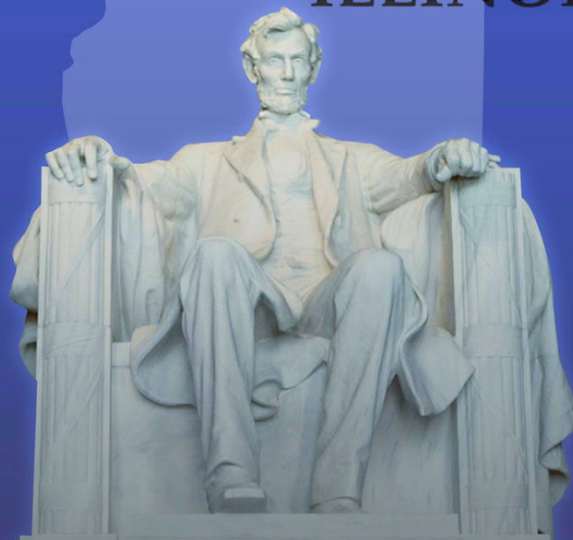


Office of Executive Inspector General for the Agencies of the Illinois Governor

E t h i c s | I n t e g r i t y | I l l i n o i s

ANNUAL REPORT | FISCAL YEAR 2007

**ETHICS
INTEGRITY
ILLINOIS**



Report Waste, Fraud, Abuse

Office of Inspector General Confidential

Toll Free (866) 814-1113

inspectorgeneral.il.gov



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 2007 OEIG ANNUAL REPORT TABLE OF CONTENTS

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

Welcome.....	1
Preface	2
The OEIG Mission	4
Background	5
Case Activity Overview	6
Budget at a Glance (Chart)	9
Operation of the Office	10
Complaint Flow Chart.....	12
Types of Allegations.....	13
Types of Recommended Discipline.....	14
Statistical Summary	
Founded Complaints, by Agency	15
Misconduct Most Frequently Reported (Chart)	19
Initiatives Achieved in Fiscal Year 2007	20
Initiatives for Fiscal Year 2008	24
Ethics Training Program	25
Fiscal Year 2007 Legislative Report	29
An Introduction to the Statistical Appendices	32
Appendix A – Total Allegations, by Type of Misconduct Alleged.....	33
Appendix B – Founded Complaints, by Type of Misconduct	35
Appendix C – Agency List of Complaints Received	36
Appendix D - Highest Founded Complaint Totals - By Agency	41
Appendix E – Staff	42
Links.....	45

A PDF copy of this report can be downloaded from: <http://inspectorgeneral.il.gov/>.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

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

Established in 2003, the OEIG is an independent, non-partisan State agency dedicated to ensuring accountability in the operation of State government. OEIG authority and jurisdiction are set forth by Administrative Order Number 3 (December 2003) and by Article 20 of the Illinois State Officials and Employees Ethics Act (5 ILCS 430/20). Together, they set out the OEIG’s mission: 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. In addition to its investigative function, the OEIG is responsible for promoting and coordinating the State’s ethics initiatives for agencies under its jurisdiction.



Our success depends upon the resolve of each State employee, and every individual doing business with the State, to conduct their activities ethically, with honesty and with integrity. Public confidence in the operation of state government requires that instances of misconduct and impropriety be reported promptly to the OEIG. The number of complaints received annually since this agency’s founding demonstrates that the majority of people working in and with state government conduct themselves in accordance with these values. As with most organizations, there exists a minority of State employees and those doing business with them, who feel entitled to unearned and undeserved compensation and benefits. Although some individuals will resist any reform effort to hold them accountable for their actions, together – the OEIG and you – absolutely can achieve a level of comprehensive ethical reform that cannot be subverted and will serve as a model to other organizations and municipalities.

Notwithstanding the severe statutory restrictions against publicly reporting our findings, this annual report is offered in the spirit of accountability to remind you who we are, what we have done, and how you should contact us. Though news accounts may challenge one’s belief that ethical government reform is achievable in Illinois, I ask that you do not succumb to this cynicism. You have my enduring solemn promise that the OEIG will perform its duties diligently and fairly, and without bias or influence from any source whatsoever. With your continued vigilance and assistance we can and will establish and maintain integrity and accountability in the operation of State government.

James A. Wright, Esq.
Executive Inspector General



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

PREFACE

This Annual Report for Fiscal Year 2007 reflects the activities conducted by the Office of Executive Inspector General for the Agencies of the Illinois Governor (“OEIG”), between July 1, 2006 and June 30, 2007.

It has been said that the most valuable asset held by State government is also its least tangible: The Public Trust. Where it exists, those who govern do so most effectively and their service is accepted by the people of Illinois as being in their best interests. But once eroded, there is no greater cause for distrust, suspicion and dissatisfaction.

The dual missions of the OEIG are to restore public confidence in the integrity of state government through the diligent, unbiased and responsible investigation of misconduct, and to promote an ethical framework for the conduct of State business. Achieving the investigatory goal is much simpler than rebuilding the public’s faith. The citizens of Illinois, and in particular the employees of State government, deserve much credit for the success of OEIG efforts to date. The number of complaints received in FY 07, 1,270, has remained at a high level for several successive years. Moreover, the number of investigations completed and the number of complaints found to be substantiated rose dramatically in FY 07 with respective rates of increase at nearly 9 percent and 31 percent, compared to the prior fiscal year.

The Executive Inspector General (“EIG”) continues to believe that full realization of the OEIG’s public confidence goal is impeded by our inability to disclose publicly the results of founded investigations due to restrictions imposed by State law. 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.

