

DCI Consulting Group



City of Chicago Police Department Sergeant and Lieutenant Promotion Processes

*Review, Evaluation, and
Recommendations*



Report Date: December 27, 2023

Executive Summary

In August 2023, the City of Chicago (City) 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 by the requirements set forth in the Consent Decree, which was the impetus for the review effort. Part of this evaluation was also focused on evaluating progress toward implementation of recommendations that resulted from the 2020 independent review and evaluation of these promotion processes.

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 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 assess 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 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 the research literature where appropriate or applicable.

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

Overall Summary Findings and Evaluation Results

In 2020, 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 2023 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.

Exhibit 1. Evaluation Results Summary

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
<p>Promotion Process Development and Content</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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 and interviews 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 • Some eligibility criteria are consistent with other departments and considered adequate by personnel; however, the application fee is an outlier and given other changes, consideration of potential adjustments to some criteria may be warranted.^a • The lack of consideration of discipline in the rank order promotion process is an outlier among similar jurisdictions.^b • The City has implemented procedures to limit and control access to test materials within CPD; concern about test security was less often cited in either the survey or focus groups during the 2023 review than the 2020 review.^a • The main test information access concern cited by CPD members in 2023 was assertions that some applicants shared test information across the multiple days of Part 2 testing for sergeant; however, DCI did not receive information that would indicate practically significant score improvement on later testing days.^{a, e}

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

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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 has increased the frequency of promotional processes to every three years. ^d • The administration is coordinated by a vendor and candidate concerns noted in focus groups and the survey typically centered on long sequester times, noisy Part 2 environment, or concerns about the multiple days of sergeant testing. ^a • DCIs review of the assessor training and monitoring described in vendor meetings comports with typical practices. ^a • Some candidates indicated concerns that assessors could score oral responses consistently or fairly. ^{a,e} • 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,e} • Rank ordered selection from an eligibility list is used by some jurisdictions and can be a reasonable and transparent method. ^{a,e}
<p>Accountability/Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<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; a recent OPISA guideline defines responsibility for developing and administering the processes and an interagency policy defines responsibilities for periodically evaluating the promotion processes. ^a • There continues to be an opportunity to ensure the delineation of responsibility is clear in other published policies. ^{a,e} • There also continues to be opportunity to clarify where ultimate ownership and responsibility for oversight lives (e.g., if recommendations arise from oversight or evaluation activities, who or what department ultimately determines the action(s) to take). ^a

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<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"> • The City disseminates information or makes it available for candidates to view in multiple modes, though the Police Promotions Committee suggested centralizing the location of non-sensitive process information. ^e • The City and OPSA 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 a video information session for Part 2; however, CPD personnel feedback and Police Promotions Committee recommendations indicated a lack of understanding of content addressed in the guides, particularly around the scoring procedures and criteria, suggesting clarification of existing or additional information may be warranted. ^e • Although no feedback was previously provided on exam performance, the City implemented score reports with the most recent processes. ^e • Rank ordered promotion decisions are transparent; however, 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, particularly because of merit promotions. ^e • CPD personnel indicated that merit-based promotion decisions are not understood, and individuals promoted this way are often viewed as illegitimate. ^{a,c}
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<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 (DHR, OPSA) 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 • Responsibility for data integrity, updates and maintenance is not always clear. ^a • Other analyses are only undertaken as necessary based on specific requests, due in part to a lack of resources or available data. ^a

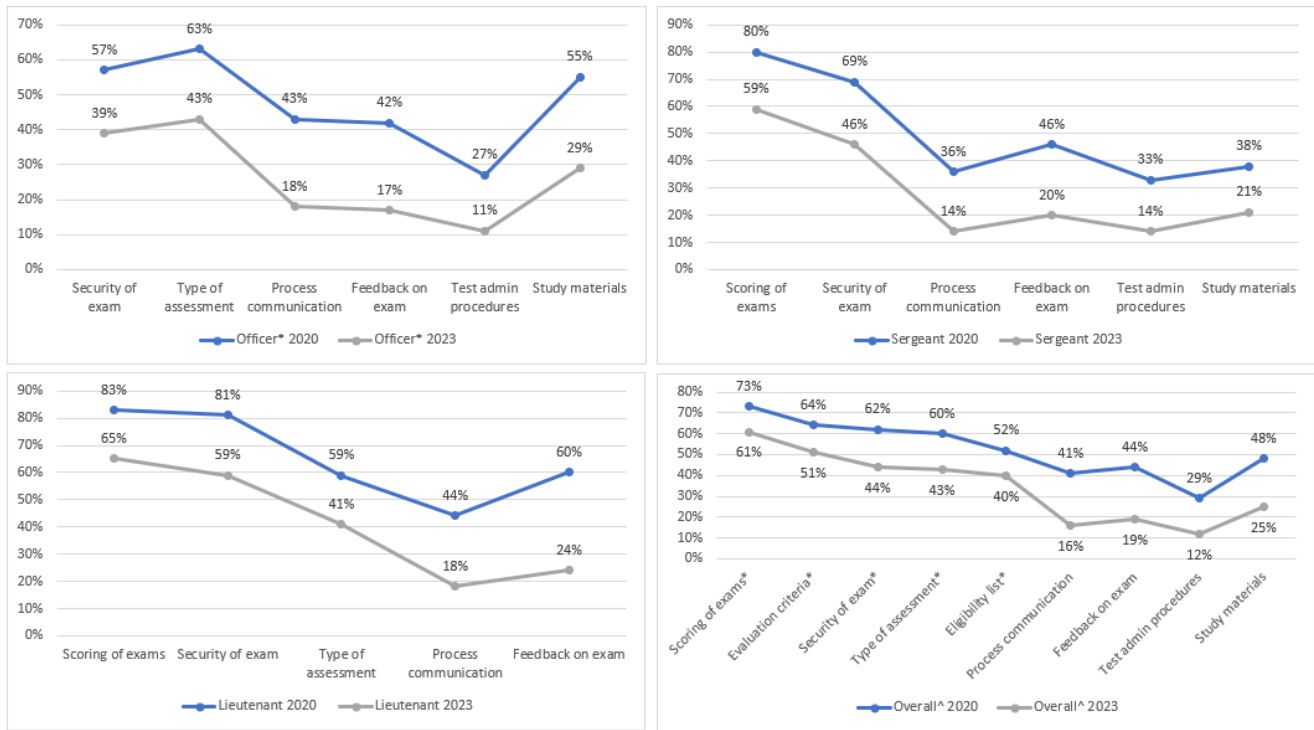
Evaluation Framework	Evaluation Focus	Summary Evaluation Results ²
<p>Documentation/ Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> Availability of written and centralized documentation regarding applicable policies, 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, which could make it vulnerable to version control issues (e.g., other departmental versions of the same directive or guidance, which may have been updated by the issuing department).^a

Summary of Significant Survey Results

Exhibit 2 summarizes some of the largest shifts in survey responses between the 2020 CPD member survey and the 2023 CPD member survey. DCI notes that in 2020, 81% of responding officers, which included officers assigned as detectives, indicated having applied for the sergeant promotion, whereas in 2023 only 60% of responding officers and 90% of detectives reported having applied for the sergeant promotion. In both surveys, most officers who had not applied for sergeant did not meet the time in job requirements when the process was last offered.

Additionally, in 2020, 89% of respondents indicated that the current promotion process frequency (i.e., approximately every 6 years), was too infrequent. However, in 2023, almost 60% of respondents indicated that the new frequency – every three years, is adequate. These results demonstrate that the actions the City has undertaken to improve the sergeant and lieutenant promotion processes have been making an impact.

Exhibit 2. Biggest Differences in Opportunities to Improve the Promotion Processes by Rank and Overall



*Officer results in 2020 included officers assigned as detectives; for the 2023 comparison, officer and officer assigned as detective results were aggregated.

^Overall results for both 2020 and 2023 include the Captain responses.

The categories with an asterisk (*) in the Overall results were the top five listed areas for improvement based on 2020 ratings.

Summary of Recommendations

Exhibit 3 summarizes DCI’s 2023 recommendations, in accordance with Consent Decree 261(f), 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 comparison with relevant professional and legal guidelines. Note that these recommendations are a combination of recommendations continued from 2020, updated from 2020, and some new recommendations. As such, the numbering presents the 2020 recommendation as well as a 2023 version where applicable, and the middle column provides a status of the 2020 recommendation associated with the 2020 recommendation number. DCI presented preliminary recommendations for the City’s consideration in November 2023 and incorporated clarifications from that process into these final recommendations. Below, each of DCI’s recommendations is accompanied by a suggested priority level along with estimated resource requirements and implementation timeframes. DCI proposed the suggested priority based on criticality or centrality toward improving the processes, while professional judgment and experience were employed to estimate the resources and time required. Chapter 5 provides detail around each recommendation.

Exhibit 3. Summary of Recommendations

2020 Rec #	2023 Rec #	2023 Recommendation	2020 Rec. Status	Priority Level	Resources Needed	Time to Implement
261(a) Streamline Responsibility and Oversight						
1	1	Clarify ownership and responsibility for processes.	Complete		N/A	
2	2	Clarify oversight and accountability mechanisms.	Partially complete; refined 2023 focus	High	Low	Short
261(a) Evaluate Eligibility Criteria						
3	3a 3b	Review eligibility criteria. a. Time in job b. Education	In Progress	Medium	Low	Moderate
4	4a 4b	Improve the application fee process. a. Provide a service b. Allow payment online	Not feasible per code; changed focus 2023	Medium	Medium	Long
261(a) Make Process Development Changes						
5	5	Implement a consistent timeline.	Partially complete	High	Low	Short
6	6	Consider updated position requirements in new job analysis.	In Progress	High	Low	Short
7	7	Increase job specification consistency.	In Progress	Medium	Medium	Moderate
8	8a 8b 8c	Consider substantial changes to the promotion process components. a. Discontinue merit, or implement changes at a minimum b. Consider changes to targeted characteristics and factors c. Consider format and structure changes	In Progress	High	High	Long
9	N/A	Limit use of CPD subject matter experts (SMEs) to review test content.	Complete		N/A	
10	N/A	Change assessor parameters.	Complete		N/A	

Sergeant and Lieutenant Promotion Processes –
Review, Evaluation, and Recommendations

2020 Rec #	2023 Rec #	2023 Recommendation	2020 Rec. Status	Priority Level	Resources Needed	Time to Implement
11	11	Reevaluate cut score use.	In Progress	Medium	Medium	Moderate
261(a) Enhance Data and Document Availability						
12	12	Centralize documentation retention across the City.	In Progress	Low	Medium	Moderate
13	13	Establish a central repository to maintain candidate information	In Progress	Medium	Medium	Long
14	14	Consider additional analyses related to the promotion processes.	In Progress	Low	High	Long
15	15	Add to reporting on job content coverage.	In Progress	Low	Low	Short
16	16	Update applicant tracking process documents.	In Progress	Low	Low	Long
17	17	Incorporate new data into the next review.	In Progress	Low	Low	Long
261(b) Consider Discipline in the Promotion Process						
18	18	Consider discipline prior to promotion.	In Progress	High	Low	Long
19	19	Determine the parameters for considering discipline.	In Progress	High	Medium	Long
261(c) Engage in Additional Efforts to Identify and Promote Qualified, Diverse Officers and Sergeants						
20	N/A	Continue efforts to attract new police recruits who reflect a broad cross-section of the community.	Complete		N/A	
21	N/A	Consider additional efforts to attract new, diverse police recruits.	Complete		N/A	
22	22	Establish mentorship programs.	In Progress	High	High	Long
23	N/A	Ensure officers have the opportunity to see sergeants and lieutenants who look like them.	Complete		N/A	
24	N/A	Adopt new phrases to describe approaches that evaluate a broader set of qualities.	Complete		N/A	
25	N/A	Consider data-driven comparisons of representation.	Complete		N/A	
261(d) Increase the Frequency of Promotion Processes						
26	N/A	Consider conducting a new sergeant promotion process in two	Complete		N/A	

2020 Rec #	2023 Rec #	2023 Recommendation	2020 Rec. Status	Priority Level	Resources Needed	Time to Implement
		years, to incorporate these recommendations.				
27	N/A	Conduct promotional processes for each rank at least every four years.	Complete		N/A	
28	28	Project anticipated promotions based on workforce data.	In Progress	High	Medium	Moderate
261(e) Increase Process Awareness						
29	N/A	Increase communication modes with candidates.	Complete		N/A	
30	30a	a. Consider leadership and supervisory courses	Complete; new focus 2023	Medium	High	Long
	30b	b. Consider study material format adjustments				
261(e) Increase Process Transparency						
31	N/A	Consider sharing more process information.	Complete		N/A	
32	32b	Provide candidates with feedback on their performance.	Partially Complete; new focus 2023	Medium	Medium	Moderate
		b. Update Part 2 result feedback/report				

**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*

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). The City has engaged DCI to support the development of the implementation plan and timeline associated with the 2023 recommendations and required to accomplish paragraph 262. Updated information or data may impact the relevance or priority of some recommendations.

Table of Contents

Chapter 1: Background and Introduction	1
<i>The Consent Decree</i>	1
<i>Scope of the Review and Evaluation</i>	2
<i>Organization of this Report</i>	4
<i>About DCI</i>	4
Chapter 2: Research Approach and Methodology	7
<i>Document and Material Review</i>	9
<i>Information Gathering Meetings</i>	11
<i>CPD Personnel Research</i>	14
<i>Data-Driven Research</i>	20
<i>Similarity Review</i>	22
Chapter 3: Overview of the Sergeant and Lieutenant Promotion Processes	24
<i>History of the Processes</i>	24
<i>Process and Timeline</i>	27
Chapter 4: Summary of Findings and Evaluation Results	32
<i>Findings Related to Paragraph 261(a): the processes by which CPD selects candidates for promotion to sergeant and lieutenant</i>	34
<i>Findings Related to Paragraph 261(b): the methods for consideration of each candidate’s disciplinary history in the selection process</i>	50
<i>Findings Related to Paragraph 261(c): the department’s strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community</i>	55
<i>Findings Related to Paragraph 261(d): the frequency of CPD promotional processes</i>	59
<i>Findings Related to Paragraph 261(e): the opportunities to increase transparency and officer awareness about the promotions process and promotions decisions</i>	62
<i>Findings in Addition to Those Required Under the Consent Decree</i>	65
<i>Summary of Findings and Evaluation Results</i>	66
Chapter 5: Recommendations	72
<i>Paragraph 261(a) Recommendations: the processes by which CPD selects candidates for promotion to sergeant and lieutenant</i>	75
<i>Paragraph 261(b) Recommendations: the methods for consideration of each candidate’s disciplinary history in the selection process</i>	84
<i>Paragraph 261(c) Recommendations: CPD’s strategies for promoting qualified applicants who reflect a broad cross-section of the Chicago community</i>	85
<i>Paragraph 261(d) Recommendations: the frequency of CPD promotional processes</i>	87

Paragraph 261(e) Recommendations: opportunities to increase transparency and officer awareness about the promotions process and promotions decisions..... 87

Chapter 6: Conclusion 90

References 92

List of Exhibits

Exhibit 1: Proposed Phases, Timeline, and Alignment in this Report 3

Exhibit 2. Research Stages 7

Exhibit 3. Summary of Information Collection Sources 8

Exhibit 4. Consent Decree Requirement and Associated Critical Materials Reviewed 10

Exhibit 5. Consent Decree Requirement and Focus of Information Gathering Meeting 13

Exhibit 6. Consent Decree Requirement and Focus of Information Gathering Meeting 15

Exhibit 7. Survey Response Demographics 17

Exhibit 8. Focus Group Participant Demographics 19

Exhibit 9. Consent Decree Requirement and Data Analysis Plan 21

Exhibit 10. Consent Decree Requirements and Similarity Review Information 22

Exhibit 11. Sergeant and Lieutenant Process Flow 25

Exhibit 12. Typical Applicant and Candidate Pools Sergeant and Lieutenant Promotion Processes..... 26

Exhibit 13. Sergeant and Lieutenant Promotion Process Years 27

Exhibit 14. High-Level Overview of Process Steps 27

Exhibit 15. Eligibility Requirements for the Sergeant and Lieutenant Rank-Order Promotion Processes..... 28

Exhibit 16. Eligibility Requirements for the Sergeant and Lieutenant Merit Promotion Processes..... 30

Exhibit 17. Promotion Process Evaluation Factors (DCI Framework) 33

Exhibit 18. Candidate Flow Through Promotional Processes 44

Exhibit 19. 261(a) Evaluation Results 46

Exhibit 20. 261(b) Evaluation Results 53

Exhibit 21. Representation of Sex and Race/Ethnicity by Rank 56

Exhibit 22. 261(c) Evaluation Results 58

Exhibit 23. 261(d) Evaluation Results 61

Exhibit 24. 261(e) Evaluation Results 64

Exhibit 25. Biggest Differences in Opportunities to Improve the Promotion Processes by Rank and Overall 67

Exhibit 26. Evaluation Results Summary 68

Exhibit 27. Summary of Recommendations 73

List of Appendices

Appendix A: List of City and CPD Materials Received	A-1
Appendix B: Stakeholder/Informational Meeting Protocols.....	B-1
Appendix C: CPD Personnel Survey Communications	C-1
Appendix D: Chicago Police Department - Promotional Process Survey Content	D-1
Appendix E: Sergeant and Lieutenant Promotion Process Survey Results	E-1
Appendix F: Post-Survey Sworn Personnel Focus Group Protocols.....	F-1
Appendix G: Similarity Survey Distributed to Comparable Police Departments Regarding Sergeant and Lieutenant Promotion Processes	G-1
Appendix H: Summary of Comparable Police Department Similarity Survey Responses Regarding Sergeant and Lieutenant Promotion Processes	H-1

Chapter 1: Background and Introduction

In August 2023, the City of Chicago (City) 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). The City also engaged DCI to conduct an independent expert review and evaluation of these promotion processes in 2020. DCI's research goals in both reviews were directed 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 188 years. The Department is currently divided into 1) the Office of the Superintendent, including the Bureau of Internal Affairs and the Chief of Staff, 2) the Office of the First Deputy Superintendent, including the Bureau of Detectives, Bureau of Counterterrorism and Special Operations, and the Bureau of Patrol which divides into five areas and 22 districts and 3) the Office of Constitutional Policing and Reform, including the Office of Constitutional Policing and Reform and the Training and Support Group. The City of Chicago, as of 2022 data, reported almost 700 homicides that year; Chicago had almost double 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 typically 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.

CPD completed the most recent sergeant promotion process in 2021; however, there have been makeup exams periodically planned and administered since that time. CPD completed the most recent lieutenant promotion process in 2022. The next sergeant promotion process activities have been initiated with the selected vendor, with anticipated administration of the promotion process parts in 2024. The next lieutenant promotion process is planned for 2025.

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 2017⁴, and supporting a report published in 2016 by the Police Accountability Taskforce (PATF)⁵. Both reports were spurred by the release of video showing a White police officer shooting a Black teenager, Laquan McDonald.

³https://www.rit.edu/liberalarts/sites/rit.edu.liberalarts/files/docs/SOC/CLA_CPSI_2023_WorkingPapers/CPSI%20Working%20Paper%202023.02_2022%20US%20City%20Homicide%20Stats.pdf

⁴ https://www.justice.gov/d9/chicago_police_department_findings.pdf

⁵ <https://chicagopatf.org/>

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 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

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 to be completed between August and December 2023, mirroring the proposed approach to conduct the evaluation in 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, all information collection methods are combined into one information collection stage, whereas 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

Project Phases / Steps	Weeks																							
	8/07	8/14	8/21	8/28	9/04	9/11	9/18	9/25	10/02	10/09	10/16	10/23	10/30	11/06	11/13	11/20	11/27	12/04	12/11	12/18				
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, Focus Groups and Interviews, CPD Member Survey, 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 200 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 an anonymous survey distributed 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 other municipal police departments participating in the Major Cities Chiefs Association (MCCA) in the U.S. and Canada, to gather information on their promotion processes⁶.

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, as well as the 2020 recommendations and actions to address those recommendations, to identify areas of strength and

⁶ This was not a formal benchmarking effort but was intended to provide insight to the extent of alignment between CPD practices and those of other departments.

opportunity, that 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 and hold vendor discussions to gather descriptions of 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 consulting firm located in Washington, D.C. Since 2001, DCI has provided expert solutions to hundreds of organizations on complex issues, with particular emphasis on equal employment opportunity compliance and analytics, employee selection and assessment, litigation support, and settlement expert work. All of DCI's industrial/organizational (I-O) consultants have advanced degrees in I-O psychology or a related discipline. I-O psychology consultants 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 psychology consultants 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 Psychology Principal Consultant at DCI in the Compliance and Workforce Analytics Division. 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, Dr. Aamodt was a professor of Industrial and Organizational Psychology at Radford University in Virginia, where he taught courses in employee selection, job analysis, employee training and development, organizational psychology, and forensic psychology. Dr. Aamodt has published over 65 journal articles and book chapters and presented over 160 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. Dr. Aamodt is a past President of the New River Valley SHRM chapter and a member of many professional organizations including SIOP, SHRM, and IPAC. Dr. Aamodt 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.

Amanda Allen, Ph.D., is an I-O Psychology Senior Consultant at DCI Consulting Group. As a member of the Employment & Litigation Services Division, Amanda provides consultation to clients primarily in the areas of employee selection and assessment. Her areas of expertise include employment testing, job analysis, selection process design, and validation strategies. Prior to joining DCI Consulting Group, Amanda worked as an Assessment and Selection Analyst and Manager in the Employment Testing Department at the Edison Electric Institute, where she was part of a team that manages a consortium employment testing program for the electric power industry. Amanda oversaw the development and validation of new test batteries, managed research efforts for the industry, and was responsible for working with member companies to implement EEI's employment test batteries in an effective and legally defensible manner. Prior to that, Amanda was a Personnel Research Psychologist providing consultation in human capital projects at the Department of Homeland Security and Department of Health and Human Services. Amanda received her M.S. and Ph.D. in Industrial and Organizational Psychology from the University of Oklahoma, and a Bachelor of Arts in Psychology from the University of Massachusetts-Amherst.

Melissa Haudek, M.S., is an I-O Psychology Associate Principal Consultant at DCI Consulting Group in the Employment and Litigation Services Division. In this role, she provides consultation and support on a variety of employee selection and equal employment opportunity/affirmative action (EEO/AA) topics. Melissa's primary areas of expertise are in third-party process evaluations, job analysis, as well as assessment development and validation for both private and public sectors. Prior to joining DCI, Melissa worked for over 8 years with the U.S. Office of Personnel Management as a Personnel Research Psychologist where she evaluated and developed 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 and Organizational Psychology from Missouri State University and a Bachelor of Arts degree in Psychology from the University of Oklahoma.

Chad Peddie, M.A., is an I-O Psychology Senior Consultant at DCI Consulting Group in the Workforce Equity Practice Area and over 15 years of experience. Chad is well-versed in leveraging insights gleaned from data to inform strategies for advancing diversity, equity, inclusion, and accessibility (DEIA) across client workforces. He has supported human capital efforts across a range of employee settings (e.g., healthcare, information technology, public safety) in solving problems of interest to various employment sectors (e.g., government, military, corporate, non-profit). To complete projects, Chad has contributed to and led activities involving job analysis, assessment development, organizational analysis, DEIA trending, and measurement of development programs (e.g., training,

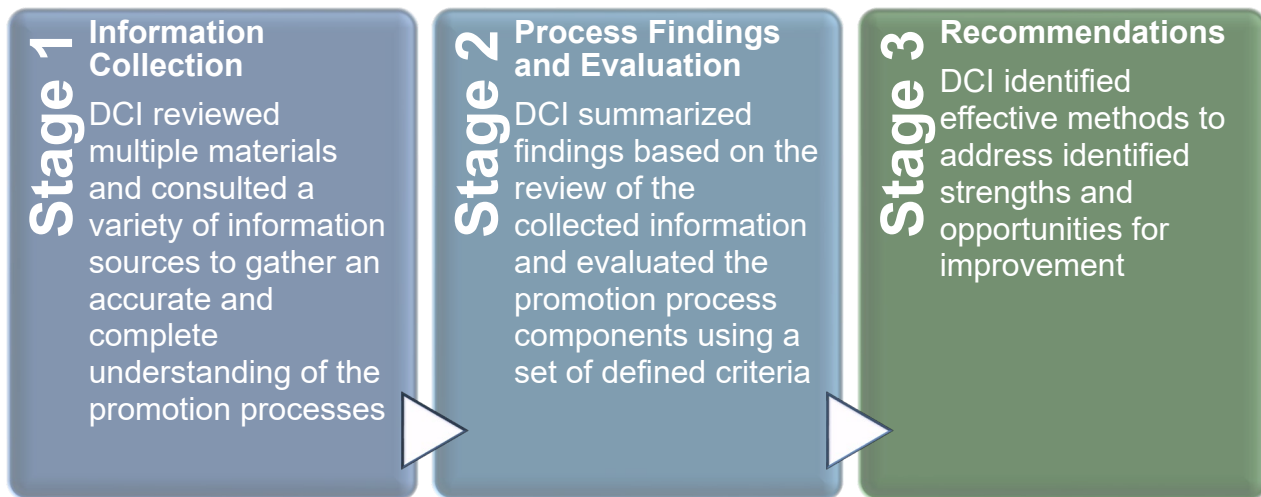
mentoring, sponsorship). Additionally, he believes in contributing to industry literature (e.g., scientific journals, book chapters, white papers) through publications and disseminating findings at conferences. Chad attended George Mason University, where he received a Master of Arts degree in Industrial-Organizational Psychology, as well as a Bachelor of Science in Psychology. He is a current member of the Personnel Testing Council Metropolitan Washington, where he has previously been elected to office, the DC Society for Human Resources Management Chapter, and the Society for Industrial and Organizational Psychology.

Kristen Pryor, M.S., is an I-O Psychology Principal Consultant at DCI Consulting Group with 18 years of experience. Her focus is on assisting clients with the evaluation and improvement of human capital and talent lifecycle systems and processes, with particular focus on selection and promotional processes. Her primary areas of expertise include job analysis, adverse impact analysis, and evaluation of selection and promotion systems, including development and validation of measures. Ms. Pryor's experience includes six years of work developing approximately 100 public safety promotion assessments; federal sector work spanning job analysis, training analysis, and technical management of cross-agency pre-hire assessments; and private sector work involving the entire employment lifecycle, from recruitment to separation. Ms. Pryor received her Master's degree in Industrial-Organizational Psychology from the University of Central Florida. Ms. Pryor is a current member of the Society for Industrial and Organizational Psychology and a Board Director for the International Personnel Assessment Council (IPAC). Additionally, Kristen has published work in the *Handbook of Employee Selection and Industrial and Organizational Psychology: Perspectives on Science and Practice*.

Chapter 2: Research Approach and Methodology

As noted in **Chapter 1**, research for this effort occurred in three main stages between August and December 2023 (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, including an assessment of progress made toward recommendations resulting from the 2020 evaluation. **Chapter 5** presents the 2023 recommendations, including those continued from 2020 and new or updated 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
<p>Documents and materials related to:</p> <ul style="list-style-type: none"> • Consent Decree and related reports • Union agreements • Policies and procedures • Relevant municipal code⁷ • Candidate communications, application information, and test preparation materials • Job information 	<p>DCI reviewed approximately 200 documents to inform the findings and recommendations in this report. The documents included Office of Public Safety Administration (OPSA), CPD and Department of Human Resources (DHR) policies related to the promotional processes; standards, regulations, and bargaining agreements governing aspects of the processes; 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.</p>
<p>Information gathering meetings for historical and situational context</p>	<p>DCI conducted a series of meetings with stakeholders from the City, including representatives from the DHR, CPD, and OPSA, to gather context and historical perspective for current processes and practices.</p>
<p>Data for evaluation and analysis, including:</p> <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 	<p>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).</p>
<p>CPD Personnel Survey</p>	<p>DCI developed and administered a survey, distributed on October 2 (sergeant, lieutenant, and captain) and October 6 (officer), and closed on October 23. 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. Open comment boxes provided opportunity for additional thoughts on several topics.</p>
<p>CPD Personnel Focus Groups</p>	<p>DCI scheduled 15 focus groups with members of CPD on a voluntary basis. Two focus groups were conducted with Union leadership, one focus group was conducted with command staff, and 12 focus groups were scheduled with officers, sergeants, and lieutenants (four at each rank) – though not all scheduled sessions had attendees.</p>

⁷ https://codelibrary.amlegal.com/codes/chicago/latest/chicago_il/0-0-0-2438966

Source	Summary
Input from other municipal police departments	DCI coordinated with DHR and OPSA to develop a survey asking questions related to the requirements in the Consent Decree. The survey was deployed to police department members of the Major Cities Chiefs Association on October 2, and responses were requested by the 23 rd of October, but received through the beginning of November. DCI incorporated data from 2023 respondents and data from 2020 respondents as appropriate. A full benchmarking study was outside the scope of this effort; DCI indicated where additional follow-up may be warranted, as appropriate.
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 ⁸ : the Uniform Guidelines on Employee Selection Procedures (<i>Uniform Guidelines</i> , 41 CFR 60-3) ⁹ , 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 2023. The relevant City department representatives were cooperative in seeking to locate and share materials as identified and requested. 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 each aspect of the promotion process.

⁸ In addition to an evaluation of professional rigor, DCI also incorporated a consideration of CPD personnel perceptions where appropriate.

⁹ 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.

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-developed candidate communications • Appeals, complaints, lawsuits, and previous review findings • OPSA, 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"> • 2020 CPD Sergeant and Lieutenant Promotion Processes Review, Evaluation, and Recommendations Report • Police Board Reports • Disciplinary policies and directives
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 results and communications • OIG Evaluation of the Demographic Impacts of the CPD Hiring Process Report
261(d) The frequency with which CPD should hold promotional exams	<ul style="list-style-type: none"> • 2020 CPD Sergeant and Lieutenant Promotion Processes Review, Evaluation, and Recommendations Report • City Response to DCI’s 2020 Recommendations
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 2023, to identify the initial scope of relevant, available materials, and requested that those materials be limited to those that had been updated since the 2020 review (e.g., materials related to the 2022 Lieutenant process) or that were central to the review (e.g., the sergeant and lieutenant job descriptions). 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 update 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 from the documents and materials review 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 final technical reports for

both the 2019-2021 sergeant process and the 2022 lieutenant process were not complete, document and material review was limited to policies, procedures, candidate communications and other related materials.

Some of the information evaluated on the basis of the technical reports in 2020, was instead addressed via interviews with the relevant vendors for the 2023 evaluation. Therefore, the information gathered via interviews and focus groups is addressed in that section.

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 data¹⁰;
- The City coordinates with a test vendor to create study materials for both parts of the promotion processes, and the study materials include general information about how the parts will be evaluated;
- In both the 2021 Sergeant Part 2 assessment and the 2022 Lieutenant assessment, a score report with additional information was provided to candidates;
- 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, which could make it vulnerable to version control issues (e.g., the same directive locally referenced by different departments, could become outdated).

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 about aspects of the promotion processes. SMEs included representatives from CPD (e.g., Union leaders, Bureau of Internal Affairs (BIA), Patrol), the City (e.g., DHR, OPISA, Legal Affairs), and the vendors that developed the 2019-2021 Sergeant and 2022 Lieutenant promotion processes. The meetings were conducted via video conferencing between September and November of 2023. 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**.

