



Office of Executive Inspector General for the Agencies of the Illinois Governor

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Annual Report | Fiscal Year 2006

**ETHICS
INTEGRITY
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Report Waste, Fraud, Abuse

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FY 2006 OEIG ANNUAL REPORT TABLE OF CONTENTS

[Left Click on Chapter Heading to Jump to Page.](#)

Welcome.....	1
About This Report	2
The OEIG Mission	3
The OEIG Story	4
Year in Review	5
Budget at a Glance (Chart)	7
Operation of the Office	8
Complaint Flow Chart.....	10
Types of Allegations.....	11
Types of Recommended Discipline.....	12
Statistical Summary	
Founded Complaints, by Agency	13
Misconduct Most Frequently Reported (Chart)	16
Complaints by Illinois County (Map)	17
Major Case Summaries	18
Initiatives Achieved in Fiscal Year 2006.....	28
Initiatives Planned for Fiscal Year 2007	31
Ethics Training Overview	32
Legislation Proposed in Fiscal Year 2006.....	35
An Introduction to the Statistical Appendices	37
Appendix A – Total Complaints by Type of Misconduct Alleged	38
Appendix B – Founded Complaints by Type of Misconduct	39
Appendix C – Agency List of Complaints Received, Investigations Opened and Completed	40
Appendix D – Agency List of Founded Complaints by Type of Misconduct	44
Appendix E – Staff	63
Links.....	66

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WELCOME TO THE OFFICE OF EXECUTIVE INSPECTOR GENERAL FOR THE AGENCIES OF THE ILLINOIS GOVERNOR (“OEIG”)



Established by executive order in January 2003, and promulgated under Article 20 of the Illinois State Officials and Employees Ethics Act (5 ILCS 430/20) in December 2003, the OEIG is an independent, non-partisan State agency dedicated to ensuring accountability in the operation of State government. To that end, the OEIG’s mission is to receive and fairly investigate, as appropriate, complaints of fraud, waste, abuse and misconduct by employees of State agencies under its jurisdiction and those doing business with those agencies. Should an allegation of misconduct or other impropriety be substantiated, the OEIG will recommend corrective action, including discharge, and where appropriate, the OEIG will refer the matter to law enforcement agencies for possible criminal prosecution. In addition to its investigative function, the OEIG is responsible for promoting and coordinating the State’s ethics initiatives for agencies under its jurisdiction.

The success of the OEIG is heavily dependent upon the courage and commitment of all State employees, and those doing business with the State, to conduct their activities ethically. This entails performing their responsibilities and conducting their business with honesty and integrity. It also means promptly reporting instances of misconduct and impropriety. We know that the majority of people working in and with state government conduct themselves in accordance with these values. Unfortunately, there exists a minority of State employees and those doing business with them, who feel entitled to unearned and undeserved compensation and benefits. These individuals will oppose any reform effort that demands accountability for their actions. However, with your support and cooperation, I am certain that we can achieve such comprehensive ethical reform that resistant elements will be unable to subvert it.

Accordingly, this annual report is designed to educate you about the OEIG – to let you know who we are, what we have done, and how you should contact us. Today, more than ever before, the citizens of Illinois demand the highest standard of integrity and accountability in the operation of State government; they deserve no less. It is my solemn promise that the OEIG will perform its duties diligently and fairly, without bias or influence from any source whatsoever. However, we can not fulfill our commitment without your vigilance and assistance. Establishing and maintaining integrity and accountability in the operation of State government is the responsibility of each and every citizen of Illinois. Only by working together can we build the level of public trust so imperative to good government.

James A. Wright, Esq.
Executive Inspector General



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ABOUT THIS REPORT

This Annual Report for Fiscal Year 2006 reflects the activities conducted by the Office of Executive Inspector General for the Agencies of the Illinois Governor (“OEIG”), between July 1, 2005 and June 30, 2006.

The Executive Inspector General (“EIG”) has determined that the primary mission of this agency is to restore public confidence in the integrity of state government through the diligent and responsible investigation of misconduct. However, the EIG believes that the full effectiveness of the OEIG’s mission is hindered by our inability to publicly disclose the detailed results of our founded investigations. In consideration of this, the EIG concludes that although statutory law prohibits disclosure of complainant identities and investigative files and reports, it does not proscribe all discussion into the extent and nature of the wrongful conduct investigated by this Office.

As a result, readers of this annual report will, for the first time in Illinois history, find information on the types and quantities of misconduct complaints made against State agencies, officials and employees, as well as those complaints that have been substantiated through rigorous professional investigation. Moreover, selected cases have been summarized, and after careful removal of identifying information, are presented here to inform readers about the contemporary ethical environment within state government.

What should be remembered is that despite the very large number of state business and personnel transactions occurring during Fiscal Year 2006, only 1,278 complaints were made to the OEIG. Rather than to cynically view this as representative of an environment devoid of ethical concern, and as such, one with a high tolerance for misconduct, it more productively may be seen as one in which the vast majority of the individuals who work for and with the State of Illinois do so with integrity and honesty, and with a true appreciation of their responsibility to the people of Illinois.

At the same time, this report gives evidence to the diligence and professionalism of this independent Office in investigating allegations of misconduct wherever they lead, and to the determination of the OEIG to promote ethical behavior and integrity in the conduct of state business.



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THE VISION

The Office of Executive Inspector General strives to identify, promote and attain the highest standards of ethical conduct, integrity and accountability throughout State government.

THE MISSION

The Office of Executive Inspector General is an independent state agency dedicated to ensuring accountability in state government. The OEIG receives and fairly investigates complaints of fraud, waste, abuse and misconduct, and recommends corrective action. In addition, the OEIG promotes and coordinates the State's ethics initiatives for the agencies under its jurisdiction.

The OEIG is an independent administrative investigation agency that works to detect, identify, eliminate, and prevent waste, fraud, abuse and corruption by employees of, and those who do business with, the entities under its authority. This includes the agencies, boards and commissions under the authority of the Governor, the Office of the Lieutenant Governor, and the state public universities and community college districts.

Although the OEIG is prohibited by state law from accepting anonymous complaints or initiating investigations on its own initiative, this Office does accept confidential complaints and keeps confidential the identity of the person filing the complaint to the fullest extent permissible under the law. The OEIG receives many of its complaints through its toll-free Ethics Hotline, at 1-866-814-1113. Complaints also come to the office by facsimile transmission to 1-312-814-5479, and by personal and mail deliveries. (TTY 1-800-524-8794, or 1-312-814-1872.)

The OEIG has the authority to acquire information from any person or entity when relevant to its investigation, and when appropriate will issue subpoenas to obtain records and/or testimony. State employees under its jurisdiction have a duty to report misconduct and to cooperate fully in OEIG investigations. In order to facilitate the collection of information during its inquiries, trained and highly experienced investigators and attorneys interview witnesses, acquire documents, analyze financial records, conduct surveillance, conduct forensic examinations of computers and electronic files, and utilize a variety of other sophisticated investigatory tools.



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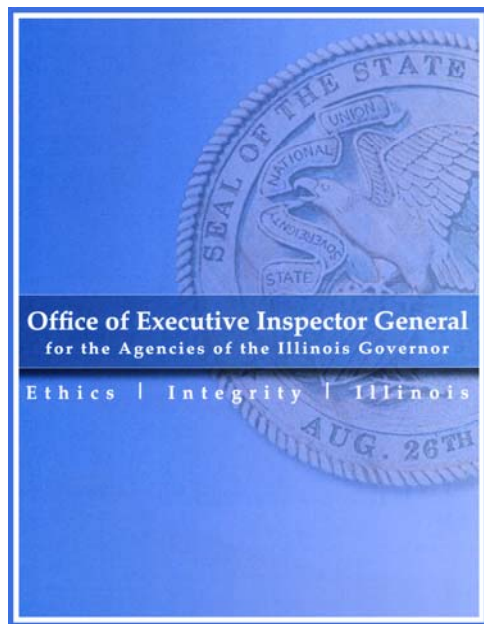
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THE OEIG STORY

The Office of Executive Inspector General (“OEIG”) was established by Executive Order 3 on January 23, 2003, as the primary Illinois agency charged with upholding responsible and ethical conduct in the administration of state business. With the December 2003 legislative passage of the State Officials and Employees Ethics Act (5 ILCS 430, *et seq.*), the OEIG obtained the statutory authority to investigate alleged violations of the Ethics Act and of any law, rule, regulation or policy by any state employee under its authority, including vendors and others doing business with an agency under OEIG jurisdiction.

The legislation also created separate and independent offices of Executive Inspectors General for the Constitutional Offices of Attorney General, Comptroller, Treasurer, and Secretary of State. Another statute created an OEIG for the Legislature. This new Ethics Act outlined specific ethical rules and guidelines for state employees and state contractors to follow, and created comprehensive enforcement mechanisms.



The OEIG has jurisdiction to investigate waste, fraud, misconduct, mismanagement, misfeasance, nonfeasance, malfeasance, Ethics Act violations and criminal conduct by the Governor, Lt. Governor, employees of approximately 40 state agencies, the state university districts, and approximately 300 boards and commissions, and the individuals conducting business with the state. The OEIG also oversees annual ethics training for the state employees and appointees under its jurisdiction, and it operates a toll-free Ethics Hotline. During FY 06 approximately 160,000 participants took part in ethics training programs offered under OEIG oversight. With the FY 2007 addition of the state community college districts to OEIG jurisdiction, ethics training will extend to approximately 200,000 state workers and appointees.

In March 2003, the development of the OEIG began with a handful of employees. In the ensuing months, as the number of staff increased, so did the number of investigations. From May 2003, until July 2006, the OEIG has received approximately 3,800 complaints and has conducted nearly 1,500 investigations. Currently, this independent agency has a workforce of more than 60 employees, including investigators, computer forensic examination experts, attorneys, paralegals, administrative professionals and support staff. The OEIG has offices located in Chicago and Springfield, but has conducted interviews and investigations in nearly every county in the State of Illinois.

The current Executive Inspector General is James A. Wright.



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FY 2006 YEAR IN REVIEW

This report examines OEIG activity in cases that fall into one of two statistical categories: 1) complaints received only in Fiscal Year 2006, and 2) cases opened in any fiscal year but closed in FY 2006. It should be noted that full comparative statistics from FY 2005 are not provided in this Annual Report due to the OEIG's extensive conversion to a new database in the fourth quarter of FY 06.

Complaints Received in FY 06

From July 1, 2005 through June 30, 2006, the OEIG received 1,278 complaints. Each allegation was reviewed to determine whether the complaint met OEIG criteria for investigation: jurisdiction over the subject and subject matter; sufficient information to investigate; appropriateness; and a reasonably credible assertion.

During FY 2006, of the 1,278 complaints received, the OEIG initiated 325 new investigations while continuing work on other cases initiated in the prior fiscal year. Of these 1,278 complaints, approximately 190 were closed for administrative reasons when it was determined that the subjects were outside OEIG jurisdiction, legal action was pending or the agency affiliated with the subjects already had imposed discipline. An additional 234 complaints were declined without investigation for reasons that included anonymous complaint, duplicate case or allegation which failed to name an entity or subject under the OEIG jurisdiction. Another 510 complaints were referred without investigation to an appropriate entity, such as another Executive Inspector General, or to another state governmental unit. Some complaints involving possible criminal conduct were forwarded to criminal prosecutors or state police, either in lieu of OEIG investigation or at its conclusion.

The decision to decline to investigate a complaint follows careful evaluation of the allegation and the laws that govern OEIG activity. The greatest degree of deference is given to the complainant because it is the philosophy of this Office to conduct investigations whenever possible and not to turn away opportunities to do so unless presented with specific and compelling reasons. For example, although the OEIG may not investigate anonymous allegations or those involving violations more than one year old, when feasible, such allegations will be referred to state or outside officials for investigation. However, if another investigatory entity already has commenced its investigation, or if legal or grievance action is pending, the OEIG will decline to investigate in order to avoid conflicts between jurisdictions.



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Cases Opened in Any Fiscal Year, but Closed in FY 06

Overall, the total number of investigations that resulted in the issuance of findings during FY 06 was 236. This includes investigation of complaints received in FY 06, as well as those received in prior fiscal years. Of these 236 cases, 64 complaints were substantiated and 172 were determined to be unfounded. In each substantiated case, the OEIG issued a final summary report to the agency involved, to the ultimate jurisdictional authority, and in some cases to outside authorities. As appropriate in each founded case, the OEIG final report included directives for discipline, rule/policy creation or modification at the agency level, and for other corrective actions.

The OEIG, of its own initiative, referred six of its investigation cases to the Northern and Central District offices of the U.S. Attorneys in Illinois. Some completed investigations also were referred to the Illinois Attorney General. In addition, it is the practice of this Office to refer nascent complaints to federal or state prosecutors as soon as a violation of federal law is implicated, either in the bare allegation or the early evidence in the case.

Notwithstanding the OEIG's investigation of numerous allegations of Ethics Act violations, in FY 2006, the EIG presented one ethics complaint to the Executive Ethics Commission. This matter was later withdrawn upon the revelation of new, exculpatory evidence.

Historically, from May 2003, when the OEIG began operations, through June 30, 2006, the OEIG has received approximately 3,800 complaints and conducted 1,500 investigations.