Therefore, in lieu of the level of full disclosure that would be preferred by the OEIG, this annual report offers a statistical view of the types and quantities of misconduct complaints made against State agencies, officials and employees, and those doing business with the State, as well as of those complaints that have been substantiated through rigorous professional investigation.



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

www.inspectorgeneral.illinois.gov

It is important to view the number of complaints made to the OEIG in its proper perspective. Consider that despite the very large number of State business and personnel transactions occurring during Fiscal Year 2007, only 1,270 complaints were made to the OEIG. The Executive Inspector General encourages the public to view this as indicative of the fact that the vast majority of the individuals who work for and with the State of Illinois do so with integrity, honesty, and a true appreciation of their responsibility to the people of Illinois.

This report also serves as evidence of the diligence and professionalism of this independent Office in investigating allegations of misconduct wherever they lead.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

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, the state public universities, and certain 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 1-888-261-2734.)

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, perform forensic examinations of computers and electronic files, and utilize a variety of other sophisticated investigatory tools and techniques.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

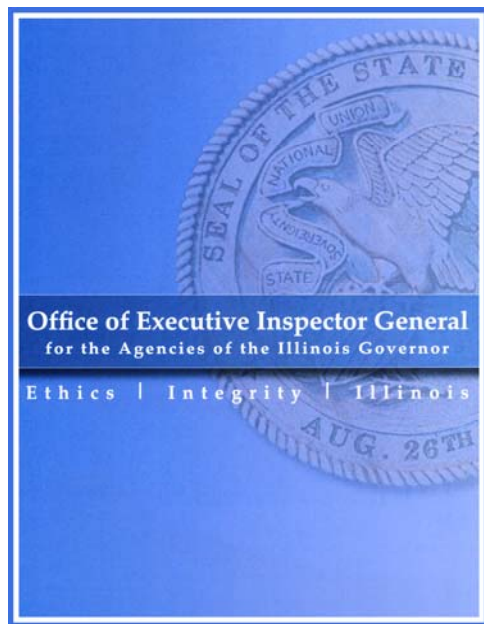
for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

BACKGROUND

The Office of Executive Inspector General (“OEIG”) was established by Administrative 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 became empowered statutorily 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. A statutory OEIG also was created 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.



In March 2003, the development of the OEIG began with a handful of employees. In the ensuing months the number of staff increased, as did the number of investigations. Since opening its doors in May 2003, the OEIG has received approximately 5,100 complaints and has conducted about 1,600 investigations. Currently, the agency has a workforce of more than 60 employees, including investigators, computer forensic examination experts, attorneys, paralegals, accountants, administrative professionals and support staff. The OEIG has offices located in Chicago and Springfield, and has conducted interviews and investigations in nearly every county in the State of Illinois.

The OEIG has jurisdiction to investigate waste, fraud, misconduct, mismanagement, misfeasance, nonfeasance, malfeasance, and Ethics Act violations by the Governor, Lieutenant Governor, employees of approximately 40 state agencies, the state public universities, eight community college districts, and approximately 300 boards and commissions, plus the individuals conducting business with those entities. 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 07 more than 200,000 participants took part in ethics training programs offered under OEIG oversight.

The current Executive Inspector General is James A. Wright.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 2007 ACTIVITY OVERVIEW

This report examines OEIG activity in cases that fall into one of two statistical categories:

- 1) Complaints received in Fiscal Year 2007, and
- 2) Cases opened in a prior fiscal year that continued into FY 2007.

Complaints Received in FY 07

From July 1, 2006, through June 30, 2007, the OEIG received 1,270 complaints comprised of 1,615 allegations. Each allegation was reviewed to determine whether the complaint met OEIG criteria for investigation: jurisdiction over the subject and subject matter; identifiable complainant; sufficient information to investigate; appropriateness; and a reasonably credible assertion.

During FY 2007, the OEIG worked on 522 investigations and concluded 461 cases. Of the 1,270 complaints, approximately 173 were closed for administrative reasons after 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. Investigation was declined on approximately 269 complaints for reasons that included anonymous complaints, duplicate cases, or allegations that failed to name an entity or subject under OEIG jurisdiction. Approximately 500 complaints were referred, without OEIG investigation, to an appropriate entity such as another Executive Inspector General or to another state governmental unit for its own action. Complaints involving criminal conduct were forwarded to criminal prosecutors or other law enforcement agency.

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 policy 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, Illinois statute precludes the OEIG from investigating anonymous allegations or, absent special circumstances, 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.



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

www.inspectorgeneral.illinois.gov

Cases Opened in Any Fiscal Year, but Closed in FY 07

Overall, findings were issued in 293 investigations during FY 07. This included investigation of complaints received during FY 07, as well as some continuing investigations commenced in a prior fiscal year. Of these 293 cases, 84 complaints were substantiated and 209 were determined to be unfounded. In each founded case, a final summary report was issued to the agency involved, to the ultimate jurisdictional authority, and in some cases to outside authorities. In founded cases, the OEIG report included directives for discipline, agency rule/policy creation or modification, or for other corrective actions.

In FY 06, as a result of OEIG recommendations at least 13 State employees either were discharged, or they resigned. For FY 07, OEIG investigations resulted in:

- ✓ 15 Employees discharged.
- ✓ 5 Employees resigned in lieu of discharge.
- ✓ 16 Employees suspended.
- ✓ 5 Employees ordered to make restitution.
- ✓ 19 Employees reprimanded.
- ✓ 21 Changes in agency policy and/or training.

