provided an opportunity to demonstrate readiness for promotion, though another 37% indicated a moderate agreement. Similarly, 13% indicated understanding evaluation criteria to a great extent, with another 35% indicating moderate understanding. However, approximately 80% of respondents indicated having no or small understanding of how the final score was derived.

Figure 4. Understanding of and Perceptions Regarding Promotion Process Implementation
Extent to Which Respondents...



Promotion Process Components

Table 6 presents the results of a two-part question asking respondents to first indicate the extent to which they believed there is opportunity to improve the process. Overall, more than 90% of respondents indicated there was a moderate or great opportunity to improve the processes. DCI then asked respondents to choose up to five areas that could most use improvement, though 422 (28%) chose more than five. Overall, the top five areas indicated as areas for improvement were: scoring (73%), evaluation criteria (64%), security of the exam and related materials (62%), type of assessment (61%), and creation and use of the eligibility list (52%).

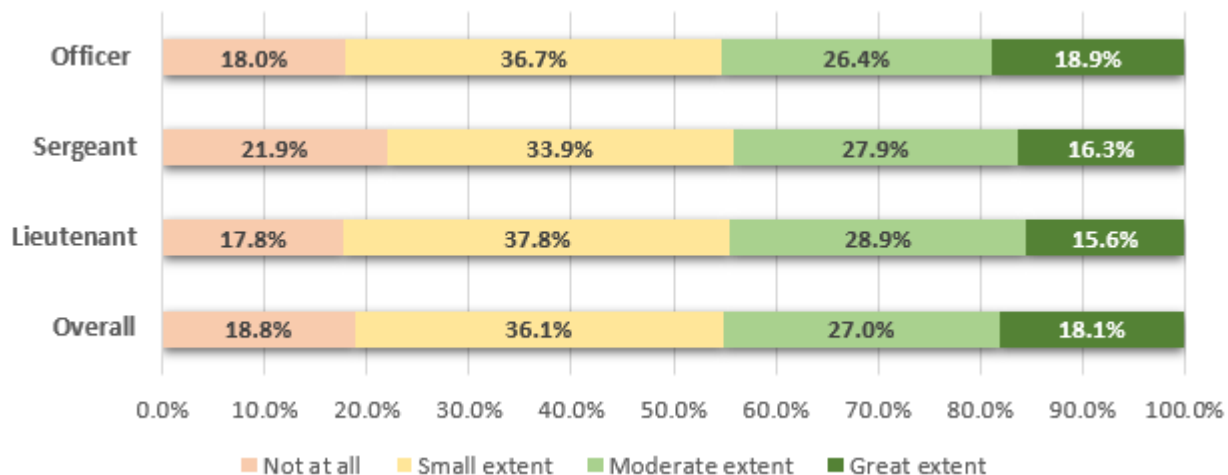
Table 6. Opportunities to Improve the Promotion Processes

Response	Officer	Sergeant	Lieutenant	Overall*
Opportunity to improve process?	706 (89.6%)	295 (92.5%)	87 (96.7%)	1,095 (91.0%)
Improve how?				
Requirements to apply for promotion	260 (33.3%)	98 (30.8%)	24 (26.7%)	382 (32.0%)
Type of assessment	491 (63.0%)	176 (55.4%)	53 (58.9%)	724 (60.6%)
Evaluation criteria	504 (64.6%)	198 (62.3%)	55 (61.1%)	762 (63.8%)
Time limits for exam or exercises	122 (15.6%)	35 (11.0%)	10 (11.1%)	168 (14.1%)
Technology used in exam or exercises	202 (25.9%)	79 (24.8%)	27 (30.0%)	310 (26.0%)
Testing procedures during exam or exercises	213 (27.3%)	105 (33.0%)	23 (25.6%)	344 (28.8%)
Location of exam or exercises	152 (19.5%)	68 (21.4%)	18 (20.0%)	239 (20.0%)

Response	Officer	Sergeant	Lieutenant	Overall*
Scoring of exam or exercises	540 (69.2%)	253 (79.6%)	75 (83.3%)	873 (73.1%)
Appeal/item challenge procedures	150 (19.2%)	83 (26.1%)	21 (23.3%)	257 (21.5%)
Creation and use of eligibility list	386 (49.5%)	171 (53.8%)	56 (62.2%)	616 (51.6%)
Feedback on exam or exercise performance	327 (41.9%)	145 (45.6%)	54 (60.0%)	529 (44.3%)
Promotion process communications	332 (42.6%)	113 (35.5%)	40 (44.4%)	489 (41.0%)
Exam and exercise study materials, preparation, or trainings	425 (54.5%)	120 (37.7%)	27 (30.0%)	572 (47.9%)
Security of exam and related materials	442 (56.7%)	219 (68.9%)	73 (81.1%)	740 (62.0%)

Paragraph 261(b) required DCI to evaluate the consideration of discipline as part of the promotion process. DCI asked respondents to indicate the extent to which they agreed that disciplinary action should be considered. As depicted in **Figure 5**, responses were consistent across ranks, with approximately 45% of the overall sample agreeing that discipline, to a moderate or great extent, should be a consideration in the promotion process. Open text comments provided additional context around those responses, with 21 responses providing suggestions on how to consider discipline (e.g., as part of a point system, only including sustained Complaint Registers (CRs), evaluating on a case-by-case basis, balancing with awards and other aspects of performance).