¹⁰ Though DCI did not have access to the final assessment development and validation reports, DCI was able to review the Sergeant job analysis report, and the request for proposal indicating the expected level of rigor. See the next section for more discussion on the vendors' verbal verification of alignment with these practices.

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

Requirement	Information Gathering Meeting Focus
<p>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>	<ul style="list-style-type: none"> • Eligibility criteria review and evaluation • Considerations in development of test components: • Selecting content • Selecting test(s) • Development process • Validation methodology • Considerations in administration of test components: • Consistency • Accommodations • Assessor identification and training • Procedures to ensure standardization • Adequacy of security protocols • Eligibility list creation and use
<p>261(b) Methods for consideration of each candidate’s disciplinary history in the selection process</p>	<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
<p>261(c) Department strategies for promoting qualified applicants who reflect a broad cross section of the Chicago community</p>	<ul style="list-style-type: none"> • Considerations regarding available information or data for this evaluation¹¹ • Considerations regarding efforts currently planned or underway • Impact of efforts to recruit new police officers
<p>261(d) The frequency with which CPD should hold promotional exams</p>	<ul style="list-style-type: none"> • Considerations around decision to increase frequency to every three (3) years • Department member reactions and feedback
<p>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>	<ul style="list-style-type: none"> • Perceptions of adequacy of materials provided and communication methods used for most recent assessments • Frequent questions or clarifications relating to processes • Opportunities to expand or improve transparency and awareness

¹¹ DCI focused this evaluation on comparing CPD’s representation by sex and race/ethnicity, as that data was available.

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

- On August 17 and 18, DCI met with City stakeholders and representatives from relevant departments to review the progress made on recommendations resulting from the 2020 evaluation of the Sergeant and Lieutenant promotion processes.
- On September 5, DCI gathered information on the performance management process.
- On September 12, DCI conducted a focus group to gather details on CPD recruitment efforts and other diversity and inclusion initiatives.
- On September 12, DCI met with BIA representatives to discuss any updates to the discipline process since the 2020 review and to gather insights on opportunities or outstanding concerns related to the consideration of discipline prior to promotion.
- On September 14 and 18, DCI conducted dedicated meetings with DHR to gather more granular detail and context on the process to implement the promotion processes, including vendor selection, administration, application process, candidate communications and preparation, scoring, etc.
- On September 14 and 22, DCI met with OPSA to gather more detail and context on the implementation of the eligibility lists, delineation of responsibility for the processes, etc.
- On November 15 and 21, DCI met with the 2019-2021 Sergeant vendor and the 2022 Lieutenant vendor, respectively, to gather details about the approach to develop, validate, administer, and score the promotional processes.
- Throughout the length of the engagement, DCI also clarified information as needed with stakeholders representing various City departments in regular weekly check-in meetings.

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, ○ Use of eligibility lists, and ○ Merit process
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 new intended 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 and distributed a survey with an anonymous link (i.e., not unique or tied to any individual). The link was disseminated through OPSA. DCI kept the survey relatively short to encourage participation 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 shorter for some respondents than others. To encourage candor in responding, DCI created the anonymous link and did not request any individually identifying information from respondents. DCI included open comment fields requesting insight into study/preparation options, discipline, and the merit process, to provide respondents with the opportunity to express any additional perspectives not adequately covered in the survey question format.

DCI developed the initial survey items by updating the 2020 survey to continue to solicit respondent input on four of the five Consent Decree requirements: process effectiveness (261(a)), discipline as part of the process (261(b)), process frequency (261(d)), and process transparency and awareness (261(e)). The updates for 2023 focused on new or adjusted items relating to topics that shifted in criticality or for which more detail was desired (e.g., added targeted Merit questions, as that practice is now reinstated; edited to add response options to gather additional detail around discipline considerations as well as the benefits derived from third party test preparation services). 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 shown the survey prior to deployment as well. The City also presented the planned survey items to, and received feedback from, the Associate Monitor prior to distribution.

DCI coordinated with OPSA to provide language for advance communication about the upcoming survey that was distributed to all active Sergeants, Lieutenants, and Captains on October 2, 2023, and all active Officers and Detectives on October 6, 2023. The survey was delivered to over 11,600 CPD personnel – approximately 10,067 (86.7%) officers – including over 1,150 officers assigned as detectives, 1,250 (10.8%) sergeants, 265 (2.3%) lieutenants, and 28 (0.2%) captains - via the OPSA mailbox with email language crafted by DCI and OPSA. A reminder was sent on or around October 16 before the survey closed on Monday, October 23. 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 the reported information. A total of 1,821 responses were received; however, of those, 272 were removed for lacking any responses after rank and time in rank or sworn position. A total of 1,549 responses remained, and of those: 733 (47.3%) were officers, 233 (15.0%) were detectives, 447 (28.9%) were sergeants, 115 (7.4%) were lieutenants, and 21 (1.4%) 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. These sample sizes and the representativeness of the respondents provide confidence in the generalizability of the results.

Exhibit 7. Survey Response Demographics

Demographic	Officer	Detective	Sergeant	Lieutenant	Overall*
Tenure					
Mean Years in Rank	13.36	5.84	5.13	3.98	8.99
Mean Total Years Sworn	13.47	18.10	20.23	24.73	17.10
Gender					
Female	137 (18.7%)	34 (14.6%)	73 (16.3%)	12 (10.4%)	259 (16.7%)
Male	399 (54.4%)	122 (52.4%)	241 (53.9%)	69 (60.0%)	841 (54.3%)
Other	2 (0.3%)	2 (0.9%)	4 (0.9%)	1 (0.9%)	9 (0.6%)
I do not wish to provide	101 (13.8%)	52 (22.3%)	89 (19.9%)	23 (20.0%)	271 (17.5%)
Blank	94 (12.8%)	23 (9.9%)	40 (9.0%)	10 (8.7%)	169 (10.9%)
Race/Ethnicity					
Asian	18 (2.5%)	4 (1.7%)	8 (1.8%)	1 (0.9%)	31 (2.0%)
Black or African American	88 (12.0%)	18 (7.7%)	53 (11.9%)	11 (9.6%)	170 (11.0%)
Hispanic/Latino	165 (22.5%)	37 (15.9%)	68 (15.2%)	11 (9.6%)	282 (18.2%)
Native Hawaiian or Other Pacific Islander	1 (0.1%)	1 (0.4%)	0	0	2 (0.1%)
White	149 (20.3%)	49 (21.0%)	117 (26.2%)	34 (29.6%)	358 (23.1%)
Two or More Races	20 (2.7%)	6 (2.6%)	11 (2.5%)	3 (2.6%)	40 (2.6%)
I do not wish to provide	194 (26.5%)	95 (40.8%)	149 (33.3%)	45 (39.1%)	492 (31.8%)
Blank	98 (13.4%)	23 (9.9%)	41 (9.2%)	10 (8.7%)	174 (11.2%)

*Note: Captain information is not reported separately, as there were only 21 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. Because many of the items were asked in 2020, DCI also considered changes in response patterns between administrations in relevant evaluation areas. 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,

- Perspectives on the consideration of discipline in the promotion process,
- 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 met with union leadership representatives in two focus group sessions on September 15, 2023. DCI first met with both the Sergeant and Lieutenant PBPA representatives and subsequently met with the officers' FOP representatives. These meetings served two purposes, the first was to obtain feedback regarding the processes from union leadership and representatives, and the second was to provide those representatives with an opportunity to view the member survey prior to deployment. DCI provided no parameters for union representatives, though current presidents, vice-presidents, and other officials participated in each.

DCI also met with command staff representatives on November 8 to gather senior official perspectives on the processes. Ten (10) participants were selected using a stratified random sampling approach, and five of those participated in the meeting. 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 focus groups (four were scheduled at each rank), focused on gathering context around responses obtained from the survey through October 23 and providing a different forum for other feedback and perspectives relating to the processes. DCI coordinated with OPSA to identify a stratified random sample of personnel to invite to participate in the focus groups. DCI requested the same minimum criteria, overarching demographic expectations, including ethnicity/race, sex, and a mixture of patrol as well as other unit assignments as was defined in the 2020 effort.

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 approximate the demographic makeup of the City, not that of the rank, to be consistent and to address the lower levels 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=40)	Sergeants (n=40)	Lieutenants (n=40)
Race				
White	30%	29%	40%	57%
Hispanic	30%	33%	33%	25%
Black or African American	30%	33%	23%	13%
Other ¹²	10%	5%	5%	5%
Sex				
Female	45%	33%	43%	33%
Male	55%	67%	57%	67%
Assignment**				
Districts	PO -60% SGT - 55% LT -65%	57%	45%	65%
Other	PO -40% SGT - 45% LT -35%	43%	55%	35%

*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 2019-2021 process).

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

The twelve focus groups were conducted between October 27, November 1, November 8, and November 9. 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 five (5), two (2), and five (5), respectively. Those who participated provided useful insight and information, but the small numbers make it difficult to determine whether those perspectives would generalize. DCI did consider whether focus group respondents in 2020 provided similar sentiments in weighing the information received.

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

¹² Data for personnel reporting as American Indian or Alaska Native, Asian, Native Hawaiian or Pacific Islander, and Two or More Races is combined due to low representation in both the department and the community.

- The Merit process continues to be viewed in an overwhelmingly negative light; even those who indicated that the idea of Merit makes sense also tended to indicate that major revisions would be necessary for the Merit process to be perceived as providing utility and legitimacy for meritorious promotions;
- Perceptions about the adequacy of study materials provided by the City or its vendor varied; most who shared the value they perceive from test preparation companies indicated those companies compile the study materials, establish a study schedule with supplemental study materials, and provide more in-depth review and coaching on what to expect as well as strategies for responding to the Part 2 assessment;
- Members indicated frustration with the perception that outside test preparation companies have information about upcoming planned exams prior to union representatives or communication from the City;
- Some members still indicated concern about the security of exam material to the extent that individuals within the Department are involved in exam development;
- Individuals familiar with the last sergeant process indicated perceived issues with the administration of the Part 2 assessment over multiple days;
- Other practices on test day met expectations, despite a few complaints or concerns raised (e.g., long test day sequester times, noise during Part 2 testing);
- A majority indicated the new three (3) year testing cycle would be an improvement, but many also noted that a lack of information about timing and number of promotions often resulted in hardships as promotees often have little notice before being required to report for in-service training;
- Members expressed concern about considering discipline as part of the rank-order promotion process, with reasons including issues with the discipline process, the opportunity for some members to receive more CRs than others, avoiding double punishment, and defining a limited scope of discipline – only sustained, within a certain timeframe, etc.; and
- Communication could be enhanced because many candidates – though some had contradictory views based on the most recent lieutenant exam in particular - still indicated they do not understand the evaluation or scoring process.

Data-Driven Research

DCI approached the preparation for data-driven research by first focusing on the data analysis that was possible in 2020 and then discussing with stakeholders and SMEs what additional data analysis would be possible or useful. As in 2020, the exam vendors are contracted to conduct some analysis related to each exam administration. Many potential data-driven research questions still have not been evaluated and some would still 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 2019-2021 sergeant promotion process and the 2022 lieutenant process, as well as various workforce related data, including performance, discipline,

assignment, education, activity, and awards data for evaluation. As with the document material production, the relevant City department representatives were cooperative in seeking to locate and report the data requested. Occasionally, multiple attempts were necessary to obtain relevant data fields, typically related to clarification of intended scope of the initial request or nuances involved in querying the system of record for the requested data fields. **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 is still being updated in a separate workstream. CPD is still piloting the new performance evaluation system (PES), which would theoretically provide more robust performance information for promotion candidates at some point in the future. The existing performance system is used inconsistently and does not provide reliable performance information on CPD members.

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 vendors¹³ • 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
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

¹³ DCI did have access to some vendor data analyses and discussed other analyses conducted with the vendors in lieu of reviewing the analyses in the technical reports.

Similarity Review

DCI initially developed a Qualtrics survey (included as **Appendix G**) for the City to send to similar police departments, soliciting input aligned to the Consent Decree requirements. The City and the Associate Monitor provided input on the draft survey, which was updated from the 2020 version. The City, via OPSA, sent the requests during the week of October 2 to the police departments participating in the Major Cities Chiefs Association. Designated points of contact were asked to respond by October 23, 2023. **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 8¹⁴ of the surveyed police departments. As a result, and in part due to the lack of overlap between the 2020 and 2023 similarity survey respondents (only two jurisdictions responded to both surveys; only one provided a full set of responses), DCI considered the results across similarity surveys in the evaluation. 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 somewhat aligned with other departments;
- Only five (24%) of the departments across 2020 and 2023 required education above high school to apply for sergeant, though six (29%) indicated requiring other certifications or training, and eight (38%) have an educational requirement to apply for lieutenant;
- CPD’s promotion process parts are similar to the approach of some departments though there was variability in the approaches departments take; DCI also notes that none of the responding departments in 2023 reported having similar candidate pool sizes (e.g., 400 or fewer sergeant candidates and 200 or fewer lieutenant candidates);
- CPD’s non-consideration of discipline is not aligned with most other departments; only one other jurisdiction reported not considering discipline prior to promotions; and
- CPD’s alternative path to promotion (i.e., Merit) is an outlier.

It is important to note that although a comparison of similarities and differences across departments can be informative, such a comparison 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.

¹⁴ Two responses were received from separate contacts in one jurisdiction, one complete and one partial; two additional jurisdiction responses did not answer all sections of the survey.

Chapter 3: Overview of the Sergeant and Lieutenant Promotion Processes

At the conclusion of *Information Collection*, DCI had an updated and improved understanding of the CPD sergeant and lieutenant promotion processes. The remainder of this report uses this understanding to organize the evaluation efforts and 2023 recommendations. This chapter documents DCI's understanding of the promotion processes based on the document and material review, including the 2020 review and evaluation, 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

The City, via DHR and now OPSA, engages with external test vendors to produce the sergeant and lieutenant promotion exams. 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). The assessment exercise(s) format and content has varied between ranks and vendors. Candidates are rank ordered on the eligibility list based on their final Part 2 assessment exercise(s) score. Ties are broken by seniority date and then birth date.

From the mid- to late-1990s through present, except for a pause during the timeframe of DCI's initial independent review, both the lieutenant and sergeant processes include a secondary path to promotion, the "merit process." In consideration of the historical adverse impact that had been observed for minority CPD candidates, the merit process was intended to identify CPD personnel who exhibited exceptional performance and leadership or supervisory potential, though their promotional exam results may not align with that potential. The development and administration of merit process requirements has evolved over time, with the most recent processes including a partnership whereby the test vendor develops and validates the guidelines and oral board interview for meritorious selection and DHR, in partnership with OPSA, coordinates CPD administration of the process.

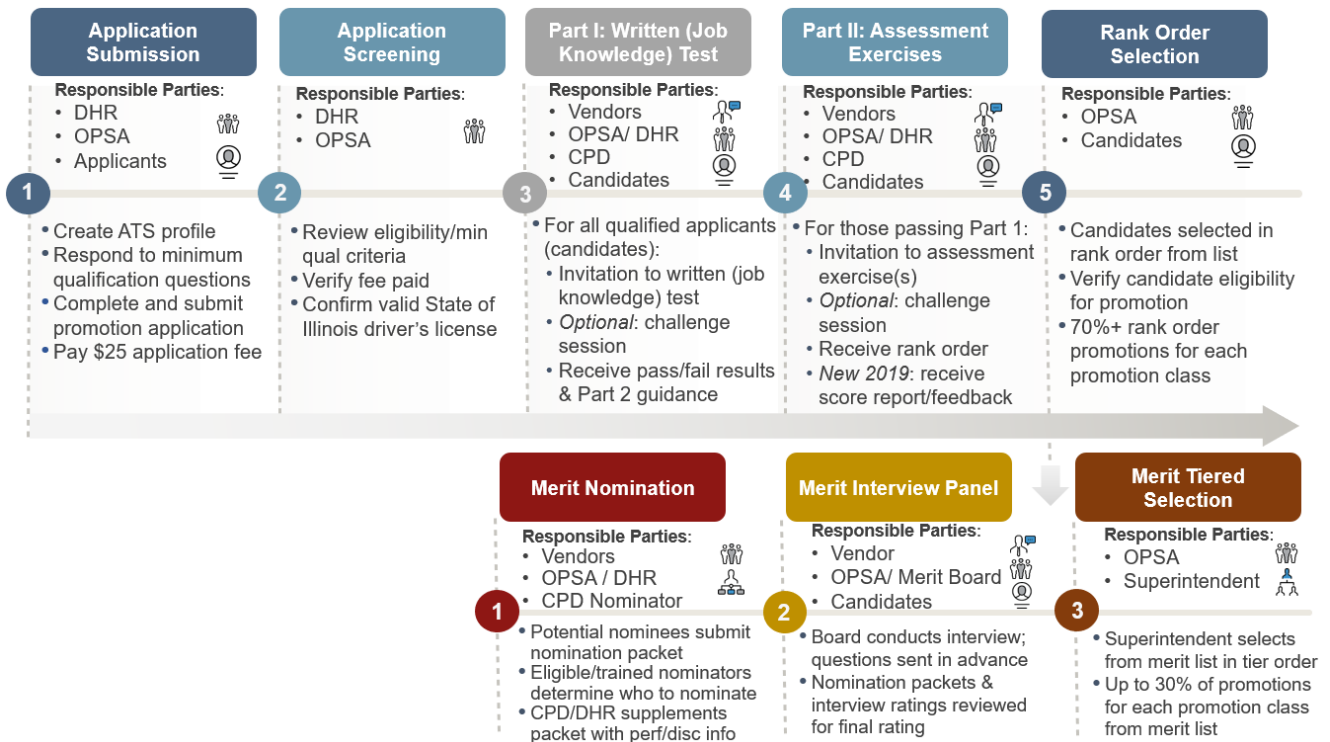
The merit process is initiated with a promotion candidate (potential nominee) who has passed Part 1 of the promotion exam and "completed"¹⁵ Part 2 of the promotion exam being nominated by their Exempt Commander by chain of command. Recent changes now require the nominee to complete the initial nomination packet, to which information about performance and discipline are added for consideration in determining eligibility for nomination. Once formally nominated, merit promotion nominees participate in an oral board interview, with CPD exempt command interviewers, and are scored based on criteria developed by the test vendor. Final scores are grouped into tiers. When making merit promotions as part of a promotion class, the Superintendent may initially select any individual within the highest tier. The Superintendent may also move to the next highest tier at their discretion and without exhausting the individuals included in the top tier. However, once selections

¹⁵ 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.

move to a lower tier, the Superintendent may not go back to make additional selections from a higher tier.

The 2014 Hiring Plan and current promotional process directive stipulates that up to 30% of promotions to sergeant and lieutenant per class can be merit promotions, whereas the remaining 70% (or more) must be promoted in rank order from the eligibility list. All promotion candidates, including those selected to participate in the merit process, must pass the written exam and complete the assessment exercise to be placed on the rank ordered eligibility list; there is no fail point on the Part 2 assessment exercise(s). Typically, the department has made at least two promotion classes each year of an eligibility list. The size of the class is dependent on the rank (i.e., fewer lieutenant promotees in a class than sergeant) and the needs of the department, including budget, filling vacant positions in the next rank, and sufficient coverage in the rank being promoted from to maintain operations. See **Exhibit 11** for a depiction of the process, including the subset applicable to Merit.

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)¹⁶. 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).

As depicted in **Exhibit 12**, applicant pools for both the sergeant and lieutenant promotion processes tend to be large, in line with the size of the CPD overall. Because so many candidates attend Part 2, the overall percentage of candidates promoted from each eligible list tends to be low. The lists prior to the most recent processes had a higher percentage of promotions resulting from a combination of 1) length of time the lists were active, 2) increased officer hiring, 3) increased attrition at higher ranks during the life of the lists, and 4) decreased span of control policies for sergeants based on the Consent Decree. The current lists are not expected to have as high a percentage of promotions because of the shorter active time of the list.

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

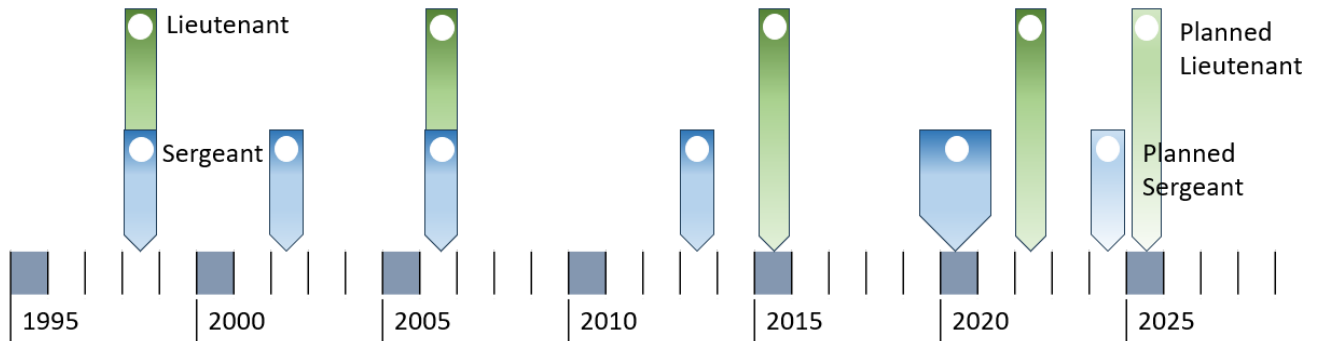
Applicant / Candidate Stage	Sergeant	Lieutenant
Number of Applications	~3500-5300	~800-1000
Percent Passing Written Job Knowledge Test (Part 1)	84-88%	90-95%
Percentage of Promotions from Current Lists	12%	12%

Promotion processes had not been held on a consistent timeline prior to the most recent cycles. Several factors influenced 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** shows the year a promotion process was held over the last 25 years¹⁷. Note that the last two markers indicate the planned administration of a promotion process for sergeant in 2024, approximately three years after the last process was completed, and for lieutenant in 2025, approximately three years after that process was last completed.

¹⁶ For example, 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).

¹⁷ The marker for the most recently completed sergeant process is broad to reflect that it spanned the end of 2019 through 2021, due in part to delays in being able to administer Part 2 of the process because of the Covid-19 pandemic.

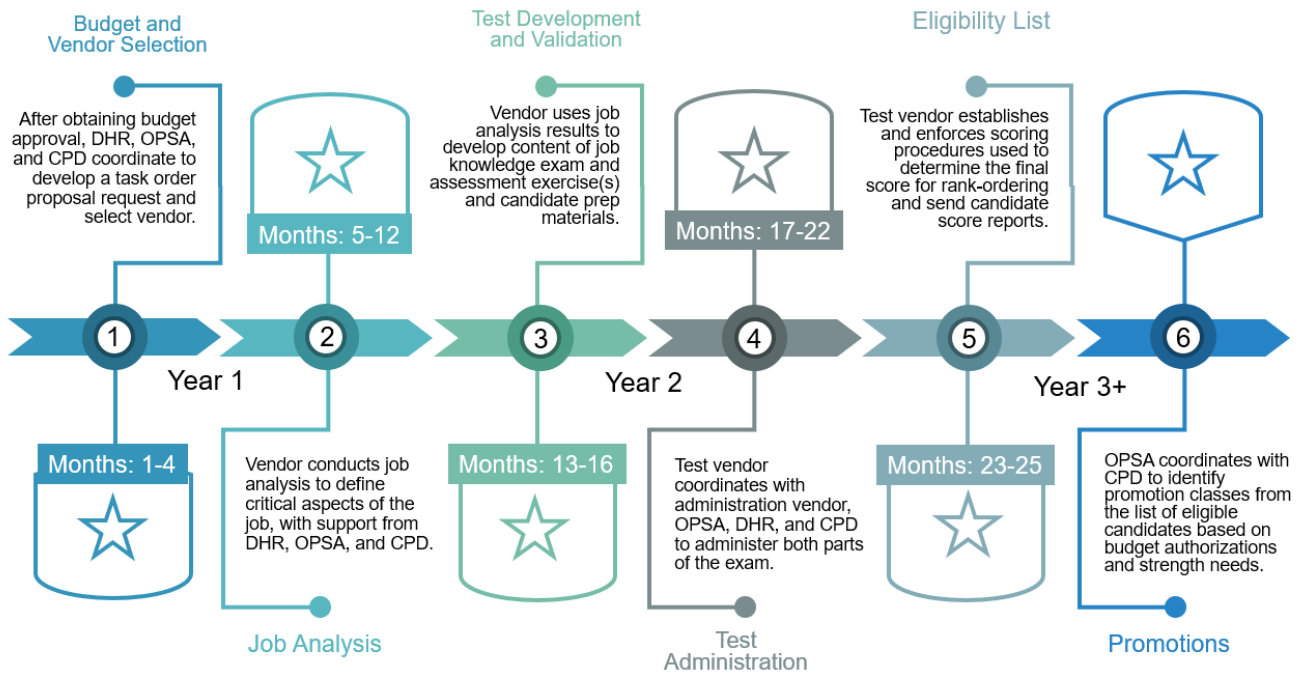
Exhibit 13. Sergeant and Lieutenant Promotion Process Years



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 associated with the rank test promotion process; the same test vendor is also responsible for developing the Merit process for that rank, though the development typically occurs in a staggered manner, such that the merit nominations can be opened after the final rank-ordered eligibility list is finalized.

Exhibit 14. High-Level Overview of Rank-Test Promotion Process Steps



As depicted in **Exhibit 14** above, once budget approval is obtained, DHR coordinates with OPSPA to formalize the requirements for the request for proposal sent to approved vendors. Though the new OPSPA policy indicates this process may be accomplished within 12-15 months now, it can take significantly longer. The proposal process typically takes 3-4 months. The selected vendor then

conducts a 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, which can occur concurrently with the test vendor engagement or later in 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 was historically disseminated beginning approximately 2-3 months in advance of the application window. DCI notes that the City is in the process of increasing the transparency of planned and upcoming processes by posting a two-year timeline outlining potential dates or date ranges for upcoming promotion exam activities. This will vastly increase the notice to potential applicants for these processes and potentially address another area of consistent criticism from CPD personnel – that third party testing vendors obtain and post information about upcoming promotional exams before the City notifies union leaders or CPD members formally.

Applications must be submitted through the applicant tracking system (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 to be promoted from the eligibility list, per the promotion directive.

Exhibit 15. Eligibility Requirements for the Sergeant and Lieutenant Rank-Order 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 	<ul style="list-style-type: none"> - Completed 18 months in active service as a CPD sergeant
	<ul style="list-style-type: none"> - Successfully completed the application process, including paying a \$25 application fee* 	
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 	<ul style="list-style-type: none"> - Completed three full years active service as a CPD sergeant by pre-service training notice date
	<ul style="list-style-type: none"> - Report and verify 60 semester hours of college education** 	<ul style="list-style-type: none"> - Report and verify received bachelor's degree from an accredited university
	<ul style="list-style-type: none"> - Be in full-duty status (not medical roll or leave of absence (unless military), relieved of police powers, on suspension, or suspended pending separation) 	
	<ul style="list-style-type: none"> - Valid State of Illinois Driver's License 	
	<ul style="list-style-type: none"> - Not be indebted to the City (DHR Rule 18, Item 52) 	
	<ul style="list-style-type: none"> - City resident* 	

* 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 several categories of applicants, including veterans and individuals with law enforcement related experience who are eligible to substitute that 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 has, in recent times, been each candidate’s 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 gathering and organizing the study materials as well as studying and preparing for the exam.

All 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 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 the test day. Identifying information is removed before the responses are securely sent to the test development vendor for initial scoring; most recently the City is requiring a two-day turnaround for preliminary scores. Item appeal (or challenge) sessions allow candidates to indicate perceived issues relating to particular items. Candidates can bring their scantron copy to the challenge session and manually score their written exam, understanding that the final score is dependent on the outcome of appeal reviews. 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.

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 2019-2021 process had candidates participate in an oral response exercise. Because of concerns about the number of days needed to assess sergeant candidates in an oral assessment format, the 2024 promotional exam is expected to return to a written exercise format.

Lieutenant candidates have typically participated in two assessment exercises – one written and one oral response. However, in 2022, both assessment exercises were delivered in a video format with oral responses. Oral responses are audio recorded, and all assessment exercises are scored by assessors asynchronously (i.e., not on the day or days of testing). 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 has been refined to address concerns about its use and implementation. First, only candidates on the rank ordered list who also meet additional merit criteria (e.g., lack of sustained discipline within the preceding 12 months or multiple within the past five years) are eligible for nomination by an exempt command staff member or director. After merit was reinstated in 2021, the nominator rules were revised to require that 1) nominators attend training prior to making nominations and 2) only candidates within the nominator’s direct chain of command may be

nominated by that nominator. Second, in the most recent merit processes, the burden of preparing the supporting nomination packet - including a cover letter, resume, two letters of recommendation, complimentary history, and behavioral evidence of assessment dimensions - has been shifted to the candidate being nominated. OPSA HR provides a verification of educational attainment, disciplinary history, use of medical roll, attendance, and performance evaluations. Nominators are still responsible for preparing the official nomination and hire certification forms.

All this information is used to vet that nominees meet minimum qualifications, as identified in **Exhibit 16**, for merit-based selection prior to being invited to participate in the merit board oral interview process.

Exhibit 16. Eligibility Requirements for the Sergeant and Lieutenant Merit Promotion Processes

Sergeant Minimum Qualifications	Lieutenant Minimum Qualifications
- Passed the written qualifying exam (rank-order Part 1)*	
- Completed the oral assessment** (rank-order Part 2)*	
- Served five (5) full years beyond probationary period as an active career service CPD officer	- Completed three full years active service as a CPD sergeant by pre-service training notice date
- Report and verify 60 semester hours of college education**	- Report and verify received bachelor's degree from an accredited university
- Received performance ratings of "Meets" or "exceeds" performance expectations for the last five years*	
- Meet disciplinary standards (no sustained CRs with >7 days in previous 12 months & <3 sustained CRs with any suspension in last 5 years)*	
- Meet attendance and medical roll call standards (no unauthorized absences in previous 12 months; fewer than 9 medical incidents or 45 days medical in previous 3 years; no pattern of medical roll abuse)*	
- Be in full-duty status (not medical roll or leave of absence (unless military), relieved of police powers, on suspension, or suspended pending separation) and able to perform the essential duties of the job*	
- Not be indebted to the City (DHR Rule 18, Item 52)*	

*Applicable to both sergeant and lieutenant

**Part 2 for the most recent sergeant and lieutenant processes was completed orally; future processes may include a written assessment component in Part 2.

Candidates also participate in a Merit Board (i.e., command staff) oral interview developed and validated by the test vendor. The test vendor prepares study guide material, most recently including providing the interview questions in advance. The final score from the total package places candidates in a tiered list for merit promotion. The Superintendent has discretion to select anyone within the current tier, starting with the highest scoring tier. The Superintendent also has discretion to not select everyone in a tier, and instead elect to move to the next tier. Once selections are moved to the next lower tier, the higher tier is effectively closed, as no additional promotions from that tier are permitted (the Superintendent cannot go back into that tier to select). Merit promotion lists are occasionally exhausted or replaced, wherein exempt command staff would be requested to start the nomination and interview process again, considering only members on the current rank-order eligibility list, 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. Because this evaluation was initially completed in 2020, in some cases, the resulting recommendation is a continuation of a 2020 recommendation. In other cases, the 2023 evaluation led to an update or refinement of a 2020 recommendation, or a new recommendation driven by actions taken since the last review.