<u>OEIG Activity Report</u> <u>FY 2005 - FY 2006</u>		
	FY '05	FY '06
Complaints	1134	1278
Investigations completed:	406	424
Founded	107	64
Unfounded	98	172
OEIG Hotline - Calls Received (Completed)	3165	2920



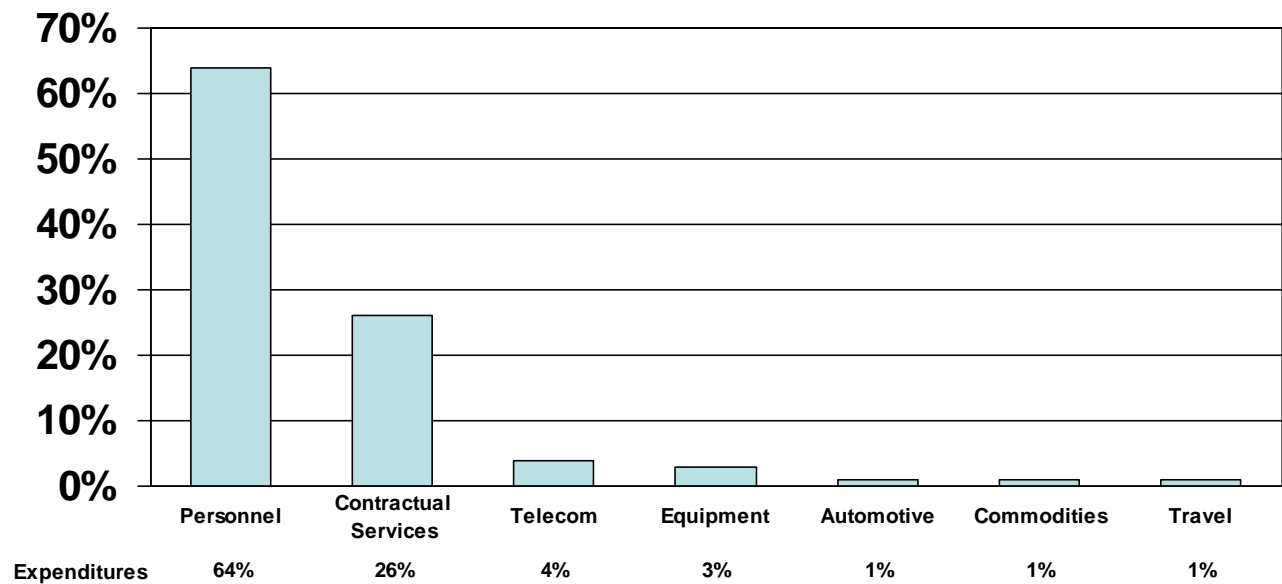
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FY 2006

Total Budget \$7.1 Million





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OEIG OPERATIONS

The Office of Executive Inspector General (“OEIG”), which operates its headquarters in Chicago and a bureau in Springfield, is organized into legal, investigative, ethics training and compliance, and support units. When a complaint is registered with the OEIG, administrative support and paralegal personnel in Chicago create a file and organize related documents to prepare the complaint for review by the Director of Investigations (“DOI”) and a Deputy Inspector General. At this stage, a paralegal conducts additional research to assist the review team in determining whether to open an investigation, and preliminary case details are entered into the OEIG case management system.

Investigation Unit

Together, the DOI and Deputy scrutinize the complaint for criteria suggesting imminent risk to life or state property, as well as for issues regarding jurisdiction, timeliness, credibility, duplication, pending legal action, criminal conduct and other factors involved in the determination of whether to open a case, refer it to an appropriate governmental agency or prosecutorial office, or decline to investigate the allegation. Either of these two officials may open an investigation, but any other disposition requires their unanimous agreement.



Under the State Officials and Employees Ethics Act (“Ethics Act”) (5 ILCS 430, *et seq.*), and Administrative Order Number 6, the OEIG is responsible for investigating complaints of violations of agency policies and rules, state statutes, criminal conduct, and Ethics Act violations by or involving any employee, agency, board or commission under the authority of the OEIG. This jurisdiction extends to vendors and others doing business with these entities. However, the Ethics Act also places some restrictions on OEIG authority. The investigative agency may not initiate complaints or investigations on its own, nor conduct inquiries on allegations made anonymously.

To operate within the law, the OEIG must have a complaint from an identifiable individual. Furthermore, in most cases an OEIG investigation must begin within one year of the most recent act of violation. Complaints that do not meet these requirements are often referred for internal investigation by the state agency that employs or is doing business with the investigation subject. At times, such allegations are referred directly to federal, state or local prosecutors and law enforcement agencies.



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Once an investigation is initiated, the DOI assigns the case to a team of investigators in Chicago or Springfield. An Assistant Inspector General also is assigned to the case. The investigative process requires interviews and the acquisition of documents or other evidence, but also may employ physical and/or video surveillance, expert forensic examination of electronic evidence, and other sophisticated investigative techniques.

Employees under OEIG jurisdiction are required by law, and have an administrative duty, to report misconduct and to fully cooperate with an OEIG investigation. Those doing business with these entities also must cooperate. The OEIG has the authority to enter upon the premises of any agency, board or commission within its jurisdiction, without notice, to obtain evidence located there. This Office also may issue subpoenas to require testimony and the production of evidence.

During an investigation, the OEIG Legal Unit, which includes its General Counsel, Deputy Inspectors General, Assistant Inspectors General, and paralegals, may interact extensively with investigators to assist in developing strategy and in conducting legal research relevant to the case.

At the conclusion of the investigators' work, the case and evidence are reviewed by an investigation manager, by the Deputy Director of Investigations and the DOI to evaluate the factual sufficiency of the case and to determine whether additional work is required, whether any entity needs to be immediately notified of the evidence obtained to that point, or whether to refer the file to the Legal Unit for an analysis of legal sufficiency and final review.

Legal Unit

Completed investigations are referred to an OEIG Assistant Inspector General for an analysis of the legal sufficiency of the evidence obtained, and of applicable rules, policies and laws. When appropriate, the attorney may return the case to the Investigation Unit for additional inquiry. Otherwise, the attorney reviews the file in all its particulars, and with the assistance of paralegal personnel, researches state agency rules, procedures and policies, contracts, operating agreements, audit and other reports, department manuals, state and federal statutes, and case law to thoroughly evaluate the often complex interactions between these sources of law that bear upon the conduct that was the subject of the allegation.

At the conclusion of this legal analysis, the Assistant Inspectors General prepare a detailed preliminary report on the case, along with any recommendations for discipline and/or corrective action. These reports are sent to a Deputy Inspector General for further review and refinement, and when necessary, for consideration of policy advisories that may appropriately be made at that stage. The deputies then prepare a Final Report that is sent to the First Deputy Inspector General and Executive Inspector General for final review and official closure.

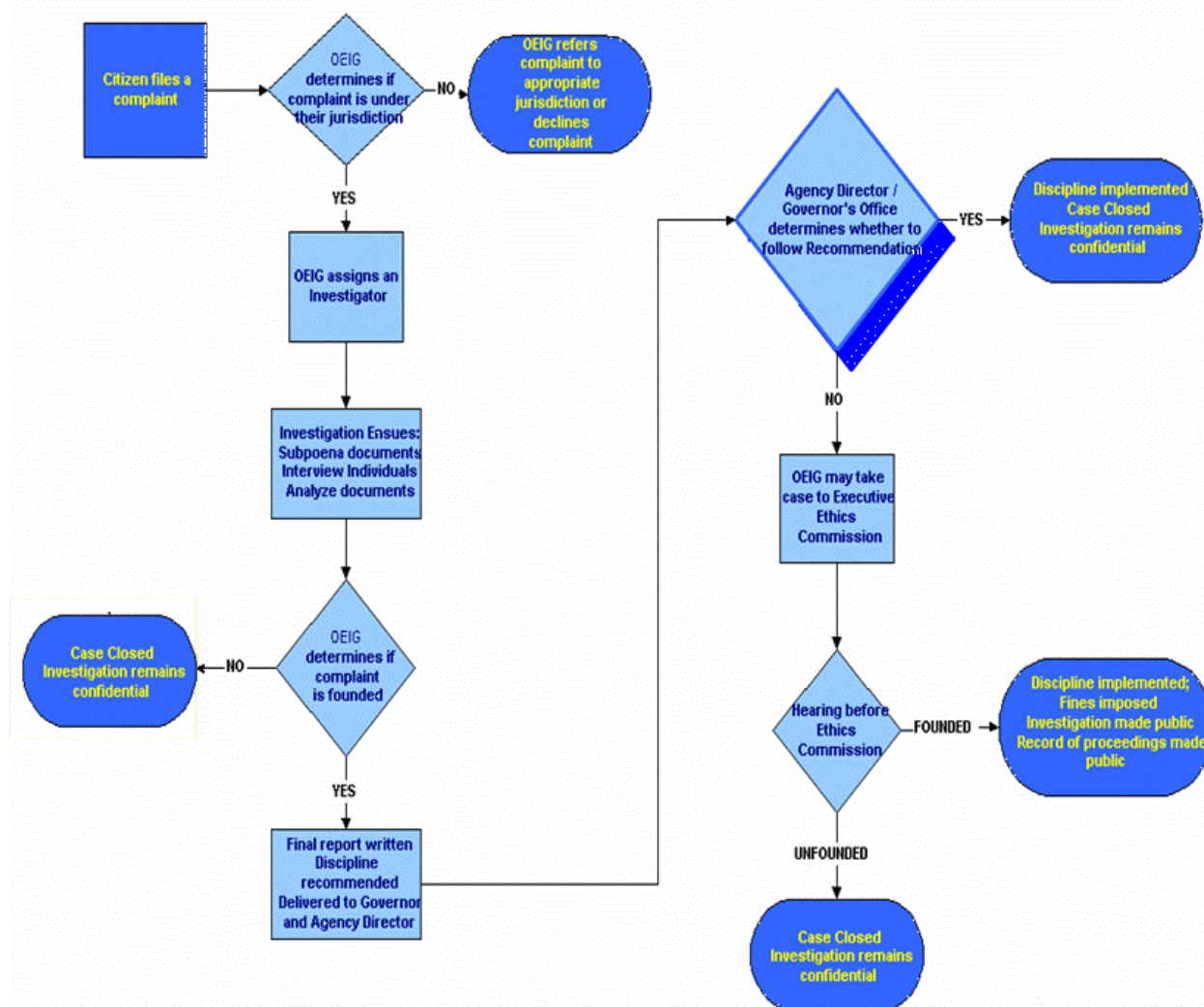


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What Happens to a Complaint?





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TYPES OF ALLEGATIONS [†]

The complaints submitted to the OEIG allege a wide range of wrongdoing. Most complaints allege more than one type of wrongdoing by an individual or entity. Some of the most prevalent types of allegations can be divided into ten categories:

- **Fraud**: These allegations include double-billing of the state, services provided by unlicensed providers and similar allegations.
- **Misconduct**: Such as prohibited communications during a procurement process or providing false information during an investigation.
- **Personnel**: These allegations range from an individual providing false information on their employment application to an individual being hired for a position for which they are not qualified.
- **Harassment**: Actions ranging from sexual harassment to workplace violence situations.
- **Mismanagement**: Includes misuse of state dollars, waste, poor use of state labor force and lack of necessary policies or policy enforcement.
- **Unethical practices**: Such as conflict of interest situations or violations of the Gift Ban Act, Revolving Door Prohibition, Retaliation and Failure to Cooperate in an OEIG investigation.
- **Abuse of time**: Allegations of falsified time records and misuse of overtime or compensatory time.
- **Abuse**: Allegations such as misusing one's position with the state for personal gain.
- **Waste**: Misuse of state resources, such as lack of accountability practices for state property.
- **Theft**: Includes not only theft of state property, but of state dollars, time and resources.

[†] Under the Ethics Act, the OEIG is not allowed to publicly disclose the identity of a complainant, or to release any investigative file or report. 5 ILCS 20-90, 20-95(b), 20-95(d).



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TYPES OF RECOMMENDED DISCIPLINARY ACTION [†]

In most of the 64 founded complaints for Fiscal Year 2006, the OEIG recommended disciplinary action. These actions can be organized in six broad categories:

Discharge: Based upon the evidence, the OEIG can strongly recommend that the subject be discharged with no right to reinstatement with any state agency, or face such other discipline as is commensurate with the extremely serious nature of the misconduct and violations. As part of this recommendation, the OEIG advises that any separation agreement reached with the subject should state that he or she agrees “never to apply for, nor to accept, employment with the State.”

Discipline: Recommended disciplinary actions range from retraining, reprimand, and suspension, to demotion or discharge.

Policy Changes: A recommendation that the agency create a policy to explicitly prohibit a certain type of activity, that it enforce an existing policy, or that the agency conduct a certain type of training for their employees to teach them the appropriate behavior.

Reimbursement to the State: In cases of abuse of state time or state resources, the OEIG may recommend that the state employee or contractor reimburse the state for the lost funds.

Vendor Debarment: Recommendation that the vendor no longer be allowed to do business with the state.

Referral for Criminal Prosecution: For the most serious cases of wrongdoing, the OEIG directly refers the matter for criminal prosecution.