Figure 5. Extent to Which Discipline Should be Considered in the Promotion Processes



Open Text Analysis

DCI provided respondents with an opportunity to add additional notes or comments at the end of the survey. More than half of respondents (869; 57%) provided open comments. DCI reviewed and coded each of these comments for themes and sentiment (i.e., negative or positive polarity). **Tables 7, 8, and 9** provide the results of the theme coding analysis. Note that several comments addressed multiple areas (e.g., more than one comment provided a numbered list of items for consideration). This section ends with the results of the sentiment analysis and exemplar comments for illustrative purposes.

Table 7. Open Comment Analysis

Response	Overall N	Overall %*
Comment related to preparing for the exams	113	13.0%
<i>More time to study</i>	11	9.7%
<i>Improve/streamline the study material</i>	36	31.9%
<i>Improve communication about the processes</i>	19	16.8%
<i>Address paid/third party and private/secret study groups</i>	50	44.2%
Comment related to cheating⁵³	167	19.2%
<i>No internal SMEs should see tests</i>	42	25.1%
<i>More control should be placed on SMEs</i>	12	7.2%
Comment related to frequency of testing⁵⁴	86	9.9%
Comment related to eligibility requirements	50	5.8%
<i>Drop or allow substitution of education requirements</i>	16	32.0%
<i>Increase education requirements</i>	3	6.0%
<i>Increase time in rank required to sit for promotion</i>	7	14.0%
<i>Increase time in rank required for selection from a list</i>	11	22.0%
<i>Decrease time in rank required to sit for promotion</i>	4	8.0%
Comment related to scoring	134	15.4%

⁵³ Comments not related to SME involvement in cheating were more generally related to perceived issues or allegations regarding cheating that impact the legitimacy of the processes.

⁵⁴ Two comments did not indicate testing should be more frequent: one stating timing should remain at six years if merit continues and the other indicating processes should occur every eight years. Several comments indicated that consistency of timing, not just increased frequency, are necessary.

Response	Overall N	Overall %*
<i>Increase and announce the cut score</i> ⁵⁵	46	34.3%
<i>Score the scantron faster/same day</i>	74	55.2%
<i>Include Part 1 in overall score</i>	19	14.2%
Comment related to removing subjectivity ⁵⁶	75	8.6%
<i>Use scantron test only</i>	48	64.0%
Comment related to the knowledge, skills, abilities measured	58	6.7%
<i>Promotion processes should evaluate: Leadership</i>	26	44.8%
<i>Promotion processes should evaluate: Interpersonal Skills</i>	8	13.8%
<i>Promotion processes should evaluate: Communication</i>	10	17.2%
<i>Promotion processes should evaluate: Job Knowledge</i>	21	36.2%
Comment related to transparency with the eligibility list	35	4%
Comment related to receiving feedback or answer sheet copies	51	5.9%

*Italicized comment percentages are calculated out of the main (bolded) comment type.

Table 8. Comment Analysis: Other Factors

Response	Overall N	Overall %*
Comment related to other factors	284	32.7%
<i>Administrative changes</i>	53	18.7%
<i>Discipline considerations</i>	24	8.5%
<i>Include other factors in process: experience</i>	62	21.8%
<i>Include other factors in process: seniority / time in job</i>	32	11.3%
<i>Include other factors in process: assignments</i>	29	10.2%
<i>Include other factors in process: performance</i>	16	5.6%
<i>Include other factors in process: awards</i>	13	4.6%

*Italicized comment percentages are calculated out of the main (bolded) comment type.

⁵⁵ While not every comment that mentioned increasing the cut score specifically mentioned that the cut score should be announced in advance, it was typically implied in that the comments often referred to school grading systems and setting 70% as the cut score.

⁵⁶ These comments primarily center on concern with transparency, fairness, and consistency of using assessors to score Part 2, as opposed to having a machine score answers as right/wrong.

DCI did not include a closed-ended response question regarding merit in the survey based on the understanding that the merit process had been discontinued. Despite this, as **Table 8** indicates, over 40% of those who left comments mentioned merit. If the comment did not reference abolishing, reducing, overhauling, or revamping the process, it focused on perceived corruption. Only 14 (3.9%) of the comments regarding merit indicated that the process should be retained.

Table 9. Comments Regarding Merit

Response	Overall N	Overall %*
Comment related to Merit	356	41.0%
<i>Abolish</i>	150	42.1%
<i>Overhaul or revamp the process</i>	79	22.2%
<i>Reduce use (either percentage or one merit-based promotion per career)</i>	54	15.2%
<i>Retain</i>	14	3.9%

*Italicized comment percentages are calculated out of the main (bolded) comment type.