The OEIG, of its own initiative, referred more than 20 cases to outside law enforcement agencies for possible criminal investigations. The list of agencies includes: Federal Bureau of Investigation, Illinois Attorney General; Illinois State Police Division of Internal Investigation; Illinois State Police; Cook County State's Attorney; DuPage County State's Attorney; US Immigration and Customs Enforcement; US Marshal; and the Northern, Central, and Southern Division Offices of the US Attorney. Additional cases were referred to the Offices of Inspectors General for the US Postal Service, US Department of Human Services, US Department of Labor, Illinois Auditor General, and to the OEIGs for other State Constitutional Officers.

Notwithstanding the OEIG investigation of numerous allegations of Ethics Act violations (5 ILCS 420; 5 ILCS 430), in FY 2007 the EIG filed five Ethics Act cases with the Illinois Attorney General's Office, which approved the filing of one ethics complaint with the Executive Ethics Commission ("EEC"). As of February 4, 2008, one EEC hearing had been conducted.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

<u>OEIG Activity Report:</u> <u>FY 2005 - FY 2007</u>			
	FY '05	FY '06	FY '07
Complaints	1134	1278	1270
Allegations *	— —	— —	1615
Investigations completed: **	406	424	461
Founded	107	64	84
Unfounded	98	172	209
OEIG Hotline - Calls Received (Completed) ***	3165	2920	2635

* Separate allegations were not counted in prior years.

** Includes partial investigations conducted prior to referral or other disposition.

*** The number of filed complaints is less than the number of Hotline calls because many callers make general inquiries or only seek agency referral and contact information.



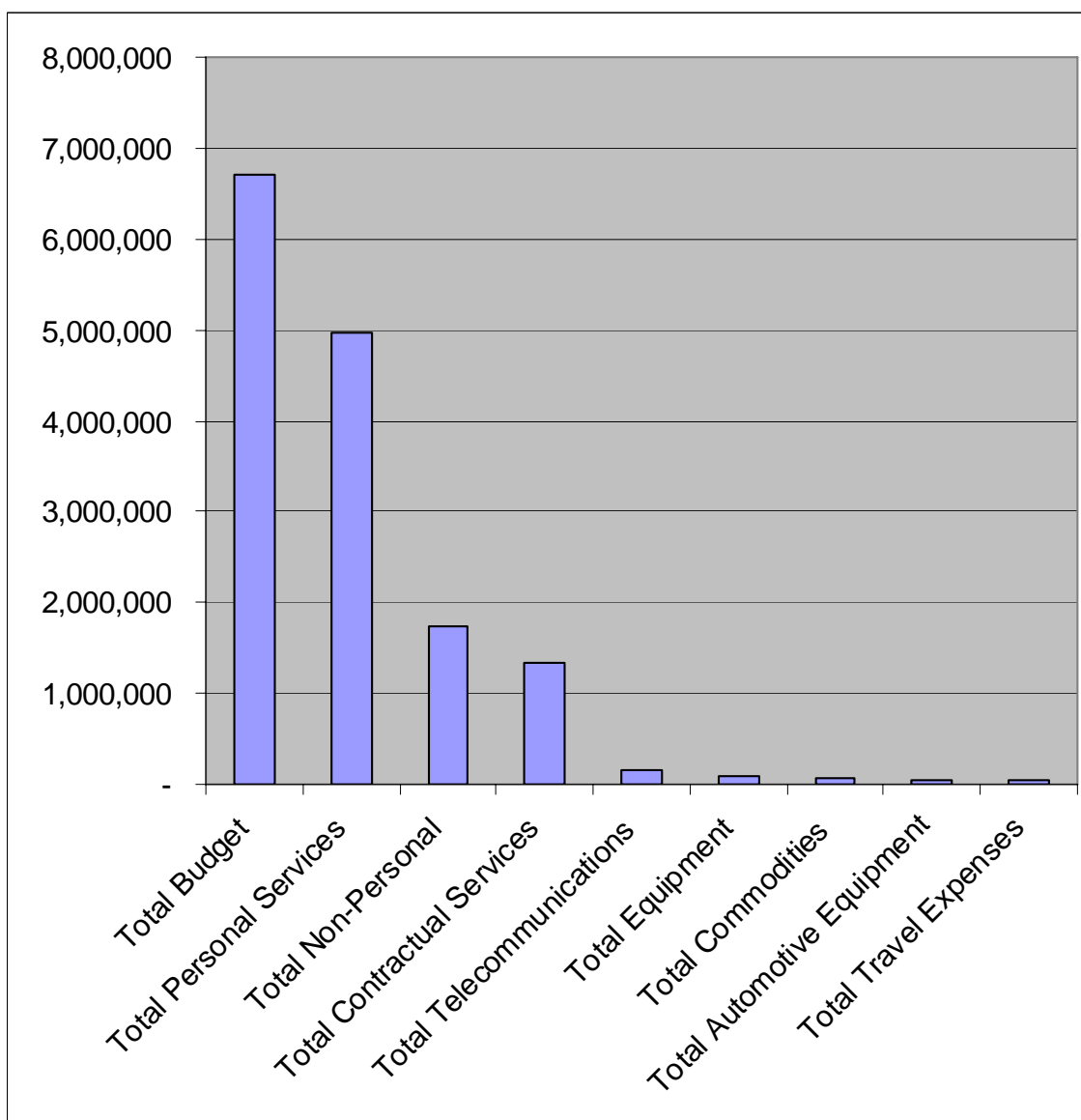
OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 2007

Total Budget \$6.7 Million





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

OEIG OPERATIONS

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

Investigation Unit

The DOI scrutinizes the complaint for criteria suggesting imminent risk to life or state property; abuse of minors or the elderly; and for issues regarding jurisdiction, timeliness, credibility, duplication, pending legal action, criminal conduct and other criteria. These considerations help determine whether to open a case, refer it to an appropriate governmental agency or law enforcement office, or decline to investigate the allegation. Only one approval is necessary to open an investigation, but any other disposition requires the unanimous agreement of the DOI and the First Deputy Inspector General.