Resignations During Course of the Investigation: In some cases, the employee being investigated by the OEIG investigation resigned his or her position of employment with the state during the investigation.

Notwithstanding the OEIG's investigation of numerous allegations of Ethics Act violations, in FY 2006, the EIG presented one ethics complaint to the Executive Ethics Commission. This matter was later withdrawn upon the revelation of new, exculpatory evidence.

[†] Under the Ethics Act, any investigatory reports created by OEIG are confidential and shall not be disclosed except to an appropriate law enforcement authority, the ultimate jurisdictional authority, the Executive Ethics Commission, or to another EIG. 5 ILCS 430/20-95.



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FY 2006 FOUNDED COMPLAINTS (BY AGENCY) [†]

Agency	No. Complaints Investigated	No. Complaints Founded
Aging	4	0
Agriculture	5	1
Banks and Real Estate (See also Financial and Professional Regulation)	2	1
Board of Education	3	1
Capital Development Board	1	1
Central Management Services	17	6
Chicago State University	6	0
Children and Family Services	9	2
Commerce and Community Affairs	1	0
Commerce and Economic Opportunity	2	0
Commerce Commission	3	0
Corrections	44	3
Criminal Justice Information Authority	1	0
Eastern Illinois University	1	0
Emergency Management	2	0
Employment Security	23	4
Environmental Protection Agency	1	0
Financial And Professional Regulation	6	0
Fire Marshal	3	1
Gaming Board	3	1
Governor's Office	6	0
Governor's Office of Management and Budget	1	1
Governors State University	1	0



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Agency	No. Complaints Investigated	No. Complaints Founded
Guardianship and Advocacy Commission	1	1
Healthcare and Family Services (See also Public Aid)	2	0
Historic Preservation Agency	1	1
Human Rights	4	0
Human Services	128	21
Illinois State University	1	0
Industrial Commission	2	1
Labor	1	1
Labor Relations Board	1	0
Law Enforcement Commission	2	0
Mental Health	1	0
Military Affairs	4	0
Natural Resources	8	2
Non-State Agency (e.g. city, county and federal government offices.)	13	0
Northeastern Illinois University	2	0
Northern Illinois University	2	0
Office of Internal Audit	1	1
Other	2	0
Public Aid (See also Healthcare and Family Services)	18	0
Public Health	6	1
Racing Board	2	0
Rehabilitation Services	3	0
Revenue	13	3
Southern Illinois University - Carbondale	1	1
Southern Illinois University - Edwardsville	2	0
State Police	6	1
Student Assistance Commission	1	0
Toll Highway Authority	4	0



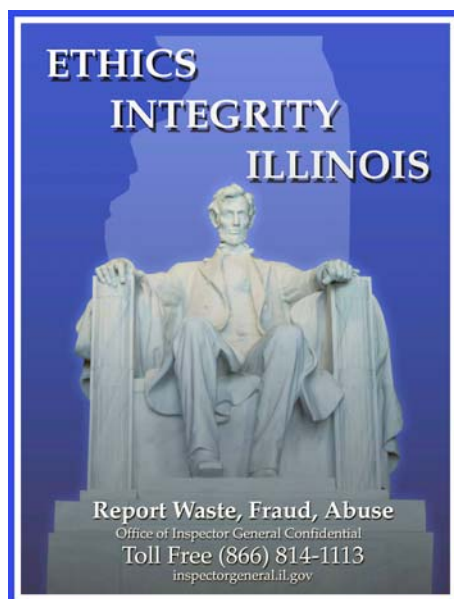
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Agency	No. Complaints Investigated	No. Complaints Founded
Transportation	30	5
University of Illinois	8	1
University of Illinois at Chicago	1	0
Unknown	2	1
Veterans Affairs	6	1
Western Illinois University	1	0
Grand Total	425	64

† This table consolidates information relating to all OEIG investigations conducted during Fiscal Year 2006, regardless of the year in which the complaint was received.





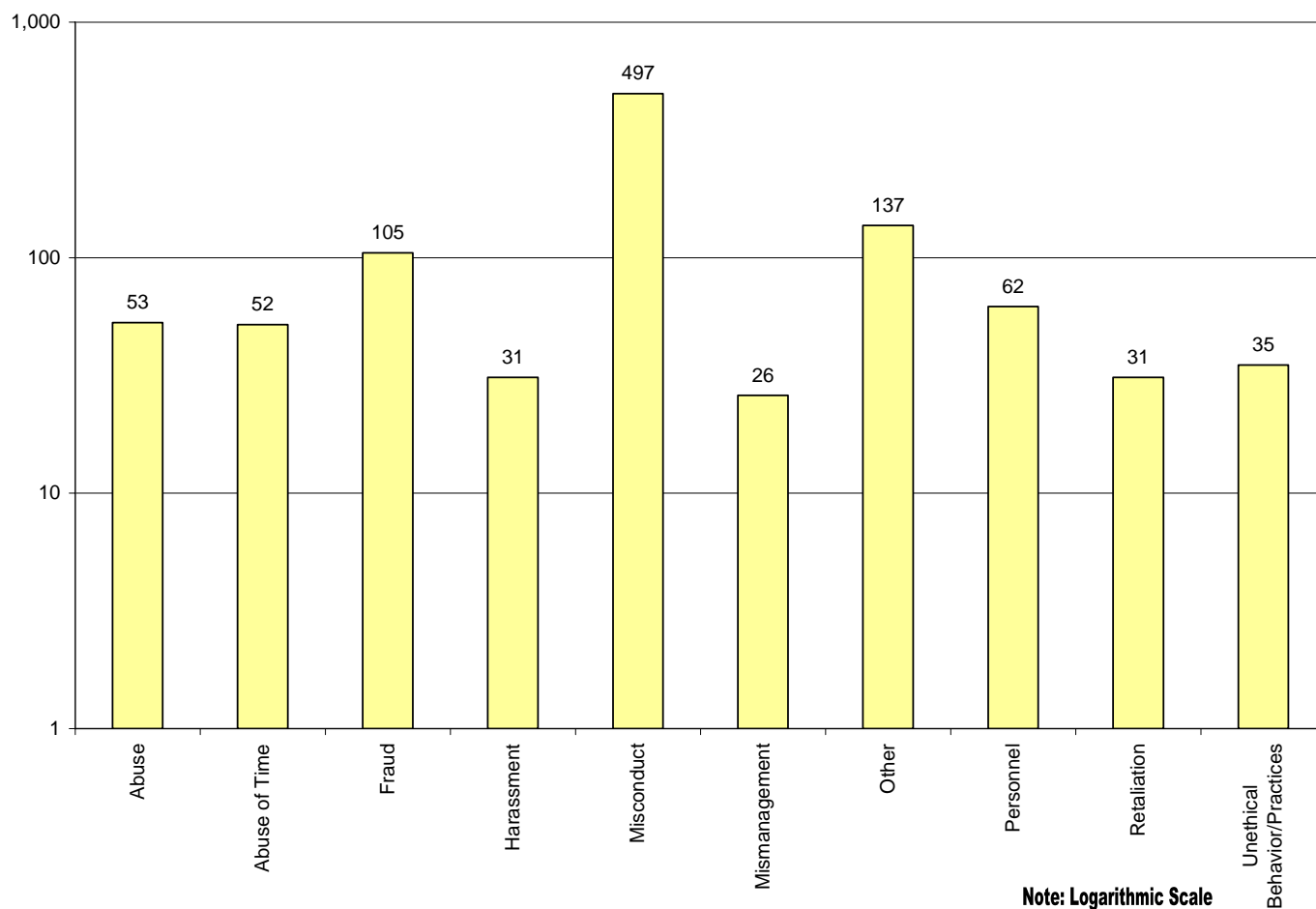
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FY 2006

Ten Types of Misconduct Most Frequently Reported - Complaint Totals



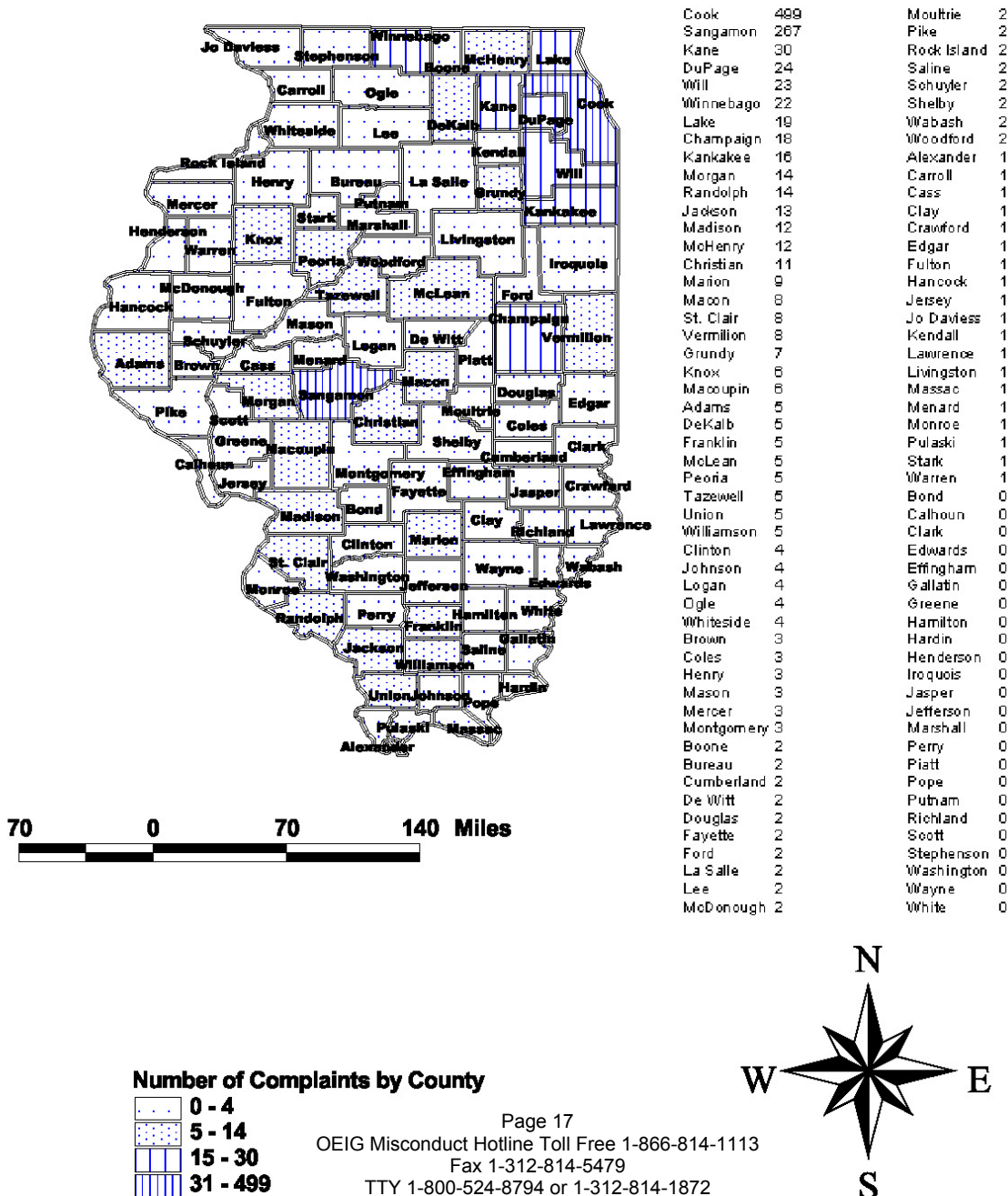


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OEIG Complaints





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MAJOR FOUNDED OEIG CASES – FY 2006

State Employee Charged In Theft Of \$1.99 Million

A joint state-federal investigation led by the OEIG resulted in federal mail fraud indictments against nine individuals, including a state agency claims representative and a contract security guard. The claims representative assisted the others in processing at least 579 fraudulent benefit claims in which more than \$1.99 million was paid out. The investigation required physical and video surveillance, in addition to witness interviews and extensive document analysis by teams of OEIG and federal investigators. The claims representative resigned from state employment and the contract guard is no longer allowed on state property. Federal trials are pending. The OEIG instructed the agency to implement extensive procedural changes to prevent such fraud in the future.

Director Of Finance And Administrator Encourages Agency Contract With His Relative

An OEIG investigation established that a chief agency finance director violated conflict of interest rules by encouraging agency officials to enter into an agreement with a private firm owned in part by the director's relative. Making this violation even more egregious was the fact that the director was employed by the private firm and had signed a false statement denying any involvement in the contract negotiations. Evidence showed that the firm submitted 17 invoices and was paid more than \$240,000. The employee resigned from state employment before discipline could be imposed.

Gross Negligence By State Public Safety Inspectors

An OEIG investigation resulted in the firing or resignation of four State inspectors who risked the safety of the public by grossly neglecting their professional duties. The four employees were assigned to inspect day care centers, group homes, schools, mental health facilities, gas stations and other private businesses. The OEIG investigation found that the four employees were conducting only cursory inspections of many of the facilities, and in some cases were not conducting inspections at all, in violation of agency policies and regulations.

As a result of the OEIG investigation, two of the four employees resigned and the remaining two were discharged for cause. The OEIG instructed the agency to re-inspect all of the sites assigned to the four employees and to institute a tracking system to ensure that all of its home-based inspectors were properly performing their jobs.