Sentiment Analysis and Open Comment Examples

Sentiment analysis is a natural language processing technique, which identifies and categorizes opinions expressed in a piece of text computationally, for example to determine whether the text is positive, negative, or neutral. DCI used a rule-based technique, relying on a lexicon or dictionary of polarized words⁵⁷ and then determining the sentiment by tallying the positive and negative words. The overall analysis of the open comments indicated a negative sentiment, as determined by the identification of more negative words than positive.

In evaluating the context around comments associated with more negative words, the merit process was a primary driver, regardless of rank. Other negative sentiment comments typically involved issues of transparency, cheating or overall fairness. Specific mentions included lack of transparency, scandals, nepotism, cheating, corruption, and reference to the process as a “joke” (29 individual occurrences). Some comments that flagged as being particularly high in negative sentiment scores are listed below.

⁵⁷ The polarity lexicon DCI used classified 619 unique words, 396 (64.0%) of which were negative and 223 (36.0%) of which were positive.

Overall negative comment examples related to the merit process:

- *“There is evidence there was cheating on the last lieutenants test and nothing was done about it. All of the top score personnel were part of a secret study session done by an exempt rank member of the dept that most likely had access to the real test. Inclusion in this group was limited to black officers and was invitation only. The investigation was a sham. A lot of these people who were top score were either merit or scored very low on the sergeant promotional test so that it is very unlikely they all scored so high this time around. It doesn’t pass the smell test. The Dept is so [messed]⁵⁸ up now because of all of these never been the police, unable to score well on a test people getting promoted meritoriously’. No one on the dept can define what merit points are used to assess a candidate. The merit system is a complete sham and needs to be abolished. If one cannot adequately pass a test, then how can this person perform an increasingly difficult task when they don’t have basic job knowledge. The only thing merit stands for is who do you know and your in no matter how stupid you are.”*
- *“Its a scam from begining to end. The subject matter experts (SMO) are compromised. SME’s have notoriously provided information on what will be tested and not tested from the large array of study guide materials. Meritorious promotions should be ended. They are all political, nepotism, or personal relationships. There is no Merit.”*
- *“A candidate's actual test that has been marked (the score providing the candidate's position on the exam list) should be given back to the candidate once the exam process is over. This would not only be transparent (in keeping with the Consent Decree edict), but it will give the candidate the opportunity to see the questions he/she answered incorrectly so he/she can learn from the mistakes. Learning where the mistakes were made will educate the candidate in the obvious areas he/she is lacking. This would be a positive for the candidate's experience and would benefit the Department by having the candidate now having learned from the experience. Far too often candidates have left the exam location with no idea what questions they got wrong, leaving them perplexed, and frustrated, not to mention the optics leaning towards secrecy as if the lack of transparency is to hide something innocuous (cheating, or someone having been provided with the answers, etc.).”⁵⁹*
- *“Permanent removal of merit promotions. Merit is not well defined by the department. Merit promotions are too often used to promote friends and family through a third party nominator(to hide this fact). This is unfair to more qualified applicants and not in the best interests of the citizens of the city. The 30% merit list standard results in hundreds of higher scoring applicants being passed over for promotion by merit applicants that scored considerably worse on the exam.”*
- *“The Merit Selection process for promotion is criminal. Nominations of merit appointees are often friends, relatives, drivers, or secretaries of Exempt members. There is no standard for merit selection. Many Exempt supervisors in this department have received multiple merit promotions who then promote equally unqualified people to supervise and lead. This creates poor leadership and demoralizes the officers that must take orders from inept people.”*

⁵⁸ Word edited for language.

⁵⁹ This comment was flagged for recommendation focus as well.

Examples of officer comments flagged for negative sentiments, but not specific to merit include:

- *“There should be more transparency with the passing score. They never said there would be a curve and just picked 50%. Why was the standard to be a supervisor lowered? Was it to get a politically connected officer to pass after they got their score etc? This is not right or transparent, this leads to cheating scandals and other negative actions.”-*
- *“There are people who get the answers to the test. This is not a big secret within the police department. This is inherently unfair. Some of the bosses review the exam and they know what the content is and thus they leak it to some people. This is inherently unfair.”*
- *“There appears to be a strong culture of cheating on CPD promotional exams that goes unchecked. This systemic problem has lead to a utter collapse of leadership from street level to the tower at 35th Street. Why study for months for a promotional test when the answers are handed to apparently connected people that suffer from basic comprehension difficulties? And if you take the promotion it appears that half of these "peers" are allowed to dump their workload onto the functional same rank.”*

Examples of sergeant comments flagged for negative sentiments, but not specific to merit include:

- *“There is no guarantee of the security of the exam questions. Written or oral exam scores will differ based on the examiner. Lists either exist for too long of a duration or an obscene number of people are promoted from said list. There is zero consistency. Pathetic.”*
- *“People should be promoted based on their score, ONLY. It isn't fair for certain people to simply be promoted because their husbands or friends get them promoted as a favor. Seeing much better officers who scored better being passed up by others who bombed the test is as disheartening as it gets. And sadly that occurs all too often in the Chicago Police Department. Even worse is watching cheaters move even higher into positions for which they are not at all qualified for. This survey is good but won't ever change anything in this poorly run department.”*

Examples of lieutenant comments flagged for negative sentiments, but not specific to merit include:

- *“The CPD promotional process is opaque and rampant with cheating and corruption. The use of police command staff as subject matter experts has allowed the test to be leaked to a chosen few and the process has been compromised in the past. Officers who have earnestly studied and prepared were not given a fair chance. People just say 'it's the Chicago way.' Well, that's just wrong. The Part 2 of the exam has been used to scew the numbers and there is no clear way to study for that portion of the exam. It is maddening and a root cause of the morale problems on this job. The meritorious process was also used to promote people on the basis of family, friendship and sexual relationships and this process should be done away with entirely. There has to be a way to allow people to compete for promotion fairly.”*
- *“The whole system is a mess. We'd all be better off placing our names in a lottery machine and picking the names at random. By the time the test taken and you get promoted, years have gone by and the Department has changed it's direction and everything you have studied is obsolete.”*
- *“To this day, I still have no clue what I got wrong and what I got right on the exam. This has now been over 3 years. Also, I have no idea how the exam was graded.”*

Comments that tended to include more positive sentiments were typically forward looking and recommendation focused. The recommendations were varied, including suggested leadership programs, recognizing military experience, providing credit for awards, and considering letters of recommendation, among others. Examples of this type of comment are included below.

- *“Time in rank should be considered for promotion. Background such as previous supervisor experience, education and positions worked should be considered for promotion. On the job experience should be considered specifically training incurred, awards, arrests, etc., There should be some sort of interview where knowledge of the job is accessed.”*
- *“Create a leadership program. If a merit process for promotion still exists look at years of experience, complimentary history such as awards, letters of recommendation, special training and a part of special units etc. no more promoting people on politics.”*
- *“bonus or extra points for police activity, years of service, time in patrol, time in active districts, complimentary history, low disciplinary history, education, military service”*
- *“An officer's education should be considered. An officer's attendance, dedication, letters of recommendation, awards, execution of critical decision making skills in high conflict situations. Readiness and willingness to work in varying aspects of police work. The department should take a balanced look at the whole officer when making promotions.”*
- *“It is my belief that the process should be points base, in that a person gain points through education (civilian), department education (e-learning and in service training), department assignments such as Field Training Officer, The Power Test, Weapon Qualification, and points for time in service and grade. Also there should be some type of Leadership Development for example might be similar to the course given during Sergeant's training while in the academy. The department's current system of leadership development is not a good model because of the only requirement of testing. The issue of testing leaves the door open for cheating. The point system is a fairer system because of the multiple requirements for promotion.”*

Summary of Survey Results

Though the survey response rate was low (just over 10%), the responses received provided DCI with important insight into the perspectives of CPD officers, detectives, sergeants, lieutenants, and captains. The respondents indicated a clear preference for more frequent testing, and an openness to different or additional assessments and evaluation criteria. A consistent theme across both closed and open-ended responses was a dissatisfaction with the current processes and concern that there would not be change. The responses were further explored and clarified in a series of focus groups, as described in the report.

Appendix F

Post-Survey Sworn Personnel Focus Group Protocols

Focus Group Overview

The sections below present the information and questions prepared to assist in facilitating the officer, sergeant, and lieutenant focus group sessions. Because this is a qualitative data collection, the information provided through discussion and the time allotted will determine the number of questions asked and any potential follow-up questions or additional topics that may not be represented in the protocols. Each informational meeting started with the following scripted language.

Project Background and Introductory Script Language

I am [Name], a consultant with a background in industrial/organizational psychology at DCI Consulting Group, the firm engaged by the City to conduct the review of the Sergeant and Lieutenant promotion processes required to address Paragraph 261 of the Consent Decree. I would like to start by giving some background information on what we have done so far, and then explain what we are hoping to learn from you today. To be clear, we are not the test vendor, and we are not involved in creating the promotion tests.

Over the past several weeks, we have gathered and reviewed over 200 materials related to these promotional processes. For example - the hiring plan, the promotion directives, the study guides, the candidate communications, the postings, and more. We have also conducted meetings with CPD, DHR, and your union leadership representatives, among others. As you may know, at the beginning of October, we also worked with CPD HR to distribute a brief anonymous survey to provide an opportunity for all officers through captains to give feedback on the processes.

Today, we are looking for context around the responses received in the survey, and to understand your perspectives on the processes. Note that this session is part of our information gathering effort; we have not crafted recommendations yet and will not be transitioning to that until we have completed information gathering. We have prepared some questions to guide the discussion today; that said, we are open to any other information related to the promotion processes you're willing to share with us.

Information you share will not be attributed to you individually and will only be reported to CPD or the City in summary form. Your participation or decision not to participate today will have no impact on your status at CPD. If you do not want to participate, please just let us know up front. If you do have feedback to provide, we would like to hear from everyone.

Officer Focus Groups

1. Who has applied to take the Sergeant exam before?
 - a. If so, how many times?
 - b. If not, why not?

Sergeant and Lieutenant Focus Groups

1. *[Sergeants only]* Have you ever applied for promotion to lieutenant?
2. How many times did you take the [sergeant or lieutenant] test before you were promoted?
3. What was the driving factor that made you want this promotion?
4. What do you wish you [or your new sergeants] knew before being promoted?