Under the State Officials and Employees Ethics Act 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. For example, pursuant to Illinois statute the OEIG may not initiate complaints or investigations on its own, nor may it investigate anonymous complaints.

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 alleged misconduct. Complaints that do not meet these criteria are often referred for internal investigation by the state agency that employs or is doing business with the subject. At times, such allegations are referred directly to federal, state or local prosecutors and law enforcement agencies.



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

www.inspectorgeneral.illinois.gov

Once an investigation is initiated, the DOI assigns the case to an investigation supervisor in Chicago or Springfield. At the same time, a Deputy Inspector General in the Legal Unit assigns an Assistant Inspector General to the case. The investigative process requires interviews and the acquisition of documents or other evidence and 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 cooperate fully with an OEIG investigation. Those doing business with these entities also must cooperate in an investigation. 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 Deputy Inspectors General, Assistant Inspectors General, and paralegals may interact with investigators to assist in developing the case.

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

Legal Unit

Completed investigations are assigned by a Deputy Inspector General to an 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 ask 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 the 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 to the State agency at that stage. The deputies then prepare a draft Final Report that is sent to the First Deputy Inspector General and Executive Inspector General for final review and official closure.

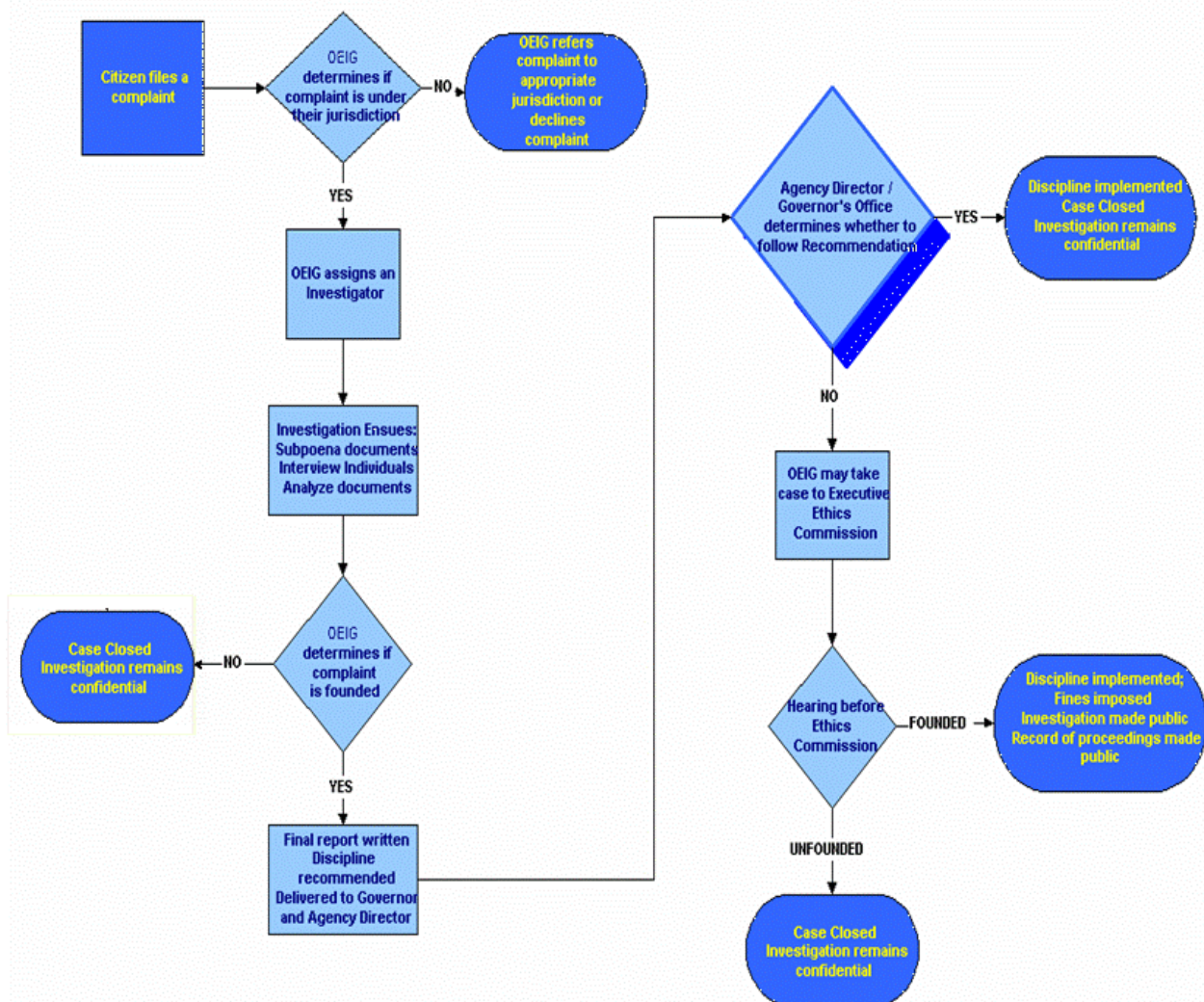


OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

What Happens to a Complaint?





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

TYPES OF ALLEGATIONS [†]

The complaints submitted to the OEIG allege a wide range of wrongdoing. Many complaints allege more than one type of misconduct by an individual or entity. Some of the most prevalent types of allegations can be assigned to 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, Prohibited Political Activity, 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 disclose the identity of a complainant, or to release any investigative file or report. 5 ILCS 20-90, 20-95(b), 20-95(d).