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State Employees Manipulated Personnel Processes To Aid Politically-Influenced Hiring

An OEIG investigation found that politically-sponsored job applications received special treatment from a State personnel bureau and, therefore, they obtained unfair advantage over other applications. The applications were scored in a separate room from ordinary applications, were repeatedly returned to applicants for changes, and grades were not entered into the state database until an "A" grade was attained. The investigation uncovered evidence that after the special applications received an "A," agencies opened job titles that previously had been closed.

The OEIG found that the manipulations of the grading process appeared to be violations of the principles set forth in *Rutan v. Republican Party*, 497 U.S. 62, 110 S. Ct. 2729, 111 L. Ed. 2d 52 (1990); Administrative Orders 1 and 2 (1990), which implemented those principles; internal bureau procedures; and overarching State rules of conduct.

The OEIG instructed the agency to take the following disciplinary and corrective actions:

- Terminate two bureau officials in charge of the process.
- Institute discipline against a third who cooperated.
- Immediately stop giving preferential treatment during the grading process to politically-sponsored applications.
- Institute clear policies and procedures to ensure that grading remained free from political influence.
- Make all personnel decisions, including the grading of applications, according to the law and based solely on merit, not on party affiliation or support.

In October 2005, the OEIG alerted the U.S. Attorney's Office in Springfield to the implication of the case and subsequently forwarded its final investigation report and evidence. The OEIG also alerted and sent the file to the Northern District U.S. Attorney and Illinois Attorney General.

State Agency Fails To Properly Monitor And Manage A \$24.9 Million Contract Irregular Bidding Process Awards Deal To Politically Connected Contractors

This OEIG investigation found that a central agency violated procurement rules in awarding a \$24.9 million contract for professional services to consolidate and manage significant State assets. The OEIG determined that the contract was unfairly awarded based on personal relationships among agency officials, contractors and politically-connected individuals rather than the factors required by the agency's and State's procurement policies.



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Additional OEIG findings included:

- The manager in charge of monitoring the contract neglected his duties.
- There were no checks in place to detect and/or address problems with the contract.
- The agency had failed to investigate criticism of the vendor's work product. The contract had been mismanaged in a way that allowed the contractor to charge the state for services never and/or inadequately performed.
- The agreement did not require documentation for reimbursable expenses.

Because the contract manager had left state employment, discipline could not be imposed. However, the OEIG recommended that the manager be prohibited from obtaining employment with any state agency in the future. Due to the problems with the contract, it was terminated by the state.

The OEIG instructed the agency to take the following corrective actions:

- Analyze and revise procedures to ensure that the problems that arose from this contract do not recur.
- Prohibit payment of any contract invoice unless and until the invoice is accompanied by adequate backup documentation.
- Institute stringent controls to ensure that all future contracts are adequately monitored.

State Employee Misappropriates \$117,000 Over Five Years

A five-year scheme by which a state employee misappropriated \$117,000 in state assistance funds was revealed by an OEIG investigation launched after the employee complained that her payments from the state, which were based on fraudulent vouchers, were late. The OEIG investigation found that the theft occurred over a period of five years, during which the subject sought reimbursements for transportation services supposedly rendered by her spouse, who was not a state employee and was not providing the services. Hundreds of false documents were submitted by the state employee.

In the course of the investigation, the OEIG also discovered that the agency did not check criminal histories, driving records, vehicle inspections or proof of insurance of the drivers, who used their personal cars to transport agency customers.

Due to the extremely serious and illegal nature of the employee's misconduct and violations, the OEIG instructed the agency to discharge the employee without right to reinstatement with any state agency, and that any separation agreement reached with the employee should state that he or she agreed "never to apply for, nor to accept, employment with the State."



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The OEIG also directed the agency to:

- Institute more stringent controls for the authorization and issuance of vouchers and payments.
- Not vest in one employee the authority or capability to provide all necessary signatures and authorizations for the expenditure of state funds.
- Immediately require additional documentation from anyone paid to provide transportation to its customers.
- Require drivers to submit to a criminal background check, prove their vehicle is in safe and lawful condition, and provide a copy of their driver's license and proof of insurance.

The OEIG also referred the case for criminal prosecution.

Manager Cited For Interfering with OEIG Ethics Training Program

An OEIG investigation found that a state managerial employee interfered with the OEIG's mandate to set standards and provide annual ethics training by discussing and disclosing training review questions with other employees, reading the questions to them, filling in their answers, and telling the other employees to skip the course material and go right to the review pages. Based upon the evidence, the OEIG recommended that the manager be disciplined for this violation.

Agency Manager Authorized Work On \$3 Million In Unapproved Contracts

Based upon a complaint about agency purchasing practices, the OEIG found numerous violations of state procurement rules by an agency and its managers. The violations related to three vendors: a clinical social work contractor, a manufacturing training program, and an inpatient/outpatient substance abuse treatment center with a sole-source contract. The OEIG found that in the first case, a manager failed to confirm that a contract had been signed before verbally authorizing the social work contractor to begin work. The manager later backdated the contract so payment of \$1,800 could be made.

In the second matter, the manager asked the agency to pay the training program for work performed months before the \$2.1 million contract was submitted for approval. The contract was signed several months later, but by then the training program claimed it performed more than \$13,000 worth of work and spent another \$30,000 on equipment. Although a few agency officials had raised questions about high salaries under the agreement and sought revisions, a deputy director complained that they were at fault for losing related grant money.



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Finally, on the sole-source \$1.1 million treatment center contract, when an agency officer sought to restructure the deal to include terms more favorable for the state, the deputy director denounced the officer as having an “uncooperative attitude.”

The OEIG directed the agency to:

- Discipline the manager, up to and including discharge, for authorizing the social work provider to begin work without a contract.
- Retrain the deputy director, and all agency employees involved in purchasing matters, on procurement requirements.
- Follow procurement requirements for all future contracts.

State Law Enforcement Officer Coerced Citizen To Hand Over Personal Property

An OEIG investigation determined that a state law enforcement officer violated police operational procedures when he improperly coerced and intimidated a private citizen passerby into permitting a search and relinquishing camera film containing images of a curbside drug arrest effectuated by that officer. The OEIG also found that the officer violated procedures by entering misleading information on a police report and by failing to properly document his seizure of the personal property.

Based upon the evidence, the OEIG directed the agency to:

- Discipline the officer.
- Remove the involved officer from street and investigative duties pending successful completion of a certified training program in stop, search and seizure procedures.
- Institute a comprehensive training and continuing education program for all officers on stop, search and seizure procedures.
- Conduct reviews with every officer on departmental policies and procedures, with special emphasis on encounters with the public and evidence/found property regulations.
- Consider supplementing its recently enacted code of conduct to prohibit officer intimidation of innocent citizens and officer misrepresentation of information on official reports.



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State Contract Service Provider Purchases \$45,000 Hummer with Grant Funds

In an investigation into the misuse of grant funds by a state contract service provider, the OEIG discovered that the not-for-profit organization misused part of its \$935,000 grant funding on personal items for its executive director. The organization was supposed to expend the grant funds on HIV/AIDS prevention and intervention services to high-risk residents of minority communities. Instead, the OEIG discovered, \$45,000 was spent on a Hummer sport utility vehicle and a staff party. The OEIG also found that the director used the organization's state tax exemption number to avoid paying sales taxes on home furnishings he purchased for personal use. In addition, the OEIG discovered that the vendor routinely wrote himself checks drawn on the organization's accounts.

The OEIG determined that the organization's spending was in violation of the Illinois Administrative Code, as well as its grant and community service agreements with the state. The organization also was found to lack sound fiscal standards. The case was referred to the Illinois Attorney General for criminal investigation. The OEIG also instructed two state agencies to deny any remaining grant funds or new grants to the organization, pending resolution of the criminal investigation.

Agency Supervisor Assaults Fellow Employee

The OEIG concluded that a supervisor violated agency personnel rules by threatening a co-worker, making derogatory comments about his culture and religion, and by putting his hands around the employee's throat to choke him. Based upon the serious nature of the misconduct, the OEIG instructed the agency to discharge the supervisor without right to reinstatement.

Agency Bureau Chief Had Conflict of Interest, Made Racial Comments

An OEIG investigation concluded that an agency bureau chief in charge of a popular state program created a conflict of interest by maintaining a family business interest governed by the program while overseeing investigatory staff, and implementing and enforcing rules for the program.

The OEIG also found that:

- The bureau chief engaged in unprofessional conduct by forming an agency task force to conduct "sham" meetings to approve plans that he had decided in advance were going to be implemented.



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- The chief made inappropriate racial remarks to a private citizen who participated in state programs under the bureau chief's management.

Based upon the evidence, the OEIG instructed the agency to;

- Discipline the official, up to and including discharge.
- Ensure that appropriate and accurate records be kept for all advisory boards and task forces, including membership, members' industry organization affiliations, and methods and dates of appointments.
- Keep detailed and accurate minutes or records of all meetings, and task force and board votes, including the name of each participant member and the vote cast.
- Ensure compliance with proper voting procedures.

Commission Employee Disclosed Confidential Information

The OEIG found that a state commission employee violated the Illinois Administrative Code and the commission's employee manual by disclosing confidential information concerning the status of a case pending before the administrative panel. Although the accuracy of the confidential information was in question, the OEIG concluded that providing confidential information about decision-making or the panel's decision-making process prior to the issuance of a decision was a violation of the Code and of the body's rules. The OEIG recommended that the employee be disciplined.

State Employee Falsified Time Sheets, Assignment Reports, Travel Vouchers

OEIG surveillance revealed that a 23-year state employee who conducted facility assessments had submitted fictitious reports, falsified time by claiming he was at sites when he was not, and turned in false expense records for paid parking.

The OEIG also found that:

- The employee violated his agency's code of conduct as it relates to professionalism and honesty, and violated his fiduciary responsibility to the state.
- The site inspector violated agency attendance and work hour rules.
- The agency allowed its facility assessment contractors to shave significant periods of time off scheduled workdays by permitting them to go directly home if their site visits ended within a "reasonable" amount of time prior to the end of the work day.



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Based upon the evidence, the OEIG directed the agency to:

- Discharge the facility inspector.
- Immediately cease allowing consultants to go directly home following afternoon site visits.
- Employ greater diligence in monitoring the attendance and work habits of its employees, specifically its consultants.
- Examine the work practices of three other employees for evidence of their submission of false time-keeping and work assignment completion records.

Senior Manager Involvement In A Returned-Property Scheme

Another OEIG investigation uncovered a scheme in which a regional manager unlawfully obtained property from a returned property center in order to convert it to cash (\$490.00). During the course of this investigation, the OEIG discovered several high risk factors in the agency's internal security controls over its inventory. In addition, the OEIG learned that its supplies were neither regularly tracked by computer nor physically examined for inventory discrepancies. The employee has resigned and the OEIG referred the case for criminal prosecution. This Office also made specific recommendations for improvement in the agency's internal control procedures.

Assistance Agency Counselor Romances His Client

An OEIG investigation found that a counselor for a state assistance agency violated departmental policies and regulations by engaging in an improper relationship with his client, a woman who had disabilities that included depression, anxiety and seizures. The two met after an independent professional specifically recommended the state counselor based on past experience. The client told the OEIG that she did not feel coerced in any way to enter into a personal relationship with the counselor, who acknowledged that he should have recused himself from her case upon becoming emotionally involved with her. The investigation found, however, that the counselor had helped the client obtain private employment and then closed her agency case. They were married several days later. The OEIG found that not only did the subject violate agency protocols, but that he compounded the problem by not notifying his supervisors of the relationship and by not removing himself from her case as soon as their relationship became personal. The OEIG instructed the agency to discipline the counselor.



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State-employed Educator Violates Institution's Outside Work Rules

A state-employed educator was found by the OEIG to have violated his institution's conflict commitment policies by working full-time under a contract with a state agency during his teaching term, which prevented him from teaching at all. The institutional policy allowed approval of up to 40 days of external activities per academic year appointment and 52 days of external activity per calendar year appointment. The OEIG found the 1,900 hours that the employee worked for the agency in 2003-2004 and the 1200 hours anticipated for 2004-2005 clearly exceeded the institution's allowances.

The OEIG investigation found that the arrangement between the educator and the state agency violated institutional policies and statutes as it did not allow him to complete his duties to the institution. The OEIG also determined that the agency to which he was "on loan" did not compensate the university for the loss of his services. Based on the evidence, the OEIG directed the institution to discipline the instructor for his failure to follow institutional policies.

The OEIG also instructed the institution to train and counsel individuals responsible for reviewing and approving outside employment activity; institute a system in which outside employment information is reviewed at regular intervals by the department head; and require that changes in outside employment be submitted within a time certain, subject to discipline up to and including dismissal.

State Employees and Agency Officials Falsified Time Records and Abused Overtime

An OEIG investigation found that five law enforcement facility employees and a supervisor falsified time records and took unofficial compensatory time (overtime abuse) despite the fact that the agency did not provide any such benefit.

The OEIG instructed the agency to institute an electronic timekeeping system for employees of the facility and to enforce an existing policy requiring employees to document specific case numbers for all overtime worked.