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 17** 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 17. Promotion Process Evaluation Factors (DCI Framework)

Evaluation Framework	Evaluation Focus ¹⁸
Promotion Process Development and Content <i>Primarily evaluates 261(a), but also 261(b-e)</i>	<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 <i>Primarily evaluates 261(a), but also 261(b-e)</i>	<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, including the frequency with which the list is refreshed ^d
Accountability/ Oversight <i>Primarily evaluates 261(a) and 261(e)</i>	<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 <i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i>	<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 members with diverse backgrounds 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 <i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i>	<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 <i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i>	<ul style="list-style-type: none"> • Availability of written and centralized documentation regarding applicable policies, procedures, and processes ^a

For each factor in **Exhibit 17** above, the key drivers of that evaluation are noted in the evaluation results sub-section for the relevant Consent Decree requirement. The last section of this chapter

¹⁸ The sub-paragraph of the Consent Decree most closely aligned with the evaluation focal area is listed in superscript after each statement.

provides an overall summary of the evaluation results. The next chapter presents the recommendations stemming from these findings and evaluation results.

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

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 questions¹⁹.

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 the Office of Public Safety Administration (OPSA)) and CPD have written procedural guidance related to the promotion processes. In the previous evaluation, the DHR process documentation outlined the various parties involved in or responsible for specific steps as well as the approximate timeline necessary to complete a promotion process²⁰. CPD's written guidance defines the critical aspects of the job, the eligibility requirements to apply for promotion – including both the rank-order directive and the merit-based selection directive, general steps in the process²¹, and use of the eligibility lists. The newly created OPSA has taken over responsibility for the CPD HR functions referenced in the 2020 evaluation and has also established interagency policies (IAPs) and its own guidance, for example, defining responsibility for oversight and evaluation of the effectiveness of promotion processes, in accordance with the Consent Decree requirements as well as promulgating a new policy that defines the roles and responsibilities for developing and administering promotional processes across CPD.

See **Exhibit 14** in **Chapter 3** for a high-level overview of the rank-test promotion 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, including a provision to develop the Merit process. The City typically engages a separate vendor to administer the rank process, though some

¹⁹ 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.

²⁰ See the findings related to Paragraph 261(d) for a discussion of the timeframes associated.

²¹ Unlike some jurisdictions, neither the union agreements nor the City municipal code includes substantive, proscriptive requirements related to the promotion processes, with some minor exceptions (e.g., eligibility considerations in the code or limitations on disciplinary consideration in the Sergeant PBPA agreement).

vendors are qualified to perform both services. DHR maintains oversight of the vendors. The test vendor's responsibilities include:

- Conducting a job analysis to identify and confirm the critical aspects of the job prior to promotion test development, including 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, one or more assessment exercises for Part 2, the Merit oral board interview)²²;
- 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;
- 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 equal employment opportunity related 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 does not apply to promotions to these ranks, except in rare circumstances.
- In response to paragraph 253 of the Consent Decree and as set forth in *IAP 07-02 CPD Sworn Member Promotions*, DHR coordinated the assembly of a Police Promotions Committee (PPC) consisting of representatives from several City entities, including: HR, OPSA, CPD, and the Department of Law. The asserted purpose of the PPC is to assess the extent to which promotion practices are lawful, fair, and consistent with professional practices, relevant laws,

²² See Chapter 3 for more detail on the typical focus and format of the tests in each Part for each rank.

and the Consent Decree. DCI was provided with a report summarizing the PPC's assessment of the 2019-2021 sergeant promotion process, conducted in 2022.

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 34.1.2²³, however, appeals for assessment exercises are also now included in the process, beginning with the 2019-2021 sergeant Part 2 assessment. DCI notes that outside of the CALEA standard, there is not a professional or legal requirement to offer an appeals process, though it is standard practice across most jurisdictions to at least offer such an appeals process for written job knowledge exams. Across the 2020 and 2023 similarity surveys, only 30% of responding jurisdictions indicated having established appeals procedures for both written and other assessment components, while 45% indicated having an appeal process specific to the written exam. One jurisdiction indicated not having any appeals procedure; the remainder indicated having some appeals procedure, but it was not clear which components were covered.

Eligibility criteria

As a preliminary matter, prospective applicants for promotion must complete the application in the City's Applicant Tracking System (ATS). The application is set up with several questions, including some that are the basis for disqualifying an applicant from further consideration (e.g., City resident status). DCI did not solicit input from CPD members specifically about the application process and did not receive unsolicited feedback in either the survey or focus group settings. However, DCI did review the PPC findings from the 2019-2021 sergeant process. That review recommended streamlining the application by simplifying the language to cut out unnecessary words, and making the required fee payable online.

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). Some requirements are in line with those reported by or observed in other departments. Key findings across both the 2020 and 2023 responding jurisdictions included:

²³ This standard requires a written directive to describe procedures for review and appeal of results for each promotional element by candidates and includes the following commentary on the requirement: "The right of candidates to review and challenge all aspects of the promotion process is an integral part of the process itself. Candidates should be allowed to review and appeal all scores and evaluations related to their performance in the process to ensure fairness and impartiality. The administrative review and appeal process may be conducted by individuals from within and / or outside the agency. An impartial review and appeal process should reduce or eliminate formal grievances and legal challenges."

- Time in job requirements ranged from 2 to 7 years, with a 5-year requirement being most frequent. Only NYPD, which also tests less frequently, aligned with the Chicago approach of requiring fewer years to take the exam than to be eligible for promotion.
- 25% of responding jurisdictions require post-high school education to apply for promotion to sergeant, though another 30% require other certifications or training; 40% of responding jurisdictions require post-high school education for lieutenant.
- The application fee practice is not common - DCI is only aware of two other large departments (i.e., NYPD, Boston) that may also still use this practice; NYPD confirmed this practice in their 2020 response, but neither responded to the 2023 similarity survey.

Survey and focus group responses indicated that the current eligibility requirements are perceived as adequate, with exceptions noted below:

- In the survey, 25% of respondents indicated that the requirements to apply for promotion could be improved. Survey comments and focus group participants indicated that:
 - 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. Particularly given the increased frequency of promotions, it was noted by some that it would make sense to have a higher time in rank requirement to test and not a separate time in rank requirement to be promoted.
 - The education requirement is not consistently perceived as 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 (e.g., receive a point value in a point focused system) and that it was an indicator of motivation for promotion.
 - The fee perpetuates a “pay-to-play” connotation; this sentiment was only expressed by a few personnel, and only approximately 16% of respondents indicated that the fee impacted their decision on whether to apply for promotion to a moderate or great extent. The historical purpose of the fee was to ensure applicants demonstrated a personal stake in the process.

Process component development

In accordance with the contract, the test vendor conducts a 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 job²⁴. Since at least 1998, the City has used substantially similar test types²⁵, 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 exam²⁶ and assessment exercise(s)²⁷ 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 as an example, decided to administer an oral exercise instead of a written exercise at the rank of sergeant for Part 2 of the 2019-2021 sergeant promotion process. Test format options for these processes have historically been limited by: 1) the volume of applicants (i.e., 3,500 to 5,000 candidates for sergeant and 800 to 1000 for lieutenant), 2) concerns about test content being compromised, 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 process parts, in 2020 approximately 60% of survey respondents indicated there was opportunity to improve the type of test(s) used in the promotion process, but in 2023 that improved to 43% of survey respondents indicating the type of test(s) as a top five area of improvement. 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 or wrong answers) and method of administration (potential for quick and objective scoring). However, DCI received conflicting feedback from members in the survey and focus groups, with some indicating the totality of reading material is too cumbersome and should be more

²⁴ Test vendors provide a technical report detailing the development, administration, results, and validity efforts after each process. However, neither the 2019-2021 sergeant technical report nor the 2022 lieutenant technical report were available for DCI review. DCI used vendor interviews to collect additional information typically gathered via the technical reports.

²⁵ See Chapter 3 for a detailed description of the promotion processes, including the test types.

²⁶ 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).

²⁷ 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).

narrowly tailored²⁸ and others indicating the material is important to know, but that more of the content is important to be able to reference quickly, with a smaller subset of material that should be memorized. The 2023 survey asked members to indicate whether they felt it was necessary to pay for a test prep vendor to do well on the promotional exams, and 56% stated they did. In providing context for that answer, open responses were fairly evenly distributed across four main types of support the test prep vendor provides: 1) structure – organizing, streamlining, and supplementing the reading material as well as setting a schedule for studying; 2) explanation – what to focus on when studying, what to expect on the test, what the material means, etc.; 3) strategies – how to figure out the right answer on a multiple-choice exam, how to maximize points in the assessment exercises; and 4) practice – more illustrative examples and practice exams/scenarios.

Survey responses and focus group participants had mixed feedback regarding the assessment exercise(s). The feedback from members familiar with the most recent sergeant process indicated that there was a perception that holding the assessment over multiple days, despite employing different versions for each day, still provided candidates testing on the last day an unfair advantage over those who tested the first day. DCI did not receive information to indicate that significantly more candidates scored well on the last day than the first day. Some members indicated that it would be ideal to include a broader variety of assessments (e.g., some job knowledge component, oral response, written response, consideration of department standing) but understand that the number of candidates makes it logistically difficult. Some feedback still reflected a concern that the use of raters provides greater opportunity for subjectivity and potential unfairness because of individual differences in rating²⁹.

Some survey comments³⁰ 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)³¹, performance, and discipline or adding physical fitness evaluations or interview boards to provide more well-rounded views of candidates for promotion. However, it was noted by some members that potential credit for FTO status should be tied to either a longer tenure (e.g., 3-5 years in the role) or recognized performance in the role, based on the perception that

²⁸ Only 25% (2023), compared with 55% (2020), of survey respondents indicated the preparation material could be improved, and of the open comments related to preparing for the exam, many specifically mentioned that test prep vendors support in organizing, streamlining, and explaining the focus of the study material.

²⁹ 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).

³⁰ The same report that was mentioned in the 2020 review was again referenced in the 2023 review. The report was written by a then sergeant, now lieutenant, and is a staff study report associated with coursework for Northwestern University's Center for Public Safety School of Police Staff and Command (Thompson, 2020). The report focuses on proposed changes to the promotion process, namely instituting a point system like one used in the military.

³¹ 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.

changes the City has made to entice more officers to become FTOs have made the distinction alone more murky as to whether it deserves credit. The PATF report also found it notable that the lieutenant process does not consider a sergeant's performance or performance 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 also implemented additional security measures for the 2019-2021 sergeant process and continued through the 2022 lieutenant process to limit the access any one CPD SME had to secure test content prior to test administration. This included implementing a policy that no single CPD SME sees the full test content and CPD SMEs are not permitted to hold study groups.

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

- There have been various cheating allegations and scandals dating back to at least the 1980s, including the 2015 lieutenant test allegations around SMEs and private study groups.
- There is a 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.
- Of note, there was significant improvement in the survey results relating to the percentage of members indicating test security was a top concern – over 60% overall in 2020 compared to 44% overall in 2023, including 59% of lieutenants rating this as a top five concern in 2023 compared to 81% in 2020, and notable drops at each rank down to 38% of officers. This appears to support that the changes enacted for the most recent processes were successful in mitigating the potential for internal SMEs to share or be perceived as having shared secure test information.

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, 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.
- A few focus group participants indicated that large-scale multiple-choice testing does 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 process was distracting because candidates could hear others responding while trying to formulate their own response.
- 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 potentially have the advantage of hearing about the process from others.

Merit promotion process

In consideration of the historical adverse impact that had been observed regarding minority CPD candidates' performance on the promotional exams, the merit process was intended to identify CPD personnel who exhibited exceptional performance and supervisory or leadership potential, though their promotional exam results may not align with that potential. The test vendors for the 2019-2021 sergeant and 2022 lieutenant processes created the content for the Merit Interview Board, in addition to the Part 1 job knowledge and Part 2 assessment exercise parts.³² The vendors will include the documentation of that development and validation effort associated in the overall process technical reports. CPD requests new merit nominations from command staff when merit candidates are depleted or when a new merit list is desired, and a merit interview process is conducted with the new nominees to establish the new merit list. Candidates must have passed the written qualifying job knowledge exam (Part 1), and "completed"³³ the assessment exercise(s) (Part 2), in addition to other eligibility requirements as noted in **Exhibit 16**, to be eligible for nomination or consideration under the Merit promotion rules. DCI's review of the Merit process identified the following:

- 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."³⁴ These perceptions are not new and have been documented previously in other reports (e.g., DCI's 2020 review and evaluation, the 2017 DOJ report).
- Though some personnel indicate knowing at least one meritoriously promoted sergeant or lieutenant who embodied the ideals of the process, most promotions via this method are perceived to lack legitimacy.
- Specific aspects of the process lacking the trust of personnel include: the nomination process – though there is acknowledgement around some recent changes, the use of CPD exempt

³² Though the 2019-2021 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 until it was reinstated.

³³ 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.

³⁴ See the survey response text analysis section of Appendix E for more details on these sentiments.

staff to conduct interviews, and perceptions that requirements for nomination and promotion via merit are not uniformly applied.

- The PPC recommended that the process be amended to allow for self-nomination, to eliminate the perception issues surrounding the nomination portion of the merit process.
- Many open-ended survey comments (7%) specifically indicated that the requirements, qualifications, standards, criteria, etc. pertaining to initial Merit eligibility, actual nomination, and ultimate selection from the Merit list should be defined and published. Some of the requested information is provided in the 2022 sergeant and lieutenant merit selection process nomination manuals, though the manuals appear to be primarily or only shared with nominators and nominees.
- Survey and focus group respondents indicated several refinements should be implemented if the process is to continue, including overhauling the nomination process or instead incorporating some of the merit considerations in the broader rank-order promotion process (e.g., by allotting points for complimentary history or experiences³⁵), reducing the maximum percentage of each promotion class that can be Merit selections (e.g., 10-20% instead of up to 30%), including external raters to evaluate nominees, and promoting some number of members from the rank order eligibility list prior to making merit promotions (e.g., promote a percentage or a certain number, or make the merit promotions the last class(es) of the list³⁶).

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 sergeant³⁷, or more than half of the eligible candidates for lieutenant³⁸. DCI's review identified that:

³⁵ Several survey comments indicated they would be open to one promotion process that includes some evaluation of job knowledge, points for other relevant factors such as experience, assignments, education, activity, complimentary history, lack of discipline, medical use, and some consideration of leadership skill or potential.

³⁶ These comments were addressing the perception that Merit promotees in the first classes of a new eligibility list get to accrue seniority in the next rank ahead of members who scored higher on the list.

³⁷ More sergeants were promoted from the list in effect prior to and during the 2019-2021 process, in large part because of the length of time the list was active.

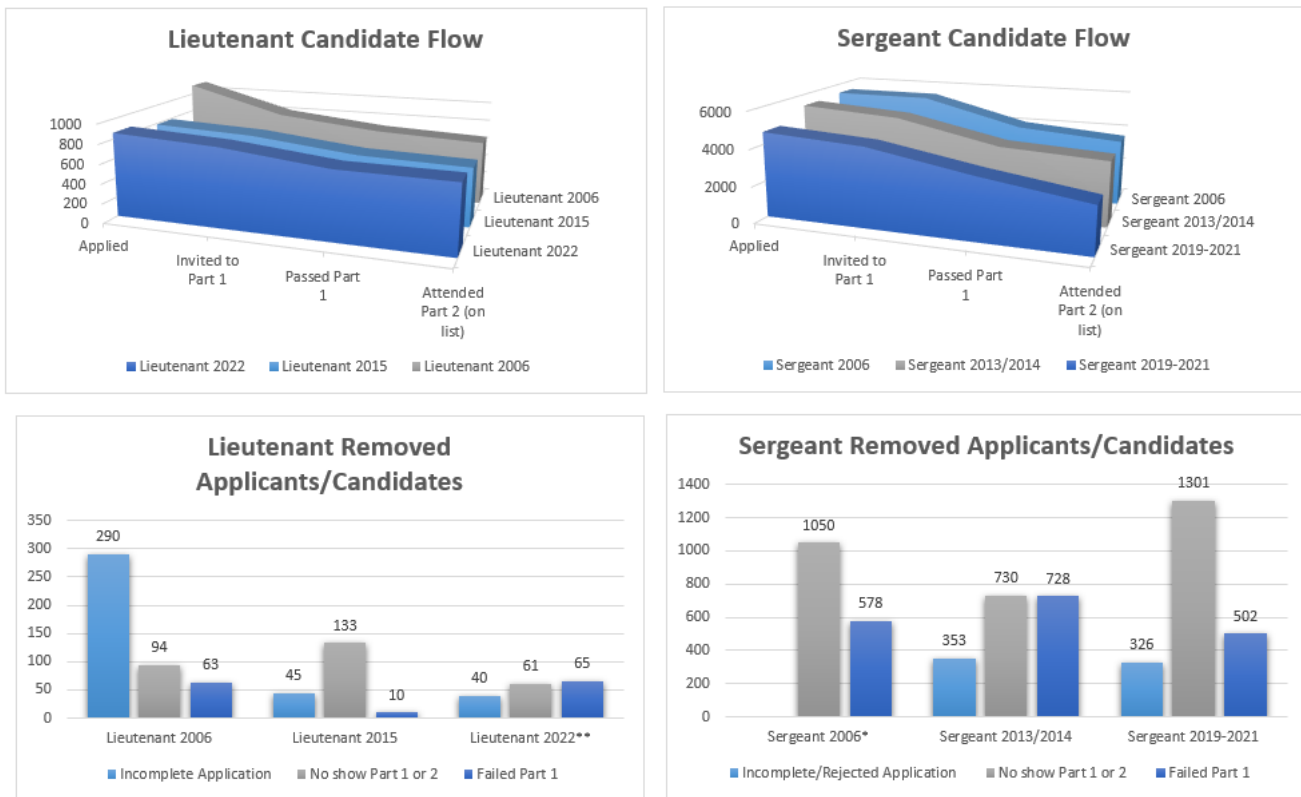
³⁸ Typically, fewer than 35% of the eligible candidates on a lieutenant list are promoted, but more than that were promoted from the 2015 lieutenant list, which was active into 2022. However, going forward there will likely be a lower promotion percentage due to a shorter life of each list.

- Many Department personnel, based on survey and focus group feedback across both 2020 and 2023, particularly relating to the sergeant promotion process, believe the cut score is set low or set after the test is administered to allow specific people to pass; note that none of the information collected or reviewed by DCI provided support for this perception and the processes in place for cut score setting do not consider individual member performance, but instead involve descriptive and statistical evaluations.
- Requiring Merit nominees to pass the Part 1 written exam is counterintuitive for a secondary path to promotion purporting to support candidates, agnostic of their test performance, as written job knowledge exams tend to be among the types of tests some candidates may not do well on, despite having other leadership and supervisory qualities.
- For the lieutenant rank, only 65 (9%) failed Part 1 in 2022, 10 candidates (2%) failed Part 1 in 2015, and only 63 (8%) failed Part 1 in 2006. In the previous review, DCI noted that a larger percentage of applicants either did not complete the application process or did not show to the exam process than failed Part 1. However, for the 2022 process, only about 70 applicants either did not complete the application or didn't show for the Part 1 test, and an additional 11 did not show or dropped at Part 2, despite passing Part 1 (see **Exhibit 18** 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. DCI will note that the 2019-2021 sergeant process saw a more significant drop in the number of candidates who passed Part 1 but did not show to Part 2, though several factors may have contributed to that result based on information obtained via the survey and focus groups: 1) the length of time between Part 1 and Part 2 – in part because of the Covid-19 pandemic, 2) the changes in status or intentions regarding promotion between the parts – including those who noted a distrust of the process generally, and 3) other plans conflicting with the Part 2 dates (see **Exhibit 18**).
- DCI confirmed with both the 2019-2021 sergeant and 2022 lieutenant vendors that assessors for the Part 2 assessments were law enforcement personnel from around the country – though some were recently retired. Both vendors also confirmed that they did consider and plan for diverse representation on assessor panels, including considerations of sex, race/ethnicity, and department factors. CPD command staff comprise the Merit Board conducting the merit interview panels.
- Survey responses and focus group feedback from several participants still indicated a deep skepticism around the scoring process for the assessment exercises (61% of survey respondents indicated scoring was an area that could be improved, coupled with 51% indicating the evaluation criteria – or what is scored – could be improved). Note that this is an improvement from the 73% indicating the same in 2020. For some, this skepticism still stems from previous issues (e.g., the 2015 lieutenant test), while others expressed general concern around the likelihood multiple raters interpreting candidate responses would be consistent and

accurate, particularly focusing on concerns around whether assessors have sufficient law enforcement and Chicago policy understanding.

- Despite general reference to the process for scoring assessment exercises in the written study guides, a substantial majority of survey responses indicated having no (51%) or very little (24%) knowledge about how a final assessment exercise score is derived, which was substantiated in some focus group sessions and open comments about the value perceived from third party test preparation vendors. However, DCI observed that in at least one lieutenant focus group session, this perception was refuted with a participant stating that the 2022 score report clearly explained how the final score was derived.

Exhibit 18. Candidate Flow Through Promotional Processes



*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.

**The Taleo data for the 2022 Lieutenant process does not appear to have been updated to reflect an additional 13 completed applications that ultimately paid the fee and were invited to Part 1. DCI’s value for incomplete applications accounts for this by reporting 13 fewer incomplete applications.

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. Approximately 70% of promotions through December 2019 were made in rank order; between December 2019 and February 2022, 100% of promotions were in rank order³⁹. Since 2021, the reinstated Merit process returned to 70% or more promotions from each class from the rank-order list, with the remainder, up to 30%, consisting of Meritorious selections. 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. 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), training academy timelines, and budget availability.
- Several survey and focus group respondents expressed frustration with the lack of information around promotion timing, including the brief time between a promotion announcement and the requirement to report to pre-service training.
- Only union leadership and OPSA 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 analysis⁴⁰, align content of tests to content of job via content validity research, apply practices to ensure consistency in administration).

³⁹ In December of 2019, Interim Superintendent Charlie Beck rescinded the order authorizing merit promotions. New Superintendent David Brown reinstated the merit process in 2021.

⁴⁰ DCI's findings indicate test vendors conduct a "full" job analysis for each process because that is the level of job analysis agreed to in the contracts. In this context, a "full" job analysis refers to using multiple methods and approaches to collect information (e.g., existing information, ride alongs, focus groups, surveys) to identify and define the job tasks and knowledge, skills, abilities, and other characteristics (KSAOs) as opposed to a job analysis "update", which would focus on evaluating whether adjustments (edits, adds, removals) are needed to an existing list of tasks and KSAOs. DCI is not suggesting that a full job analysis is always necessary, particularly as the frequency of processes is increased. One rule of thumb often applied by federal enforcement agencies is that a competent job analysis is typically considered to remain current for five (5) to seven (7) years, dependent on factors such as whether there has been a known shift in how the job is performed or what is expected of an incumbent in the job (Gutman & Dunleavy, 2012).

Since the 2020 review and evaluation, the City has made progress on some of the 17 recommendations, though only three were fully completed. That said, **Exhibit 19** 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.

Exhibit 19. 261(a) Evaluation Results

Evaluation Framework ⁴¹	Evaluation Drivers
<p>Promotion Process Development and Content</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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. • Survey comments that identified critical qualities for promotion most often cited leadership, assignments, complimentary history, or job knowledge as aspects important to consider. • The eligibility criteria appear reasonable, some are in line with other departments surveyed, and were viewed as appropriate by a majority of CPD survey respondents. • The increase in promotion exam frequency and changes to the number of exemptions allowed for education credit requirements for new officers may impact the continued appropriateness of certain eligibility criteria. • A small number of CPD personnel indicated the time in rank requirement for promotion to sergeant should be increased (e.g., 5 years to test; 7 years to promote). A few indicated education requirements should be substitutable for military or other leadership and supervisory experience. • Approximately 16% of CPD survey respondents indicated that the application fee impacted their decision to apply for promotion to a moderate or great extent. For those, it usually was coupled with a general distrust of the process. That said, the practice is not used in other jurisdictions, except New York and Boston. • The PPC recommended that the application process and language be streamlined, and that the application fee be made payable online. • CPD personnel in the survey responses and most 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 and special study groups. • 43% of survey respondents indicated that different types of assessments or evaluation criteria (51%) 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, remove the assessment exercise(s), include both an oral and written assessment exercise at both ranks).

⁴¹ See Exhibit 16 at the beginning of this chapter for the focal areas associated with each framework component.

Evaluation Framework ⁴¹	Evaluation Drivers
	<ul style="list-style-type: none"> • 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, over 90% of CPD personnel indicated the merit process is not fair and over 85% indicated it does not promote individuals who are effective in the next rank. The merit process was viewed with outright disdain in many instances, though in some survey comments and focus group sessions there was support for the intention behind the merit process. • The PPC recommended moving to a self-nomination process for Merit, to address perceptions of potential for bias in the nominations.
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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 described the process used to identify and assign assessors with diverse backgrounds and law enforcement experience to scoring pairs. They also confirmed assessor training and monitoring efforts, which aligned with professional guidance. • Some CPD personnel expressed skepticism that oral responses could be scored in a fair and consistent manner; this aligned with other indicators that candidates do not understand how Part 2 is scored. • 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, though ultimate responsibility to verify accuracy of eligibility list data is not always clear. • 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., most 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, and individuals meritoriously promoted may come from anywhere on that list.

Evaluation Framework ⁴¹	Evaluation Drivers
<p>Accountability/ Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<ul style="list-style-type: none"> • DHR is responsible for oversight of vendors and coordinating with OPSPA (a change from the 2020 evaluation when CPD HR was just being shifted to the new OPSPA). • DHR coordinated the assembly of the interagency Police Promotions Committee (PPC) comprised of DHR, OPSPA, CPD, and Department of Law representatives and tasked, in part, with reviewing the sworn personnel promotions processes for compliance with relevant laws and professional standards. • It is less clear what responsibility for the processes remains with CPD given the transition of CPD HR to OPSPA; OPSPA has developed new guidance to delineate responsibilities. • OIG has oversight of the equal employment requirements associated with promotion processes and certain complaint investigations. • It is unclear who or what department has ultimate responsibility to act on recommendations or concerns that may be raised through other avenues (e.g., the PPC). • Appeal/challenge opportunities are provided for both Part 1 and Part 2. While job knowledge test appeals procedures are standard across most jurisdictions, there is a wider range of practices regarding whether or how appeal/challenge processes are in place for assessment exercises or interviews.

Evaluation Framework ⁴¹	Evaluation Drivers
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<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 City also has plans to post upcoming promotion process timelines and potentially other process information on an intranet site. • The PPC noted that the multiple modes of communication can be a detriment, particularly with different departments and vendors sending candidates information. They recommended a centralized location where candidates can access all non-sensitive relevant materials. • 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 methods, modes, or timing of communication about that aspect of the process. • Many CPD personnel responding about the 2019-2021 sergeant process indicated skepticism about receiving scantron-based scores months after the test date as opposed to receiving a preliminary score on site, which some CPD personnel indicated had been done in previous processes. DCI understands that 2022 processes did provide candidates a copy of their scantron and an answer key is available during the challenge sessions, allowing candidates to manually score their exam, with an understanding that granted appeals could impact those preliminary results. • The procedures regarding rank-ordered promotion from the eligibility list are clear. • Candidates are less clear on how candidates are selected for meritorious promotion – the Merit eligibility list is not published - and absent such understanding, CPD members indicate perceptions that those with “clout” or who are personally connected, and certain races, are the only ones receiving these promotions.
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> • Data relevant to the promotion process is collected in various systems and spreadsheets but is not centralized. • Different systems can have discrepant information for the same member, potentially related to differences in maintenance of the information and lack of a method to update related systems based on updates in another (e.g., education attainment may be updated in one system but not others). • Test vendors are responsible for conducting psychometric analyses related to the promotion tests. • Responsibility for ongoing implementation analyses is unclear.
<p>Documentation/ Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<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

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 2020 findings, new 2023 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 2017 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 opined on a draft discipline matrix, which is still not in use and not actively in consideration for use, stating it 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. Research has demonstrated that such a matrix, if implemented appropriately, can moderate officers' perceptions of organizational support and justice, which in turn impacts the likelihood of future negative behaviors (Reynolds & Helfers, 2018; Harris & Worden, 2014; Reynolds, Helfers, & Maskaly, 2020).

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, and no longer require the complainant to provide a sworn affidavit⁴². 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. However, it was noted that aspects of discipline are barred from consideration in future proceedings and potentially in making promotion decisions in some bargaining agreements (i.e., Article 8.4, Sergeant PBPA, 2016-2022).⁴³

Regarding 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. Regarding the merit process, nominees are required to have: no

⁴² This change was made to address a perception that some complainants would be too concerned about retribution to take this additional step. CPD members perceive this change to have increased the likelihood that allegations are false or lodged as retribution for contacts and arrests.

⁴³ DCI understands new agreements have been (FOP) and are being (SGT, LT) finalized at the time of this review. As such, DCI does not have insight into what, if any, limitations those agreements will place on the use of discipline in considerations for promotion.

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 asked more targeted questions about discipline in the 2023 CPD member survey. 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:

- More than 60% of CPD personnel in the survey indicated that discipline should not at all – or only to a small extent – be considered in the rank order process. In contrast, almost 60% of survey respondents indicated that discipline should be considered - to a moderate or great extent - when promoting from the merit list.
- Interestingly, the most endorsed considerations for the ratings provided in both the rank-ordered and merit context – either for or against – included: that case-by-case review of discipline would be needed; performance/complimentary history should be balanced against discipline; that it can give insight into behavior/patterns; that only sustained discipline should be considered; that more trust would be needed in the fairness of the discipline process; and that members should not be “double” punished.
- Open-ended comments further supported the above rationales, most commonly indicating concern with the CR and discipline process, the likelihood of patrol officers having significantly more opportunity to obtain a CR, and concern with the length of time to get to a sustained finding.
- There was also a dichotomy between open-comments indicating that discipline does not and should not have anything to do with the promotion processes and those indicating, particularly in the case of merit – but also for rank-ordered promotions, that individuals who have a pattern of troubling behavior or serious infractions should not be promoted to have a greater sphere of influence.
- Focus group participants also 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., one (1) to three (3) years and no more than five (5) years in accordance with existing bargaining agreements) and if the focus is on sustained CRs only.
- Some CPD personnel indicated that any consideration 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.
- There was broad agreement that inconsistencies in penalties and length of the discipline process need improvement and should be considered carefully before use 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.
- Only one other jurisdiction that responded to the similarity questions does not consider discipline prior to a promotion. All other responding departments either consider discipline at the time of promotion, in that a candidate could be skipped over for promotion because of discipline (most common), consider discipline via points assessed or deducted as part of the overall promotion score, or consider discipline as an eligibility criterion to apply for promotion.