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

TYPES OF RECOMMENDED DISCIPLINARY ACTION [†]

In most of the 84 founded complaints for Fiscal Year 2007, the OEIG recommended disciplinary action. These actions can be organized in six broad categories:

Discharge: Based upon the evidence, the OEIG may 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: Recommend disciplinary actions ranging from retraining, reprimand or suspension, to demotion or discharge.

Policy Changes: Recommend that the agency create or strengthen 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 its 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: Recommend 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 State employee being investigated by the OEIG may have resigned his or her position of employment during the investigation.

In FY 2007, the EIG filed five Ethics Act cases with the Illinois Attorney General’s Office, which approved the filing of one ethics complaint with the Executive Ethics Commission (“EEC”). As of February 4, 2008, one EEC hearing had been conducted.

[†] 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.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 2007

FOUNDED COMPLAINTS (BY AGENCY) ^{1 †}

Agency	FY 06 Complaints Founded	FY 07 Complaints Founded
Aging	0	0
Agriculture	1	1
Banks and Real Estate (See also Financial and Professional Regulation)	1	0
Board of Education	1	1
Capital Development Board	1	0
Central Management Services	6	6
Chicago State University	0	0
Children and Family Services	2	3
Commerce and Community Affairs	0	0
Commerce and Economic Opportunity	0	1
Commerce Commission	0	2
Corrections	3	2
Criminal Justice Information Authority	0	1
Eastern Illinois University	0	0
Emergency Management	0	0
Employees Retirement System	0	2
Employment Security	4	4
Environmental Protection Agency	0	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	FY 06 Complaints Founded	FY 07 Complaints Founded
Financial And Professional Regulation	0	5
Fire Marshall	1	1
Gaming Board	1	0
Governor's Office	0	2
Governor's Office of Management and Budget	1	0
Governors State University	0	0
Guardianship and Advocacy Commission	1	0
Healthcare and Family Services (See also Public Aid)	0	0
Historic Preservation Agency	1	0
Human Rights	0	0
Human Services	21	20
Illinois State University	0	0
Industrial Commission	1	0
Labor	1	1
Labor Relations Board	0	0
Law Enforcement Commission	0	0
Liquor Control Commission	0	1
Mental Health	0	0
Military Affairs	0	0
Natural Resources	2	4



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	FY 06 Complaints Founded	FY 07 Complaints Founded
Non-State Agency (e.g. city, county and federal government offices.)	0	1
Northeastern Illinois University	0	1
Northern Illinois University	0	1
Office of Internal Audit	1	0
Other	0	0
Public Aid (See also Healthcare and Family Services)	0	0
Public Health	1	1
Racing Board	0	0
Rehabilitation Services	0	0
Revenue	3	2
Revenue (Lottery)	0	1
Southern Illinois University - Carbondale	1	0
Southern Illinois University - Edwardsville	0	0
State Police	1	3 ‡
Student Assistance Commission	0	0
Toll Highway Authority	0	0
Transportation	5	10
Truman College	0	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

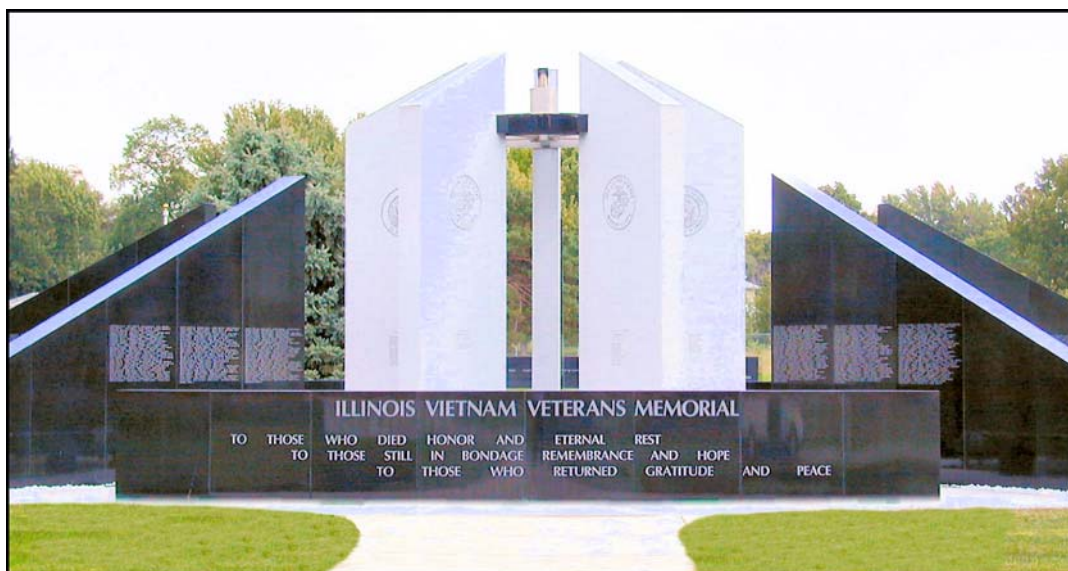
www.inspectorgeneral.illinois.gov

Agency	FY 06 Complaints Founded	FY 07 Complaints Founded
University of Illinois	1	2
University of Illinois at Chicago	0	0
Unknown	1	0
Veterans Affairs	1	3
Western Illinois University	0	0
Total	64	84

¹ Note that complaints made against an agency employee are shown under the agency's name but may not involve allegations against the agency itself.

[†] This table consolidates information relating to all OEIG investigations conducted during Fiscal Year 2007, regardless of the year in which the complaint was received.

[‡] One complaint attributed to State Police as Founded was, in fact, Unfounded, but because an OEIG Final Report was issued the OEIG counted the case as substantiated. Generally, OEIG Final Reports are issued only in Founded cases.