The OEIG also directed the agency to:

- Discharge or discipline the facility director for failure to supervise the timekeeping practices of employees under her supervision, and for her role in falsifying the timesheets of other employees.



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- Discharge or discipline a deputy director for failure to supervise the timekeeping practices of employees under her authority, and for her role in falsifying the timesheets of other employees.
- Discharge or discipline a facility employee for falsifying her timesheets and overtime forms, for collecting unearned overtime, and for her failure to cooperate with the OEIG's investigation.
- Discipline a group supervisor for failure to supervise the timekeeping practices of employees under his supervision.
- Discipline another group supervisor for falsifying his timecards.
- Discipline another facility employee for falsifying her timecards and violating the law enforcement agency's secondary employment policy.





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FY 06

ACHIEVED INITIATIVES

With the increase in the complexity of state transactions, comes the challenge to assemble the best-trained investigative and legal personnel, and the most effective support technology to strengthen and extend the OEIG's ability to conduct investigations. In addition, it is vital that OEIG personnel have a thorough comprehension of the myriad of laws, rules, procedures and policies that govern state business and the field of administrative investigation. Moreover, it is necessary that the OEIG and community of state agencies engage in ongoing dialog to ensure mutual understanding of the goals of the State Officials and Employees Ethics Act, and a joint commitment to find the most effective methods of achieving them.

Technology

In the fiscal year ending June 30, 2006, the OEIG initiated several projects, one of which included acquisition of advanced technological tools to assist with its investigations.

- Technology expansion for forensic examination.

In FY 06, the OEIG expanded its computer forensic operations. This equipment enables trained computer forensic examination specialists to examine electronic data, such as computer hard drive contents, as well as e-mail records and archives, for evidence in a non destructive manner. These methodologies allow such evidence to be used as evidence at trials and hearings. In both the Chicago and Springfield OEIG offices, dedicated forensic laboratories were set up and equipped with the latest hardware, forensic software and peripherals. Included in this expansion were two analysis workstations and six new acquisition workstations. In addition, the Springfield lab was staffed with its own computer forensic specialist.

- Improvements in OEIG database/case management system.

In FY 06, the OEIG case management system was fully implemented and all legacy data was migrated. The Complaint Database ("CDB") is a robust workflow system built on the Remedy platform. The CDB is used to track every complaint submitted to the OEIG, from inception to closure. It is a sophisticated system that allows for data entry, full-text searching, automatic notification based on case events, electronic forms, form letter generation, reporting and auditing as well as the ability to attach electronic documents to cases files.



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- Link to state law enforcement communications network

The OEIG Investigation Unit expanded its capability to communicate with other law enforcement agencies through the acquisition of a portable radio communication system that allows investigators to stay in contact with the state-wide radio network and law enforcement agencies across Illinois.

Training

Members of the investigative staff attended the following types of training during FY 06:

- Federal Law Enforcement Training Center - Inspector General Academy
- Legal Aspects of Police Discipline/Internal Investigations
- John E. Reid and Associates Interview and Interrogation
- Reid Interview and Interrogation - Advanced
- Forensic Computer Analysis Training
- Microsoft Outlook Training
- Department of Human Services Personal Assistance Training
- Rutan Training

Seminars

In Fiscal Year 2006, the OEIG continued to build upon existing relationships with other state agencies and to form new ones by meeting to explain the operation of the Office and discuss how each state department and employee can contribute to the restoration of public confidence in the operation of state government. This included several sessions at which the OEIG and state legal, labor and personnel representatives discussed procedural issues and challenges.

- Executive Inspector General James A. Wright presented a seminar on Fraud Awareness and Ethics to the Illinois Department of Transportation.
- The Ethics Training and Compliance Unit of the OEIG engaged Ethics Officers and other representatives of 38 of the 39 Illinois Community College Districts in six meetings during the fiscal year. The sessions provided attendees with an overview of the OEIG and the state employee ethics training requirements of the State Officials and Employees Ethics Act.



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- OEIG attorneys met with the Central Management Services Bureau of Personnel in Springfield for a Powerpoint presentation on OEIG objectives and procedures.
- OEIG attorneys engaged labor relations representatives from numerous state agencies in a discussion of topics relevant to the disciplinary process and to OEIG operations.
- Investigation managers of the OEIG attended the Illinois Department of Transportation Fraud Seminar to exchange information on recognizing and avoiding schemes and swindles.
- OEIG investigation managers also engaged with the Central Management Services Bureau of Personnel to explain OEIG investigative procedures and agency functions.





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INITIATIVES FOR FISCAL YEAR 2007

- Advocate for, and support legislation seeking, full transparency and public release of all findings substantiated by an OEIG investigation.
- Provide seminars to agencies, boards and commissions to offer guidance on reporting waste, fraud, abuse and misconduct in compliance with the Illinois State Officials and Employees Ethics Act (5 ILCS 430, *et seq.*) and Administrative Order No. 6. (See [Links](#) section.)
- Implement enhanced communication procedures to better assist agencies in the prevention of misconduct and ethical violations.
- Upgrade and improve the Office of Executive Inspector General complaint database.
- Propose legislation to further enhance OEIG effectiveness in investigating fraud, waste, abuse and misconduct.
- Oversee first-time ethics training to approximately 40,000 community college employees.





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EMPLOYEE ETHICS TRAINING PROGRAM OVERVIEW

Summary

Pursuant to the State Officials and Employees Ethics Act, ethics training is a mandatory requirement for all employees, officials and appointees under the jurisdiction of the OEIG. During FY06 more than 160,000 participants took part in ethics training programs offered under this Office's oversight. These programs provide employees with an efficient and effective means of completing such training on an annual basis as required by law. In addition, ethics orientation is provided to all new employees and appointees in order for them to comply with the additional legal mandate that all such new employees and appointees complete ethics training within six months of initial employment/appointment.

Legal Requirement for Training

- Pursuant to the State Officials and Employees Ethics Act, state employees are required to complete an ethics training program at least annually. New employees are required to complete training within six months of initial employment.
- The Ethics Act requires that these programs be overseen by the appropriate Ethics Commission and Executive Inspector General in consultation with the Office of the Attorney General. Furthermore it requires the Executive Inspector General to set standards for this training.
- State employees are defined to include any person employed full-time, part-time or pursuant to a contract or any appointee.

Training Purpose

The primary purpose of ethics training conducted under the oversight of the OEIG is to provide employees with:

- A common understanding of ethics-related laws and rules.
- Knowledge concerning who to contact with ethics-related questions.
- Knowledge of where and how to report alleged violations of laws, rules, regulations or policies.

Training Standards, Methods and Benefits

The way in which training is administered is intended to ensure that:

- Employees enhance their knowledge of ethical issues and obligations.
- Employees' participation is recorded and reported.



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- Training is cost efficient relative to other effective alternative learning methods.

Practical reasons for adoption of an ethics training program include:

- Reduction of the potential for employees to unintentionally violate the law.
- Deterrence of willful violations of laws, rules, regulations and policies.
- Improvement to both the real and perceived integrity of government.

The primary training method made available by the OEIG is an Internet-based Learning Management System, which:

- Allows most employees to access (by means of a personal computer with Internet capability) an interactive, self-paced training program that typically requires no more than 30 to 60 minutes to complete.
- Hosts self-paced, interactive, training programs consisting of reading materials, interactive scenarios that depict ethics-related situations, self-help questions, reference materials and a review quiz.
- Requires training participants to complete a 10-question review by correctly responding to multiple choice questions directly related to the course's subject matter.
- Provides each state agency with a 30-day training period during which its currently active employees must complete an appropriate online ethics training program.





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The OEIG's online Learning Management System offers updated training materials each year and allows for automated compliance tracking and reporting.

Those employees who cannot train during their agency's 30-day online training period, such as temporary or seasonal employees or those hired outside of the training period, are provided an alternative offline training program which may be completed independently.

- Offline trainees are required to submit an Acknowledgement of Participation form to their agency's Ethics Officer for compliance tracking and reporting purposes

FY06 On-line Employee Training Content

The subject matter and course content is developed under the oversight of the OEIG and the Executive Ethics Commission and is reviewed by the Office of the Attorney General. FY06 on-line training programs generally included the following subject matter:

- Time reporting and travel expense policies under the Ethics Act.
- Conflicts of interest.
- Gift ban under the Ethics Act.
- "Revolving door" restrictions under the Ethics Act.
- Duty to report violations.
- Confidentiality of reported violations and related investigations.
- Whistleblower protections.
- Penalties.
- The Executive Ethics Commission.
- Prohibitions on certain political activities while working for the State.
- Appropriate use of state resources.





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FY 2006 LEGISLATIVE REPORT

In May 2006, the Illinois House of Representatives passed House Bill 4572 Amendment 1 (“HB 4572”). However, the Illinois Senate did not consider HB 4572 during the Veto Session in November 2006. If passed into law as now written, HB 4572 will amend the State Officials and Employees Ethics Act (“Ethics Act”) by allowing, upon written request, the subject of an OEIG investigation to receive a redacted copy of the OEIG summary report. HB 4572 would also make it a Class A misdemeanor to divulge the name of the complainant or the source of the allegation.

The OEIG supports HB 4572 and will continue to support future legislation that allows for more transparency with respect to the OEIG’s final reports.

In addition to HB 4572, three other bills were introduced or considered during Fiscal Year 2006 that would have amended the Ethics Act and which were referred to their respective chambers’ Rules Committees.

1) House Bill 4171 would have excluded members of certain pension and retirement boards from filing Statements of Economic Interest; would have ended the Executive Ethics Commission’s oversight role and removed the Attorney General’s consulting role with respect to ethics training for State employees.

This legislative proposal also would have allowed for the mere presence of political paraphernalia on State property or an incidental use of State property for political purposes in certain instances; would have expanded from one year to two years, the “revolving door” prohibition for current State employees; and would have clarified when a prohibited source could provide educational missions and travel expenses for State employees. In addition, HB 4171 would have made explicit that all collective bargaining agreements applicable to State employees are subject to the Ethics Act.



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2) Senate Bill 1879 would have made the same changes as HB 4171, except it used different language with respect to the interaction between the Ethics Act and collective bargaining agreements. It would have also clarified the Gift Ban section of the Ethics Act by adding language permitting a State employee to give anything of value received from a prohibited source to a non-profit organization.

3) Senate Bill 2953 would have allowed the OEIG's summary investigation report about a State employee's proven misconduct to be released to the Executive Ethics Commission, the State employee, and under certain circumstances, to the public.





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FY 2006

AN INTRODUCTION TO OEIG STATISTICAL REPORTS

The Office of Executive Inspector General (“OEIG”) records its cases in a management database to facilitate statistical analysis and reporting. The tables presented in this report are drawn from this data.

A cautionary note: the various metrics shown here in combined tables are presented in this manner for convenient viewing and no relationship among the separate columns should be presumed. One reason for this is because different tables examine complaints received or investigations concluded in different time frames. For example, the tables *Founded Complaints (By Agency)* and *Appendix B – FY 2006 Founded Complaints by Type of Misconduct*, examine all founded cases that were concluded during Fiscal Year 2006, regardless of the fiscal year in which the complaint was received. Contrast *Appendix A – Total Complaints (Received in FY 2006) by Type of Misconduct Alleged*, which references only those allegations received in FY 06. In *Appendix D*, data is drawn from both case categories. Full comparative statistics from FY 2005 are not provided in this Annual Report due to the OEIG's extensive conversion to a new database in the first quarter of FY 06.

Note also that that a “complaint” is simply an accusation of misconduct yet to be proved or disproved. That some state agencies will be seen to have been the subject of high, or low, numbers of complaints, in itself, is demonstrative neither of culpability, nor of virtue. Therefore, absent detailed study, no particular importance should be attached to the number of allegations involving certain state agencies.

A complaint is “founded” when the evidence acquired during an investigation, after careful factual and legal analysis, is determined to give rise to a reasonable belief by the OEIG that a violation was committed. Moreover, this determination requires that there have been in existence a rule, policy, procedure or law proscribing the conduct that was the subject of the complaint. On occasion, an investigation will reveal the absence of such a rule, in which case the OEIG will direct the agency to implement one. At times, single complaints can give rise to multiple allegations, each of which can be founded or unfounded. Therefore, the number of “founded complaints” always is less than the number of “founded allegations,” which are not reflected in these tables but are addressed individually in OEIG Final Reports.

The data in this report is offered as evidence that the OEIG, an independent administrative investigation agency of the State of Illinois, is in pursuit of its mission to investigate and prosecute waste, fraud, misconduct, mismanagement and unethical behavior committed within and upon the state entities under its jurisdiction.



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APPENDIX A

FY 2006

TOTAL COMPLAINTS (RECEIVED IN FY 2006) BY TYPE OF MISCONDUCT ALLEGED ¹

Category of Misconduct	# Complaints Received	Category of Misconduct	# Complaints Received
Abuse	53	Mismanagement	26
Abuse of Time	52	Misuse of Property	22
Bid-rigging	3	None	17
Bribery	4	Other	137
Child Support	3	Other Ethics Act	2
Conflict of Interest	20	Patronage	9
Corruption	8	Personnel	62
Discrimination	26	Political Work on State Time	12
Extortion	2	Prohibited Political Activity	1
Failure to Follow Department Policy	25	Retaliation	31
False Employment Application	4	Revolving Door Violation	1
Fraud	105	Sexual Harassment	5
Harassment	31	Theft	21
Hiring Improprieties	17	Unethical Behavior/Practices	35
Improper Political Promotion	1	Violence in Workplace	6
Misappropriation/Misuse of Funds	20	Waste	16
Misconduct	497	Wrongful Termination	3
		Wrongfully Convicted	1
		Grand Total	1,278

¹ Complaints received July 1, 2005 through June 30, 2006.