Over the life of the current 2019-2021 sergeant promotion list, applying the merit thresholds prior to promoting an officer to sergeant would have had minimal impact. DCI notes that one individual on the rank-order promotion list was passed over because they were relieved of police powers at the time. That officer's discipline was later overturned, and they were then scheduled to be promoted in the next class. Six officers were promoted from the rank order list that had sustained CRs with 7 or more-day suspensions (3% of rank promotions), but only one would have had the promotion delayed because of the timing of the CR close. One additional officer had a close date a year after promotion, at least one could have been impacted by the threshold of three or more sustained CRs within five years, and the remainder would have had the sustained discipline closed for more than a year by the time of promotion⁴⁴. Four officers were meritoriously promoted to sergeant with sustained CRs and suspensions outside the one-year threshold (4% of merit promotions). DCI notes that many of the incidents stem from 2019 and 2020, so if the CR investigation and discipline process was conducted swiftly, it could have impacted these analyses.

⁴⁴ Some of these CPD members still have other outstanding discipline with initial sustained findings that have not yet been closed, many with incident dates between 2019 and 2021.

For the 2022 lieutenant promotion list, to date, applying the merit thresholds prior to promoting a sergeant would have had no impact. There are sergeants on the list with sustained CRs that would impact promotion, but there is only one that is close to being promoted from the rank order list with three or more sustained CRs and suspensions that could potentially impact promotion if merit thresholds were applied. DCI notes that there are several more sustained CRs lacking closed dates for sergeants on the lieutenant eligibility list. Thus, the CR investigation close date could impact the eligibility of some of these sergeants to be promoted meritoriously depending on when the CR is closed and the date set for pre-service training.

As part of the 2020 evaluation, DCI also noted a minimal impact on promotions had the Merit discipline thresholds been applied, despite the larger number of promotions made from the lists still in effect during that evaluation. In other words, most 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 when making rank-order promotions, unless a candidate is relieved of police powers at the time of a promotion. However, discipline information is provided and considered for meritorious selections, both in terms of minimum thresholds for eligibility and case-by-case review of discipline records prior to meritorious selection for promotion. As a result, both 2020 recommendations related to the consideration of discipline in promotions were not fully completed. That said, **Exhibit 20** provides the evaluation drivers related to considerations of discipline and performance more broadly.

Exhibit 20. 261(b) Evaluation Results

Evaluation Framework	Evaluation Drivers
Promotion Process Development and Content <i>Primarily evaluates 261(a), but also 261(b-e)</i>	<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. All but one other jurisdiction that responded to the similarity survey indicated a consideration of discipline at the time of promotion; a few also indicated a consideration of discipline as part of the promotion evaluation/scoring and at least one considers discipline to establish eligibility to apply for 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.

Evaluation Framework	Evaluation Drivers
	<ul style="list-style-type: none"> Research has indicated that officers' perceptions of fairness impact the extent to which receiving discipline increases the likelihood of less desirable or negative behavior in the future; CPD personnel do not view the existing discipline process as fair.
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<ul style="list-style-type: none"> Several stakeholder groups will need to provide input on and agree to any consideration of discipline; this means that the process for implementing a discipline consideration will likely be long and resource intensive. Because of the potential for initial findings to be reversed or downgraded through the appeals/grievance procedures, it will be necessary to have a process in place for making whole an individual who is delayed in promotion based on a discipline record that is later adjusted below thresholds.
<p>Accountability/Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<ul style="list-style-type: none"> While the 2017 DOJ report indicated too many checks and inputs into discipline itself, because discipline is not a current consideration as part of rank-order promotions, clear oversight and responsibilities do not exist within the rank-order process. OPSA coordinates with BIA to obtain discipline information for each merit nominee. Outside of the thresholds for consideration, the Superintendent determines whether to promote a candidate meritoriously, with case-by-case information to consider for each potential selection.
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<ul style="list-style-type: none"> There is widespread mistrust in the fairness of discipline as a factor in promotions, stemming from perceptions regarding: <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.
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> BIA maintains data on CRs and SPARs, though the data is cumbersome to pull. DCI's analysis in 2020 and again in 2023 indicated that there would be minimal impact to promotions made from eligibility lists by applying the merit discipline thresholds at the time of promotion. CPD is working on a refined performance management and rating approach, which is still being piloted – the Performance Evaluation System (PES) – which may provide additional data for consideration in future.
<p>Documentation/Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<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. Some of the data does not consistently align (e.g., a CR marked complete in one field but lacking a closed date).

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

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 (e.g., other demographic variables of potential interest).

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, and in 2020 stood up a recruitment group to support these efforts. That unit frequently recruits at military bases, Historically Black Colleges and Universities (HBCUs), and other communities that have historically been under-represented within CPD. However, the Department does not have a program specifically designed to encourage or prepare officers or sergeants who reflect the community to take the promotional exams. Relatedly, CPD is considering a mentorship program to pair existing personnel (e.g., veteran sergeants with new sergeants or officers interested in promotion), which would expand on recent efforts to pair new recruits with mentors in the Department. Many focus group participants indicated perceived benefit from establishing a mentorship and shadow/FTO rotation for newly promoted sergeants and lieutenants to learn from veteran, high performing patrol sergeants and lieutenants. A few advised careful consideration before implementing such a program with individuals interested in applying for promotion, as that pairing could be viewed as being tainted or rigged to favor those with "clout" to have more desirable mentors.

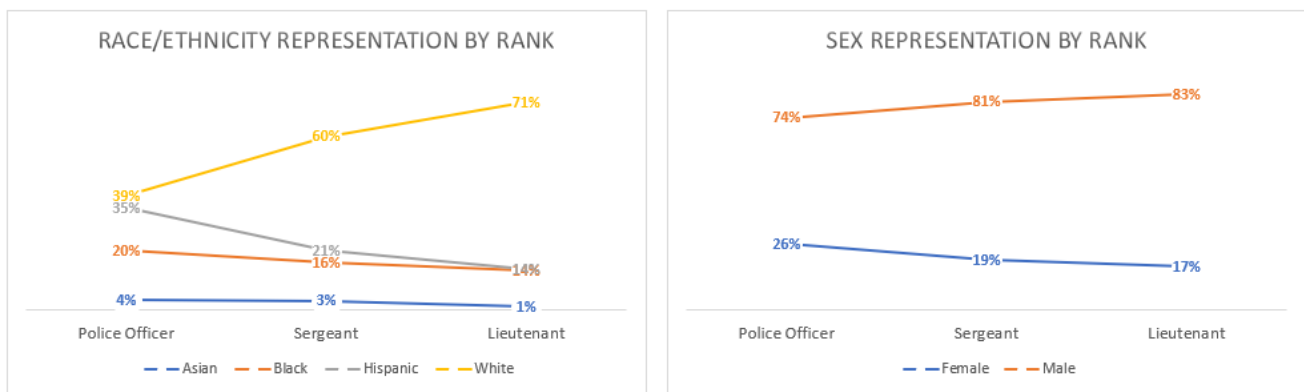
Regarding increasing the diversity and representativeness of new recruits, the City and CPD's efforts have been making an impact:

- The percentage of new officers who are women has increased from an average of approximately 20% in 2009-2015 to an average of 27% from 2016-2019 and an average of about 30% from 2020-2022.
- New Asian officers represented more than 4% of the hires from 2017-2020, and the percentage of new Hispanic officers has been steadily increasing from a low of 14% in 2011 to a high of 53% in 2022.
- New Black or African American officers have been increasing from a low of 9% in 2015 to over 20% in 2020 and 2022.

The Department’s current representation in relation to the City more broadly⁴⁵ is described in bullets below and visualized in **Exhibit 21**:

- 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 over 25% of officers are women (compared to half of the City residents), and representation drops as rank increases. Approximately 20% of the applicants for the 2013 and 2019-2021 sergeant promotion processes were women.
- Officers and sergeants apply for promotion at the rates we would expect given their representation in the current rank.

Exhibit 21. Representation of Sex and Race/Ethnicity by Rank*



**Data as of September 2023*

CPD’s primary focus on recruit diversity and planned implementation of mentorship opportunities is in line with the efforts of many other departments that responded to the similarity survey request. Most responding police departments indicated a focus on recruiting more minority and women 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 had increased the test preparation available and assigns candidates a mentor. Another department in 2020 indicated establishing a mentoring program, and two departments indicated they were increasing the frequency of promotion process offerings to reduce subgroup differences via increased opportunity to test (Campion, 2019).

⁴⁵ <https://www.census.gov/quickfacts/chicagocityillinois>

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. Women and non-white officers, sergeants, and lieutenants who were asked about efforts the Department undertook to encourage women or minority personnel to prepare for and apply for promotion indicated that the current actions are sufficient and that all are encouraged to participate in the promotion process if they are interested. In discussions about whether mentorship programs could be helpful, CPD personnel in focus group sessions indicated that mentorship or FTO-type assignments for newly promoted sergeants and lieutenants to be paired with high-performing, longer tenured sergeants and lieutenants would be incredibly valuable. Personnel also indicated that a mentorship program for candidates interested in promotion could be helpful, but indicated concern about how such a process would be feasible given issues of trust and fairness (e.g., how could assignments be made in a transparent and fair manner, how to ensure no concern that the mentor would have access to information that could give their mentee an unfair advantage).

OPSA also implemented a new approach to encourage members to apply for promotions, driven by 2020 recommendation #23, and used first in the 2022 detective exam. The CPD and OPSA used both department-wide notifications and a video campaign featuring Bureau of Detectives leadership and staff from various backgrounds, which was successful and well received. This approach is planned for inclusion in the upcoming sergeant and lieutenant processes as well based on this initial effectiveness.

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 created as an alternative mechanism to identify individuals with supervisory potential after legal challenges, particularly in the 1980s-1990s, driven by adverse impact against minorities observed on promotional exams. Instead, the City focuses on increasing the hiring of new officers with diverse backgrounds and encouraging everyone who is eligible to apply for promotions when the opportunity arises.

In 2020, DCI proposed six (6) recommendations related to efforts that could support the City and CPD by engaging in efforts to identify and promote qualified officers and sergeants with diverse

backgrounds. Of those, the City and CPD accomplished five (5), including continuing successful efforts to improve new recruit diversity, ensuring individuals considering promotion have an opportunity to see sergeants and lieutenants that look like them, working to reframe the references to merit nominees as individuals who “just don’t test well”, and considering other data-driven comparisons of representation⁴⁶. That said, **Exhibit 22** provides the evaluation drivers related to strategies for promoting qualified, diverse candidates.

Exhibit 22. 261(c) Evaluation Results

Evaluation Framework	Evaluation Drivers
<p>Promotion Process Development and Content</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<ul style="list-style-type: none"> • The merit promotion process was created as an alternative process in the 1990s, designed to evaluate different, but also critical characteristics indicative of potential in the next rank, which could have less adverse impact than the rank test score process. • There are no activities that encourage only 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 candidates for promotion with diverse backgrounds over time, to the extent those recruits are retained. • There are opportunities to consider alternate testing and evaluation component strategies to provide all candidates with avenues to balance test scores and other aspects of readiness for promotion, as opposed to the subset that are nominated for merit consideration. • The City is finalizing plans to implement a mentorship program at the sergeant and lieutenant ranks. A couple of other jurisdictions reported having used mentorship to support candidates with diverse backgrounds in the hiring or promotion process. • Several other jurisdictions also focus on increasing entry-level diversity.
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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. • The City also provides education credit exemptions for new recruits with military and other law enforcement related experience, to substitute that experience for the education credit requirement.
<p>Accountability/ Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<ul style="list-style-type: none"> • Because specific strategies at the promotional level are not currently employed, responsibilities or oversight are not defined. • There is a recruitment unit, stood up in 2020, that is focused on supporting efforts to identify and encourage new potential officers to apply and continue through the selection process.

⁴⁶ This recommendation is considered complete because no additional comparisons, outside of race/ethnicity and sex, will be feasible for now.

Evaluation Framework	Evaluation Drivers
	<ul style="list-style-type: none"> OIG released a report on the recruitment and hiring of new CPD officers in 2021, but much of the data referenced was outdated and did not reflect more recent actions and results.
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<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. The City implemented 2020 recommendation #23 in the 2022 detectives exam, adding a video campaign featuring Bureau of Detectives leadership and staff from various backgrounds encouraging participation in the process. The City plans to use a similar approach for the upcoming sergeant and lieutenant processes considering success from the detective campaign. Though the merit process was developed as an alternative process rooted in addressing historical adverse impact concerns, current perceptions are that the process has often been 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. Some open comments on the CPD member survey indicated a perception that race may be a factor considered in some meritorious selections.
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> The OIG publishes data on sex, race/ethnicity, and age of CPD personnel. OPSA 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 OPSA maintains the promotion eligibility list, and any merit promotion lists.
<p>Documentation/ Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> Because specific strategies targeted toward increasing promotion candidate or selection diversity are not currently employed, documentation has not been published.

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

To satisfy Paragraph 261(d), DCI evaluated the frequency of CPD promotional processes via a survey, interviews, and focus groups. In 2020 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; however, in 2023, DCI focused on perceptions of and potential concerns about the shift in planned process frequency.

As noted in 2020, the sergeant and lieutenant promotion processes at CPD had 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 2025 (planned). DCI recommended that the promotional process frequency be established at a consistent interval, and that interval should not exceed four (4) years. The City decided to move forward with planned processes every three years. In keeping with that plan, the last sergeant process was completed in 2021, and the 2024 sergeant process is currently being developed. The last lieutenant's process was held in 2022, and the next is planned for 2025.

DCI notes that in 2020, survey respondents overwhelmingly indicated that the processes should be held more frequently than the approximately six (6)-year cycle. The 2023 survey results indicated that almost 60% of respondents believe the planned three (3)-year cycle is appropriate, with the remainder about evenly split between desiring more frequent testing (the majority indicating processes should be held every two (2) years) and less frequent (the majority indicating processes should be held every five (5) years).

Some factors impacting preferences on the frequency of exams were noted as: the amount of studying and the cost of purchasing third party test prep services more frequently, and the potential for demoralizing individuals who score relatively well but may not get promoted on lists that are refreshed more frequently.

Both DCI in 2020 and the 2017 DOJ report recommended the processes be held at least every four (4) years, which is in line with the maximum amount of time between tests in other police departments. The 2020 evaluation of other jurisdictions that responded to the similarity survey indicated that other departments typically tested every one to two years, on average, though some departments had options to extend lists for a year. NYPD was a notable departure in that they tested every four years, and are the only responding 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 commends the City for the adoption of a three (3)-year promotion process cycle, understanding 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 3,500-5,000 officers to make 100 promotions and start over). As such, the City has accomplished two of the three 2020 recommendations related to this evaluation factor. While the City did not hold a sergeant exam in two years after the recommendations, DCI considers that recommendation complete as they are moving forward with the first implementation of the three (3)-year cycle in 2024. The recommendation continuing would provide the City with better estimation of likely promotion opportunities over each year of an eligibility list. **Exhibit 23** provides the evaluation drivers related to the frequency of promotions.

Exhibit 23. 261(d) Evaluation Results

Evaluation Framework	Evaluation Drivers
<p>Promotion Process Development and Content</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<ul style="list-style-type: none"> • A full promotional process currently requires approximately 18 months to two years of effort (or no less than 12 months per new OPSA policy). • 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).
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<ul style="list-style-type: none"> • The increased frequency of testing necessitates a more regimented schedule. • CPD personnel would benefit from a reliable estimate for when promotional processes will be offered, how long resulting promotion eligibility lists will be active, and an estimated number of promotions that are likely to be made from the lists. The lack of this information was indicated as having been a source of frustration in the survey and focus group sessions.
<p>Accountability/Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<ul style="list-style-type: none"> • DHR and OPSA coordinate to ensure the promotion exams are administered on the new 3-year cycle.
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<ul style="list-style-type: none"> • CPD personnel expressed frustration with the lack of transparency around timing of upcoming promotion processes and components, and particularly a lack of notice of planned promotions from eligibility lists. • DCI previously suggested using workforce and budget data to project promotions necessary over a year, and to pre-establish promotion dates (e.g., spring and fall), so members can anticipate the timing of promotions. • A few CPD personnel suggested conducting pre-service training further in advance with a larger group of eligible candidates, like the process used for captain promotions, particularly at the lieutenant rank where promotion classes are typically small.
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> • The extent to which available data is used to evaluate promotional needs, outside of budget authorizations, is still somewhat unclear. • New effort has been undertaken to conduct a workforce planning analysis and projections, but the results were just being finalized as this report was being completed, so DCI did not have the opportunity to evaluate the usefulness of that effort toward accomplishing the continuing recommendation.
<p>Documentation/Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> • DHR and OPSA both maintain a policy outlining the timelines typically involved in accomplishing major milestones of a promotional process. • DCI did not observe the new process frequency clearly indicated in the policies and guidance documents reviewed (e.g., the CPD employee resource reviewed does not reference the new frequency).

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

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, FAQ documents 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 2019-2021 sergeant process provided a link to a website to view preparation information for the Part 2 oral assessment exercise, and the 2022 lieutenant test vendor also provided a video for candidate orientation/preparation purposes.
- 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 most recent processes.

In general, CPD survey and focus group participants indicated they were informed of upcoming promotion processes. However, the PPC noted that much of the information is disseminated by different departments and vendors across the different modes, making it cumbersome and difficult to locate a particular communication or directive across the multiple modes. Additionally, 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:

- Approximately 75% of CPD survey respondents indicated that transparency was one of the top five areas in which the City could improve the sergeant and lieutenant promotion processes.

- Many candidates (56%) feel the need to pay a third-party test prep company⁴⁷ 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 – or lack of clarity - leads to further feelings of inequity for those who cannot pay the \$700-\$3000 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 promoting 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 of this and there are procedures in place to prevent that type of meddling with results (i.e., the test vendor scores the results that are provided by the test administrator; the test vendor recommends the cut score and does not have access to scores associated with names when doing so).
- 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 at least 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.
- Both of the most recent processes included a score report. At least one lieutenant candidate indicated that report provided a clear understanding of how the final score was derived, though many of the individuals in focus groups or survey responses based their opinions on prior processes where that information was not shared.

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 disparity in what CPD personnel understand or believe to be true about how their performance is evaluated in the promotional processes. In 2020, DCI proposed four recommendations designed to support increasing process awareness and transparency. The City has accomplished three of those recommendations and made considerable progress on the fourth. **Exhibit 24** provides the evaluation drivers related to awareness and transparency.

⁴⁷ The City does not have control over third-party test preparation companies, and similar companies exist in many jurisdictions.

Exhibit 24. 261(e) Evaluation Results

Evaluation Framework	Evaluation Drivers
<p>Promotion Process Development and Content</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<ul style="list-style-type: none"> • Eligibility criteria is clearly communicated, but the PPC noted that the application questions related to eligibility can be confusing for some CPD personnel. • Compared with the 2020 review, CPD personnel were less distrustful about the security of the test content, except for perceptions that the 2021 sergeant Part 2 was open to challenges on fairness because individuals testing on prior days and sharing information about the test environment and their scenarios could have benefited candidates on later days, though DCI did not receive information to support significant overall score improvement on the last day compared with the first day.
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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 (with at least one noted exception for the 2022 lieutenant Part 2 exam). • 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 awareness or retention of the information shared by the City. • 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 because of merit promotions coming from anywhere on the rank-ordered list. • Candidates for merit promotions do not have information about their placement on the merit list.
<p>Accountability/Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<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. • It is not clear whether or to what extent candidates understand there is a new PPC tasked with review of the promotion processes.
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<ul style="list-style-type: none"> • 75% of CPD survey respondents indicated transparency as a top five area for improvement in the processes; the area most frequently rated as such. • The City, OPSA, and CPD provide several communications and use several modes to distribute information about upcoming promotion processes. • The PPC noted that the variety can make it more difficult for a candidate to find a relevant communication and more likely to miss some communications (e.g., emails from different stakeholders, AMC and other sources for information); they recommended centralizing non-sensitive information so candidates have one place to find relevant promotion information and updates. • The City recently began developing and disseminating FAQ documents in response to questions received from multiple candidates. • The City does now provide recorded information sessions to prepare candidates for the promotion processes, in alignment with several other jurisdictions. That said, many candidates still indicated paying third party test preparation vendors for the additional support in gathering the reading material, developing and implementing study plans, and receiving more in-depth and in person preparation and practice for the Part 2 exam.

Evaluation Framework	Evaluation Drivers
	<ul style="list-style-type: none"> • The PPC recommended having test vendors review and consider updates to written study guides/materials to improve readability and understanding for candidates. • 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 makes it difficult to improve. • Many sergeant candidates still 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. • Since the 2019-2021 sergeant process, the City provides both an appeal process for, and score report on, Part 2 performance.
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> • N/A
<p>Documentation/ Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<ul style="list-style-type: none"> • The City (DHR) and OPSA have copies of the communications and study materials provided to candidates. • CPD directives regarding the promotional processes are available for all personnel to view; decisions around the extent to which new DHR and OPSA policies will be fully available are being determined.

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 tips⁴⁸;

⁴⁸ This could also be accomplished with a mentorship or FTO-style 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.

- 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;
- Ensuring promoted sergeants have the certifications required of officers under their command (e.g., in reference to specialty units); and
- Specific training related to or acclimation time when moving personnel between substantially different districts.

In the 2020 evaluation, it was also suggested that CPD consider conducting pre-service training for sergeant and lieutenant ranks in a manner more like 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.

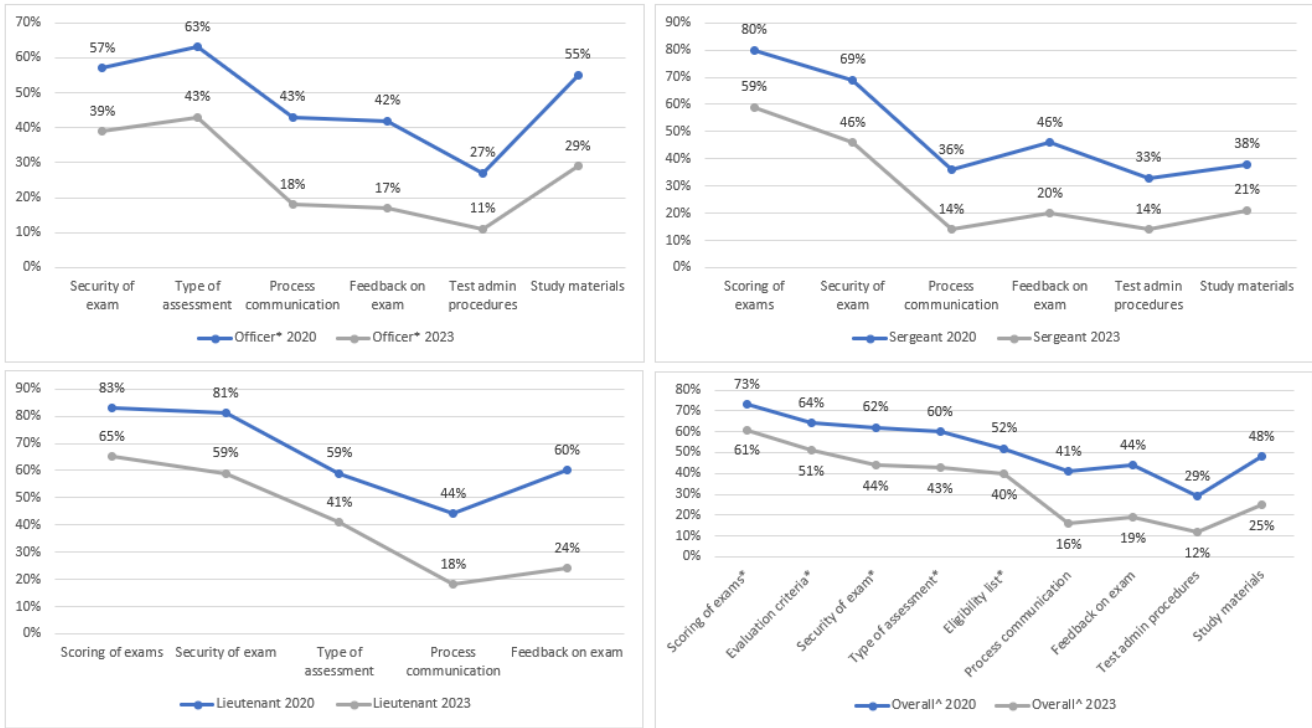
Summary of Findings and Evaluation Results

This chapter presented the findings stemming from the information collected across 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 25 summarizes some of the largest shifts in survey responses between the 2020 CPD member survey and the 2023 CPD member survey. DCI notes that in 2020, 81% of responding officers, which included officers assigned as detectives, indicated having applied for the sergeant promotion, whereas in 2023 only 60% of responding officers and 90% of detectives reported having applied for the sergeant promotion. In both surveys, most officers who had not applied for sergeant did not meet the time in job requirements when the process was last offered.

Additionally, in 2020, 89% of respondents indicated that the current promotion process frequency (i.e., approximately every six (6) years), was too infrequent. However, in 2023, almost 60% of respondents indicated that the new frequency – every three (3) years, is adequate. These results demonstrate that the actions the City has undertaken to improve the sergeant and lieutenant promotion processes have been making an impact. See **Appendix E** for a more detailed summary of 2023 survey results and comparison to 2020 results.

Exhibit 25. Biggest Differences in Opportunities to Improve the Promotion Processes by Rank and Overall



*Officer results in 2020 included officers assigned as detectives; for the 2023 comparison, officer and officer assigned as detective results were aggregated.

^Overall results for both 2020 and 2023 include the Captain responses.

The categories with an asterisk (*) in the Overall results were the top five listed areas for improvement based on 2020 ratings.

Exhibit 26 summarizes the overall evaluation of the CPD sergeant and lieutenant promotion processes based on the framework. **Chapter 5** presents the resulting recommendations.

Exhibit 26. Evaluation Results Summary

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ⁴⁹
<p>Promotion Process Development and Content</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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 and interviews 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 • Some eligibility criteria are consistent with other departments and considered adequate by personnel; however, the application fee is an outlier and given other changes, consideration of potential adjustments to some criteria may be warranted. ^a • The lack of consideration of discipline in the rank order promotion process is an outlier among similar jurisdictions. ^b • The City has implemented procedures to limit and control access to test materials within CPD; concern about test security was less often cited in either the survey or focus groups during the 2023 review than the 2020 review. ^a • The main test information access concern cited by CPD members in 2023 was assertions that some applicants shared test information across the multiple days of Part 2 testing for sergeant; however, DCI did not receive information that would indicate practically significant score improvement on later testing days. ^{a, e}

⁴⁹ Superscript indicates the Consent Decree requirement to which the evaluation aligns.

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ⁴⁹
<p>Promotion Process Implementation</p> <p><i>Primarily evaluates 261(a), but also 261(b-e)</i></p>	<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 has increased the frequency of promotional processes to every three years. ^d • The administration is coordinated by a vendor and candidate concerns noted in focus groups and the survey typically centered on long sequester times, noisy Part 2 environment, or concerns about the multiple days of sergeant testing. ^a • DCIs review of the assessor training and monitoring described in vendor meetings comports with typical practices. ^a • Some candidates indicated concerns that assessors could score oral responses consistently or fairly. ^{a,e} • 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,e} • Rank ordered selection from an eligibility list is used by some jurisdictions and can be a reasonable and transparent method. ^{a,e}
<p>Accountability/Oversight</p> <p><i>Primarily evaluates 261(a) and 261(e)</i></p>	<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; a recent OPISA guideline defines responsibility for developing and administering the processes and an interagency policy defines responsibilities for periodically evaluating the promotion processes. ^a • There continues to be an opportunity to ensure the delineation of responsibility is clear in other published policies. ^{a,e} • There also continues to be opportunity to clarify where ultimate ownership and responsibility for oversight lives (e.g., if recommendations arise from oversight or evaluation activities, who or what department ultimately determines the action(s) to take). ^a

Evaluation Framework	Evaluation Focus	Summary Evaluation Results ⁴⁹
<p>Transparency in the Process</p> <p><i>Primarily evaluates 261(e), but also 261(a) and 261(c)</i></p>	<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"> • The City disseminates information or makes it available for candidates to view in multiple modes, though the Police Promotions Committee suggested centralizing the location of non-sensitive process information. ^e • The City and OPSA 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 a video information session for Part 2; however, CPD personnel feedback and Police Promotions Committee recommendations indicated a lack of understanding of content addressed in the guides, particularly around the scoring procedures and criteria, suggesting clarification of existing or additional information may be warranted. ^e • Although no feedback was previously provided on exam performance, the City implemented score reports with the most recent processes. ^e • Rank ordered promotion decisions are transparent; however, 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, particularly because of merit promotions. ^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 ⁴⁹
<p>Data – Availability and Analysis</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<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 (DHR, OPSA) 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 • Responsibility for data integrity, updates and maintenance is not always clear. ^a • Other analyses are only undertaken as necessary based on specific requests, due in part to a lack of resources or available data. ^a
<p>Documentation/ Records</p> <p><i>Primarily evaluates 261(a), but foundation for analyses across 261(a-e)</i></p>	<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, which could make it vulnerable to version control issues (e.g., other departmental versions of the same directive or guidance, which may have been updated by the issuing department). ^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 comparison 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 discussions with vendors to assess 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 2023, and incorporated clarifications from that process into these final recommendations.

Exhibit 27 introduces each of DCI's recommendations, including a suggested priority level along with estimated resource requirements and potential implementation timeframes. The first two columns provide reference numbers, starting with the original 2020 recommendation and followed by the new 2023 recommendation number, where applicable. Additionally, a color-coded column provides an indicator of activity on the 2020 recommendation (i.e., green shading for complete or partially complete recommendations, yellow for recommendations in progress, etc.). In some instances, though the 2020 recommendation was complete or deemed infeasible, there is a new or updated 2023 recommendation listed.

The final three columns provide an estimated priority level (high, medium, low), an estimate regarding resources needed (high, medium, low), and an estimated timeframe for implementation (long, moderate, short). DCI originally drafted these to address the 2020 recommendations. DCI used understanding of the intended actions to address the recommendation, knowledge of steps already taken or in progress toward addressing the recommendation, professional judgment around the criticality of a recommendation for improving the promotional processes (priority), and experience with timeframes and resources required for other organizations or agencies to implement similar recommendations to propose those values. In 2023, DCI updated complete recommendations to have "NA" for these fields and updated a few values because of a change to the recommendation or based on new insight and information.

The remainder of the chapter provides details around each recommendation. It is important to note that DCI's responsibility, per the Consent Decree - paragraph 261(f), 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). The City has engaged DCI to support the development of the implementation plan and timeline associated with the 2023 recommendations and required to accomplish paragraph 262. Updated information or data may impact the relevance or priority of some recommendations.