Questions Included in All

1. What do you think would make the [sergeant or lieutenant] process(es) better?
2. The survey results thus far indicate a lack of trust in the process; what would it take to restore some of that trust?
3. What should we know when considering discipline or performance more generally in the promotion process?
4. Do you have suggestions about what should make up the final score or how that should be communicated?
5. What do you know about how the eligibility list is created and used to make promotions?
6. What do you think about the security and confidentiality of the test content?
 - a. What would it take to improve those perceptions?
7. What do you think about the test preparation and study guide information the department provides? Would you recommend changes to the study/test prep information or how it is presented?
8. What are your perceptions of the process/procedures used on test day (check in, instructions, etc.)?
9. About 90% of survey respondents indicated the tests should be more frequent – what do you think about that?
10. What do you think about the eligibility requirements to test for [sergeant or lieutenant] – like time in the job, education requirements – are they adequate?
11. Do you have any other feedback about the promotion process(es) you would like to provide – that we haven't discussed already today?

Appendix G

Similarity Survey Distributed to Comparable Police Departments Regarding Sergeant and Lieutenant Promotion Processes

Consent Decree requirement 1:

The processes by which CPD selects candidates for promotion to Sergeant and Lieutenant who possess a core set of competencies, characteristics, and capabilities and, when applicable, who are effective supervisors in compliance with CPD policy and the Consent Agreement.

Questions

1. What are the minimum requirements needed for an Officer to apply for promotion to Sergeant (e.g., years in rank, education, training, assignment/detail)?
2. What are the minimum requirements needed for a Sergeant to apply for promotion to Lieutenant (e.g., years in rank, education, training, assignment/detail)?
3. Is there an application fee? If so, what is the amount?
4. Which of the following are components in your promotion process for Sergeant?
 - ☐ Written exam
 - ☐ Interview
 - ☐ Oral exercises/assessment center
 - ☐ Performance ratings
 - ☐ Years of experience beyond the minimum required to qualify for promotion
 - ☐ Disciplinary history
 - ☐ Accomplishments (e.g., awards, citations, commendations)
 - ☐ Readiness for promotion ratings by the candidate's supervisor
 - ☐ Additional points for veteran status
 - ☐ Additional points for education
 - ☐ Additional points for seniority
 - ☐ Other (please list) _____
5. What are the components of the promotion process for Lieutenant?
 - ☐ Written exam
 - ☐ Interview
 - ☐ Oral exercises/assessment center
 - ☐ Performance ratings
 - ☐ Years of experience beyond the minimum required to qualify for promotion
 - ☐ Disciplinary history
 - ☐ Accomplishments (e.g., awards, citations, commendations)
 - ☐ Readiness for promotion ratings by the candidate's supervisor
 - ☐ Additional points for veteran status
 - ☐ Additional points for education
 - ☐ Additional points for seniority
 - ☐ Other (please list) _____

6. Which of the following best describes your promotional process?

___ All eligible candidates are evaluated on each of the assessment parts (e.g., written test, interviews, assessment center)

___ Only candidates that meet a certain score on a particular part (e.g., written test) are evaluated on the next part (e.g., interviews, assessment center)

7. How did you determine what knowledge, skills, or abilities to target?
8. Do you have an appeals/complaints process defined? If so – to which parts does it apply?
9. Are candidates selected for promotion based on a rank order of scores, rule-of-three (i.e., decision maker can select any of the top three ranked candidates), all scores above a passing score are considered equal, or some other method? Please describe.

Consent Decree requirement 2:

Methods for consideration of each candidate's disciplinary history in the selection process.

Questions

10. Do you consider disciplinary history in evaluating a candidate for promotion?
- a. If so, is discipline history used to determine eligibility to sit for an exam or is it a reason a candidate might be passed over on an eligible for promotion list (or both)?
 - b. If so, what disqualifies a candidate? For example, is it:
 - i. A specific number of disciplinary actions?
 - ii. Any disciplinary action within a particular period of time?
 - iii. A qualitative decision based on the candidate's disciplinary history?
 - iv. A specific type of infraction or a discipline category?

Consent Decree requirement 3:

Department strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community.

Questions

11. What efforts have you taken to increase the diversity of your candidates for promotion to Sergeant and Lieutenant?
12. What efforts have you taken to increase the diversity of the candidates selected for promotion to Sergeant and Lieutenant?
13. Does the demographic make-up of your Officers reflect your community? If not, how so?

Consent Decree requirement 4:

The frequency with which CPD should hold promotional exams.

Questions

14. How often do you hold promotion exams to establish eligibility lists (i.e., how long is an eligibility list valid)? Why this length?
15. Do candidates still on the list when it expires have to re-take the tests for the next list?

Consent Decree requirement 5:

Opportunities to increase transparency and officer awareness about the promotions process and promotions decisions, including, but not limited to, identifying criteria for promotions.

Questions

16. What steps do you take to ensure candidates learn about the promotional process, including what is required and what to expect?