OFFICE OF EXECUTIVE INSPECTOR GENERAL

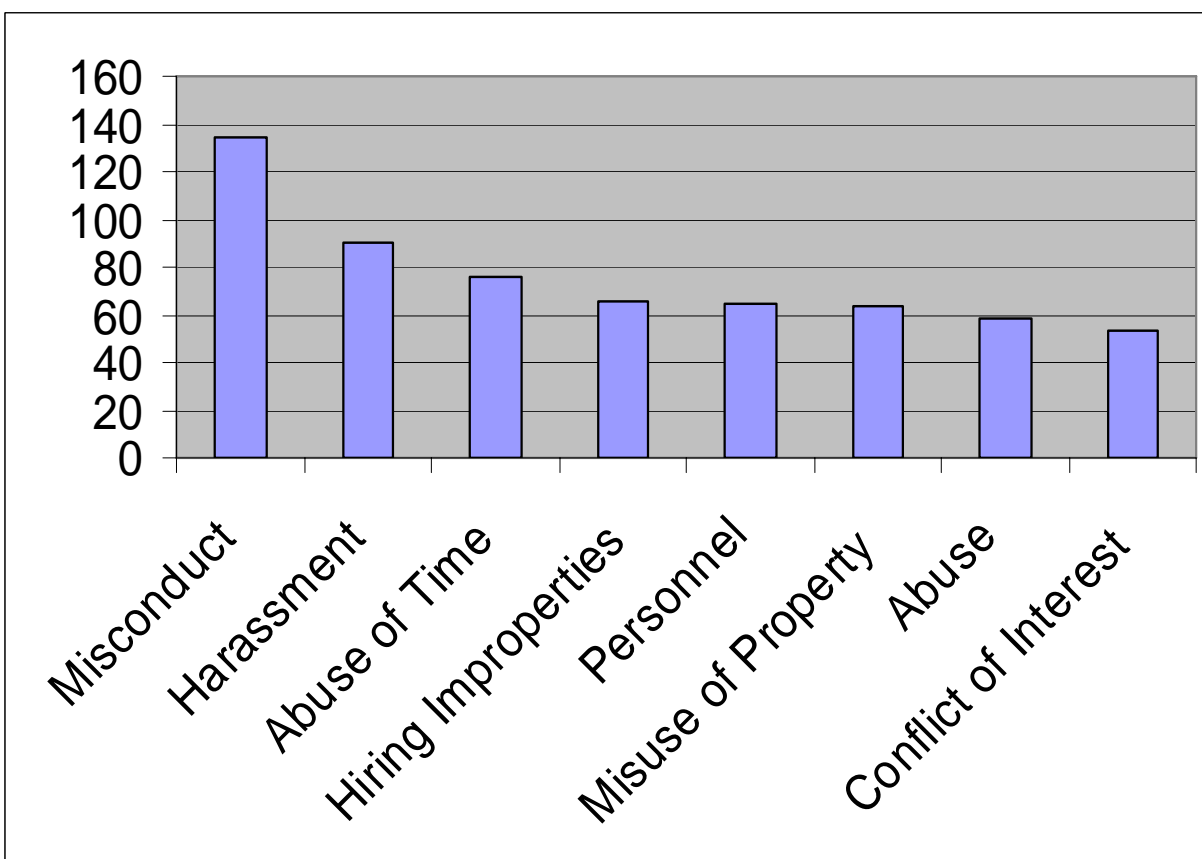
for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 2007

Ten Types of Misconduct Most Frequently Reported

Total Allegations





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 07

ACHIEVED INITIATIVES

Education and legislation were hallmarks of Fiscal Year 2007 OEIG activities to promote an ethical government culture on both the local and international levels.

Training

Crucial to the investigation of misconduct is a comprehensive understanding of investigative technology and techniques, and of the laws, rules, procedures, and policies that govern state business and the field of administrative investigation. OEIG attorneys, investigators and administrative staff attended the following types of training during FY 07:

- Advanced Interactive Overtime Compliance Workshop
- Advanced Interview Techniques
- Association of Inspectors General Spring 2007 Conference
- Case Documentation
- Collective Bargaining Agreements
- Communications
- Comprehensive Review of Forensic Interviewing, Interrogation, and Interpersonal Communications Methods
- Cyber-Investigation
- Embezzlement
- Encase Intermediate Analysis and Reporting
- Forensic Analysis of Cellular Phone Data
- Forensic Interview and Interrogation Techniques
- I-LOOK Automatic Forensic Application
- Information Technology and Remedy Database
- Public Corruption and Integrity Investigations Training
- Intangible Right of Honest Services
- Internal Investigations and Ethics Symposium
- Internal Review / Peer Review
- Investigating the George Ryan Case
- Investigative Background Research
- Investigative Techniques - Cooperating Witnesses
- John Reid Advanced Course on Interview and Interrogation
- Legal Issues and Mandatory Continuing Legal Education
 - ✓ Illinois' Legislative Process
 - ✓ Legal Ethics
 - ✓ Legal Negotiation
 - ✓ Privacy and Confidentiality
 - ✓ New Open Meetings Act Legislation
 - ✓ Retaliation: How to prove it. How to avoid it.
 - ✓ Subpoenas and Ethics Acts Violations



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

- Search and Seizure, Garrity and Administrative Rights
- OEIG Annual Ethics Training
- OEIG In-Service Training - Chicago
- Performance Measurement and Strategic Planning
- Practical Lie Detection
- Project Management
- Report Writing – Interview Techniques
- RUTAN Interview & Selection Certification
- Secure Techniques for Onsite Preview of Electronic Data
- Surveillance Techniques.