Exhibit 27. Summary of Recommendations

2020 Rec #	2023 Rec #	2023 Recommendation	2020 Rec. Status	Priority Level	Resources Needed	Time to Implement
261(a) Streamline Responsibility and Oversight						
1	1	Clarify ownership and responsibility for processes.	Complete		N/A	
2	2	Clarify oversight and accountability mechanisms.	Partially complete; refined 2023 focus	High	Low	Short
261(a) Evaluate Eligibility Criteria						
3	3a 3b	Review eligibility criteria. a. Time in job b. Education	In Progress	Medium	Low	Moderate
4	4a 4b	Improve the application fee process. a. Provide a service b. Allow payment online	Not feasible per code; changed focus 2023	Medium	Medium	Long
261(a) Make Process Development Changes						
5	5	Implement a consistent timeline.	Partially complete	High	Low	Short
6	6	Consider updated position requirements in new job analysis.	In Progress	High	Low	Short
7	7	Increase job specification consistency.	In Progress	Medium	Medium	Moderate
8	8a 8b 8c	Consider substantial changes to the promotion process components. a. Discontinue Merit; if continued, make substantial changes b. Consider changes to targeted characteristics and factors c. Consider format and structure changes	In Progress	High	High	Long
9	N/A	Limit use of CPD subject matter experts (SMEs) to review test content.	Complete		N/A	

2020 Rec #	2023 Rec #	2023 Recommendation	2020 Rec. Status	Priority Level	Resources Needed	Time to Implement
10	N/A	Change assessor parameters.	Complete		N/A	
11	11	Reevaluate cut score use.	In Progress	Medium	Medium	Moderate
261(a) Enhance Data and Document Availability						
12	12	Centralize documentation retention across the City.	In Progress	Low	Medium	Moderate
13	13	Establish a central repository to maintain candidate information	In Progress	Medium	Medium	Long
14	14	Consider additional analyses related to the promotion processes.	In Progress	Low	High	Long
15	15	Add to reporting on job content coverage.	In Progress	Low	Low	Short
16	16	Update applicant tracking process documents.	In Progress	Low	Low	Long
17	17	Incorporate new data into the next review.	In Progress	Low	Low	Long
261(b) Consider Discipline in the Promotion Process						
18	18	Consider discipline prior to promotion.	In Progress	High	Low	Long
19	19	Determine the parameters for considering discipline.	In Progress	High	Medium	Long
261(c) Engage in Additional Efforts to Identify and Promote Qualified, Diverse Officers and Sergeants						
20	N/A	Continue efforts to attract new police recruits who reflect a broad cross-section of the community.	Complete		N/A	
21	N/A	Consider additional efforts to attract new, diverse police recruits.	Complete		N/A	
22	22	Establish mentorship programs.	In Progress	High	High	Long
23	N/A	Ensure officers have the opportunity to see sergeants and lieutenants who look like them.	Complete		N/A	
24	N/A	Adopt new phrases to describe approaches that evaluate a broader set of qualities.	Complete		N/A	
25	N/A	Consider data-driven comparisons of representation.	Complete		N/A	

2020 Rec #	2023 Rec #	2023 Recommendation	2020 Rec. Status	Priority Level	Resources Needed	Time to Implement
261(d) Increase the Frequency of Promotion Processes						
26	N/A	Consider conducting a new sergeant promotion process in two years, to incorporate these recommendations.	Complete		N/A	
27	N/A	Conduct promotional processes for each rank at least every four years.	Complete		N/A	
28	28	Project anticipated promotions based on workforce data.	In Progress	High	Medium	Moderate
261(e) Increase Process Awareness						
29	N/A	Increase communication modes with candidates.	Complete		N/A	
30	30a	Expand and improve study options.	Complete; new focus 2023	Medium	High	Long
	30b	a. Consider leadership and supervisory courses b. Consider study material format adjustments				
261(e) Increase Process Transparency						
31	N/A	Consider sharing more process information.	Complete		N/A	
32	32b	Provide candidates with feedback on their performance. b. Update Part 2 result feedback/report	Partially Complete; new focus 2023	Medium	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

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 most critical documents

were available for evaluation, though the technical reports for both the 2019-2021 sergeant process and the 2022 lieutenant process have yet to be completed. 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.** DCI considers this 2020 recommendation complete. That said, because there are several parties involved in the promotion processes, DCI recommends the City update the CPD promotion process directive (E05-05) with some additional language about regarding the delineation of responsibility across the parties. For example, the policy currently reads:

“B. The City of Chicago Department of Human Resources (DHR), the Office of Public Safety Administration Human Resource Division (OPSA-HR), and outside vendors are charged with administering the promotional processes for all sworn career-service positions.

C. The Chicago Police Department (CPD), in conjunction with the DHR testing manager, may use a vendor to administer tests. The DHR testing manager and the OPSA-HR will oversee the outside testing administrator and will certify that the testing process has been followed.”

DCI suggests adding some additional information to bulleted “B” indicating that DHR and OPSA coordinate to select and oversee the work of the test development vendor and identify necessary CPD support, while the test development vendor conducts the job analysis and test development work, including creating study materials and scoring exams. Additionally, note that OPSA coordinates with CPD to manage the eligibility list once established. DCI encourages the City to include on the site where the upcoming promotion activity timeline is planned for publication, a general outline of the responsibilities of DHR, OPSA, CPD, vendors and others in developing and administering 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. DCI notes that the new IAP directive 07-02 clearly defines responsibility and oversight for ensuring review and evaluation requirements defined under the Consent Decree are accomplished and the new DHR procedure for the Police Promotions Committee (PPC) defines expectations for that review. However, DCI encourages the City to consider consolidating the guidance around when a thorough review and evaluation of the promotion processes is warranted, how that will take place, and where the results will go; including determining what is shared with CPD personnel about these processes.

For example, though DCI has been engaged twice to conduct an independent review and evaluation, neither review has been conducted recently after the completion of a promotion

process because the timing of the reviews is instead tied to Consent Decree requirements. As a result, some perceptions are likely less accurate, either because of forgotten details or potential tainting from other broad views of the department. The PPC may be an appropriate avenue for conducting a timely “after action” style review of each promotion process after the main process has concluded. However, because of the distrust still present, DCI recommends the City engage a third party when gathering perspectives from CPD personnel, for example in survey format, or when evaluating aspects of the process that may be difficult for the City to objectively evaluate itself. From DCI’s perspective, the primary areas from the Consent Decree that are of particular continued relevance include: the development (content and format) of the processes, the consideration of discipline prior to promotion, and the perception of transparency. The City should be clear about the purpose of these reviews, their focus, and where (i.e., what department(s)) have ultimate ownership of determining action from the results.

Evaluate Eligibility Criteria

3. **Formally review eligibility criteria.** The City should engage in 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.⁵⁰ The impetus for retaining this recommendation in 2023 stems from two specific changes that may impact decision regarding two of the eligibility criteria:
 - a. The first eligibility criteria DCI recommends evaluating is the time in job requirement. When the promotion eligibility list resulted from a process that lasted for four or more years, it was more intuitive that members with less time in job should be allowed to test and be eligible for promotion after having met a higher time in job requirement. However, if the promotion processes are held every three years, it may make sense for the City to instead have a higher time in job requirement to test, and not a separate time in job to be promoted. For example, currently, an officer must have completed probation (18 months) and an additional two (2) years to test but is not eligible for promotion until five (5) years. The difference between those dates is approximately half of the expected life of the eligibility list.
 - b. The second eligibility criterion DCI recommends evaluating is the education requirement. The City has recently implemented several exemptions whereby applicants with certain experience can be hired without the otherwise required 60 semester hours of college or university credit if they instead have a number of years of relevant experience (e.g., 2 years of active-duty military service, 2 years as a peace

⁵⁰ Note that discussions indicated this occurs informally, but it is not a required step in any policy or procedure document DCI reviewed.

officer, 3 years as a correctional or detention officer⁵¹). Although these actions may increase the number of applicants and new hires for the City, they also may increase the number of officers who do not enter the CPD already possessing the required number of education hours to apply for the sergeant promotion. DCI recommends that the City carefully consider the rationale for requiring the education and use that rationale to inform whether to extend exemptions for officers who had the education requirement waived for entry to CPD, or who for example, joined the CPD before an education requirement was instituted.

4. **Improve the application fee process.** The Municipal Code of Chicago requires DHR to charge up to \$25 as an application fee for the promotion processes. It is exceedingly rare for jurisdictions to charge a fee to apply for promotion; DCI is aware of only two other jurisdictions – NYPD and Boston – that charge a fee. DCI understands the historical context of wanting to ensure applicants were committed to the process and notes that approximately 16% of survey respondents indicated that the fee moderately or greatly impacted their decision to apply for promotion. In other words, it does not impact most decisions around whether to apply for promotion. That said, a few still perceive this 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. As such, DCI has updated the 2020 recommendation, to focus on improvement around the application fee as follows:
 - a. **Offer a service for the fee.** A few focus group participants suggested offering a service of some sort in exchange for the fee. For example, gathering and providing applicants with the reading materials would be viewed as a service.
 - b. **Improve options to pay the fee.** Several focus group participants between 2020 and 2023 mentioned the burdensome nature of being required to pay the fee in person at certain locations during their business hours. DCI recommends working with a vendor to provide the option for applicants to pay the fee online; this comports with the recommendation of the PPC following the most recent sergeant process.

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 several recommendations related to test development:

5. **Implement a consistent timeline.** DCI understands the City has established a specific timeline for promotion process activities and is working on a location to house that 2-year plan that can be shared with CPD members. DCI adds to the 2020 recommendation a proposal that

⁵¹ This is a summary of salient points of the requirements. It is not a verbatim recitation of the exemption requirement (e.g., does not include the requirement to be honorably discharged from military or have been employed full-time within the last 4 years for some other experiences).

the City implement a “progress bar” for promotion processes that are active. For example, this could include a “you are here” indicator on top of the general timeline for opening the announcement, accepting applications, confirming eligibility, studying for Part 1, administration of Part 1, scoring and appeals for Part 1, studying for Part 2, administering Part 2, scoring and appeals for Part 2, etc. DCI recommends retaining existing language regarding the City’s ability to make necessary adjustments.

6. **Consider updated position requirements in new job analyses.** This recommendation is continued from 2020, as the sergeant job analysis was completed in 2019, and DCI did not have the 2022 lieutenant technical report to confirm actions taken. In 2020, DCI noted that 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 is continuing this recommendation and understands that this will be accomplished by coordinating with the Classification division in owning the job descriptions and ideally enforcing consistent use of language. In 2020, DCI observed that each vendor created 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 stylistic vendor preferences.
8. **Consider substantial changes to the promotion process components.** DCI is continuing this 2020 recommendation. DCI commends the City for engaging in an evaluation activity as suggested prior to the 2022 lieutenant promotion process, though no significant changes were implemented as a result; DCI encourages the City to continue to consider significant adjustments for these ranks. 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., 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 stakeholders⁵² as appropriate:

⁵² DCI understands the City has engaged the sergeant and lieutenant test vendors in this process. DCI continues this recommendation to re-engage vendors to obtain new 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.

- a. **Discontinue the Merit process; if the City continues Merit, make substantial changes.** 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 candidates with diverse backgrounds 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 (e.g., 91% believe it is unfair and 85% believe members promoted via merit are generally not prepared to perform in the promoted roles) renders it detrimental both from a general morale perspective and as a delegitimizing stigma for individuals promoted in this manner (Jacobs et al, 2011). As such, DCI recommends that the Merit process be discontinued, and the broader relevant factors be considered in the overall promotional process. However, if the City continues to use the merit system, DCI recommends the following changes:
- i. **Reduce the percentage of merit promotions per class to a maximum of 10-20% and consider holding merit promotions until later in the life of the rank order eligibility list.** Especially as the eligibility lists are retired more quickly, the percentage of merit promotions can significantly reduce the number of rank-order promotions possible from each list, and timing of promotions impact seniority in the next rank.
 - ii. **Allow members to nominate themselves to be considered for merit.** Eligible members should be required to complete an initial qualification packet to be further considered, and potentially include a consideration of peer or supervisor input for the nominator to consider.
 - iii. **Require some minimum level of performance on both parts of the rank-order process to be considered for merit.** As it stands, the merit process could reduce the validity of the rank-order process because individuals who score sub-optimally may still be promoted.
- 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., performance⁵³, time in job,

⁵³ There are potential obstacles to address when contemplating using performance, particularly typical performance ratings, as part of a process. In general, 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 evaluation system and the current system does not provide

time as a FTO, assignments⁵⁴, accolades, discipline, education, training) would broaden the measured performance space and could provide an opportunity for candidates with more diverse backgrounds to demonstrate readiness. DCI encourages considering methods for incorporating characteristics typically evaluated in the merit process into the rank-order process as a unified path to promotion.

- c. **Consider format and structure changes.** There are a variety 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 tests⁵⁵ can also elicit demonstrations of job knowledge). Further, a job 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 – like the nomination packet now completed for merit consideration - to incorporate other factors (e.g., performance, accolades, assignments, discipline, education, training, certifications) into a first hurdle to reduce the candidate pool for testing. To reduce the administrative burden at this phase, the hurdle could be simplified to an automated check of completeness and a verification of minimum requirements met. The remaining components (e.g., written knowledge test, situational judgment test, assessment exercise(s)) and any substantive evaluation of the accomplishment record information could be scored using a compensatory model wherein scores from the application or accomplishment record would be combined with other test component scores for an overall result. This approach would also have the potential to provide a wider range and greater variability in scores for the final eligibility list.
 - iii. Because of the feedback received from sergeant candidates regarding negative perceptions of testing on the same component over multiple days, DCI would

sufficient or reliable data for use in this context. DCI cannot opine on the potential use of data from the new performance evaluation system in a promotion context, as it has not moved beyond the pilot phase yet.

⁵⁴ Differences in assignment opportunity can make it difficult to compare these experiences effectively (Joiner, 1984).

⁵⁵ 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).

suggest looking at options that allow all candidates to be tested on a component in a day. That would not preclude having different components on different days, or considering other alternatives that address the perception of unfair advantage based on test order/date. DCI understands the City already intends to implement this approach in the 2024 exam.

9. **Limit use of CPD SMEs to review test content.** This 2020 recommendation is complete. DCI recognizes that the City has taken significant steps to limit the use of CPD SMEs and their access to secure test material. The City should continue the practices implemented to achieve completion.
10. **Change assessor parameters.** This 2020 recommendation is complete. DCI notes that the City should continue to require vendors to recruit and train external assessors with law enforcement experience (preferably active, if possible) at or above the rank being tested and with a consideration for diversity in terms of demographics, experience, and department/jurisdiction factors.

Process Scoring and Eligibility Lists

11. **Reevaluate cut score use.** DCI is continuing the 2020 recommendation that the City should revisit the current process for cut score setting considering 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 (8)), 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 most candidates past a first hurdle, then scores derived from that hurdle should be considered for inclusion in the overall result. Further, there is not currently a failure point on Part 2, and the City should consider whether the test or evaluation components selected to comprise the final score should incorporate some minimal cut score to encourage all candidates to put forth effort on that part.
 - 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 several recommendations related to data collection, integrity, and maintenance, as well as document and record storage:

12. **Centralize documentation retention across the City.** DCI is continuing this 2020 recommendation to 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 2-96-040⁵⁶).
13. **Establish a central repository to maintain candidate information.** DCI is continuing this 2020 recommendation that 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. The disjointed systems with inconsistent update and maintenance approaches hinder the City's ability to conduct robust analyses.
 - a. **Establish timeframes for updating candidate information.** The City should establish and verify adherence to 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 2022 lieutenant applicant statuses almost uniformly still reflected a pre-testing stage despite over a year having passed since the eligibility list was established.
 - b. **Conduct periodic audits of candidate data.** The City should periodically audit records to ensure accuracy/integrity and that recommended practices for candidate data collection and maintenance are followed.
14. **Consider additional analyses related to the promotion processes.** DCI is continuing this 2020 recommendation that 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. Some of these analyses will be difficult to conduct until improvements in data

⁵⁶ https://codelibrary.amlegal.com/codes/chicago/latest/chicago_il/0-0-0-2559455#JD_2-96-040

collection and maintenance are made. That said, some examples of additional analyses include, looking at candidate zip codes, assignments, education, or time in job to see if there are significant differences in average test performance on those bases; or evaluating correlations between test performance and complimentary history, activity, discipline, performance evaluations.

Some of these recommendations could also benefit from data-driven evaluation. For example, from recommendation 3: how many new hires are being exempted from the education requirement or how many officers would be impacted if the time in job eligibility requirement to apply for sergeant was adjusted up to 4 or 5 years? These are not sophisticated analyses but do require access to relevant and accurate data.

15. **Add to reporting on job content coverage.** DCI is continuing this 2020 recommendation because the most recent technical reports were not available for this review. Future test vendors should provide an indication in the technical report of the extent to which critical characteristics are being evaluated in the promotional processes, not just the extent to which test content reflects important duty areas associated with the positions.
16. **Update applicant tracking process documents.** DCI is continuing the 2020 recommendation that 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.** DCI is continuing the 2020 recommendation that the next independent review should leverage data anticipated to be available by that time regarding particular systems of interest (e.g., the performance evaluation system that is being piloted). The new data could be useful in the promotion processes evaluation component context or to evaluate the outcomes of the next sergeant and lieutenant processes.

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.** DCI is continuing this 2020 recommendation, though noting that effectively the City already does not prevent a candidate from sitting for a promotional exam based on an unfavorable discipline record. However, DCI re-asserts that 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.** DCI is continuing this 2020 recommendation. A panel of stakeholders should be convened and may consist of an extension of the PPC, to include additional stakeholders relevant to this conversation. DCI suggests facilitation from a neutral third party to determine the parameters for considering discipline. DCI recommends considering only sustained discipline, and only within a specified timeframe (e.g., no more than 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.
 - e. **Include an appeal process.** If a candidate's discipline record may result in being skipped for promotion, the candidate should be given an opportunity to explain why the discipline should not prevent the promotion. This appeal should be reviewed by a panel qualified to evaluate the discipline record, the appeal, and granted the authority to decide.

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 specific subsets of the promotional population to apply for promotions but has implemented efforts to encourage all eligible members to apply. The City is implementing or has implemented strategies to increase the diversity of new officer recruits, including setting up a Recruitment Unit in 2020 to focus on these efforts. These strategies are impacting the makeup of the CPD as a whole, and over time, can impact the representativeness of officers applying for promotion to both sergeant and lieutenant.

The majority of the 2020 recommendations below focused solely on direct strategies and are considered complete as of the 2023 review. Other recommendations are also targeted at strategies to ensure equal opportunity and the consideration of a broad set of characteristics that are relevant for demonstrating readiness for promotion, including: recommendation eight (8) in 261(a) regarding alternate strategies to incorporate a broader set of characteristics and factors in the promotion process and recommendations in 261(e) to improve 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.** This 2020 recommendation is complete. DCI notes the City and CPD should continue efforts undertaken in this area.
21. **Consider additional efforts to attract new, diverse police recruits.** This 2020 recommendation is complete. DCI notes the City and CPD should continue efforts undertaken in this area.
22. **Establish mentorship programs.** DCI is continuing this 2020 recommendation, acknowledging that the City and CPD have drafted a framework for a formalized mentorship program for sergeants and lieutenants and expect to make additional progress soon. The City should consider and communicate how mentor and mentee relationships will be assigned to limit the potential for perceptions of impropriety in the assignment process.
23. **Ensure officers have the opportunity to see sergeants and lieutenants who look like them.** This 2020 recommendation is complete. DCI notes that CPD and OPSA had success with a pilot of a video campaign featuring leadership and staff from various backgrounds in promoting the 2022 detective process and plan to continue this approach for upcoming sergeant and lieutenant processes, building on that success.
24. **Adopt new phrases to describe approaches that evaluate a broader set of qualities.** DCI is accepting this 2020 recommendation as complete, in that the City, OPSA, and CPD have shifted language to describe the merit process and purpose but notes that many CPD members still reference the process as being for people who just don't test well. As such, DCI encourages the City to continue to work to shift the language used for merit selections, to the extent that process continues.
25. **Consider data-driven comparisons of representation.** DCI is accepting this 2020 recommendation as complete, noting that additional demographic variables are unlikely to be incorporated soon.

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 has implemented the recommendations from the 2020 review and is no longer an outlier in the frequency of planned processes. DCI's evaluation considered the potential benefits to morale and personnel knowledge as well as the feasibility and cost considerations in continuing one of the 2020 recommendations below.

26. **Consider conducting a new sergeant promotion process in two years to incorporate these recommendations.** This 2020 recommendation is complete. The sergeant process was concluded (excepting make-up exams) in 2021, and a new process is currently in development for 2024 administration.
27. **Conduct promotional processes for each rank at least every four years.** This 2020 recommendation is complete. The City has established a three (3)-year process cycle – with adherence to be confirmed. As the City works on the first implementation of the new timeline, DCI suggests considering the following:
 - a. Establish the series of years in which testing will occur (e.g., 2021, 2024, 2027 for sergeant) and coordinate to stagger 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.** DCI is continuing this 2020 recommendation, noting that CPD conducted a workforce allocation in 2023 and the results of that will inform OPSA and CPD projections to support promotional classes and testing needs, in conjunction with data on new recruits and budget authorizations. In 2020, DCI noted that the projected number of promotions/projected classes 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 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, though a concerted effort to provide more information was incorporated

in both of the most recent processes. The historically infrequent 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.** This 2020 recommendation is complete. DCI notes the City coordinated with the recent vendors to provide more avenues of communication about the test processes and the City should continue those efforts going forward, while also balancing the PPC recommendation to provide a centralized landing location for non-sensitive promotion process information.
30. **Expand and improve study options.** This 2020 recommendation, as written, is complete. The City worked with the vendors to add a video option and additional content to the study materials. That said, DCI recommends additional improvement in the usability of the provided materials moving forward:
 - a. **Consider leadership and supervisory courses.** Future efforts should consider whether the Department could feasibly require potential sergeant and lieutenant candidates to complete an online, training academy developed⁵⁷ leadership and supervisory course to apply for promotion⁵⁸. 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. **Consider study material format adjustments.** DCI recommends requesting vendor support to offer the study materials in a less dense/more user-friendly format. The Police Promotions Committee echoed this recommendation. For example, some information presented about what to expect on administration day or what to bring/not bring, could be presented in an infographic format, or with a short video clip demonstrating the set up. Other information could be split into separate, shorter documents for ease of access (e.g., practice scenarios separated from administrative information).

⁵⁷ DCI recommends development by the training academy for two reasons: 1) cost savings compared with obtaining an external vendor supplied course(s) and 2) insight to the promotion in-service training currently provided and the potential to adjust how that time is allocated.

⁵⁸ 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).

Increase Transparency

31. **Consider sharing more process information.** This 2020 recommendation is complete. DCI notes the City should continue the efforts undertaken and see the new suggestions in recommendation 30, above, for additional suggestions as well as previous recommendations regarding sharing planned process information on an intranet site.
32. **Provide candidates with information about their performance.** This 2020 recommendation is partially complete, and DCI has refined suggestions because of the progress the City has made.
 - a. **Provide Part 1 preliminary results more quickly.** DCI considers this portion of the recommendation complete based on actions taken in recent exams and planned actions for upcoming exams (e.g., providing candidates information on test day to allow for manual preliminary scoring on their own, and requiring test vendors to have preliminary scores within 2 days).
 - b. **Update Part 2 result feedback/score reports.** DCI considers the 2020 recommendation complete, but recommends incremental improvement driven by strengths noted in each of the separate vendor approaches to providing the score reports after Part 2. For example, the lieutenant score report provided a brief synopsis of the assessed components and more comparisons of the individual's score to the rest of the candidates. Additionally, the sergeant score report included broad suggestions, not tailored to candidate performance, for continued improvement in the assessed dimensions. DCI recommends exploring the feasibility of any even slightly more tailored suggestions for improvement on assessed dimensions, coupled with the more detailed score breakdown, moving forward.

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 2023, DCI:

- Reviewed approximately 200 documents and materials related to the promotion processes,
- Conducted several historical and context related meetings with stakeholders and SMEs,
- Developed and distributed a survey to all CPD personnel at the rank of Captain and below,
- Scheduled 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 department jurisdictions regarding 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 and discipline 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. in accordance with Consent Decree paragraph 261(f), 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. Since the 2020 review, CPD has completed or made considerable progress on several recommendations. Regarding the required evaluation around inclusion of discipline considerations, CPD is still an outlier compared with other departments and typical practice. In addition, several recommendations were accomplished that focused on actions to improve transparency and provide the foundation for a path to restore some trust in the fairness and legitimacy of the processes. CPD survey results demonstrated incremental improvement in some areas of trust around the processes, though perceptions of transparency are still sorely lacking based on CPD personnel feedback.

Exhibit 27 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, 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. DCI has provided initial suggestions for those constraints and priorities as depicted in **Exhibit 27**, but some recommendations

will necessitate further stakeholder collaboration, research, or negotiation to establish a specific implementation approach and better estimate resources requirements and timelines. The City has engaged DCI to support the development of the implementation plan and timeline associated with the 2023 recommendations and required to accomplish paragraph 262. Updated information or data may impact the relevance or priority of some recommendations.

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., CBAs) and some data systems (e.g., performance evaluation system) were being updated or implemented while this research was conducted, the next review will need to consider and evaluate the impact of any adjustments to policies, systems, data, or practices on the sergeant and lieutenant promotion processes and these recommendations.

References

- Adams v. City of Chicago, 469 F.3d 609 (7th Cir. 2006).
[https://scholar.google.com/scholar_case?case=7578371058644646942&q=Adams+v.+City+of+Chicago,+469+F.3d+609+\(7th+Cir.+2006\).&hl=en&as_sdt=20006](https://scholar.google.com/scholar_case?case=7578371058644646942&q=Adams+v.+City+of+Chicago,+469+F.3d+609+(7th+Cir.+2006).&hl=en&as_sdt=20006)
- Allen v. City of Chicago, 351 F.3d 306 (7th Cir. 2003).
[https://scholar.google.com/scholar_case?case=5883821273477993159&q=Allen+v.+City+of+Chicago,+351+F.3d+306+\(7th+Cir.+2003\).&hl=en&as_sdt=20006](https://scholar.google.com/scholar_case?case=5883821273477993159&q=Allen+v.+City+of+Chicago,+351+F.3d+306+(7th+Cir.+2003).&hl=en&as_sdt=20006)
- American Educational Research Association, American Psychological Association, & National Council on Measurement in Education (2014). *Standards for educational and psychological testing*. Washington, DC: American Educational Research Association.
- Arthur, W., Edwards, B. D., & Barrett, G. V. (2002). Multiple-choice and constructed response tests of ability: Race-based subgroup performance differences on alternative paper-and-pencil test formats. *Personnel Psychology*, 55, 985-1008.
- Barrett, G.V., Doverspike, D. & Young, C.M. (2010). The special case of public sector police and fire selection. In Scott, J. C. & Reynolds, D. H. (Eds.), *Handbook of workplace assessment: Evidence-based practices for selecting and developing organizational talent*, pp. 437–462. Jossey-Bass.
- Barnhill v. City of Chicago, Police Department, 142 F. Supp. 2d 948 (N.D. Ill. 2001).
<https://casetext.com/case/barnhill-v-city-of-chicago-police-department>
- Brown v. City of Chicago, 8 F. Supp. 2d 1095 (N.D. Ill. 1998).
https://scholar.google.com/scholar_case?case=3296985970888795947&q=8+F.Supp.2d+1095&hl=en&as_sdt=20006
- Bryant v. City of Chicago, 200 F.3d 1092 (7th Cir. 2000).
[https://scholar.google.com/scholar_case?case=14857417910425003936&q=Bryant+v.+City+of+Chicago,+200+F.3d+1092+\(7th+Cir.+2000\).&hl=en&as_sdt=20006](https://scholar.google.com/scholar_case?case=14857417910425003936&q=Bryant+v.+City+of+Chicago,+200+F.3d+1092+(7th+Cir.+2000).&hl=en&as_sdt=20006)
- Campion, M. A., Palmer, D. K., & Campion, J. E. (1997). A review of structure in the selection interview. *Personnel Psychology*, 50, 655-702.
- Campion, M. C., Campion, E. D., & Campion, M. A. (2019). Using practice employment tests to improve recruitment and personnel selection outcomes for organizations and job seekers. *Journal of Applied Psychology*, 104(9), 1089–1102.
- Chung-Herrera, B. G., Ehrhart, K. H., Ehrhart, M. G., Solamon, J., & Kilian, B. (2009). Can Test Preparation Help to Reduce the Black—White Test Performance Gap? *Journal of Management*, 35(5), 1207-1227.
- Dye, D. A., Reck, M., & McDaniel, M. A. (1993). The validity of job knowledge measures. *International Journal of Selection and Assessment*, 1(3), 153-157.
- Equal Employment Opportunity Commission, Civil Service Commission, Department of Labor, & Department of Justice. (1978). *Uniform guidelines on employee selection procedures*. Federal Register, 43(166), 38295-38309.
- Gutman, A. & Dunleavy, E.M. (2012). Documenting Work Analysis Projects. In Wilson, M.A., Bennett, Jr., W., Gwaltney Gibson, S., & Alliger, G.M. (Eds.). *The Handbook of Work Analysis: Methods, Systems, Applications and Science of Work Measurement in Organizations (1st ed.)*, pp. 139-167. Routledge.