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APPENDIX B

FY 2006

FOUNDED COMPLAINTS ¹ BY TYPE OF MISCONDUCT

Category of Misconduct	# Complaints Founded
Misconduct	12
Fraud	9
Other	6
Abuse of Time	5
Unethical Behavior/Practices	5
Misuse of property	4
Conflict of Interest	3
Theft	3
Abuse	2
Ghost Payrolling	2
Harassment	2
Misappropriation/Misuse of Funds	2
Procurement fraud	2
Extortion	1
Failure to Follow Dept. Policy	1
False Employment Application	1
Personnel	1
Retaliation	1
Violence in Workplace	1
Waste	1
Grand Total	64

¹ Complaints received during any prior fiscal year.



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APPENDIX C

FY 2006

NUMBER OF COMPLAINTS - BY AGENCY

Agency	No. Complaints Received in FY 06 †
Aging	8
Agriculture	14
Attorney General	3
Auditor General	1
Banks and Real Estate (See Financial and Professional Regulation)	3
Board of Higher Education	1
Capital Development Board	3
Central Management Services	47
Chicago State University	1
Children and Family Services	87
Children and Family Services – Inspector General	1
Civil Service Commission	1
Commerce and Economic Opportunity	12
Commerce Commission	10
Community College Board	2
Corrections	92
Criminal Justice Information Authority	7
Eastern Illinois University	1
Emergency Management	4



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Agency	No. Complaints Received in FY 06 †
Employment Security	46
Environmental Protection Agency	8
Executive Inspector General for the Agencies of the Illinois Governor	1
Financial And Professional Regulation	17
Gaming Board	1
Governor's Office	18
Governors State University	4
Guardianship and Advocacy Commission	7
Health Facilities Authority	1
Healthcare and Family Services (See Public Aid)	22
Historic Preservation Agency	4
Housing Development Authority	1
Human Rights	16
Human Services	367
Illinois Student Assistance Commission	3
Illinois Technology Development Alliance	1
Industrial Commission	2
Insurance (See Financial and Professional Regulation)	3
Joint Commission on Administrative Rules	2
Judicial Inquiry Board	3
Labor	6
Labor Relations Board	2
Law Enforcement Commission	1
Legislative Council	1
Lieutenant Governor	1
Mental Health	1
Military Affairs	6
Natural Resources	17



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Agency	No. Complaints Received in FY 06 †
Non State Agency	84
None Given	10
Northeastern Illinois University	5
Northern Illinois University	3
Other	6
Professional Regulation	6
(See Financial and Professional Regulation)	
Public Aid	28
(See Healthcare and Family Services)	
Public Health	16
Racing Board	1
Rehabilitation Services	1
Revenue	22
Secretary of State	7
Senate	1
Southern Illinois University - Carbondale	3
U.S. Social Security Administration	1
Southern Illinois University Edwardsville	3
State Appellate Defender Office	1
Board of Education	7
Board of Elections	1
Employees Retirement System	3
Fire Marshal	13
Illinois State Police	17
State's Attorney's Appellate Prosecutor	1
Teachers Retirement System	1
Toll Highway Authority	11
Transportation	83
Universities Retirement System	1
University of Illinois	32



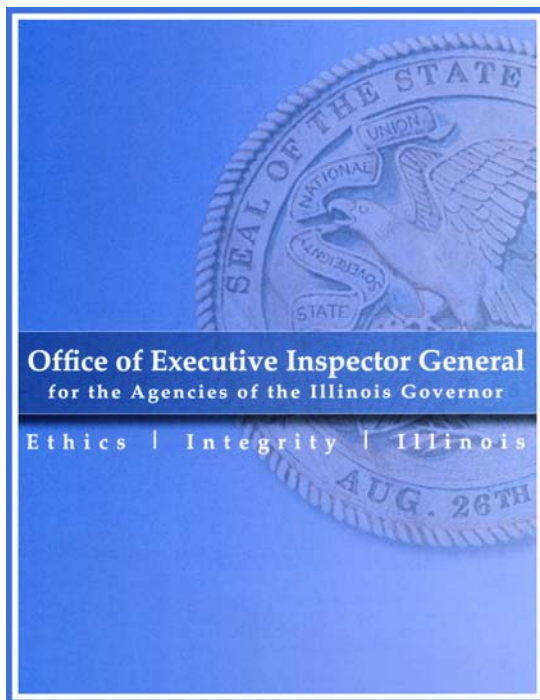
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for the Agencies of the Illinois Governor

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Agency	No. Complaints Received in FY 06 †
University of Illinois at Chicago	1
Unknown	6
Vandalia Correctional Center	1
Vendor	10
Veterans Affairs	24
Western Illinois University	4
Workers Compensation Commission	3
Zion Police Department	1
Grand Total	1,278 †

† No. complaints received in FY 2005: 1,145. No. investigations initiated FY 2005: 343.





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for the Agencies of the Illinois Governor

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APPENDIX D [†]

FY 06

MISCONDUCT COMPLAINTS AND CASE DISPOSITIONS

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Aging	Discrimination	0	1	0	0	0
	Failure to Follow Dept. Policy	0	0	0	1	0
	Harassment	0	0	0	1	0
	Misconduct	1	0	0	0	0
	Other	1	1	0	2	0
	Agency Total	2	2	0	4	0
Agriculture	Abuse	1	1	1	0	0
	Abuse of Time	0	0	0	1	0
	Fraud	1	0	0	0	0
	Misconduct	1	1	0	1	1
	Theft	1	0	0	0	0
	Unethical Behavior/Practices	0	0	0	0	1
	Agency Total	4	2	1	2	2

[†] Note: No. of Complaints Referred/ Declined cannot be added to Complaints Founded/Unfounded to determine total OEIG case activity or the number of complaints received in FY 06. See Appendix C. Referred and Declined cases are all FY 06 complaints. Founded and Unfounded cases are from complaints that span past fiscal years. Full comparative statistics from FY 05 are not provided in this report due to the OEIG's extensive conversion to a new database in the first quarter of FY 06.

¹ Of complaints received July 1, 2005 through June 30, 2006. Complaints that involve managerial issues, and some anonymous complaints, are generally referred back to agency administration. Declined complaints may be anonymous, or those which fail to allege misconduct by a state entity, employee or vendor under OEIG jurisdiction

² Of complaints received during any prior fiscal year.