Seminars

Executive Inspector General James A. Wright believes it is essential that the OEIG and the community of state agencies engage in ongoing dialog to ensure mutual understanding of the goals of the State Officials and Employees Ethics Act and to reinforce our joint commitment to finding the most effective methods of achieving them. In Fiscal Year 2007, the OEIG continued to build upon existing relationships with other state agencies, to form new ones, and to assist the international community of Inspectors General by meeting to explain the operation of the office and discuss how each government department and employee can promote integrity and public confidence in the operation of state government. This outreach included sessions at which the OEIG and international, State legal, labor, and personnel representatives met to discuss procedural issues and challenges.

To that end, at the request of the US Department of State, Office of International Visitors, the OEIG participated in two of the agency's "International Visitor Leadership Programs" by hosting two international delegations from Pakistan and Vietnam to assist them in developing inspectors general offices within their countries. Representatives from each nation commented that ethics, accountability, and addressing government corruption were their country's main priority. The delegations were interested to know how the OEIG system was created, how it operates, and what hurdles/successes were experienced.





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

www.inspectorgeneral.illinois.gov



EIG James A. Wright also joined Governor's Chief of Staff John Harris, Acting Transportation Secretary Milton Sees, EEC Commissioner Scott Turow, and others in an "Ethics in the Workplace" seminar and roundtable discussion, hosted by the Illinois Department of Transportation. The panelists discussed actual workplace ethical decision making and the implementation of an ethical framework into their organizational structures. EIG Wright

also gave a presentation regarding "Garrity Considerations for OIG Investigations" at the Secretary of State Office of the Inspector General Winter Training Conference.

On the local level, the OEIG held informational meetings with numerous State agencies and universities to provide agency stakeholders and senior-level staff with a better understanding of the State Officials and Employees Ethics Act, Administrative Order 6, misconduct reporting requirements, the investigative process, OEIG recommendations for corrective action, and OEIG points of contact. Participating agencies included:

- Illinois Department of Aging
- Illinois Department of Agriculture
- Illinois Department of Central Management Services
- Illinois Department of Children and Family Services
- Illinois Department of Corrections
- Illinois Department of Employment Security
- Illinois Department of Environmental Protection
- Illinois Department of Healthcare and Family Services
- Illinois Department of Human Services
- Illinois Department of Labor
- Illinois Department of Public Health
- Illinois Department of Revenue
- Illinois Department of Veterans Affairs
- Illinois Emergency Management Agency
- Illinois Guardian and Advocacy Commission
- Illinois State Fire Marshall
- Illinois State Police
- Northeastern Illinois University
- Secretary of State Office of Executive Inspector General
- University of Illinois – Springfield.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Legislation

Several bills proposed in the State Legislature during FY 07 would have amended the Ethics Act in some way. One measure that would have excluded community college districts from the Ethics Act definition of State Agency was passed but was vetoed by the Governor. The remaining bills did not pass both the House and Senate, and ultimately were referred to their respective chambers' Rules Committees. However, to the extent that each sought to increase the level of transparency of OEIG investigations or to strengthen the Ethics Act, this agency supported the proposed legislation. Among the proposals were bills that also would have expanded the definition of State employee to include elected commissioners, trustees, directors, and board members of State agencies, and which would have revised the Revolving Door Prohibition and extend it to two years for current State employees. For more information, see the FY 2007 Legislative Report on Page 29.





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

INITIATIVES FOR FISCAL YEAR 2008

- Advocate for, and support legislation seeking, full transparency and public release of all findings substantiated by an OEIG investigation.
- Continue to develop and improve training for state employees and those conducting business with agencies under the jurisdiction of the Illinois Governor, and offer guidance on reporting waste, fraud, abuse, and misconduct in compliance with the Illinois State Officials and Employee Ethics Act (5 ILCS 430, et. seq.) and Administrative Order 6. (See Links section, Page 44.)
- Continue to develop and implement ethics training directed at positions where employees are at risk for compromise.
- Continue development of training for OEIG staff by identifying best practices within the IG and regulatory compliance fields, incorporating cutting edge resources and integrating state of the art technology.
- Continue to upgrade and improve the OEIG complaint database.





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Employee Ethics Training Program Overview

Summary

Pursuant to the State Officials and Employees Ethics Act (“Ethics Act”), ethics training is a mandatory requirement for all employees, officials and appointees under the jurisdiction of the OEIG. During FY 07 more than 200,000 participants took part in ethics training programs offered under the oversight of this Office. These programs provide employees with an efficient and effective means of completing ethics training 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 or appointment.

Legal Requirement for Training

- Under the Ethics Act, state employees are required to complete an ethics training program at least annually (once each calendar year). 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, in this instance, 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, as well as any appointee.

Training Purpose

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

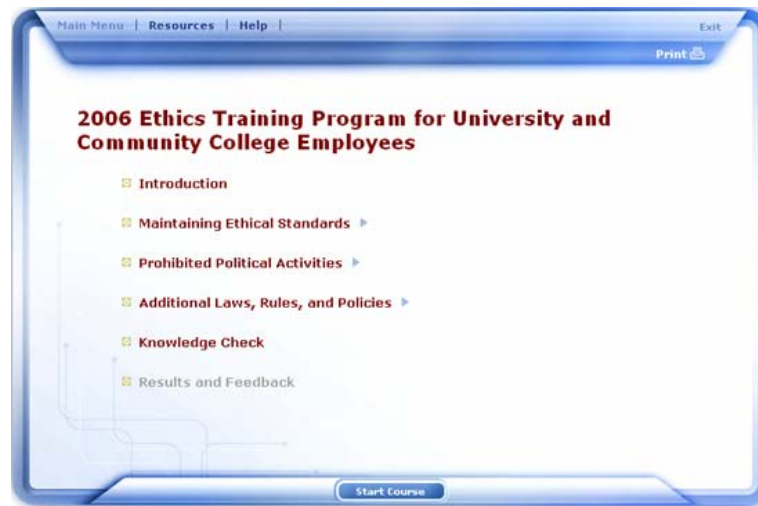
- A common understanding of ethics-related laws and rules.
- Knowledge concerning who to contact with ethics-related questions.
- Knowledge of where and how to report alleged violations of laws, rules, regulations or policies.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov



Training Standards, Methods and Benefits

Training is administered to ensure that:

- Employees enhance their knowledge of ethics issues and obligations.
- Employee participation in training is recorded and reported.
- Training is cost efficient relative to other effective alternative learning methods.