- Harris, C. J., & Worden, R. E. (2014). The Effect of Sanctions on Police Misconduct. *Crime & Delinquency*, 60(8), 1258-1288. <https://doi.org/10.1177/0011128712466933>
- Helfers, R.C., Reynolds, P.D., and Maskaly, J. (2020). Prior Discipline and Performance among Police Officers: Does Organizational Fairness Matter? *Criminal Justice Faculty Publications and Presentations*. Paper 3. <http://hdl.handle.net/10950/4254>
- International Taskforce on Assessment Center Guidelines (2014). *Guidelines and Ethical Considerations for Assessment Center Operations, 6th Ed.*
<https://www.assessmentcenters.org/Assessmentcenters/media/2014/2014-Final-Presentations/International-AC-Guidelines-6th-Edition-2014.pdf>
- Jacobs, R., Cushenbery, L., & Grabarek, P. (2011). Assessments for selection and promotion of police officers. *Handbook of police psychology*, 193-210.
- Joiner, D.A. (1984). Assessment centers in the public sector: a practical approach. *Public Management Journal*, 13, 435-450.
- Lammlein, S.E. (1986). *Proposal and evaluation of a model for job knowledge testing* [unpublished doctoral dissertation]. University of Minnesota.
- Lievens, F., Peeters, H., & Schollaert, E. (2008). Situational judgment tests: A review of recent research. *Personnel Review*. 37, (4), 426-441.
- McDaniel, M. A., Morgeson, F. P., Finnegan, E. B., Campion, M. A., & Braverman, E. P. (2001). Use of situational judgment tests to predict job performance: a clarification of the literature. *Journal of Applied Psychology*, 86(4), 730-740.
- Miller, H.A., Watkins, R.J., & Webb, D. (2009). The use of psychological testing to evaluate law enforcement leadership competencies and development. *Police Practice and Research*, 10(1), 46-60.
- Moses, J.L. & Ritchie, R.J. (1976). Supervisory relationships: a behavioral evaluation of a behavior modeling program. *Personnel Psychology*, 29, 337-343.
- Police Executive Research Forum. (2018). *Promoting Excellence in First-Line Supervision: New Approaches to Selection, Training, and Leadership Development.*
<https://www.policeforum.org/assets/FirstLineSupervision.pdf>
- Posthuma, R. A. & Campion, M. A. (2008). Twenty best practices for just employee performance reviews. *Compensation and Benefits Review*, January/February, 47- 55.
- Price v. City of Chicago, 251 F.3d 656 (7th Cir. 2001).
https://scholar.google.com/scholar_case?case=12964941028744413573&q=%22city+of+chicago%22+%22promotion%22+%22test%22+%22disparate+impact%22&hl=en&as_sdt=20006&as_ylo=1990
- Reynolds, P. D., & Helfers, R. C. (2018). Do disciplinary matrices moderate the effects of prior disciplinary actions on perceived organizational support (POS) among police officers? *International Journal of Police Science & Management*, 20(4), 272-283.
<https://doi.org/10.1177/1461355718816718>
- Reynolds v. City of Chicago, 296 F.3d 524 (7th Cir. 2002).
https://scholar.google.com/scholar_case?case=12178244591034766210&q=reynolds+v+city+of+chicago&hl=en&as_sdt=20006

- Society for Industrial and Organizational Psychology. (2018). *Principles for the validation and use of personnel selection procedures* (5th Ed.). Bowling Green, OH: Society for Industrial and Organizational Psychology.
- Thompson, P.C. (2020). *Re-engineering the Chicago Police Department's Promotional Exam Process to Meet Leadership Demands of the Future* [unpublished study]. Northwestern University, Center for Public Safety.
- United States v. City of Chicago, 411 F. Supp. 218 (N.D.Ill. 1976), 395 F. Supp. 329 (N.D.Ill. 1975), 385 F. Supp. 543 (N.D.Ill. 1974). <https://casetext.com/case/united-states-v-city-of-chicago-11>

Appendix A

List of City and CPD Materials Received

Application Platform

- Requisition data for 2019-2021 sergeant promotion process
- Requisition data for 2022 lieutenant promotion process

Bargaining Unit Information

- FOP Collective Bargaining Agreement – FOP (7/1/2012 – 6/30/2017)
- PBPA Collective Bargaining Agreement – SGT (7/1/2016 – 6/30/2022)
- PBPA Collective Bargaining Agreement – LT (7/1/2016 – 6/30/2022)

CALEA

- CALEA Standard 34.1.1 – 34.1.6
- CALEA Chapter 24 Introduction

CPD Promotion Process Documentation

- IAP 07-02 CPD Sworn Member Promotions
- OPSA-HR SOP on the Review of Hiring and Promotional Exams
- Police Promotions Committee Procedure
- Police Promotions Committee Meeting
- Police Promotions Committee – Written Assessment Report
- Employee Resource - Career Service Rank Promotion Process
- Employee Resource – Merit Board

Consent Decree Related Documentation

- City Response to DCI's 2020 Recommendations
- DOJ Investigation of Chicago Police Department Report (1/13/2017)
- State of Illinois v. City of Chicago Consent Decree (1/31/2019)
- PATF Final Report (4/13/16)
- Independent Monitoring Reports 6 and 7 (2022)
- Draft Independent Monitoring Report 8 – Recruitment Hiring and Promotions

CPD Information

- CPD Organizational Chart (May 2023)
- Department unit listing
- CPD Hiring Plan (5/15/14)

Documentation on Performance/Awards/Discipline

- Discipline:
 - Rules of Conduct
 - Communication Procedures and Timeline
 - Complaint and Disciplinary System
 - Summary Punishment
 - Complaint and Disciplinary Investigators and Investigations
 - Police Board Annual Reports (2020-2022)
 - CR data
- Performance:
 - Performance Evaluations of All Sworn Department Members
 - Performance Evaluations System – Pilot Program
 - Performance Recognition System
 - Arrests and complimentary history

LT 2022 Job Information

- Lieutenant job description or specification

LT 2022 Promotion Process

- List of CPD Directives
- Lieutenant candidate preparation guides (Part 1 and Part 2)
- Lieutenant candidate video administration example and supplemental information
- Examination date announcement
- Exam review/challenge session information
- Order cancelling/establishing list letters
- Police Lieutenant Exam FAQs
- Lieutenant Taleo job posting
- Lieutenant examination reading lists (reference and recall)
- Candidate challenge session result email communication
- Police Lieutenant Examination Notice to Report (Part I and II)
- Part 1 exam pass/fail notices
- Part 2 results letter to candidates
- Part 2 score report template
- Sample feedback report
- Test day summary and schedule
- Merit Nominator Training Presentation - Lieutenant
- Merit Nomination Manual
- Lieutenant merit process nomination announcement
- Lieutenant rank eligibility list
- Vendor communications on process decisions and exam analysis results

SGT 2019-2021 Job Information

- Sergeant job description or specification
- 2019-2020 Chicago Police Job Analysis Report and Appendices

SGT 2019-2021 Promotion Process

- DHR and Vendor communications related to exam development and administration
- Sergeant Exam FAQs (Part 1 and Part 2)
- 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 guides (Part 1 and Part 2)
- Written Exam official invitation letter
- Oral assessment official invitation letter
- Sergeant Oral Assessment Q and A with HR responses
- Oral assessment demo
- Test daily schedule
- Oral assessment challenge form
- Oral exam results template
- Assessor recruitment letter
- Assessor information sheet
- Task Order Proposal Request
- Order cancelling/establishing list letters
- Part 2 score report explanation
- Sergeant rank eligibility list
- Merit selection FAQs
- Merit selection nominee guide
- Makeup exam AMC messages
- Makeup reading list with explanation
- Makeup communications to candidates
- Makeup exam FAQ

Detective Promotion Process

- Detective application survey results
- Detective competency assessment survey

SGT 2024 Promotion Process

- Email announcement of planning for 2024 sergeant promotion exam

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	Page
Performance Management/Evaluation	September 5, 2023	B-3
Discipline Process and Considerations	September 12, 2023	B-4
Recruitment and Diversity	September 12, 2023	B-5
DHR – Process Planning, Implementation, Oversight	September 14 and 18, 2023	B-6
OPSA – Process Planning, Implementation, Oversight	September 14 and 22, 2023	B-7
Test Vendor – Process Development and Implementation	November 15 and 21, 2023	B-8
FOP Perspectives	September 15, 2023	B-9
PBPA: SGT and LT Perspectives	September 15, 2023	B-10
SGT and LT Command Staff Perspectives	November 8, 2023	B-11

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 2020 and now the 2023 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 relevant policies and directives, the study guides, the candidate communications, the postings, relevant reports, and the list goes on (almost 100 individual documents). The purpose of this session is to bring that material to life – by discussing the context around what’s on paper, changes and updates since 2020, and anything that may be planned but not yet reflected in the documents. 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’re 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.

Sergeant and Lieutenant Performance

Overview

The purpose of the meeting is to discuss the current and new piloted performance management/evaluation process; considerations as part of a promotion process; practical and other considerations regarding data availability and process.

Driving Questions and Topics:

- Please describe the performance evaluation system/process for Officers, Sergeants, and Lieutenants.
 - 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?
- How is the performance evaluation system that is being piloted different?
- How is performance evaluated or considered in the promotion processes, including merit?
- How *should* performance be accounted for within the promotion process?
 - What considerations should be factored in when evaluating opportunities to incorporate performance in the promotion processes?
- Generally speaking –
 - What do you see as successes in the Sergeant and Lieutenant promotion processes?
 - What do you see as opportunities in the Sergeant and Lieutenant promotion processes?

Sergeant and Lieutenant Discipline

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
 - 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 rank order or merit/performance 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?

Recruitment and Diversity

Overview

This meeting is a broader discussion on communication(s) the candidates receive, efforts to encourage diversity in the department generally and 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 recruitment process as it stands?
 - What are recent actions you've engaged in to increase the diversity of applicants to join CPD – whether or not resulting from the Consent Decree?
 - Do you have additional actions planned or under consideration?
 - We have reviewed the OIG report that identified some steps of the process that tend to result in greater percentages of traditionally marginalized groups dropping from further consideration in the process – what thoughts do you have on that?
- What have you done to provide transparency to applicants about both the application process and the job?
 - Have you received feedback from applicants about the process or their understanding of the job?
 - Have you received feedback from City personnel on the process or the extent to which applicants are qualified/prepared to participate in the necessary application steps?
- What methods do you use to communicate with applicants about the processes and how to prepare?
 - What do you do to keep applicants engaged?
 - Are there any lessons in communicating with and engaging prospective applicants that you think could be applied to the Sergeant and Lieutenant promotion processes?
- How frequently do you evaluate the effectiveness of your recruitment efforts?
- What barriers remain to effective recruitment AND retention of qualified applicants from diverse backgrounds?

DHR - Promotion Process Planning, Implementation, Oversight

Overview

This meeting is designed to gather valuable context around the focus of the current processes, rationale for desired evaluation components, nature, and purpose of changes to the exams, perspective on promotion-related diversity initiatives, key implementation considerations, and oversight mechanisms.

Driving Questions and Topics:

- Tell us about the most recent Sergeant and Lieutenant processes – changes planned or implemented since the previous review; what went well, and what are additional opportunities or lessons learned?
 - What are the biggest similarities and differences between the Sergeant and Lieutenant exams?
 - What part does DHR have in the Merit Promotion process?
 - What updates have been implemented to the RFPs for these processes?
 - Tell us about the other alternate options you considered to address the 2020 recommendations.
- Have you evaluated or updated the requirements to apply for promotion since the 2020 review?
- You mentioned classification does/will own the language in the job descriptions – talk to us about that?
- What methods do you use to communicate with candidates about the processes and how to prepare?
- Do you have any insight on the value promotional candidates expect/believe they get from using external test prep services?
- What actions have you taken to encourage and prepare candidates with diverse backgrounds to participate in the process?
- 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?
- When you think about incorporating discipline or performance into the promotion process – what are your thoughts? What are your concerns?
- Complaints – what are the most common, how frequent are complaints?
- What are the most common ADA or USERRA accommodation requests received?

OPSA - Promotion Process Planning, Implementation, Oversight

Overview

This meeting is designed to gather valuable context around the focus of the current processes, rationale for desired evaluation components, nature, and purpose of changes to the exams, perspective on promotion-related diversity initiatives, key implementation considerations, and oversight mechanisms.

Driving Questions and Topics:

- What are the top opportunities and strengths you see in the Sergeant and Lieutenant processes?
 - What part does OPSA have in the Merit and rank-order Promotion processes?
 - Tell us about the alternate options you considered to address the 2020 recommendations.
- Do you think the new and existing policies/directives are sufficient to detail roles and responsibilities for the processes?
 - Is there anything we should know about how responsibility for the process is divided between the vendors, city HR, OPSA, PD, etc.?
- 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?
 - Once a candidate is on the eligibility list, how do they know whether or when they are likely to be promoted?
- Do candidates understand the requirements to apply for promotion and know what to expect during the process?
- What efforts have you undertaken to encourage candidates with diverse backgrounds to prepare and apply for promotion? How were those identified/when were they implemented?
- Descriptive or evaluative personnel analysis
 - Are there any equity-type analyses (e.g., comparing diverse representation in the department, at various ranks, to the community or the department as a whole) you haven't conducted, but think would be beneficial? Is there data available for that analysis?

Test Vendor Process Development and Implementation

Overview

The following text was shared with the vendors in seeking to schedule the meetings:

As you may be aware, DCI Consulting Group has again been engaged as the independent expert to address paragraph 261 of the consent decree – specifically evaluating the sergeant and lieutenant promotion processes. This evaluation includes the development and administration of the promotion processes, and the consent decree specifically requires considering how the competencies, characteristics, and capabilities necessary for success are measured.

While DCI has been provided the available materials related to the most recent promotion processes, there are some additional items DCI would typically review in the technical report to support the evaluation. It would be helpful to have a discussion about these items, for example, discussing how the concepts measured in the oral assessment activity were selected, how the assessment content was selected, some additional insight on the scoring approach, how linkages supporting content validity were established, and analyses of results.

DCI is open to signing an NDA to facilitate the sharing of information to support the evaluation.

Driving Questions and Topics:

- Questions asked of each vendor, in separate meetings for the 2019-2021 sergeant promotion process and the 2022 lieutenant process
 - How were important and needed at entry Knowledge, Skills, Abilities, and Other Characteristics (KSAOs) identified?
 - How did you determine which KSAOs to target in job knowledge test vs scenario based assessment?
 - Can you discuss the approach to SME involvement?
 - Can you explain the approach to develop MC test and study material?
 - What perspectives can you share on the MC administration and post-administration?
 - Can you explain the oral assessment development approach?
 - Can you explain analysis conducted and results?
 - Can you describe your assessor approach – identification, demographics?
 - What was your scoring methodology (how did assessors score the responses, how were scores checked, what additional actions were taken to arrive at and verify final score)?
 - Thoughts on the score/feedback report?
 - Do you have perspectives on the merit process, and can you describe how you developed that process?
 - Do you have thoughts for future processes to share?

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 Merit promotional process?
- 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 Officers and Detectives from diverse backgrounds and perspectives to sit for promotion are working well? If not, what do you think would be more useful?
- How transparent do you believe the Sergeant promotion process is?
 - Do candidates know how to prepare, what to expect, and how they are evaluated?
 - Do candidates know what the job is really like?
- Walk through/discuss upcoming planned member survey

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 Merit 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 Officers and Sergeants from diverse backgrounds and perspectives to sit for promotion are working well? If not, what do you think would be more useful?
- How transparent do you believe the Sergeant and Lieutenant promotion processes are?
 - Do candidates know how to prepare, what to expect, and how they are evaluated?
 - Do candidates know what these jobs are really like?
- Walk through/discuss upcoming planned member survey

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:

- Questions about the Sergeant and Lieutenant Promotion Processes
 - What do you see as a strength – something that works well in how the processes are developed and implemented?
 - What do you see as an opportunity for improvement – pain points or something that just doesn't work as well as it could?
 - What do you think would help to restore some trust in these processes?
 - What is your perspective on the new intended 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 for the department 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?
- Questions about Newly Promoted 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?

Appendix C
CPD Personnel Survey Communications

Advanced Command Staff Notification (Delivered on September 29, 2023)

Subject: Consent Decree- Promotional Process Survey

Good Afternoon,

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 Consent Decree requirements. To facilitate this review, OPSA-HR will distribute an online survey on Monday, 2 Oct, to Officers, Sergeants, Lieutenants and Captains asking for feedback on the promotional processes, including the frequency of exams, transparency, awareness, discipline and opportunities for improvement. Responses are anonymous and are collected by the outside vendor. The City and CPD will only receive data in the aggregate.

I encourage you to promote and allow your members time to complete this survey (15-20 minutes) to ensure a good response rate.

Please feel free to email me with any questions or concerns.

NOTE- This survey is separate from the Sergeant Exam Development Job Analysis survey that went out a couple of weeks ago. A reminder AMC was sent today regarding that survey.

Drafted Final Email with Survey Link (Delivered on October 6, 2023)

From: OfficeoftheSuperintendent

Sent: Friday, October 6, 2023

To: Everyone

Subject: Sworn Promotional Process Survey 2023

*******This survey is intended for sworn members currently at the rank of Police Officer through Captain*******

Dear Members,

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 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, discipline and opportunities for improvement.

The survey should take no more than 10-15 minutes to complete, and will remain open through 20 October 2023. 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_eJcl5orgkpLIOYR

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).

Thank you,

Office of Superintendent

Reminder Notification – Sent via AMC messaging (Delivered on October 16, 2023)

	REFERENCE # 301691	Distribution Method: <input checked="" type="checkbox"/> Archive <input checked="" type="checkbox"/> CPD Intranet Home Page <input checked="" type="checkbox"/> Unit Inbox <input type="checkbox"/> Faxed <input type="checkbox"/> Email Select distribution list ▼
	REMINDER: SWORN PROMOTIONAL PROCESS SURVEY	
	16-OCT-2023 16:08	
	GENERAL MESSAGE	
To:	ALL UNITS	
From:	LANDOWSKI, ROBERT F DIRECTOR OF HUMAN RESOURCES 123 - HUMAN RESOURCES DIVISION (HRD)	Telephone No. [REDACTED]
On Behalf Of:		
Message:	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 Consent Decree requirements. The survey should take no more than 10-15 minutes to complete, and will remain open through Sunday, 22 October 2023. 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. Thank you to those who have already completed the survey. Please cut and paste survey link: https://dci.co1.qualtrics.com/jfe/form/SV_eJcl5orgkpLIOYR	
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

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

The Promotional Process Survey consists of four sections, listed below. This list will remain visible as a menu icon in the top left of your screen throughout the remainder of this survey, allowing you to return to a particular section as needed. Simply click on the survey section name to go directly to that section.

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. Detective
 - c. Sergeant
 - d. Lieutenant
 - e. 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 and Detectives] 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.

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

4. *[Officers and Detectives]* 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
 - Not encouraged to do so
 - 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, I completed Part 1 only
 - No, I completed the Application Only
- *[If "No, I completed Part 1 only"]* Why did you only complete Part 1 of the Sergeant promotion process?
 - I failed Part 1
 - I could not attend Part 2 for personal reasons
 - I was not interested in completing Part 2
 - Other, please specify *[open text]*
- *[For those who received the last question]* How many times have you applied for promotion to Sergeant?
 - 0
 - 1
 - 2
 - 3
 - 4+

Questions will then skip to 'Promotion Process Frequency'

5. **[SGTs]** How many times did you apply for promotion to Sergeant before you were successful?
[open numeric]
- How would you rate your level of understanding regarding a Sergeant's job 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. *[If "No, I completed Part 1 only"]* Why did you only complete Part 1 of the Lieutenant promotion process?
 - I failed Part 1
 - I could not attend Part 2 for personal reasons
 - I was not interested in completing Part 2
 - Other, please specify *[open text]*
 - iv. How many times have you applied for promotion to Lieutenant? *[open numeric]*
6. **[LTs 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]*
 - **[SGTs, LTs, and Captains]** How long (in years) were you on the promotional list before you were promoted? *[dropdown]*
 - **[LTs]** How would you rate your level of understanding regarding a Lieutenant's job 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

7. **[All respondents]** Do you believe the promotion process frequency the Department is working towards (about every 3 years) is adequate?
- Yes
 - No, it should be more frequent. Please provide desired frequency (in years) below.
[open numeric]
 - No, it should be less frequent. Please provide desired frequency (in years) below.
[open numeric]

Promotion Process Transparency and Awareness

8. **[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
 - Union notifications/union rep
 - Outside/external sources (e.g., test prep services)
 - Other (please specify)
9. **[All respondents]** Do you receive adequate notice that a promotional process is planned?
(Yes/No)
10. **[All respondents]** To what extent does the application fee impact whether you decide to apply for promotion? *(scale below – not at all – To great extent Likert-type scale)*

Not at all

To a small extent

To a moderate extent

To a great extent

No Basis to Judge

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

Not at all
familiar

Slightly
familiar

Moderately
familiar

Very familiar

Extremely
familiar

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

[SGTs who have applied for LT process, LTs, and Captains] For the Lieutenant rank, how familiar are/were you with... *(5-point Likert scale)*

Sergeant and Lieutenant Promotion Processes –
Review, Evaluation, and Recommendations

Not at all
familiar

Slightly
familiar

Moderately
familiar

Very familiar

Extremely
familiar

13. The requirements to apply for promotion?

14. The parts of the promotional process?

[SGTs, LTs, and Captains; Officers and Detectives who have applied for SGT process] To what extent did you... (4-point Likert scale, No Basis to Judge)

Not at all

To a small extent

To a moderate extent

To a great extent

No Basis to Judge

15. Use the preparation materials provided by the City or test vendor (e.g., preparation guides/practice materials) to prepare for the promotional process?
16. Believe the process provides you an opportunity to demonstrate your readiness for promotion?
17. Know what you were being evaluated on in the promotion process?
18. 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)?
19. Believe enough time is provided to study and prepare for both portions of the exam?
20. Believe enough time is provided between the two portions of the exam?
21. Understand how your final score was derived?
22. Believe the final promotional list should be publicly posted for all members to see?
23. Believe the technical knowledge or Part 1 should be included in your final score?
24. Do you feel you need an external vendor for test prep? (Yes/No)
- a. *(If yes)* What does an external vendor provide that you don't get from the City/test vendor materials? *[open text]*
25. *[SGTs, LTs, and Captains; Officers and Detectives who have completed some or all parts of a SGT 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 up to 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 scored 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
 - xv. Transparency of the process
26. **[All respondents]** To what extent do you believe prior sustained disciplinary actions (i.e., sustained CRs, SPARs) should be considered when making promotion decisions from the **rank list?**
- Not at all
 - To a small extent
 - To a moderate extent
 - To a great extent
27. Thinking about your response regarding whether discipline should be considered, which of the following reasons reflects why you chose that response? **Select all that apply.**
- It can give insight into behavior/patterns
 - Member assignment impacts whether they get CRs
 - Should only consider sustained
 - Should only consider within past year
 - Should only consider within past 3-5 years
 - Should only consider if it resulted in at least 10 days of suspension
 - Should only consider if it resulted in at least 30 days of suspension
 - Should look at the actual CR case-by-case for severity, pattern, and role
 - Performance/complementary history should be balanced against any discipline consideration
 - Would need more trust in fairness of discipline process first
 - Avoid “double” punishment for discipline
 - Other, please specify
28. To what extent do you believe the merit process is fair?
- Not at all
 - To a small extent
 - To a moderate extent
 - To a great extent
29. To what extent do you believe the merit process results in promoting members who are successful in the next rank?
- Not at all
 - To a small extent
 - To a moderate extent
 - To a great extent
30. To what extent do you believe prior sustained disciplinary actions (i.e., sustained CRs, SPARs) should be considered when making promotion decisions from the **merit list?**
- Not at all

- To a small extent
 - To a moderate extent
 - To a great extent
31. Thinking about your response regarding whether discipline should be considered, which of the following reasons reflects why you chose that response? **Select all that apply.**
- a. It can give insight into behavior/patterns
 - b. Member assignment impacts whether they get CRs
 - c. Should only consider sustained
 - d. Should only consider within past year
 - e. Should only consider within past 3-5 years
 - f. Should only consider if it resulted in suspensions of more than 7 days
 - g. Should only consider if they have 3 or more sustained CR numbers resulting in suspension
 - h. Should look at the actual CR case-by-case for severity, pattern, and role
 - i. Performance/complementary history should be balanced against any discipline consideration
 - j. Would need more trust in fairness of discipline process first
 - k. Avoid “double” punishment for discipline
 - l. Other, please specify
32. What other thoughts do you have about the merit process? [open text]

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.

33. What is your gender?
- i. Female
 - ii. Male
 - iii. Other – Please specify: [open text]
 - iv. I do not wish to provide this information
34. Please indicate your ethnicity?
- i. Hispanic/Latino
 - ii. Not Hispanic/Latino
 - iii. I do not wish to provide this information
35. 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 and distributed a survey with an anonymous link (i.e., not unique or tied to any individual) through the Office of Public Safety Administration (OPSA). DCI kept the survey relatively short to encourage participation and used branching based on respondent input (i.e., if an officer had not applied to a process, the process focused items were skipped), so that the survey was shorter for some respondents than others. The survey included 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)). DCI also included open comment fields periodically to provide respondents with the opportunity to express additional perspectives not adequately covered in closed-ended questions.

The tables and text below describe the results of the survey, which was distributed via email between October 2 and 6, 2023 to over 11,600 CPD personnel – approximately 10,067 officers – including over 1,150 officers assigned as detectives, 1,250 sergeants, 265 lieutenants, and 28 captains. DCI closed the survey to responses on Monday October 23, 2023. A total of 1,821 responses were received; however, of those, 272 were removed for lacking any responses after rank and time in rank or sworn position. A total of 1,549 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	Detective	Sergeant	Lieutenant	Overall*
Tenure					
Mean Years in Rank	13.36	5.84	5.13	3.98	8.99
Mean Total Years Sworn	13.47	18.10	20.23	24.73	17.10
Gender					
Female	137 (18.7%)	34 (14.6%)	73 (16.3%)	12 (10.4%)	259 (16.7%)
Male	399 (54.4%)	122 (52.4%)	241 (53.9%)	69 (60.0%)	841 (54.3%)
Other	2 (0.3%)	2 (0.9%)	4 (0.9%)	1 (0.9%)	9 (0.6%)
I do not wish to provide	101 (13.8%)	52 (22.3%)	89 (19.9%)	23 (20.0%)	271 (17.5%)
Blank	94 (12.8%)	23 (9.9%)	40 (9.0%)	10 (8.7%)	169 (10.9%)

Demographic	Officer	Detective	Sergeant	Lieutenant	Overall*
Race/Ethnicity					
Asian	18 (2.5%)	4 (1.7%)	8 (1.8%)	1 (0.9%)	31 (2.0%)
Black or African American	88 (12.0%)	18 (7.7%)	53 (11.9%)	11 (9.6%)	170 (11.0%)
Hispanic/Latino	165 (22.5%)	37 (15.9%)	68 (15.2%)	11 (9.6%)	282 (18.2%)
Native Hawaiian or Other Pacific Islander	1 (0.1%)	1 (0.4%)	0	0	2 (0.1%)
White	149 (20.3%)	49 (21.0%)	117 (26.2%)	34 (29.6%)	358 (23.1%)
Two or More Races	20 (2.7%)	6 (2.6%)	11 (2.5%)	3 (2.6%)	40 (2.6%)
I do not wish to provide	194 (26.5%)	95 (40.8%)	149 (33.3%)	45 (39.1%)	492 (31.8%)
Blank	98 (13.4%)	23 (9.9%)	41 (9.2%)	10 (8.7%)	174 (11.2%)

**Note: Captain information is not reported separately, as there were only 21 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 and detective) indicates that almost 60% of officers and almost 90% of detective respondents had applied for at least one sergeant promotion. Most officers 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, whereas most detectives who had not applied were not interested in the job. **Table 3** (sergeant and lieutenant) responses indicate that 55% of sergeant respondents had applied for a lieutenant process.

Table 2. Officer Experience with Promotion Processes

Response	Officers		Detectives	
	N	Percent	N	Percent
Ever applied for Sergeant promotion?				
Yes	441	59.5%	210	89.7%
Mean times applied:	3.25		3.42	
No	300	40.5%	24	10.3%
If No, reason: Not interested*	46	13.2%	12	46.2%
If No, reason: Wrong time*	36	10.3%	2	7.7%
If No, reason: Not eligible*	203	58.2%	7	26.9%
If No, reason: Not encouraged*	29	8.3%	1	3.9%
If No, reason: Other*	35	10.0%	4	15.4%
If Other: Corruption/Merit**	10	28.6%	2	50.0%
If Other: Not eligible (time in rank)**	14	40.0%		
If Other: Personal**	6	17.1%		
If Other: Not interested in job**	4	11.4%	2	50.0%
For those who have applied, were both parts of the process completed (written exam & assessment exercise)?	N	Percent	N	Percent
Yes	395	90.6%	193	92.3%
No, completed the application only	6	1.4%	1	0.5%
No, Part 1 only	35	8.0%	15	7.2%

*Reason percentages based on total selections, 349 for officer and 26 for detective.

**Percentage derived from total responses in the category / total selecting other – open response.

Table 3. Sergeant and Lieutenant Experiences with Promotion Processes

Response	Sergeant	Lieutenant
Sergeant Process		
Mean times applied before successful	1.53	1.30
Lieutenant Process		
Yes - Ever applied for Lieutenant	244 (54.6%)	
Yes - Completed both parts (for those who said yes above)	233 (95.5%)	
Mean times applied before successful		1.21

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 in 2020 (88-96% depending on the rank and 89% overall) indicated the promotion process should be conducted more frequently. The 2023 results, after the City has established a plan to conduct processes every three years instead of every six years, resulted in almost 60% of overall respondents indicating the new frequency is adequate. The remainder were almost evenly split between indicating the processes should be slightly more (i.e., every 2 years) frequent or less (i.e., every 4-5 years) frequent.

Table 4. Frequency of Promotion Processes

Response	Officer	Detective	Sergeant	Lieutenant	Overall*
More frequent than every three (3) years	196 (27.8%)	40 (17.6%)	76 (17.6%)	27 (23.9%)	343 (22.9%)
Mean years process should occur (less than three)	1.92	2.30	1.98	2.35	2.01
Three (3) years is adequate	395 (56.1%)	136 (59.9%)	262 (60.7%)	70 (61.9%)	878 (58.7%)
Less frequent than every three (3) years	113 (16.1%)	51 (22.5%)	94 (21.8%)	16 (14.2%)	276 (18.4%)
Mean years process should occur (more than three)	4.80	4.98	4.99	4.81	4.90

*Overall incorporates Captains' responses.

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 65 and 78% of respondents, depending on rank, indicated that an adequate amount of notice is provided that a process is planned. However, many of the open responses regarding the perceived value of using third party test prep vendors indicated the vendors assist in structuring the study (32%) – including organizing, streamlining the focus, and setting a schedule for the study material. A few of those comments indicated that the third-party vendors provide early notice that a process is coming and an earlier start to studying, typically before the final reading material lists have been announced. Recommendations included providing more organized access to materials as well as narrowing and streamlining the study material.

Most respondents learn a process is being planned via department written messages and announcements. However, 62-67% 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	Detective	Sergeant	Lieutenant	Overall*
Yes, receive adequate notice that process is planned	456 (64.6%)	175 (77.1%)	340 (78.0%)	86 (76.1%)	1074 (71.5%)
Learn about process by:** N	707	227	435	113	1503
Word of mouth	476 (67.3%)	146 (64.3%)	270 (62.1%)	70 (61.9%)	977 (65.0%)
Written/email announcement	453 (64.1%)	172 (75.8%)	308 (70.8%)	89 (78.8%)	1,040 (69.2%)
Verbal announcement	102 (14.4%)	31 (13.7%)	59 (13.6%)	20 (17.7%)	218 (14.5%)
Union notifications/union rep	117 (16.5%)	40 (17.6%)	103 (23.7%)	14 (12.4%)	275 (18.3%)
Outside/external sources (e.g., test prep vendors)	199 (28.1%)	77 (33.9%)	196 (45.1%)	42 (37.2%)	523 (34.8%)
Other	21 (3.0%)	7 (3.1%)	9 (2.1%)	3 (2.7%)	40 (2.7%)
<i>Other: Type of Department Announcement (e.g., AMC)^</i>	7 (33.3%)	1 (14.3%)	2 (22.2%)	NA	10 (25.0%)
<i>Other: Social Media (e.g., blogs)^</i>	4 (19.0%)	3 (42.9%)	1 (11.1%)	NA	8 (20.0%)
<i>Other: third party (e.g., test prep vendor)^</i>	3 (14.3%)	2 (28.6%)	NA	3 (100.0%)	8 (20.0%)
<i>Other: Type of word of mouth (rumors)^</i>	4 (19.0%)	1 (14.3%)	3 (33.3%)	NA	8 (20.0%)

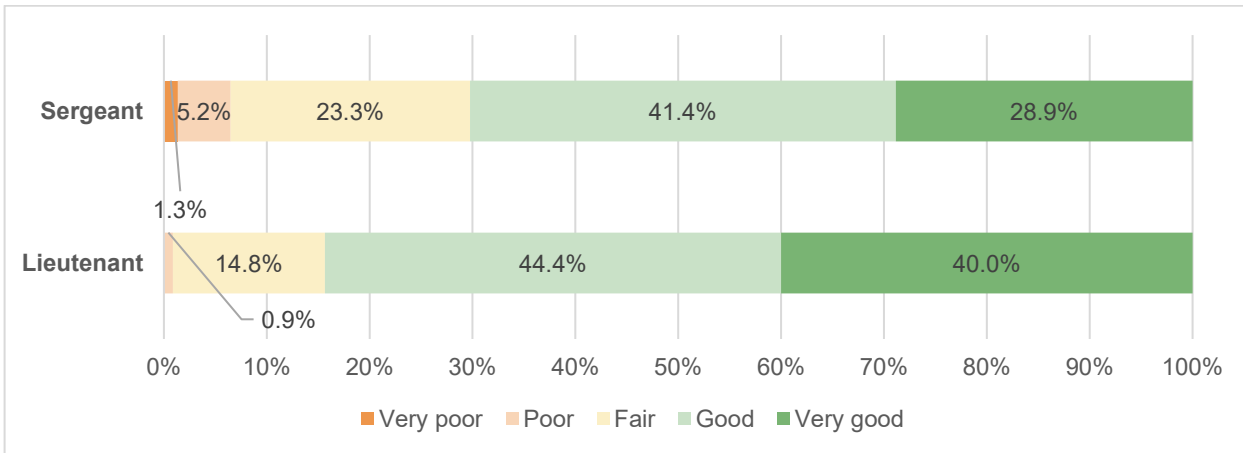
*Overall incorporates Captains' responses.