Appendix H

Summary of Comparable Police Department Similarity Survey Responses Regarding Sergeant and Lieutenant Promotional Processes

Similarity Survey Results Overview

The City of Chicago, through the Department of Human Resources (DHR), sent out Microsoft Word surveys to 30 other police department jurisdictions, all but one of which was located within the United States (U.S.).⁶⁰ The sampling plan included targeting the departments of the other top 30 cities in terms of population according to the Census's 2018 American Community Survey, anticipating that departments servicing other large metropolitan areas would be more comparable than, for example smaller departments in a more targeted geographic region. Of those contacted, 15 responded, as noted in Table 1.

Table 1. Police Department and Jurisdiction Information for Similarity Survey Respondents

City, State	Population estimate (as of July 2018)	Rank by population	Responded to DHR Survey
Toronto, Canada	2,731,571 ⁶¹	--	No
New York, NY	8,398,748	1	Yes
Los Angeles, CA	3,990,456	2	Yes
Chicago, IL	2,705,994	3	
Houston, TX	2,325,502	4	Yes
Phoenix, AZ	1,660,272	5	Yes
Philadelphia, PA	1,584,138	6	Yes (partial)
San Antonio, TX	1,532,233	7	Yes
San Diego, CA	1,425,976	8	No
Dallas, TX	1,345,047	9	No
San Jose, CA	1,030,119	10	No
Austin, TX	964,254	11	No
Jacksonville, FL	903,889	12	No
Fort Worth, TX	895,008	13	Yes
Columbus, OH	892,533	14	Yes
San Francisco, CA	883,305	15	Yes
Charlotte-Mecklenburg, NC	872,498	16	Yes
Indianapolis, IN	867,125	17	Yes
Seattle, WA	744,955	18	Yes

⁶⁰ One non-U.S. city (Toronto) was included because they participated in 2019 efforts relating to performance and represent the fourth largest city in North America.

⁶¹ This value is as of 2016.

City, State	Population estimate (as of July 2018)	Rank by population	Responded to DHR Survey
Denver, CO	716,492	19	No
Washington, DC	702,455	20	Yes
Boston, MA	694,583	21	No
El Paso, TX	682,669	22	Yes
Detroit, MI	672,662	23	No
Nashville, TN	669,053	24	No
Portland, OR	653,115	25	No
Memphis, TN	650,618	26	No
Oklahoma City, OK	649,021	27	No
Las Vegas, NV	644,644	28	No
Louisville, KY	620,118	29	Yes
Baltimore, MD	602,495	30	No

The survey was organized by the Consent Decree requirements and asked specific questions to provide insight into the extent to which CPD processes aligned with other jurisdictions. It is important to note that similarity or dissimilarity should not be interpreted as a metric of appropriateness on its own. In other words, there are many factors that drive processes and procedures in this area, including consent decree requirements, bargaining agreements, local codes, and civil service commissions that would not be applicable to CPD.

The remaining sections of this document present the summary of responses received to the survey questions.

Consent Decree Requirement 1:

The survey included several questions to gather information about the processes by which other jurisdictions select candidates for promotion to sergeant and lieutenant who possess a core set of competencies, characteristics, and capabilities. Specifically, respondents were asked to describe 1) eligibility requirements to apply for promotion, 2) how critical qualities are selected for focus in the process, 3) what types of assessments are used in the process, and 4) how that information is used to select from a promotion eligibility list.

Table 2 presents the responses related to the minimum requirements to apply for either the sergeant or lieutenant positions.

Table 2. Minimum Requirements to Apply for Promotion

Minimum Requirements to Apply	Response Overview*
Sergeant	
Average Years in Job	4 years
Level of Education Achieved	6 out of 9 require HS through 2 years of college
	6 out of 9 require POST**, state certification, or supervisory course or training
Application Fee	1 out of 15
Lieutenant	
Average Years in Rank as a Sergeant	2 years
Level of Education Achieved	6 out of 10 require between an Associates and Bachelor's degree
	3 out of 10 require POST**, state certification, or supervisory course or training
Application Fee	1 out of 15

*Responses are reported out of the total number providing an answer to that question; not every responding department answered every question.

**Peace Officer Standards and Training

When asked how the department determined the knowledge, skills, and abilities to target, a total of 13 departments provided a response. Of those responding, all but one indicated implementing a job review process with some rigor, involving determining critical knowledge and skills through formal job analysis and subject matter expert (SME) or consultant review and validation.

Figures 1 and 2 present an overview of the various assessment components included in other department promotion processes and how these components are structured (e.g., using a “hurdle” whereby one or more components must be passed to qualify for later components, or in a “compensatory” model where all components are combined to determine the overall result.