³ "Other" reflects cases closed for Administrative Reasons, such as: Statute of Limitations, duplicate complaint, employee already disciplined, relief already granted by agency, allegation investigated by other entity and agency report accepted, civil or grievance action pending, etc.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Appellate Defender	Mismanagement	0	1	0	0	0
	Agency Total	0	1	0	0	0
Attorney General (Attorney General con't.)	Discrimination	1	0	0	0	0
	Misconduct	1	0	0	0	0
	Other	1	0	0	0	0
	Agency Total	3	0	0	0	0
Banks and Real Estate (See also Financial and Professional Regulation)	Misconduct	1	0	0	0	0
	Other	1	0	0	0	0
	Unethical Behavior/Practices	0	0	1	1	0
	Agency Total	2	0	1	1	0
Board of Education	Abuse	1	0	0	0	0
	Discrimination	1	0	0	0	0
	Failure to Follow Dept. Policy	0	0	1	0	0
	Fraud	0	0	0	0	1
	Harassment	0	0	0	1	0
	Hiring Improprieties	1	0	0	0	0
	Misconduct	2	0	0	0	0
	Other	1	0	0	0	0
	Unethical Behavior/Practices	2	1	0	0	0
	Waste	0	1	0	0	0
	Agency Total	8	2	1	1	1
Board of Elections	Political Work on State Time	1	0	0	0	0
	Agency Total	1	0	0	0	0
Board of Higher Education	Misappropriation or Misuse of Funds	1	0	0	0	0
	Agency Total	1	0	0	0	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Capital Development Board	Conflict of Interest	0	0	1	0	0
	Misconduct	0	1	0	0	0
	Agency Total	0	1	1	0	0
Central Management Services	Abuse	1	0	0	0	0
	Abuse of Time	3	0	0	0	0
	Bid-rigging	0	1	0	0	0
	Discrimination	1	0	0	0	0
	Failure to Follow Dept. Policy	1	0	0	0	0
	False Employment Application	0	0	1	0	0
	Fraud	0	0	0	1	1
	Harassment	1	0	0	0	0
	Hiring Improprieties	0	1	0	1	0
	Misconduct	2	1	0	1	3
	Other	1	2	0	2	0
	Personnel	0	0	1	0	0
	Procurement Fraud	0	0	1	0	0
	Retaliation	0	2	0	0	0
	Theft	0	0	1	0	0
	Unethical Behavior/Practices	1	1	1	0	0
	Violence in the Workplace	1	0	1	0	2
	Waste	1	0	0	0	0
	Agency Total	13	8	6	5	6
Chicago State University	Abuse of Time	0	0	0	1	0
	Failure to Follow Dept Policy	0	0	0	1	0
	Misconduct	0	0	0	1	0
	Other	0	0	0	2	0
	Retaliation	0	0	0	1	0
	Agency Total	0	0	0	6	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Children and Family Services	Abuse	4	1	0	0	0
	Abuse of Time	1	0	0	1	0
	Conflict of Interest	3	0	0	0	0
	Discrimination	2	1	0	0	0
	Failure to Follow Dept. Policy	3	0	0	0	0
	Fraud	0	0	0	0	1
	Harassment	1	1	0	1	0
	Misappropriation or Misuse of Funds	2	0	0	0	0
	Misconduct	27	1	2	0	2
	Mismanagement	2	0	0	0	0
	Misuse of Property	1	0	0	0	0
	None	1	0	0	0	0
	Other	8	1	0	0	1
	Patronage	0	1	0	0	0
	Personnel	7	0	0	0	1
	Retaliation	1	1	0	0	0
	Sexual Harassment	1	0	0	0	0
	Agency Total	64	7	2	2	5
Children and Family Services - Inspector General	Misconduct	1	0	0	0	0
	Agency Total	1	0	0	0	0
Civil Service Commission	Misconduct	1	0	0	0	0
	Agency Total	1	0	0	0	0
Commerce and Community Affairs	Retaliation	0	0	0	1	0
	Agency Total	0	0	0	1	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Commerce and Economic Opportunity	Abuse of Time	0	0	0	1	0
	Misappropriation or Misuse of Funds	0	0	0	0	1
	Misconduct	1	1	0	0	0
	Unethical Behavior/Practices	0	1	0	0	0
	Agency Total	1	2	0	1	1
Commerce Commission	Conflict of Interest	0	0	0	0	1
	Harassment	0	1	0	0	0
	None	1	0	0	0	0
	Other	0	1	0	0	2
	Agency Total	1	2	0	0	3
Corrections	Abuse	1	0	0	0	0
	Abuse of Time	1	0	0	1	3
	Bribery	0	0	0	1	0
	Conflict of Interest	0	0	0	1	0
	Corruption	0	0	0	1	1
	Discrimination	0	1	0	1	1
	Extortion	2	0	0	1	0
	Failure to Follow Dept. Policy	2	0	0	0	0
	False Employment Application	0	0	0	0	1
	Fraud	4	0	0	1	1
	Harassment	2	2	0	2	1
	Hiring Improprieties	2	0	0	0	0
	Misappropriation or Misuse of Funds	0	0	0	2	0
	Misconduct	22	0	1	2	1
	Mismanagement	1	0	0	0	0
	Misuse of Property	0	0	1	0	0
	Other	2	4	0	5	1
	Personnel	3	2	0	4	0
	Political Work on State Time	0	1	0	1	0
	Procurement Fraud	0	0	1	0	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
(Corrections cont.)	Retaliation	0	1	0	0	2
	Theft	0	0	0	1	0
	Unethical Behavior/Practices	0	0	0	1	3
	Waste	0	0	0	0	1
	Wrongful Termination	0	1	0	0	0
	Wrongfully Convicted	1	0	0	0	0
	Agency Total	43	12	3	25	16
Criminal Justice Information Authority	Abuse	0	0	0	0	1
	Agency Total	0	0	0	0	1
Eastern Illinois University	Misuse of Property	0	0	0	1	0
	Agency Total	0	0	0	1	0
Emergency Management	Abuse of Time	0	0	0	0	1
	Harassment	1	0	0	0	0
	Misconduct	1	0	0	0	0
	Personnel	0	0	0	0	1
	Agency Total	2	0	0	0	2
Employment Security	Abuse	0	0	0	0	2
	Abuse of Time	0	0	1	1	1
	Conflict of Interest	0	0	0	1	0
	False Employment Application	0	1	0	1	0
	Fraud	1	0	2	1	1
	Harassment	0	0	0	1	0
	Misconduct	8	4	0	1	6
	Mismanagement	1	0	0	0	0
	Misuse of Property	1	0	1	0	0
	Other	3	1	0	0	1
	Personnel	1	1	0	0	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
(Employment Security cont.)	Retaliation	0	2	0	0	0
	Unethical Behavior/Practices	1	0	0	1	0
	Agency Total	16	9	4	7	12
Environmental Protection Agency	Abuse of Time	0	1	0	0	0
	Discrimination	0	1	0	0	0
	Fraud	1	0	0	0	0
	Harassment	0	0	0	1	0
	Misconduct	1	1	0	0	0
	Other	0	1	0	0	0
	Agency Total	2	4	0	1	0
Executive Inspector General (Agencies of Gov.)	Retaliation	1	0	0	0	0
	Agency Total	1	0	0	0	0
Financial And Professional Regulation (See also Banks and Real Estate)	Abuse of Time	1	0	0	2	0
	Discrimination	1	0	0	0	0
	Failure to Follow Dept. Policy	0	0	0	0	1
	Misconduct	7	2	0	1	0
	Other	3	1	0	0	1
	Political Work on State Time	0	1	0	0	0
	Unethical Behavior/Practices	0	0	0	1	0
	Agency Total	12	4	0	4	2
Fire Marshal	Conflict of Interest	0	0	0	0	1
	Misconduct	4	0	1	0	0
	Other	0	0	0	1	0
	Agency Total	4	0	1	1	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Gaming Board	Failure to Follow Dept. Policy	0	0	0	1	0
	Other	0	0	0	0	1
	Retaliation	0	0	1	0	0
	Agency Total	0	0	1	1	1
Governor's Office	Misappropriation or Misuse of Funds	0	0	0	1	0
	Misconduct	0	0	0	0	1
	None	0	1	0	0	0
	Other	0	4	0	1	0
	Patronage	1	0	0	0	0
	Personnel	1	0	0	1	0
	Unethical Behavior/Practices	0	1	0	1	1
	Waste	0	1	0	0	0
	Agency Total	2	7	0	4	2
Governor's Office of Management and Budget	Unethical Behavior/Practices	0	0	1	0	0
	Agency Total	0	0	1	0	0
Governors State University	Other	0	1	0	0	0
	Wrongful Termination	0	0	0	0	1
	Agency Total	0	1	0	0	1
Guardianship and Advocacy Commission	Abuse	0	1	0	0	0
	Misconduct	1	1	0	0	0
	Other	0	3	1	0	0
	Agency Total	1	5	1	0	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Healthcare and Family Services (See also Public Aid)	Abuse	1	0	0	0	0
	Child Support	2	0	0	0	0
	Fraud	1	0	0	0	0
	Misconduct	8	3	0	1	1
	Personnel	1	0	0	0	0
	Other	1	0	0	0	0
	Agency Total	14	3	0	1	1
Historic Preservation Agency	Fraud	0	0	1	0	0
	Personnel	0	1	0	0	0
	Agency Total	0	1	1	0	0
Housing Development Authority	Misconduct	1	0	0	0	0
	Agency Total	1	0	0	0	0
Human Rights	Corruption	0	1	0	0	0
	Discrimination	0	1	0	0	0
	Failure to Follow Dept. Policy	1	1	0	0	0
	Misconduct	2	2	0	1	2
	None	0	1	0	0	0
	Other	0	2	0	0	0
	Retaliation	0	1	0	0	0
	Sexual Harassment	0	1	0	0	0
	Unethical Behavior/Practices	0	0	0	1	0
	Agency Total	3	10	0	2	2
Human Services	Abuse	11	0	1	1	1
	Abuse of Time	3	1	2	3	3
	Bid-rigging	0	0	0	0	1
	Bribery	0	0	0	1	0
	Conflict of Interest	0	0	0	1	2
	Discrimination	0	2	0	1	1
	Extortion	0	0	1	0	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
(Human Services cont.)	Failure to Follow Dept. Policy	2	1	0	0	0
	False Employment Application	0	0	0	1	1
	Fraud	11	1	4	7	4
	Ghost Payrolling	0	0	0	0	1
	Harassment	2	2	1	2	1
	Hiring Improprieties	0	2	0	0	0
	Improper Political Promotion	1	0	0	0	0
	Misappropriation or Misuse of Funds	3	1	2	0	0
	Misconduct	73	15	2	7	31
	Mismanagement	5	0	0	6	1
	Misuse of Property	1	0	1	0	1
	None	1	2	0	0	0
	Other	15	11	4	4	7
	Patronage	0	0	0	1	0
	Personnel	18	8	0	2	4
	Retaliation	0	1	0	0	1
	Sexual Harassment	0	0	0	1	0
	Theft	3	0	2	0	2
	Unethical Behavior/Practices	1	1	1	1	4
	Violence in the Workplace	0	0	0	1	0
	Waste	1	1	0	0	0
	Agency Total	151	49	21	41	66
Illinois State University	Unethical Behavior/Practices	0	0	0	0	1
	Agency Total	0	0	0	0	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Industrial Commission	Conflict of Interest	0	0	0	1	0
	Misconduct	0	1	1	0	0
	Agency Total	0	1	1	1	0
Insurance (See also Financial and Professional Regulation)	Other	1	2	0	0	0
	Agency Total	1	2	0	0	0
Joint Committee on Administrative Rules	Failure to Follow Dept. Policy	1	0	0	0	0
	Other	0	1	0	0	0
	Agency Total	1	1	0	0	0
Judicial Inquiry Board	Misconduct	1	0	0	0	0
	Other	1	0	0	0	0
	Unethical Behavior/Practices	0	1	0	0	0
	Agency Total	2	1	0	0	0
Labor	Fraud	1	0	0	0	0
	Misconduct	1	0	0	0	0
	Unethical Behavior/Practices	0	0	1	0	0
	Agency Total	2	0	1	0	0
Labor Relations Board	Bribery	1	0	0	0	0
	Misconduct	0	0	0	0	1
	Agency Total	1	0	0	0	1
Law Enforcement Commission	Theft	0	0	0	0	1
	Unethical Behavior/Practices	0	0	0	1	0
	Agency Total	0	0	0	1	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Legislative Council	Abuse of Time	1	0	0	0	0
	Agency Total	1	0	0	0	0
Mental Health	Fraud	0	0	0	1	0
	Agency Total	0	0	0	1	0
Military Affairs	Discrimination	0	0	0	1	0
	Hiring Improprieties	1	0	0	0	0
	Misconduct	1	0	0	0	1
	Theft	0	0	0	0	1
	Unethical Behavior/Practices	0	0	0	1	0
	Agency Total	2	0	0	2	2
Natural Resources	Abuse of Time	0	0	1	0	0
	Bid-rigging	0	0	0	1	0
	Failure to Follow Dept. Policy	1	0	0	0	0
	Fraud	2	0	0	1	0
	Hiring Improprieties	0	1	0	0	0
	Misconduct	2	1	0	0	3
	Misuse of Property	1	0	0	0	0
	Other	0	0	0	1	0
	Retaliation	0	1	0	0	0
	Violence in the Workplace	1	0	0	0	0
	Waste	0	0	1	0	0
	Agency Total	7	3	2	3	3
Non-State Agency	Conflict of Interest	0	1	0	0	0
	Corruption	2	1	0	0	1
	Discrimination	1	0	0	0	0
	Fraud	4	4	0	0	3
	Harassment	1	1	0	0	0
	Misappropriation or Misuse of Funds	1	0	0	0	0
	Misconduct	8	15	0	0	3
	Mismanagement	2	0	0	0	0



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
(Non-State Agency cont.)	None	0	4	0	0	1
	Other	5	13	0	0	2
	Patronage	1	1	0	1	0
	Personnel	1	0	0	0	0
	Procurement Fraud	0	0	0	1	0
	Retaliation	0	0	0	0	1
	Theft	0	1	0	0	0
	Wrongfully Convicted	0	1	0	0	0
	Agency Total	26	42	0	2	11
None Given	Abuse of Time	0	1	0	0	0
	Conflict of Interest	0	1	0	0	0
	Corruption	0	1	0	0	0
	Discrimination	0	1	0	0	0
	Fraud	3	0	0	0	0
	None	0	1	0	0	0
	Theft	0	1	0	0	0
	Agency Total	3	6	0	0	0
Northeastern Illinois University	OSHA	0	0	0	1	0
	Other	0	0	0	0	1
	Waste	1	0	0	0	0
	Agency Total	1	0	0	1	1
Northern Illinois University	Abuse	0	0	0	0	1
	Misconduct	0	1	0	0	0
	Personnel	0	0	0	1	0
	Agency Total	0	1	0	1	1
Office of Internal Audit	Misuse of Property	0	0	1	0	0
	Agency Total	0	0	1	0	0
Other	Abuse	1	0	0	0	0
	Fraud	0	0	0	0	1
	Harassment	0	0	0	0	1
	Misconduct	0	2	0	0	0
	Agency Total	1	2	0	0	2



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Property Tax Appeal Board	None	0	1	0	0	0
	Agency Total	0	1	0	0	0
Public Aid (See also Healthcare and Family Services)	Child Support	1	0	0	0	0
	Conflict of Interest	0	0	0	1	0
	Failure to Follow Dept. Policy	0	0	0	2	0
	Fraud	3	0	0	3	1
	Harassment	1	0	0	0	1
	Misconduct	6	1	0	2	5
	Mismanagement	1	0	0	0	0
	Other	2	2	0	2	0
	Personnel	2	0	0	0	0
	Waste	0	0	0	0	1
	Agency Total	16	3	0	10	8
Public Health	Abuse	1	1	0	0	0
	Abuse of Time	0	1	0	0	0
	Conflict of Interest	1	0	0	0	0
	Fraud	0	1	1	0	0
	Hiring Improprieties	0	1	0	0	0
	Misconduct	2	0	0	2	1
	Other	1	0	0	1	0
	Personnel	0	0	0	1	0
	Agency Total	5	4	1	4	1
Racing Board	Failure to Follow Dept Policy	0	0	0	1	0
	Fraud	0	0	0	1	0
	Agency Total	0	0	0	2	0
Rehabilitation Services	Other	0	0	0	0	1
	Sexual Harassment	0	0	0	0	1
	Unethical Behavior/Practices	0	0	0	1	0
	Agency Total	0	0	0	1	2



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Revenue	Abuse of Time	1	0	0	0	0
	Fraud	1	1	0	1	0
	Harassment	1	0	0	0	0
	Hiring Improprieties	0	0	0	1	0
	Misconduct	4	1	3	2	1
	Mismanagement	1	0	0	0	0
	Other	0	0	0	3	2
	Agency Total	8	2	3	7	3
Secretary of State	Abuse	1	0	0	0	0
	Misconduct	3	0	0	0	0
	Other	2	1	0	0	0
	Agency Total	6	1	0	0	0
Senate	Misappropriation or Misuse of Funds	1	0	0	0	0
	Agency Total	1	0	0	0	0
Southern Illinois University Carbondale	Misconduct	0	0	1	0	0
	Agency Total	0	0	1	0	0
Southern Illinois University Edwardsville	Fraud	0	0	0	1	0
	Procurement Fraud	0	0	0	1	0
	Unethical Behavior/Practices	0	1	0	0	0
	Agency Total	0	1	0	2	0
State Police	Abuse of Time	0	1	0	1	0
	Discrimination	1	0	0	0	0
	Failure to Follow Dept. Policy	1	0	0	0	0
	Fraud	1	0	1	0	0
	Harassment	0	1	0	0	0
	Misconduct	8	1	0	0	2
	Procurement Fraud	0	0	0	1	0
	Agency Total	11	2	1	2	2



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for the Agencies of the Illinois Governor

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Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
(State Police cont.)	Retaliation	0	1	0	0	1
	Agency Total	11	4	1	2	3
State's Attorney's Appellate Prosecutor	Other	0	1	0	0	0
	Agency Total	0	1	0	0	0
Student Assistance Commission	Misconduct	0	0	0	0	1
	Other	1	0	0	0	0
	Agency Total	1	0	0	0	1
Technology Development Alliance	Discrimination	0	1	0	0	0
	Agency Total	0	1	0	0	0
Toll Highway Authority	Discrimination	1	0	0	0	0
	Failure to Follow Dept. Policy	0	0	0	1	0
	Fraud	1	0	0	0	0
	Misconduct	1	0	0	1	0
	Mismanagement	1	0	0	1	0
	Other	1	0	0	1	0
	Patronage	1	0	0	0	0
	Personnel	1	0	0	0	0
	Agency Total	7	0	0	4	0
Transportation	Abuse	1	1	0	0	0
	Abuse of Time	2	0	1	0	0
	Conflict of Interest	0	0	1	0	1
	Corruption	0	0	0	0	1
	Discrimination	0	2	0	0	0
	Fraud	8	0	0	1	1
	Ghost Payrolling	0	0	1	0	0
	Harassment	0	0	0	1	0
	Hiring Improprieties	0	0	0	0	1
	Misappropriation or Misuse of Funds	1	0	0	0	0
	Misconduct	7	4	1	1	3