**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. At least 70% of both sergeants and lieutenants indicated their familiarity with the expectations of the job were at least "good" at the time of promotion. This is similar to the at least 75% of both ranks reporting the same in 2020.

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. Just over 45% of officers and 72% of sergeants indicated being at least “very familiar” with the requirements to apply. However, only 33% of officers and almost 55% of sergeants indicated being very or extremely familiar with the actual parts of the promotion process. In fact, almost 16% of responding officers indicated no familiarity with the parts of the promotion process. The lower familiarity indicated by responding officers aligns with the percentage who reported being ineligible to test for sergeant due to lack of time in the job. These results are similar to those from 2020.

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

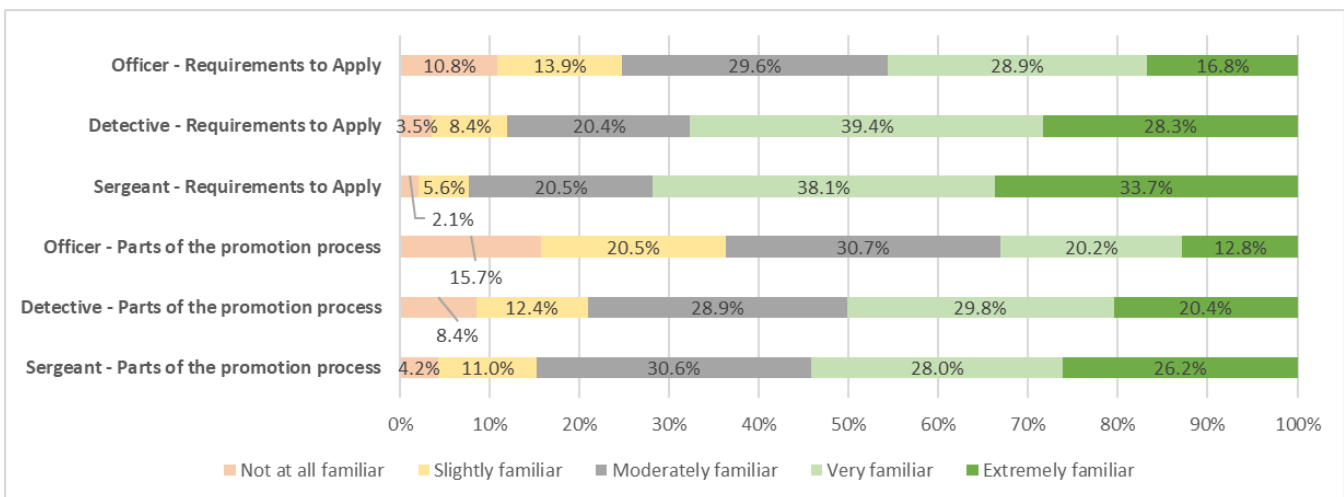
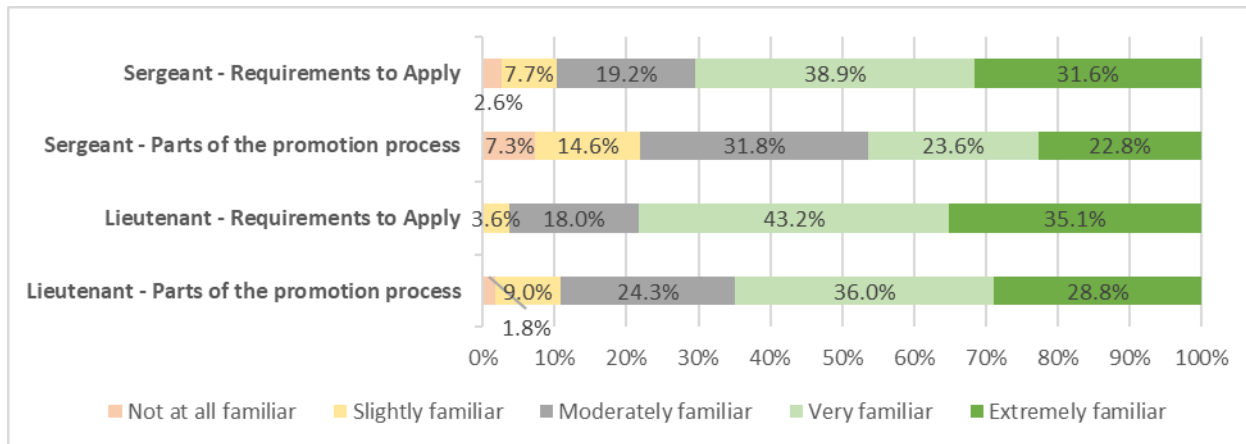


Figure 3 presents the responses of sergeants and lieutenants regarding the lieutenant promotion process. Approximately 70% of sergeants and 78% of lieutenants reported being at least “very familiar” with the requirements to apply for lieutenant. Just over 45% of sergeants and 65% of lieutenants indicated being at least “very familiar” with the parts of the lieutenant promotion process. These results are similar to those in the 2020 survey.

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



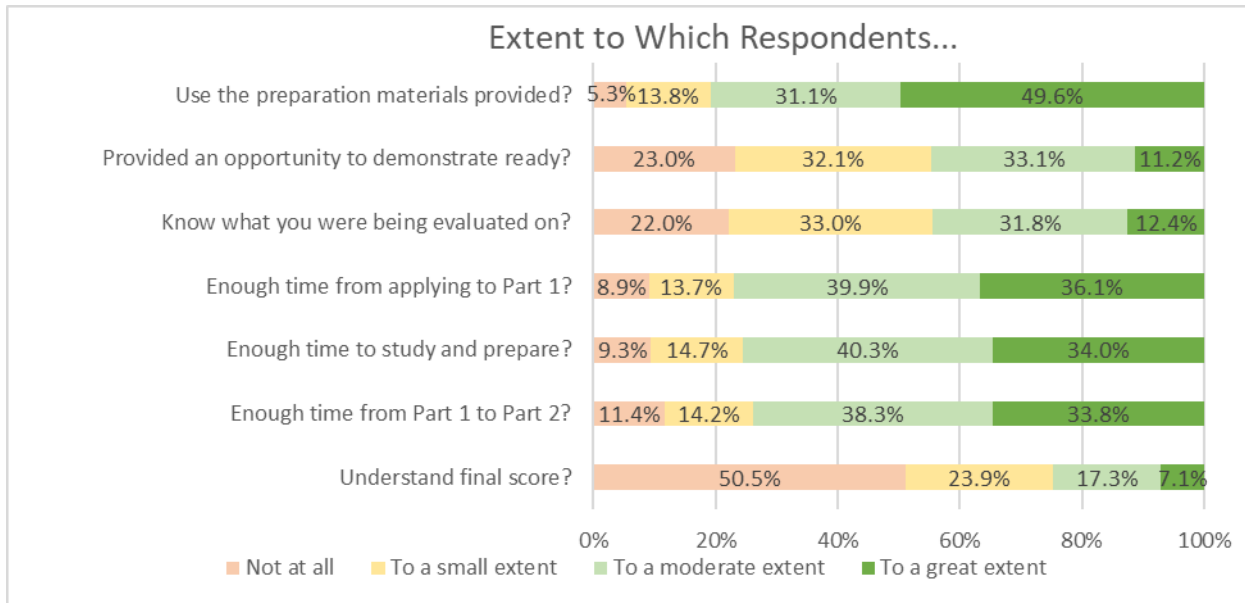
To further evaluate awareness of the promotion processes, DCI asked a series of questions regarding 1) the extent to which respondents used the preparation materials provided by the City, 2) felt they had an opportunity to demonstrate readiness for promotion in the process, 3) had enough time to prepare, 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 (only 37%) to indicate having adequate time after applying to prepare for the written job knowledge test (Part 1). Only 11% indicated that the process, to a great extent, provided an opportunity to demonstrate readiness for promotion, though another 33% indicated a moderate agreement.

Similarly, 12% indicated understanding evaluation criteria to a great extent, with another 32% indicating moderate understanding. However, just over 50% of respondents indicated having no understanding of how the final score was derived. DCI notes that this is an improvement from 2020, when approximately 56% of respondents indicated having no understanding of the final score.

Figure 4. Understanding of and Perceptions Regarding Promotion Process Implementation



A new question in 2023 asked respondents the extent to which they felt it was necessary to engage an external vendor to prepare for promotional exams. Overall, 56% stated they did, with responses by rank ranging between 50-60%. DCI also included a follow-up open comment field asking what value respondents believe they get from an external vendor. A total of 559 unique comments were received, and the value derived from external vendors aligned to four main buckets:

- Structure (32%): in terms of organizing, streamlining, supplementing, and setting a schedule for studying the materials; also including classroom type setting structure
- Explanation (31%): including explaining what to focus on when studying the materials, what to expect at the test, how the tests are developed, background on the test vendors, etc.
- Strategies (28%): generally focused on strategies for responding to the oral assessment “subjective” part of the promotion processes
- Practice (25%): including examples and actual practice scenarios and exams, and about 2% mentioned receiving feedback on those practices

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, which is consistent with the 2020 results. DCI then asked respondents to choose up to five areas that could most use improvement. Overall, the top five areas indicated as areas for improvement were: transparency of the process (75%), scoring (61%), evaluation criteria (51%), security of the exam and related materials (44%), and type of assessment (43%). In 2020, creation and use of the eligibility list

was in the top five, but it was the sixth most selected area of opportunity in 2023, due to the new transparency option. Though the top areas for improvement remained consistent, the percentage of respondents aligning to each did improve between survey administrations.

Table 6. Opportunities to Improve the Promotion Processes

Response	Officer	Detective	Sergeant	Lieutenant	Overall*
Opportunity to improve process?	365 (93.4%)	185 (96.9%)	364 (88.4%)	97 (91.5%)	1,024 (91.5%)
Improve how? <i>N</i>	386	190	406	104	1104
Requirements to apply for promotion	105 (27.2%)	48 (25.3%)	96 (23.6%)	24 (23.1%)	274 (24.8%)
Type of assessment	164 (42.5%)	81 (42.6%)	182 (44.8%)	43 (41.3%)	479 (43.4%)
Evaluation criteria	207 (53.6%)	108 (56.8%)	186 (45.8%)	50 (48.1%)	559 (50.6%)
Time limits for exam or exercises	32 (8.3%)	10 (5.3%)	34 (8.4%)	8 (7.7%)	86 (7.8%)
Technology used in exam or exercises	35 (9.1%)	18 (9.5%)	51 (12.6%)	5 (4.8%)	111 (10.1%)
Testing procedures during exam or exercises	36 (9.3%)	26 (13.7%)	58 (14.3%)	10 (9.6%)	131 (11.9%)
Location of exam or exercises	38 (9.8%)	10 (5.3%)	28 (6.9%)	6 (5.8%)	84 (7.6%)
Scoring of exam or exercises	235 (60.9%)	118 (62.1%)	239 (58.9%)	68 (65.4%)	673 (61.0%)
Appeal/item challenge procedures	31 (8.0%)	13 (6.8%)	33 (8.1%)	6 (5.8%)	84 (7.6%)
Creation and use of eligibility list	147 (38.1%)	76 (40.0%)	157 (38.7%)	57 (54.8%)	443 (40.1%)
Feedback on exam or exercise performance	61 (15.8%)	35 (18.4%)	80 (19.7%)	25 (24.0%)	206 (18.7%)
Promotion process communications	67 (17.4%)	35 (18.4%)	58 (14.3%)	19 (18.3%)	181 (16.4%)
Exam and exercise study materials, preparation, or trainings	112 (29.0%)	52 (27.4%)	87 (21.4%)	16 (15.4%)	270 (24.5%)
Security of exam and related materials	147 (38.1%)	79 (41.6%)	185 (45.6%)	61 (58.7%)	486 (44.0%)
Transparency of the process [^]	276 (71.5%)	160 (84.2%)	293 (72.2%)	80 (76.9%)	824 (74.6%)

[^]This was not an option on the 2020 survey

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. But in 2023, DCI asked this question separately for the rank order process and

the merit process. Additionally, DCI asked respondents to consider and select one of several options indicating the opinions or considerations driving those ratings. As depicted in **Figures 5 and 6**, responses were relatively consistent across ranks, with only approximately 37% of the overall sample agreeing that discipline, to a moderate or great extent, should be a consideration in the rank order promotion process, while almost 60% overall agreed that it should be, to a moderate or great extent, a consideration for merit.

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

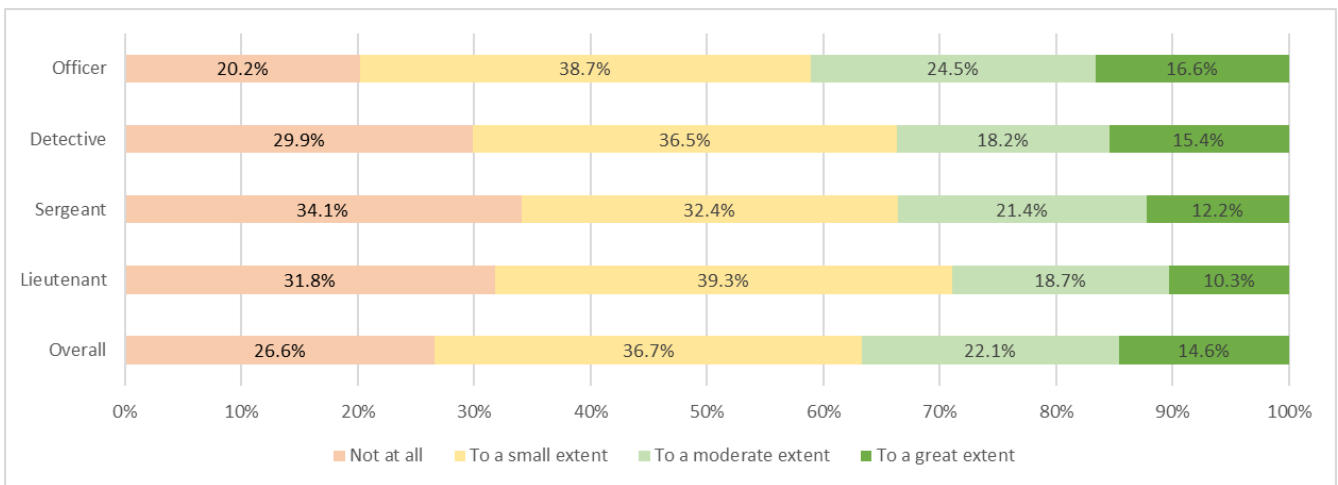


Figure 6. Extent to Which Discipline Should be Considered in the Merit Promotion Processes

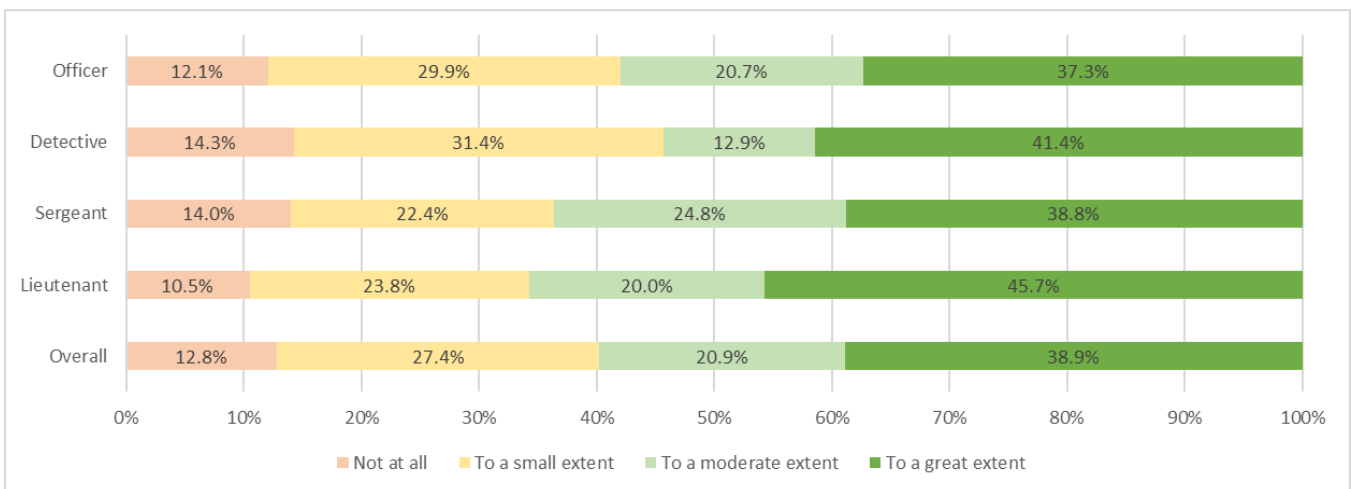


Table 7 provides the counts and percentages of endorsements for various potential rationales as well as a summary of open text comment insight and context. The most endorsed merit rationale (53%) was that discipline can give insight into behavior and patterns, and it was tied for the second most endorsed rationale at rank (44%). Regarding rank promotions and discipline, the most endorsed rationale (48%) was that if discipline is considered in promotion, it should be considered on a case-by-case basis, evaluating pattern, severity, and role in the incident(s); this was the second most endorsed rationale regarding merit promotions and discipline (44%).

Open text comments typically provided additional context and insight that still aligned with provided rationales. The most endorsed open comment theme regarding rank promotions and discipline cited issues with the discipline process (33%) – either COPA specifically, the time to a final finding, the potential for false allegations, or subjectivity in the discipline process. The remaining open rank comments were split between rationales for why discipline should not count, or that it should, but with limitations (e.g., only sustained, recent, egregious, or serious, patterns, or if compared with complimentary or arrest history). Many open comments also asserted that “working officers” are more likely to have CRs, which could be unfair. The most endorsed open comment theme regarding the merit process and discipline related to reasons that it should count (37%), often with similar limitations as those noted in comments relating to the rank process. About half that many comments (16%) raised similar concerns about issues with the discipline process as a concerning factor.

Table 7. Rationale for Discipline Ratings for both Rank Order and Merit Processes

Reasons impacting discipline rating?	Rank Order					Merit				
	Ofc	Det	Sgt	Lt	All	Ofc	Det	Sgt	Lt	All
<i>N</i>	642	210	403	104	1377	627	204	396	103	1349
It can give insight into behavior/patterns	283 (44%)	96 (46%)	176 (44%)	40 (39%)	603 (44%)	322 (51%)	107 (52%)	223 (56%)	57 (55%)	717 (53%)
Member assignment impacts # of CRs	144 (22%)	55 (26%)	123 (31%)	28 (27%)	358 (26%)	134 (21%)	45 (22%)	104 (26%)	22 (21%)	311 (23%)
Should only consider sustained	259 (40%)	84 (40%)	155 (38%)	45 (43%)	549 (40%)	208 (33%)	70 (34%)	140 (35%)	36 (35%)	458 (34%)
Should only consider within past year	52 (8%)	8 (4%)	20 (5%)	2 (2%)	82 (6%)	57 (9%)	10 (5%)	18 (5%)	1 (1%)	86 (6%)
Should only consider within past 3-5 years	153 (24%)	59 (28%)	86 (21%)	29 (28%)	331 (24%)	140 (22%)	56 (27%)	93 (23%)	32 (31%)	325 (24%)
Should look at the actual CR case-by-case for severity, pattern, and role	322 (50%)	93 (44%)	192 (48%)	49 (47%)	661 (48%)	262 (42%)	84 (41%)	196 (49%)	48 (47%)	599 (44%)

Sergeant and Lieutenant Promotion Processes –
Review, Evaluation, and Recommendations

Reasons impacting discipline rating?	Rank Order					Merit				
	Ofc	Det	Sgt	Lt	All	Ofc	Det	Sgt	Lt	All
Performance/complementary history should be balanced against any discipline consideration	266 (41%)	96 (46%)	184 (46%)	51 (49%)	609 (44%)	230 (37%)	81 (40%)	164 (41%)	47 (46%)	531 (39%)
1 st need more trust in fairness of discipline process	242 (38%)	78 (37%)	171 (42%)	45 (43%)	543 (39%)	220 (35%)	81 (40%)	149 (38%)	45 (44%)	504 (37%)
Avoid “double” punishment for discipline	228 (36%)	82 (39%)	171 (42%)	48 (46%)	535 (39%)	170 (27%)	65 (32%)	120 (30%)	29 (28%)	389 (29%)
Should only consider if it resulted in at least 10 days of suspension	61 (10%)	20 (10%)	49 (12%)	8 (8%)	141 (10%)	46 (7%)	15 (7%)	37 (9%)	11 (11%)	111 (8%)
Should only consider if it resulted in at least 30 days of suspension	89 (14%)	27 (13%)	58 (14%)	12 (12%)	187 (14%)	66 (11%)	19 (9%)	47 (12%)	7 (7%)	141 (10%)
Other, please specify	34 (5%)	22 (10%)	36 (9%)	18 (17%)	112 (8%)	30 (5%)	18 (9%)	31 (8%)	12 (12%)	91 (7%)
<i>Concern with the discipline process (CRs, SPARs, COPA, timeliness, false allegations)^</i>	15 (44%)	7 (32%)	8 (22%)	7 (39%)	37 (33%)	5 (17%)	4 (22%)	3 (10%)	3 (25%)	15 (16%)
<i>Should not count^</i>	4 (12%)	6 (27%)	9 (25%)	4 (22%)	23 (21%)	2 (7%)	2 (11%)	3 (10%)	2 (17%)	9* (10%)
<i>Yes, limited (e.g., sustained, recent, pattern, severity)^</i>	2 (6%)	2 (9%)	7 (19%)	2 (11%)	13 (12%)	4 (13%)	2 (11%)	7 (23%)	3 (25%)	16 (18%)
<i>Should count (includes above proposed limits)^</i>	6 (18%)	4 (18%)	9 (25%)	3 (17%)	22 (20%)	6 (20%)	6 (33%)	17 (55%)	5 (42%)	34 (37%)
<i>Concern with unequal opportunity for “working officers” to have more CRs^</i>	4 (12%)	5 (23%)	7 (19%)	1 (6%)	18 (16%)	2 (7%)	2 (11%)	-	-	4 (4%)

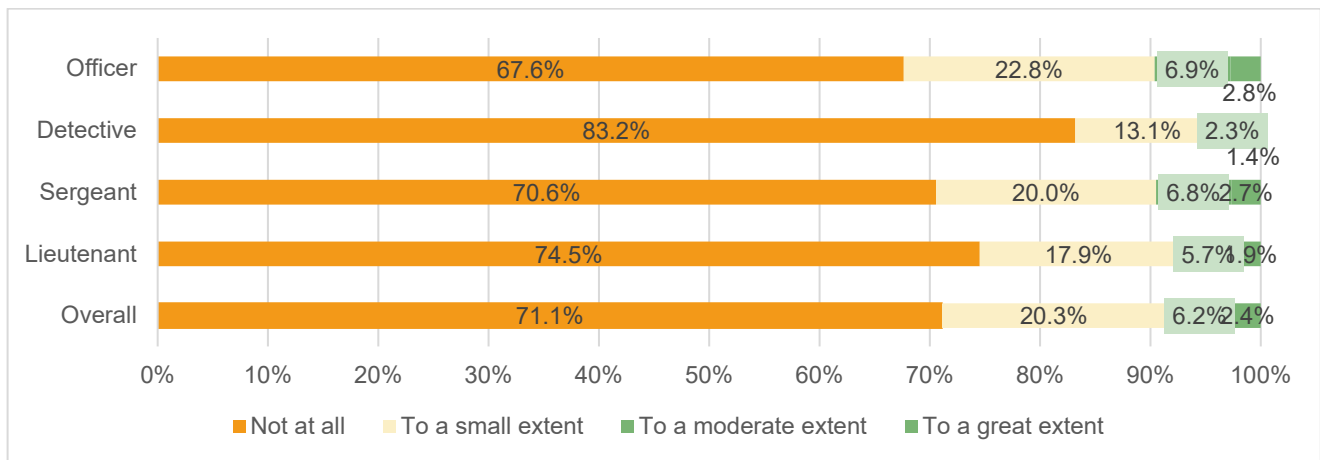
*One comment not counted here indicated that discipline consideration should be consistent between the rank order and merit promotions.

^Most endorsed themes – not all inclusive - from open text comments on drivers of ratings around discipline in the promotion processes.

Merit Process Analysis

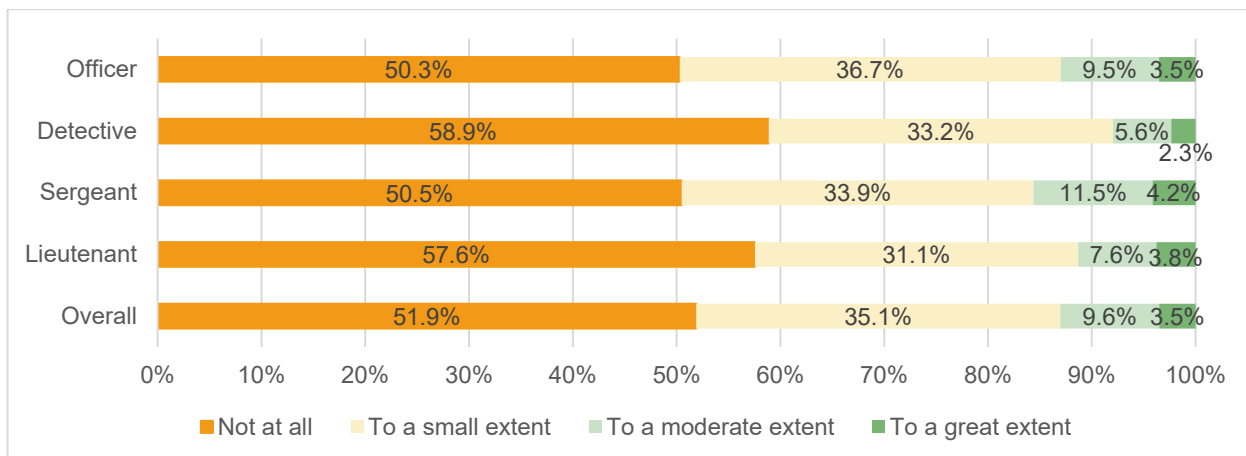
In 2023, DCI specifically asked respondents for their perspectives on the Merit process. Respondents were asked two closed ended questions regarding perceptions of fairness and legitimacy of promotions made via merit. **Figure 7** demonstrates that most respondents (91%) believe the merit process is not at all or to a small extent fair. **Figure 8** demonstrates that more than 85% of respondents do not believe that merit promotees are successful in the next rank. Additionally, DCI provided respondents with an opportunity to include their own notes or comments about merit in an open text field at the end of the survey. **Table 8** summarizes the content themes from these open comments.

Figure 7. Extent to Which the Merit Process is Viewed as Fair



*Captain responses are included in the overall results.

Figure 8. Extent to Which Personnel Promoted via Merit are Successful in the Next Rank



*Captain responses are included in the overall results.

Table 8 below summarizes the 1057 substantive comments received in the open text survey item asking about thoughts related to the merit process. Some comments focused on the promotion processes overall, including requests to make changes to the rank testing processes (e.g., providing scores more quickly, defining how many promotions will be made from a list, changing the testing components). Approximately 6% of comments specifically proposed retaining the merit process, and most of those focused on the other factors that the merit process considers and indicating that being able to answer test questions well doesn't necessarily make someone a better supervisor. Almost three times that many comments (16.4%) specifically recommended abolishing the Merit process, mostly citing the negative perceptions associated with the process within CPD; many cited one or more of the summarized issues in the table – generally concerned the process is unfair, concerned about favoritism, and perceptions that many promoted individuals are less qualified (in line with **Figure 8** above).

Many comments related to increasing the transparency of the Merit process if it is retained. Those that proposed specific transparency improvements tended to focus on defining the standards, criteria, and qualifications evaluated to determine eligibility and select for nomination and eventual selection (6.8%). Still others requested that the final Merit eligibility list and tiers be published, and that the rationale for nominations and selections both also be made public (4.7%).

Most comments proposed some sort of refinement or change to the Merit process to improve how it is implemented in future, if it continues to have a place in the promotion processes. Several comments indicated that no one should receive more than one Meritorious promotion in a career (10.4%), and 13.2% of the comments proposed the percentage of Merit promotions be reduced. A total of 22.2% of the open comments recommended some factor or factors that should be evaluated in the Merit process, many recommending a point system adding credit for aspects of work history, such as performance, complimentary history, activity/arrests, discipline, peer and supervisor feedback, seniority, assignments, rank score, etc.

Table 8. Comments Regarding Merit

Response	Overall N (1057)	Overall %*
Comments relate more to the promotion processes overall (rank test parts, training, number of promotions from lists)	55	5.2%
Retain the process	60	5.7%
Abolish the process	173	16.4%
Perceived Issues in the Current Merit Process		
<i>Concerns with current process (unfair, corrupt, broken, etc.)</i>	509	48.2%
<i>Reference to nepotism, friends and family favoritism, or clout driving Merit promotions</i>	412	39.0%
<i>Indicated Merit promoted members are often less qualified, knowledgeable, or effective</i>	189	17.9%

Response	Overall N (1057)	Overall %*
Transparency Related		
<i>Add transparency to the process</i>	74	7.0%
<i>Publish merit lists, provide public rationale for nominations, selections from lists</i>	50	4.7%
<i>Define the merit process: standards, criteria, and qualifications for eligibility and selection</i>	72	6.8%
Make Changes to Merit		
<i>Overhaul (generally)</i>	59	5.6%
<i>Maximum 1 merit promotion per career</i>	110	10.4%
<i>Reduce to 5-20% maximum, not 30%</i>	139	13.2%
<i>Limit eligibility: more years of experience, patrol experience, line of duty injury or major action valor/heroism</i>	80	7.6%
<i>Proposed process changes (who can nominate, self/open nominations, interview changes, anonymize evaluations)</i>	109	10.3%
<i>Proposed focus of factors/criteria to evaluate through the merit process (e.g., activity, assignments, awards, discipline, performance, education, rank scores, seniority, other)</i>	235	22.2%

*Comment percentages are calculated out of the total number of substantive comments (Overall N), but some comments included references to multiple aspects, so percentages do not add to 100.

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 words 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 perception that favoritism or corruption in the process was a primary driver. 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” (46 individual occurrences). Some comments that flagged as being particularly high in negative sentiment scores are listed below, as are comments that included negative components but were more constructively focused.