Figure 1. Promotion Process Components Used by Responding Jurisdictions (15 of 15 responding)

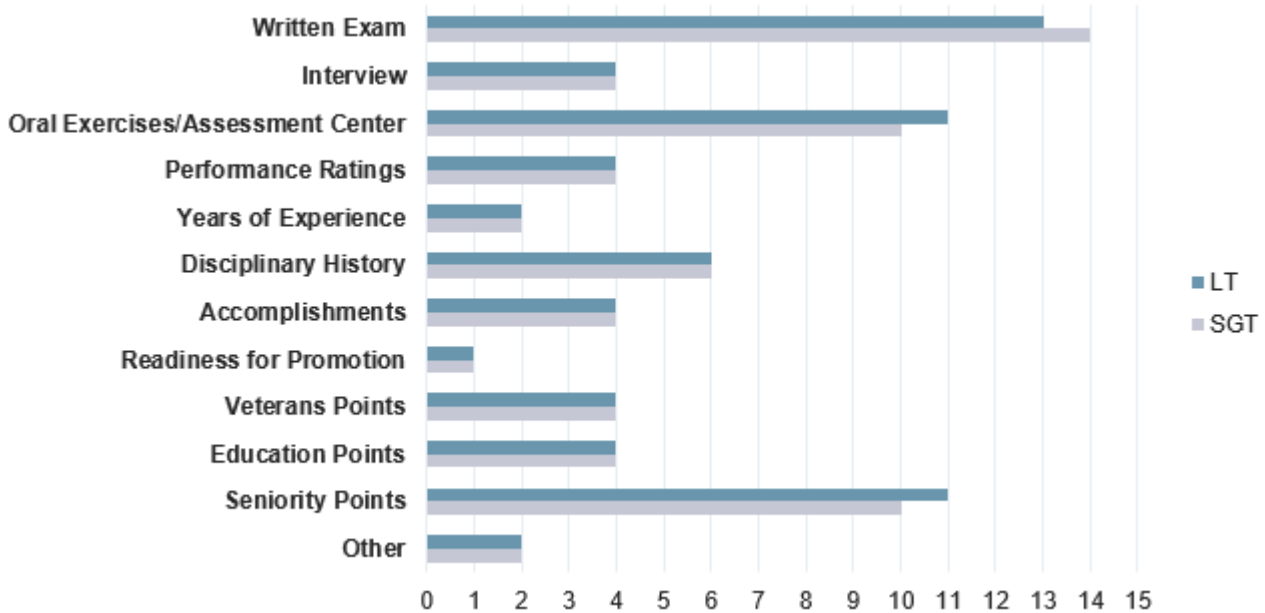
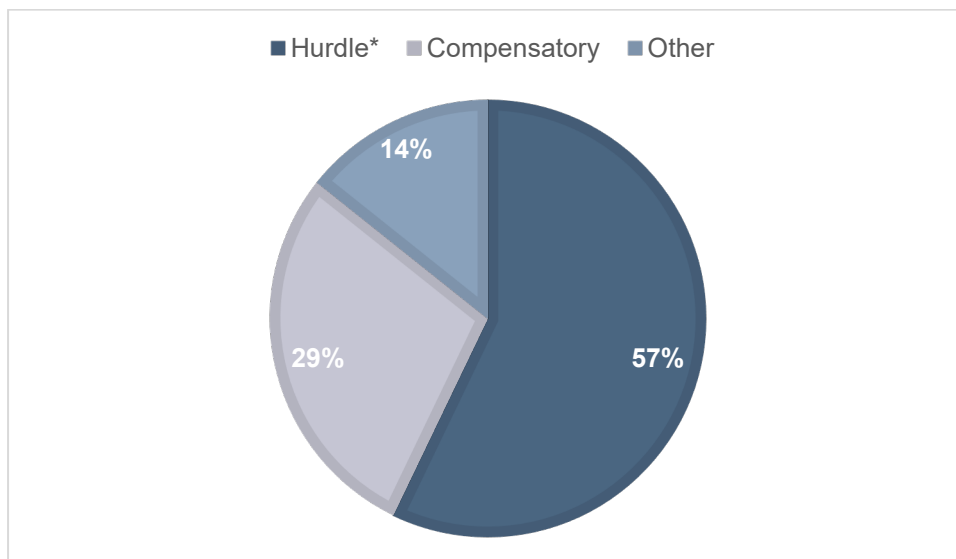


Figure 2. Promotion Process Structure Used by Responding Jurisdictions (14 of 15 responding)



*One respondent used a written job knowledge exam hurdle, but also included the result in an overall score.

Table 3 summarizes additional process information, including whether candidates must retake an exam to be considered on a new eligibility list, to what extent there is an appeals procedure in place for components, and the decision rules for selecting from the resulting promotion eligibility list.

Table 3. Procedural Information Relating to Sergeant and Lieutenant Processes

Promotion Process Implementation	Number of Departments	%
Yes, all candidates must retake the exam to remain on the list	12	100.0%
<i>Missing</i>	3	
Appeals/Complaints Process		
Yes, written component only	7	50.0%
Yes, all components	6	42.9%
No	1	7.1%
<i>Missing</i>	1	
Eligibility List Selection		
Rule of 3	3	21.4%
Rule of 5	2	14.3%
Rule of 10	1	7.1%
Rank/Score Order*	8	57.2%
<i>Missing</i>	1	

*Only two departments mentioned requiring candidates to achieve a specific score to be considered in rank order. Both departments require candidates to achieve a 70% or better to be considered.

Consent Decree Requirement 2:

Table 4 presents the results of the question asking how other jurisdictions consider candidates' disciplinary history in the promotion processes.