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
(Transportation cont.)	Misuse of property	3	0	0	0	1
	Other	1	0	1	1	1
	Personnel	1	0	0	1	1
	Political Work on State Time	0	0	0	0	2
	Procurement Fraud	0	0	0	1	0
	Retaliation	1	0	0	0	0
	Sexual Harassment	0	0	0	1	0
	Theft	3	0	0	3	0
	Unethical Behavior/Practices	0	0	0	1	0
	Violence in the Workplace	0	0	0	0	1
	Wrongful Termination	0	0	0	1	0
	Agency Total	28	7	5	12	13
Universities Retirement System	Misconduct	0	1	0	0	0
	Agency Total	0	1	0	0	0
University of Illinois	Conflict of Interest	1	0	0	1	0
	Corruption	0	1	0	0	0
	Failure to Follow Dept. Policy	0	0	0	1	0
	Fraud	0	1	0	1	1
	Ghost Payrolling	0	0	1	0	0
	Misconduct	2	5	0	0	2
	Other	1	1	0	0	0
	Political Work on State Time	1	0	0	0	0
	Retaliation	2	0	0	0	0
	Sexual Harassment	0	0	0	0	1
	Agency Total	7	8	1	3	4



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
University of Illinois at Chicago	Fraud	1	0	0	0	0
	Harassment	0	0	1	1	0
	Misconduct	0	1	0	0	0
	Other	0	2	0	0	0
	Unethical Behavior/Practices	0	0	0	1	0
	Unknown					
	Agency Total	1	3	1	2	0
U.S. Social Security Administration	Other	0	1	0	0	0
	Agency Total	0	1	0	0	0
Vandalia Correctional Center	Theft	1	0	0	0	0
	Agency Total	1	0	0	0	0
Vendor	Harassment	1	0	0	0	0
	Misconduct	1	0	0	0	0
	Other	1	2	0	0	0
	Agency Total	3	2	0	0	0
Veterans Affairs	Abuse	0	0	0	0	1
	Conflict of Interest	0	0	1	0	0
	Fraud	1	0	0	0	0
	Harassment	1	0	0	0	0
	Hiring Improprieties	1	0	0	0	0
	Misappropriation or Misuse of Funds	1	0	0	0	0
	Misconduct	1	0	0	0	2
	Mismanagement	1	1	0	0	0
	None	1	0	0	0	0
	Other	1	1	0	0	0
	Patronage	1	0	0	0	0
	Personnel	1	0	0	0	0
	Unethical Behavior/Practices	0	0	0	0	2
	Agency Total	10	2	1	0	5



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	Category of Misconduct	# Complaints Referred ¹	# Complaints Declined ¹	# Complaints Founded ²	# Complaints Unfounded ²	# Other ³
Western Illinois University	Misconduct	1	0	0	0	0
	Failure to Follow Dept. Policy	1	0	0	0	0
	Other	0	0	0	0	1
	Agency Total	2	0	0	0	1
Workers Compensation Commission	Personnel	1	0	0	0	0
	Agency Total	1	0	0	0	0
Zion Police Department	Misconduct	0	1	0	0	0
	Agency Total	0	1	0	0	0
Grand Total		510	234	64	172	189

Note: No. of Complaints Referred/ Declined cannot be added to Complaints Founded/Unfounded to determine total OEIG case activity or the number of complaints received in FY 06. See Appendix C. Referred and Declined cases are all FY 06 complaints. Founded and Unfounded cases are from complaints that span past fiscal years. Full comparative statistics from FY 05 are not provided in this Annual Report due to the OEIG's extensive conversion to a new database in the first quarter of FY 06.

¹ Of complaints received July 1, 2005 through June 30, 2006. Complaints that involve managerial issues, and some anonymous complaints, are generally referred back to agency administration. Declined complaints may be anonymous, or those which fail to allege misconduct by a state entity, employee or vendor under OEIG jurisdiction.

² Of complaints received during any prior fiscal year.

³ "Other" reflects cases closed for administrative reasons, such as: Statute of Limitations, duplicate complaint, employee already disciplined, relief already granted by agency, allegation investigated by other entity and agency report accepted, civil or grievance action pending, etc. Some cases were opened briefly for preliminary investigation before closure, other cases were closed for administrative reasons upon receipt of complaint.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

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APPENDIX E

James A. Wright, Executive Inspector General

On July 1, 2005, James A. Wright was appointed Executive Inspector General for the Agencies of the Governor. Mr. Wright's credentials include 24 years of public and private sector legal and professional experience. He has served as a Corporate Practices Attorney for the Office of the Comptroller of the Currency; Trial Attorney for the U.S. Department of Justice, Tax Division; Assistant U.S. Attorney in the U.S. Attorney's Office for the Northern District of Illinois; Manager of Commercial Litigation for the Law Department of the Chicago Board of Education; Chief of Staff to the Chicago Board of Education; Of Counsel in the Government Division of the Law Offices of Altheimer & Gray, practicing in the areas of municipal law, administrative law, government relations, contracts, minority/women business enterprise certification, and commercial litigation; and Inspector General for the Illinois State Toll Highway Authority. He possesses law licenses in Illinois, California, and Washington D.C., and is licensed to practice before the U.S. Supreme Court, 7th Circuit Court of Appeals, and the United States District Court of Illinois. In addition to being a licensed attorney, Mr. Wright is a Certified Public Accountant with five years experience with a public accounting firm. He possesses a Master Degree in Business Administration from the Northwestern University Kellogg Graduate School of Management, and is certified as an Inspector General by the Association of Inspectors General.

Sydney R. Roberts, First Deputy Inspector General/Chief Operating Officer

Ms. Roberts works closely with the Executive Inspector General on policy, operations, and investigations. Prior to joining the OEIG, Ms. Roberts worked with the Illinois Department of Human Services Office of Inspector General since December 2000, serving initially as the Deputy Inspector General until she was appointed the DHS' Inspector General in 2003. Ms. Roberts previously worked as a Lieutenant with the Essex County Prosecutor's Office in Newark, New Jersey, where she spent the majority of her tenure in internal affairs investigating police corruption, conducting background investigations, and administering polygraph examinations. Ms. Roberts is a former Police Commander of the Maywood Police Department. Her credentials include: B.S. Degree in Criminal Justice - University of Delaware; Juris Doctor Degree - Rutgers School of Law; Masters in Criminology and Criminal Justice - Oxford University, Oxford, England; and Graduate of the F.B.I. National Academy. Ms. Roberts is also certified as an Inspector General by the Association of Inspectors General.

Sean Ginty, General Counsel

Mr. Ginty received his Bachelor of Science degree in Journalism from the University of Illinois/Urbana and his Juris Doctor degree from Chicago-Kent College of Law. He comes to the OEIG with a wealth of experience in ethics, compliance and investigation. Mr. Ginty began his legal career as an attorney with the Attorney Registration and Disciplinary Commission ("ARDC") where he reviewed and investigated allegations of attorney misconduct. Subsequently, he joined the American Bar Association as an ethics research attorney. Most recently, Mr. Ginty was a conflicts attorney for the firm of Winston & Strawn, responsible for conducting conflicts of interest reviews, providing ethics training, and responding to auditors' information requests. His publications and presentations include: "A Split on Inadvertent Disclosure," ABA Journal eReport, Oct. 25, 2002; Speaker, ISBA Seminar on Avoiding Malpractice in Setting Up a Business Entity, April 2004; and Panelist, "Hot Tips in Disciplinary Investigations" panel at National Organization of Bar Counsel, February 1999.



OFFICE OF EXECUTIVE INSPECTOR GENERAL for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Deborah Ellis, Deputy Inspector General

Ms. Ellis is a former State's Attorney and Assistant State's Attorney in Ogle County, Illinois. She worked with various law enforcement agencies in the investigation and prosecution of felony, misdemeanor, traffic and juvenile cases. Ms. Ellis also represented the County and its elected and appointed officials in administrative, civil, and regulatory matters. She graduated Magna Cum Laude from the Northern Illinois University College of Law in DeKalb in 1997. Previously, Ms. Ellis received a B.A. degree in Communications from Sangamon State University (now the University of Illinois-Springfield) and worked as a broadcast journalist covering government, politics, education, crime, and the judicial system for many years in Illinois, Tennessee, and Florida. She is a native of Champaign, Illinois.

Kathryn Nelson, Deputy Inspector General

Ms. Nelson is a graduate of the University of Illinois/Urbana. She earned a Juris Doctor degree, with honors, from DePaul University in 1984. Ms. Nelson began her legal career as an Assistant Corporation Counsel for the City of Chicago, where until 1996 she represented the City and its employees in complex state and federal litigation, as well as administrative agency actions. She later served as Director of Labor Relations and First Deputy General Counsel for the Chicago Public Schools. For the final six and a half years of her career in City government, Ms. Nelson was a Deputy Commissioner for policy and legal affairs with the Chicago Fire Department. Following her retirement from city government in 2003, she became of Counsel to the law firm of Jaffe & Berlin, L.L.C., where she has continued to practice law in the areas of labor, employment, civil rights and personal injury litigation. She also is adjunct faculty at the Graham School of Management of Saint Xavier University where she teaches courses in business law and management.

Gilbert R. Jimenez, Deputy Inspector General

Mr. Jimenez joined the OEIG after serving for more than four years as Special Projects Manager/Case Manager for the Chicago Board of Education Office of the Inspector General, where he conducted investigations of employee misconduct, and of waste, fraud, and mismanagement in the Chicago Public Schools Capital, Facilities Management, Purchasing and Minority/Woman Owned Business programs. Mr. Jimenez brings to the OEIG an investigative skill set that includes legal analysis; case management; financial crime investigation; analysis of contracts, invoices, specifications and other documents; project design and management; data analysis; interviewing; internal controls analysis, and report writing and presentation. For 24 years before joining the Board of Education, Mr. Jimenez was an award-winning news and investigative reporter and editor with the Chicago Sun-Times, where a number of his investigations resulted in the resignations of public officials following disclosure of their illegal or unethical conduct. Mr. Jimenez, a licensed Illinois attorney, was engaged in the private practice of law for eight years. As adjunct faculty, he taught Urban Affairs Reporting at Northwestern University Medill Graduate School of Journalism and Media Law/Ethics at Columbia College Chicago. He is a 1988 graduate of the John Marshall Law School. Mr. Jimenez is a Director of the Association of Inspectors General, Illinois Chapter.

William Maloney, Director of Investigations

Mr. Maloney manages the investigative section of the OEIG. Prior to operating as Director of Investigations, Mr. Maloney was a Supervisor and Special Agent with the U.S. Department of Treasury, Internal Revenue Service, Criminal Investigation Division, where he worked for approximately 30 years. As an IRS supervisor and special agent, Mr. Maloney participated in the investigation and prosecution of cases that included criminal tax violations and allegations of money laundering, fraud, asset forfeiture, public corruption and narcotics trafficking.



OFFICE OF EXECUTIVE INSPECTOR GENERAL for the Agencies of the Illinois Governor

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Patrick T. Pender, Deputy Director of Investigations

Mr. Pender works as a senior supervisor in the investigation section of the OEIG. Prior to joining this office Mr. Pender was a Deputy Chief of Police with the Village of Mundelein, Illinois - Department of Police where he served for more than 25 years. As a command officer, Mr. Pender supervised the police department's Operations Division and Support Services Division. Mr. Pender is a graduate of the FBI National Academy (174th Session) and Northwestern University Traffic Institute - Executive Management Program.

David E. Keahl, Director of Ethics Training and Compliance

Mr. Keahl is responsible for the development and implementation of ethics training and compliance programs for employees and appointees of state agencies, state public universities and state boards and commissions under the authority of the OEIG, as required by the State Officials and Employees Ethics Act. Prior to joining the OEIG, Mr. Keahl worked in the telecommunications industry for 27 years. During that time, Mr. Keahl directed activities related to corporate planning, accounting, finance, regulatory affairs, engineering and human resources. Mr. Keahl is a graduate of the University of Michigan.

Stan J. Ryniewski, Chief Financial Officer

Mr. Ryniewski joined the Office of Executive Inspector General after performing as the Fiscal Operations Manager of the Illinois State Toll Highway Authority. Prior to joining the Tollway, Mr. Ryniewski worked at the City of Chicago for eleven years. The last five years of his city tenure were focused on public safety while at the Office of Emergency Management & Communications, where he held the positions of Deputy Director of Finance and Managing Deputy Director of Administration. Mr. Ryniewski's background also includes financial positions in the private sector as a controller, cost accountant supervisor and internal auditor. Mr. Ryniewski graduated from Aquinas College with a B.S.B.A. and he is a CPA.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

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LINKS

State Officials and Employees Ethics Act (5 ILCS 430, *et seq.*)

<http://tinyurl.com/s384a>

Executive Order No.3 - Creating the Office of Inspector General and an Ethics Hotline

<http://www.illinois.gov/gov/execorder.cfm?eorder=3>

Executive Order No. 4 - Banning Retaliation against Whistle Blowers

<http://www.illinois.gov/gov/execorder.cfm?eorder=4>

Executive Order No. 5 - Mandating Ethics Training for all State Employees

<http://www.illinois.gov/gov/execorder.cfm?eorder=5>

Administrative Order No. 6 - Creating Procedures for Investigating and Reporting Misconduct

<http://inspectorgeneral.il.gov/administrativeorder.htm>

Quarterly Reports from all Ethics Act OEIGs

<http://www.eec.illinois.gov/qreport.htm>

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