Negative Comments

- *“Implementing a promotion system that prioritizes relationships and familiarity over competence and qualifications, as exemplified by the merit promotion process in the Chicago Police Department, can be detrimental for several reasons. Firstly, it may lead to the elevation of individuals who lack the necessary skills and knowledge to effectively perform in their new roles, potentially compromising the efficiency and effectiveness of the department. Secondly, such a system can foster a toxic work environment, wherein officers may believe that professional advancement is more dependent on forming strategic relationships rather than developing skills and delivering strong performance. This can demoralize dedicated officers, reduce overall morale, and decrease trust in the leadership and the system itself, as they may perceive it to be inherently unfair and biased. Moreover, this erosion of trust and morale can extend to the community, undermining public confidence in the police department’s ability to enforce the law impartially and competently.”*
- *“The merit process in Chicago is used for promoting girlfriends and bosses' kids. It does not consider the knowledge or experience of the individual. That's why this department is in the shape it's in. They keep promoting people who have no clue about what they're doing or have experience in this job.”*
- *“Merit promotions should be extremely limited in scope and number. There have been people promoted through the merit process with little or absolutely no time in grade, no experience, and no leadership skills or abilities. It is an embarrassment to the Department and it drives morale even lower.”*
- *“Merit” is nepotism. Nothing more. It is extremely corrupt and should be eliminated or completely revamped. Perhaps a point based merit system. I.E., points for a bachelor’s, master’s, awards received, years in patrol, etc would be better such as the military uses.”*
- *“It should be eliminated. Merit is a cancer. When merit favors are owed, poor decisions are made. It lowers morale, creates entitlement, and undermines the small amount of merit promotion recipients that have some working knowledge of the job.”*
- *“It should be eliminated entirely. It’s nothing more than a promotion system for those who are connected. It is a major reason this department is an embarrassment and a clown show, it’s run by morons who never could pass a test.”*
- *“The merit process is the worst. Its totally unfair and demoralizing to have people promoted ahead of you who scored in the 1,000s when you scored in the top 100. These people often put little to no effort into studying or preparing for the exam (or for promotion) because they already knew that the fix was in. Each exam I've taken - there are folks who get up and walk out of part II as soon as they write down their name knowing full well that their performance on the exam is irrelevant. Might as well just call it what it is - favoritism for the bosses friends and family.”*
- *“Merit is horrible and has always been horrible. We get people promoted by who they know and not by what they know. In many cases a lot of these merit supervisors have no clue about being leaders or the law or even general orders causing severe issues in districts since we have a lot of younger officers. Many instances these merit promotions promote buddies and they’re not properly trained or to be trusted to hold those ranks. We’re seeing people who are merit detective get merit Sgt then placed in spots they don’t need to be in wasting space for some who might be more prepared to actually lead officers and boost morale. Many officers are leaving due to these horrible bosses. Merit should be done by outside agency that has no*

ties to any old bosses or current bosses. Deeper dive into their disciplinary background and what positions they've held. Then interviews with other high qualified people that can see if these merit applicants are ready to take on the role. This is a seedy process. It rewards the politically connected. It also rewards those who are connected via family, friends, and fraternity. There will always be the anomaly who is a merit pick that does very well. However, the vast majority of merit picks are not the best and the brightest that the department can put forth into a supervisory position. I have multiple post graduate degrees and I did very well in the private sector yet apparently I'm not qualified to serve as a supervisor in the Chicago Police Department. Please. More generally, not merit related, promotional exams should be limited to multiple choice questions recorded on a scantron form. It should be scored immediately and your results in hand before you leave the test center. An eligibility list should be immediately posted. You can still have your merit picks but transparency goes a long way. The current testing process is corrupt. You can bring in any sort of outside agency but the exempt rank will always find a way to compromise the integrity of the exam. Am I bitter? Absolutely. It's also too late for me. I'm moving on to the next phase of my life. I do, however, tell the young people of society that the department will crush you. Find a different agency to work for."

Constructive Comments

- *"There is a very small amount of officers who have been promoted by merit. Which means a majority of the department has no actual insight on the process. Please ensure you take that into account. Having limited knowledge means a person doesn't fully know what they are talking about. The biggest problem is the lack of transparency. If we remove the secrecy, more people will understand how it works and what the benefits are."*
- *"In my humble opinion, the merit process could be legit with only minor adjustments. The adjustments needed are as follows: The outside agency hired to grade the initial exam should also grade the merit portion. It makes no sense to have department members grade other members regardless of rank. That process alone can produce unfair grading with favoritism for specific individuals. Secondly, the merit candidates are scored and put into a tier for selection. Why aren't the scores and tiers posted and given to the candidates after being graded? We received our scores for the original exam; why not for the merit portion? There is no transparency when it comes to that process. Lastly, the department needs to explain how a candidate is chosen after one goes through the merit process. The first merit selections seem to come from the top-heavy units such as the Superintendent's Office, 1st Deputy's Office, etc. If merit candidates are scored, why not go by the score for the selection? That is how members who took the original exam are chosen. Thank you for reading"*
- *"Merit needs to be considered by an outside agency with a scoring checklist. There should be points that should include time on the job, complimentary history, arrest history etc. added points for a certain number of years spent in patrol, on a beat car, on a Tac Team etc. one merit promotion during your career should be allowed. There are commanders and deputy chiefs and above who were merit detective, sgt and Lt and were in comfortable connected spots for their entire career. One merit promotion maximum. You need to work for the rest of it."*

- *“I believe the merit process should be a nameless process which gives the evaluators who are making these decisions no idea what resumes they are looking at to forward them to the next level. I also believe that in combination with removing the names and just including the resumes, there should be a panel that does not have any ties to the Chicago Police Department and has no biases to the police department or the members applying for merit. We have too many situations where the process seems to be inconsistent with persons with great and incredible resumes are applying for the same positions that people with limited or lesser resumes are getting the exact same jobs and no evaluation or discussion is being offered. Also there should be some standard about the vetting process, something written that shows individual officers what process looks like firsthand so they know what to strive for and can be that person or even better. It's an important part of the process and it seems like as if only a handful of people know or even understand the vetting process when the other 11, 000 or so may have no clue.”*
- *“Best practices from other agencies, including Los Angeles Sheriff's Department, hold yearly supervisor exams. If the Department want to keep the best, brightest, and most committed employees then it must hold annual promotional exams to ensure only the most qualified persons are being promoted with the technical knowledge in their supervisory roles. The merit process is a complete joke and used to favor coworkers in small units and at Headquarters, completely destroying any trust in the promotional process and no transparency. 30% merit for supervisors is highly concerning and makes the promotional process more a political game than an exam based on competency. Please help the future generations of the Chicago Police Department and the City of Chicago by doing the right thing and rewarding competency and technical prowess instead of nepotism. The future of Chicago needs your help to make the right decisions!”*
- *“Merit has still not been defined. It's not clear what qualifies an officer for a merit promotion. An officer can not work towards a merit promotion if he does not know what his goals should be. Also, 30% merit promotions is way too high. It should be cut in half; 15%.”*
- *“The merit process can be greatly improved by such measures as obtaining input from sergeants and lieutenants in determining who warrants nomination, blind review, and the use of outside assessors.”*

Positive Comments

- *“None, it seems OK I had some great people in my promotional class who were merit. I'm glad they had the opportunity”*
- *“The merit process is important because some officers are not great test takers. The merit process ensures that all qualified officers are identified and interviewed which benefits the department.”*
- *“I believe at times it is beneficial for those who have worked hard and are possibly not good at test taking or can not adequately prepare for the test at the time due to unforeseen circumstances. It can be an amazing program when implemented correctly.”*

- *“I support the merit process because it allows for those individuals who aren't good test takers to be recognized for their work. A promotion should not be solely based on an exam. I personally have had supervisors who score well on an exam but aren't great leaders and/or managers.”*
- *“great test takers do not always make great supervisors; poor test takers some times make great supervisors”*
- *“I truly believe the merit process is a great tool to promote those officers who show great leadership and potential for opportunities to secure better pay for hard work who otherwise would be skipped over due to some officers may not be a good test taker but are great leaders.”*
- *“I think the merit process gets a bad rap. There are members who do not test well but their overall job performance, complimentary history and disciplinary history is exemplary. I believe that should be rewarded. A promotional exam can not determine and individuals ability to lead and motivate. You may not make a good supervisor simply because you answered the questions on the exam correctly. Work experience and character are very important qualities for a successful supervisor.”*
- *“I believe in the merit system. I believe if someone truly works hard, makes a true effort to gain as much knowledge and skills on this job, builds good rapport internally and externally, and exudes professionalism, a test score shouldn't be the end all of that person's aspiration. Not everyone is a good test taker, a lower score does not mean they are incapable of performing the job & the same goes for the opposite.”*

Summary of Survey Results

Though the survey response rate was low (just over 10%), the number of responses and representativeness of the sample provide confidence in the generalizability of the results. 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 transparency in the promotion processes and an incremental improvement in some areas from the previous survey. A consistent theme across both closed and open-ended responses was a dissatisfaction with the current processes, particularly focused on Merit, 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're 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 almost 200 materials related to these promotional processes. For example - the promotion directives, the study guides, the candidate communications, the postings, the score reports, and more. We have also conducted meetings with CPD, OPESA, DHR, and your union leadership representatives, among others. As you may know, at the beginning of October, we also worked with OPESA 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 in this focus group will not be attributed to you individually, and will only be reported to CPD or the City in summary form. For example, we might report that in our focus group sessions, we heard from members that this was an area of opportunity – as opposed to “Jane said” something in particular.

Your participation or decision not to participate in this focus group 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?
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. The vast majority of survey respondents do not believe the merit process is fair. What are your thoughts about the merit process?
10. Over half of survey respondents indicated the new three year promotion cycle is about right – what do you think about that?
11. What do you think about the eligibility requirements to test for [sergeant or lieutenant] – like time in the job, education requirements – are they adequate?
12. 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

Introduction

Thank you for your willingness to participate in this survey for the City of Chicago Police Department. We are seeking to gather insights and successes from others regarding approaches to Sergeant and Lieutenant promotion processes.

As a point of reference, in the City of Chicago Police Department, a Sergeant is a first-line supervisor generally responsible for overseeing subordinate personnel during an assigned tour of duty and supervising criminal investigations as well as specialized, technical, and/or restricted work in the office or field, while a Lieutenant is a Watch Commander generally responsible for serving as an officer in charge of a unit or section during an assigned tour of duty and performs specialized, technical, and/or confidential work in the office or field.

Preliminary Questions

1. What department do you represent?
2. What is your position?
3. What is the best contact in case we have any follow-up questions?

Consent Decree requirement 1⁵⁹:

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)? *(Open Text)*
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)? *(Open Text)*
3. Which of the following are components in your promotion process for Sergeant (check all that apply)?
 - Written exam
 - Interview
 - Oral/interactive 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
 - Internal or external recommendations/references
 - Additional points for veteran status
 - Additional points for education
 - Additional points for seniority

⁵⁹ Question grouping mechanism, not included in respondent facing survey – just for organization purposes.

- ___ Other (please list) _____
4. What are the components of the promotion process for Lieutenant (check all that apply)?
- ___ Written exam
 - ___ Interview
 - ___ Oral/interactive 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
 - ___ Internal or external recommendations/references
 - ___ Additional points for veteran status
 - ___ Additional points for education
 - ___ Additional points for seniority
 - ___ Other (please list) _____
5. Are any fees charged to candidates for your promotion processes? *(Yes/No)*
6. Is there a fee to apply for the promotion process? *(Yes, for Sergeant, Yes, for Lieutenant, Yes, for both, No)*
7. Is there a fee charged to candidates to participate in any of the components selected above? *(Yes, for Sergeant, Yes, for Lieutenant, Yes, for both, No)*
8. *(If any answer in 5-7 is yes)* How much is the fee and how do candidates pay the fee? *(Open text)*
9. How was the fee determined? *(Open text)*
10. Is there a process available for candidates to apply to waive the fee? *(Yes/No)*
11. Is there a process available to secure a grant to cover the fee? *(Yes/No)*
12. Which of the following best describes your promotional process?
- ___ For Sergeant, we use a compensatory approach (all eligible candidates are invited to complete all assessment components/parts)
 - ___ For Sergeant, we use a hurdled approach (eligible candidates must score at or above a minimum/cut score to move on to the next assessment component/part)
 - ___ For Sergeant, we use a combination of approaches (for example, eligible candidates must pass a written exam to move on to the remaining assessment components/parts)
 - ___ For Lieutenant, we use a compensatory approach (all eligible candidates are invited to complete all assessment components/parts)
 - ___ For Lieutenant, we use a hurdled approach (eligible candidates must score at or above a minimum/cut score to move on to the next assessment component/part)
 - ___ For Lieutenant, we use a combination of approaches (for example, eligible candidates must pass a written exam to move on to the remaining assessment components/parts)
13. Approximately how many candidates apply for Sergeant for each promotional cycle?
14. Approximately how many candidates apply for Lieutenant for each promotional cycle?

15. How did you determine what knowledge, skills, or abilities to target? (*Open Text*)
16. How did you determine what components would be part of your promotion processes? (*Open text*)
17. Do you have an appeals/complaints process defined? If so – to which parts does it apply? (*Open Text*)
18. How do you select candidates for promotion from the eligibility list?
- ___ Rank order of scores
 - ___ Rule-of-X (e.g., decision maker can select any of the top three/five/ten ranked candidates)
 - ___ All scores above a passing score are considered equal
 - ___ Test score with other factors like performance-based measures, seniority, assignment credits, etc.
 - ___ Some other method, please describe. (*Open Text*)

Consent Decree requirement 2:

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

Questions

19. Do you consider disciplinary history in evaluating a candidate for promotion?
- a. Yes, disciplinary history is used to determine eligibility to sit for a promotion exam
 - b. Yes, disciplinary history is used to determine if a candidate on the eligible list for promotion is skipped or passed over
 - c. Yes, disciplinary history is considered both in eligibility to sit for the exam and whether a candidate is eligible for promotion from the list
 - d. No, disciplinary history is not considered in the promotional process
 - e. Other (please explain) _____
20. (*If Yes – options a-c above*) Please describe the thresholds at which disciplinary history makes a candidate ineligible to participate in a promotion process or be promoted from a list (for example, is it a number of disciplinary actions, a level or type of infraction, a holistic review, assign weights to different disciplinary actions). (*Open Text*)

Consent Decree requirement 3:

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

Questions

21. What efforts have you taken to increase the candidates with diverse backgrounds applying for promotion to Sergeant and Lieutenant?
- a. Mentoring
 - b. Increased testing frequency
 - c. Decreased weight or cut score on the written test

- d. Increased diversity of incoming officers
 - e. Studying barriers to candidate participation
 - f. Working with resource groups
 - g. Increased focus on test preparation
 - h. Other, please explain
22. Does the demographic make-up of your Officers reflect your community? *(Yes/No)*
- a. *(If Yes)* Where have you seen the greatest successes in selecting Officers who reflect the community? *(Open Text)*
 - b. *(If No)* What are the main areas of focus to make progress in selecting Officers who reflect the community? *(Open Text)*

Consent Decree requirement 4:

The frequency with which CPD should hold promotional exams.

Questions

23. How often do you hold promotion exams? Every:
- a. 1 year
 - b. 2 years
 - c. 3 years
 - d. 4 years
 - e. 5 years
 - f. 6 or more years
24. Why this length? *(Open Text)*
25. How long is an established eligibility list valid?
- a. 1 year
 - b. 2 years
 - c. 3 years
 - d. 4 years
 - e. 5 years
 - f. 6 or more years
26. Why this length? *(Open Text)*
27. For candidates who remain on the promotion eligibility list when it expires, do they have to retake the promotion tests to be placed on the next list?
- ___ Yes
- ___ No
- ___ Other; please specify *(Open Text)*

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

28. How is information about the promotional process communicated, including what is required and what to expect?
 - a. Advance emails
 - b. Written announcements
 - c. Team/unit/shift meetings
 - d. Links to information on inter/intranet
 - e. Test prep guides
 - f. GO/SOP/Directive outlining promotion process
 - g. Orientation session(s)
 - h. Study session(s)
 - i. FAQs
 - j. Other (please explain)
29. What type of feedback, if any, do you provide to candidates about their performance on the promotional process components? (*Open Text*)
30. Do you have any other path to promotion, outside of the eligibility list established by the promotion testing process (for example, is there any process for exceptional performers to be promoted regardless of their rank on the eligibility list)? (*Open text*)

Appendix H

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

Similarity Survey Results Overview

As part of the 2020 independent review, the City of Chicago, through the Department of Human Resources (DHR), sent out Microsoft Word surveys to 30 other police department jurisdictions, targeting the top 30 cities in terms of population according to the Census’s 2018 American Community Survey. Of those contacted, 15 responded, as noted in **Table 1**.

For the 2023 independent review, the City of Chicago, through the Office of Public Safety Administration (OPSA), sent out a Qualtrics survey link to the members of the Major Cities Chiefs Association, which includes major cities in both the US and Canada. Of those contacted, 8 responded, though one response was for the same jurisdiction, as noted in **Table 1**. Two jurisdictions responded to both the 2020 and 2023 surveys, but only one was a full response.

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

City, State	Rank by population (US)	2020 or 2023 Survey
New York, NY	1	2020
Los Angeles, CA	2	2020
Houston, TX	4	2020 & 2023
Phoenix, AZ	5	2020
Philadelphia, PA	6	2020 (partial)
San Antonio, TX	7	2020
Fort Worth, TX	13	2020
Columbus, OH	14	2020
San Francisco, CA	15	2020
Charlotte-Mecklenburg, NC	16	2020
Indianapolis, IN	17	2020
Seattle, WA	18	2020
Washington, DC	20	2020
El Paso, TX	22	2020 (complete) & 2023 (partial)
Louisville, KY	29	2020
Milwaukee, WI*	80	2023
Mesa, AZ	36	2023
Austin, TX	10	2023
Edmonton, Canada	NA	2023
Peel, Canada	NA	2023 (partial)

**One complete and one partial response was received for Milwaukee; the few overlapping responses aligned, so the complete response was referenced for summary purposes.*

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.

DCI also notes that new in 2023, responding jurisdictions were asked to indicate how many sergeant and lieutenant candidates apply for promotion each process. None of the 2023 respondents have candidate pools like CPD's (i.e., average sergeant candidates ranged from 30-400 and average lieutenant candidates ranged from 10-200). Of the 2020 responding jurisdictions, only NYPD is known to typically have larger candidate pools than 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		
Years in Job	Average Mode	4 years 5 years
Level of Education Achieved		2 require HS/GED
		5 require post HS education (30-75 hours or Associates)
		6 require POST**, state certification, or supervisory course or training
Application Fee		1 out of 20
Lieutenant		
Years in Job [^]	Average Mode	2 years 2 years
Level of Education Achieved		8 require between an Associates and Bachelor's degree
		3 require POST**, state certification, or supervisory course or training
Application Fee		1 out of 20

*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

[^]One department allows time as sergeant or detective

When asked how the department determined the knowledge, skills, and abilities to target, a total of 16 departments provided a response. Of those responding, most 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; a few departments mentioned an internal review process or reliance on competencies defined for performance evaluations.

Figure 1 presents an overview of the various assessment components included in other department promotion processes. Note that new in 2023, jurisdictions were asked if there is an alternate path to promotion, outside the eligibility list, for example a process for exceptional performers regardless of their eligibility list rank. Only five jurisdictions provided a response, but all said no, they do not have any alternate path to promotion.

Figure 2 depicts how these components are structured in other jurisdictions (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

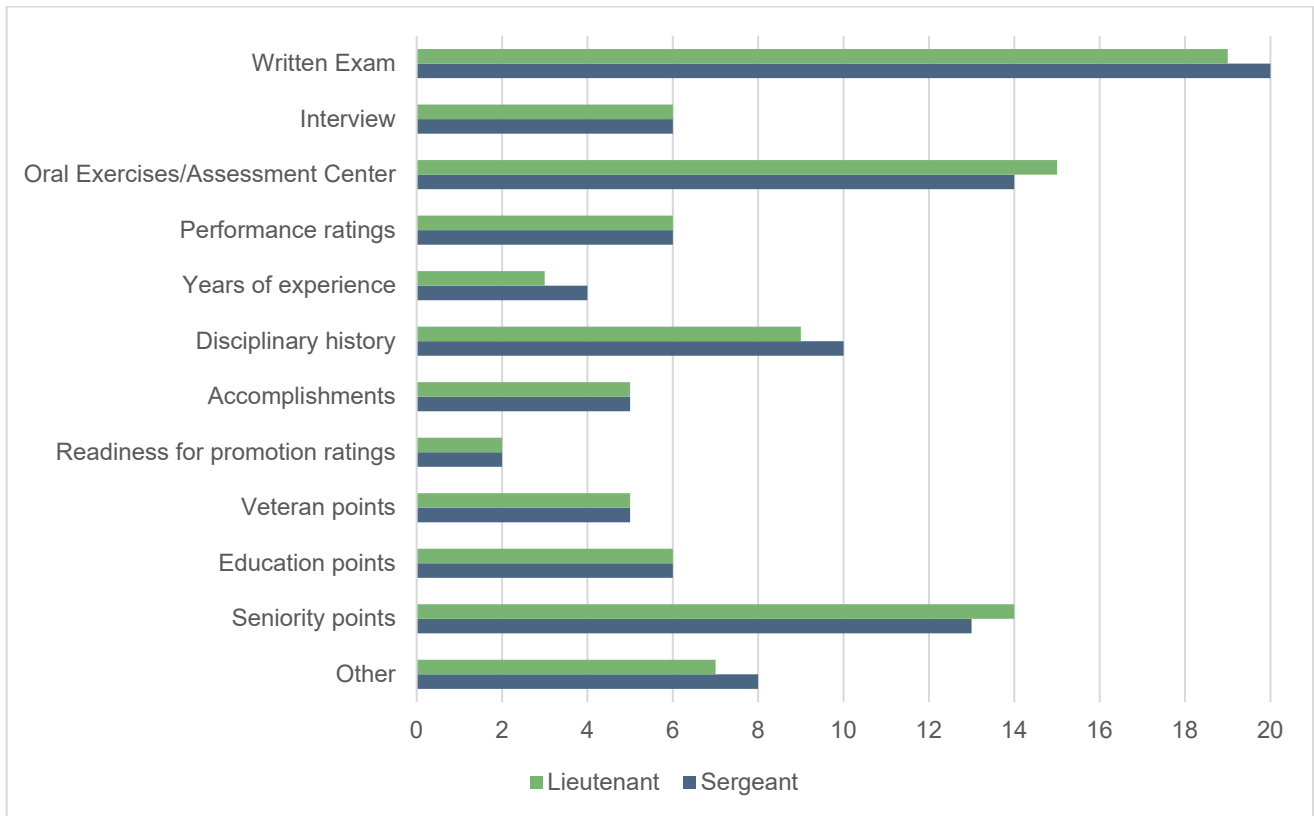
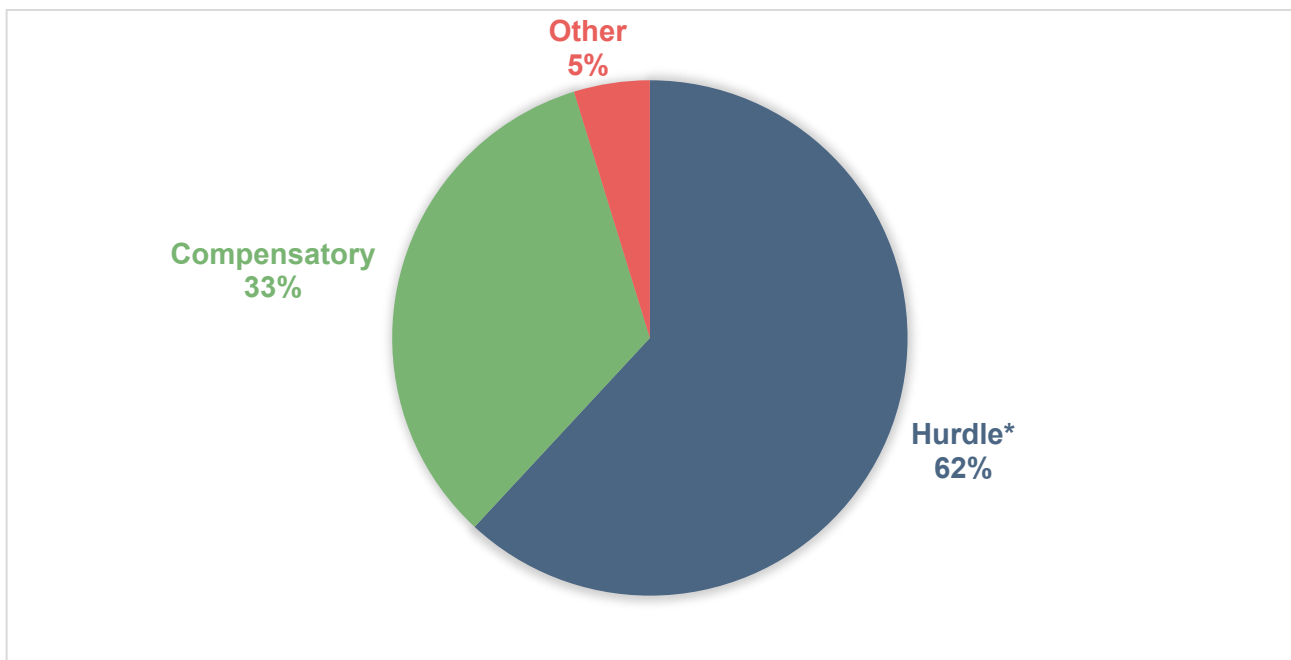


Figure 2. Promotion Process Structure Used by Responding Jurisdictions



**A few jurisdictions indicated using a written exam hurdle, with later compensatory components; at least one uses a written exam as a hurdle and includes the written exam score in the final 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	16	94.1%
Yes, must re-apply, but can retain the current score for up to three years	1	5.9%
Appeals/Complaints Process		
Yes, written component only	9	45.0%
Yes, all components	6	30.0%
Yes, unclear which parts	4	20.0%
No	1	5.0%
Eligibility List Selection		
Rule of 3	3	15.8%
Rule of 5	2	10.5%
Rule of 10	1	5.3%
Rank/Score Order*	12	63.2%
Banding	1	5.3%

**Only two departments mentioned requiring candidates to achieve a specific score (70% or higher) to be considered in rank order; one additional department listed a required 90% score as an eligibility requirement.*

Consent Decree Requirement 2:

Table 4 presents the results of the question asking how other jurisdictions consider candidates' disciplinary history in the promotion processes. Only one jurisdiction reported that discipline is not considered as part of the promotion process.

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	10	73.3%
Certain discipline DOES disqualify an applicant from applying for promotion	3	26.7%
Count against continuous service	2	
Discipline Considered Prior to Promotion		
Case-by-case determination (e.g., as part of Rule of 3 selection)	9	64.3%
Sustained allegations, excessive discipline (e.g., suspensions), specific offenses	3	21.4%
Interferes with ability to perform essential functions	1	7.1%
Any active discipline	1	7.1%

Consent Decree Requirement 3:

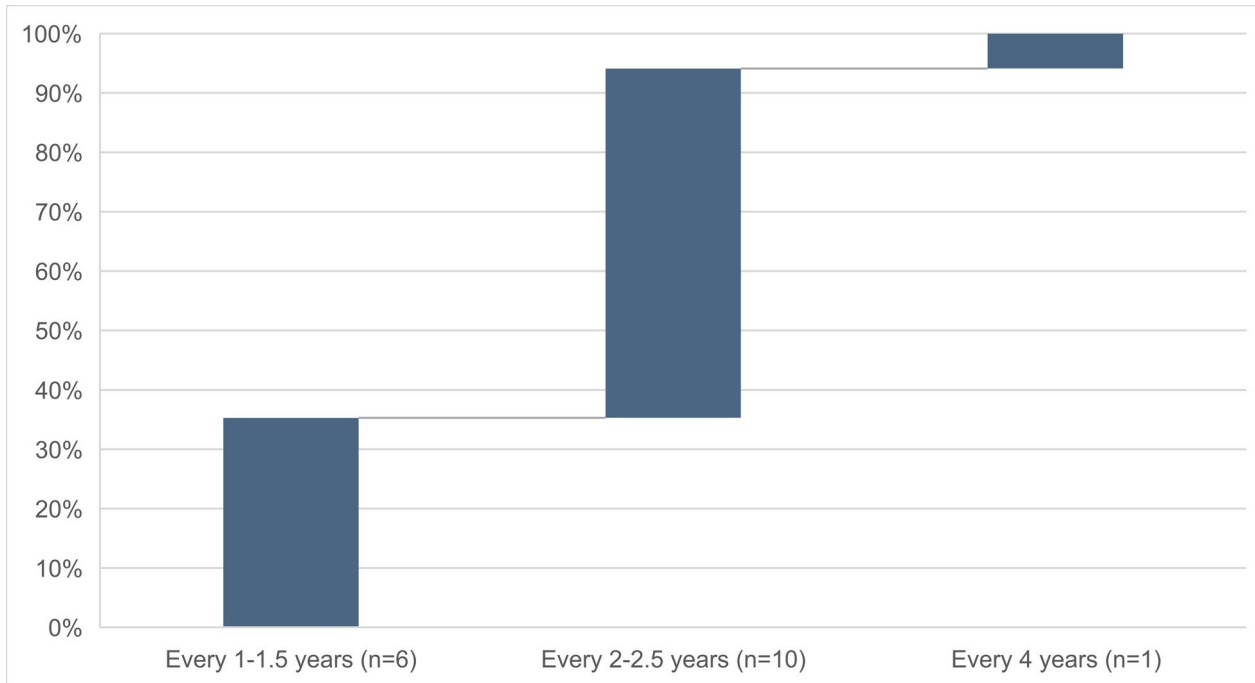
When asked about the efforts made to increase diversity in candidates applying and being selected for promotion, 15 of the 20 departments provided a response. These departments provided a variety of efforts and solutions, including but not limited to:

- Four departments evaluate appropriate cut-scores or apply differential weighting of assessments;
- One department removed the time limit and provided an audio option for the written exam;
- Two departments focus on increased exam frequency;
- Four departments mentioned taking steps to identify barriers experienced by certain groups and engaging in community outreach;
- Three 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 several 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:

In 2020, 11 departments responded to the survey question asking about methods to increase transparency and officer awareness about the promotion processes and decisions. In 2023, five departments responded to questions about how promotion process information is communicated and what type of feedback, if any, is provided to candidates. Responding departments provided a list of methods used to communicate with and prepare candidates for the promotion process.

- Most of the responding departments explicitly indicated using multiple announcement modalities, such as emails, roll calls, and general announcements to notify candidates.
- Ten (10) 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.
- Three departments coordinated an in-person Q&A or orientation session.
- One department mentioned providing video examples of the interview process.
- Two departments have department supervisors/mentors provide mentorship and test preparation assistance.

The five departments responding about feedback received all indicated some level of feedback is provided, though the amount varies widely:

- One department indicated minimal feedback is provided by the test consultant on assessments;
- Two departments indicated providing feedback, one specified written feedback, after scores are final;
- Two other departments indicated candidates can review their test (one indicated that includes reviewing their recorded assessment, another indicated it includes their grading sheets for all components).

Summary

The previous pages summarize the results of both the 2020 and 2023 similarity surveys obtained from other major city jurisdictions across the US and Canada. The City may want to consider individual follow-up with departments engaging in relevant practices, or with departments that did not respond to the request in time to be included in this report.