Table 4. Discipline in the Promotion Process

Implementation of Discipline	Number of Departments	%
Discipline Considered in Application for Promotion		
Discipline does NOT disqualify an applicant from applying for a promotion	8	80%
Certain discipline DOES disqualify an applicant from applying for promotion	2	20%
<i>Missing</i>	5	
Discipline Considered Prior to Promotion		
Case-by-case determination	5	35.7%
Sustained allegations (considering type or level)	2	14.3%
Excessive discipline (e.g., suspensions)	2	14.3%
Interferes with ability to perform essential functions	1	7.1%
Any active discipline	1	7.1%
<i>Missing</i>	5	

Consent Decree Requirement 3:

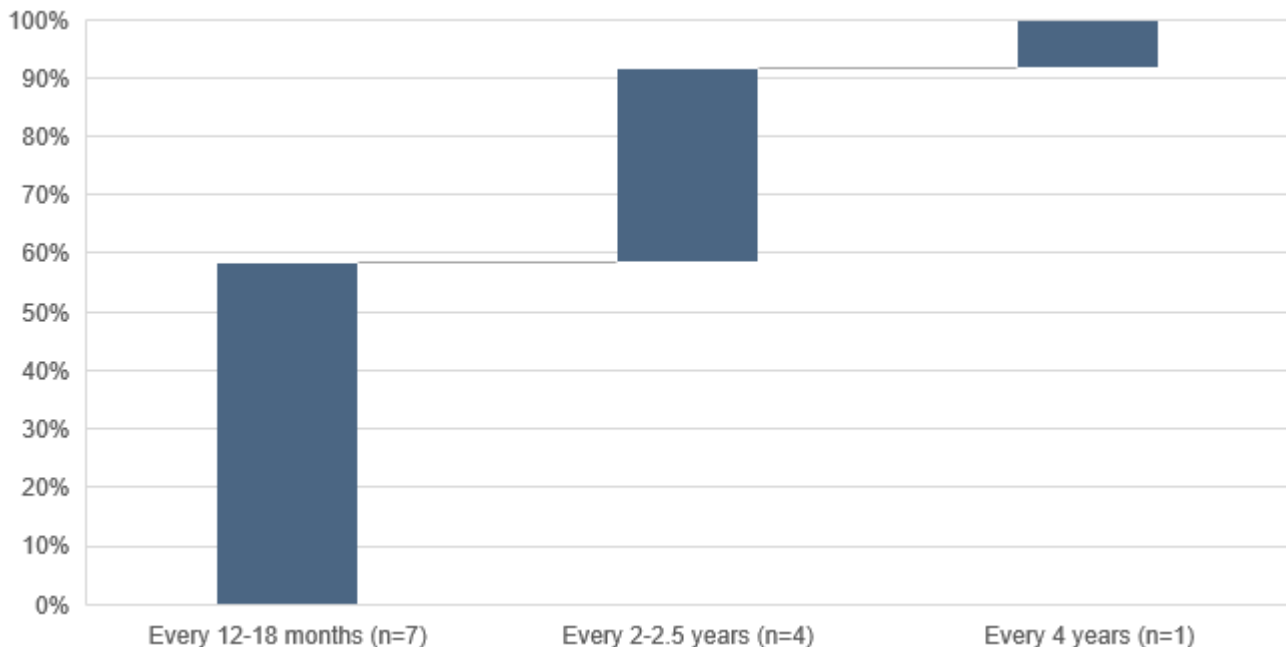
When asked about the efforts made to increase diversity in candidates applying and being selected for promotion, 10 of the 15 departments provided a response. These departments provided a variety of efforts and solutions, including but not limited to:

- Four departments evaluate appropriate cut-scores or apply differential weighting of assessments;
- Two departments focus on increased exam frequency;
- Four departments mentioned taking steps to identify barriers experienced by certain groups and engaging in community outreach;
- Two departments focus on creating/maintaining mentor programs and candidate preparation; and
- One department mentioned posting on labor sites, working closely with unions; employee resource groups such as Asian, Black or African American, Latino, and LGBTQ; and community groups, as well as implementing assignment rotation programs.

Consent Decree Requirement 4:

Figure 4 presents the 12 responses received regarding the frequency with which other jurisdictions hold promotional exams. Note that at least four departments specifically stated that the life of their eligibility list is dictated either by a bargaining agreement or local code/ordinance.

Figure 4. Frequency of Promotion Processes



Consent Decree Requirement 5:

Eleven (11) out of the 15 departments responded to the survey question asking about methods to increase transparency and officer awareness about the promotion processes and decisions. Responding departments provided a list of methods used to communicate with and prepare candidates for the promotion process.

- More than half of the responding departments explicitly indicated using multiple announcement modalities, such as emails, roll calls, and general announcements to notify candidates.
- Nine departments indicated providing information on department intranet or city sites and in preparation materials (e.g., study guides, general orders, FAQs).
- Two departments indicated providing the job analysis or knowledge, skills, and abilities information to candidates.
- Two departments coordinated an in-person Q&A or orientation session.
- One department provided video examples of the interview process.
- One department also recruited police sergeants, lieutenants, and captains to go to districts to provide test preparation assistance.