Practical reasons for the implementation of the ethics training program include:

- Reduce potential for employees to unintentionally violate the law.
- Deter the willful violation of laws, rules, regulations and policies.
- Promote and encourage reporting of violations of the law.
- Improve the real and perceived integrity of State government.



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

www.inspectorgeneral.illinois.gov

The primary training resources made available by the OEIG to the State agencies under its jurisdiction include an Internet-based Learning Management System (LMS) and Web-based courseware. These resources have the following attributes:

- They allow most employees to have annual access (by means of a personal computer with Internet capability) to interactive, self-paced training programs that typically require no more than 30 to 60 minutes to complete.
- The Web-based training programs consist of reading materials, scenarios that depict ethics-related situations, self-help questions, and various reference materials, which are developed annually to reflect current law and events.
- The Learning Management System provides each State agency a 30-day training period during which its currently active employees are required to complete an appropriate online ethics training program. This maximizes the efficiency of administrative resources necessary to support training.

Additionally, the OEIG's online Learning Management System provides for automated compliance tracking and reporting related to those individuals who complete training online.

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.

FY 07 On-line Employee Training Content

The subject matter and course content are developed under the oversight of the OEIG and the Executive Ethics Commission and in consultation with the Office of the Attorney General. FY 07 on-line training programs generally included the following subject matter:

- Conflicts of interest
- Gift ban
- "Revolving Door" restrictions



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

- Prohibitions on certain political activities while working for the State
- Time reporting and personnel policies
- Appropriate use of state resources
- Duty to report violations
- Duty to cooperate in investigations
- Confidentiality of reported violations and related investigations
- Penalties for violations of the law
- Whistleblower protections
- Functions of the Executive Ethics Commission
- Functions of the Executive Inspector General.

Summary of Training Results

✓	Number of employees trained online :	161,423
✓	Number of employees trained offline :	40,912
✓	Number of State entities trained:	358

Training Effectiveness

More than 65,000 online training participants provided formal feedback concerning their use of the OEIG's training programs during FY 07. Approximately 90% of end-of-course survey respondents indicated that they probably or definitely intended to use what they had learned in the course on their jobs. Furthermore, approximately 88% of respondents indicated that they probably or definitely had a better understanding of the subject because of the online course which they completed.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FISCAL YEAR 2007

LEGISLATIVE REPORT

In Spring 2007, the Illinois House of Representatives and Illinois Senate passed House Bill 3504, which would have specifically excluded community college districts from the definition of “State agency” found in the State Officials and Employees Ethics Act (“Ethics Act”). The Governor vetoed HB 3504, however, stating that he believed that the Ethics Act should extend to community college districts. To date, the Illinois General Assembly has not attempted to override the Governor’s veto. The Office of Executive Inspector General for the Agencies of the Illinois Governor (“OEIG”) neither supports nor opposes HB 3504.

In addition to HB 3504, during FY 07 there were a number of other bills that were introduced or considered that would have amended the Ethics Act. None of these bills passed both the House and Senate, and all were ultimately referred to their respective chambers’ Rules Committees.

- 1) Senate Bill 151 would have amended the Ethics Act to require that Final Reports of the OEIG be sent to the Executive Ethics Commission (“EEC”). Additionally, the final reports would no longer be exempt from the Illinois Freedom of Information Act, but any confidential information within the reports would need to be redacted before being disclosed.
- 2) Senate Bill 157 would have established procedures for providing a redacted version of OEIG final reports to the EEC, the employee who is the subject of the investigation, and to the public. Under this proposed legislation, if the State agency or ultimate jurisdictional authority agreed to impose discipline upon an employee on the basis of the misconduct reported in the OEIG final report, the OEIG would have to deliver a redacted copy of the final report to the EEC. The EEC would then provide a copy of the redacted report to the employee facing discipline and allow the employee 30 days to provide in writing any reason why the redacted final report should not be released to the public. After the employee’s thirty-day time period had expired, the EEC would then have 21 days to make a written finding on whether or not it was fair and in the public interest to release the redacted report. The EEC could delay its finding pending the conclusion of related judicial or administrative proceedings and it may require further redactions prior to release of the report.
- 3) Senate Bill 1305 would have expanded the definition of State employee to include elected commissioners, trustees, directors, and board members of State agencies. The Bill also would have amended the definition of the term “Gift” under the Gift Ban Act to allow prohibited sources to provide not-for-profit organizations with anything of value on behalf of a State employee. Under the



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

terms of this proposed Bill, the EEC and the Illinois Attorney General would no longer have an oversight or consultation role with respect to ethics training. The revolving door prohibition would have been revised to make it clear that the provision applied to current as well as former State employees and it would have extended the prohibition from the current one year to two years for current State employees. Additionally, the person seeking the waiver would have to show by clear and convincing evidence that the prospective employment or relationship did not affect the person's judgment while working for the State.

- 4) Senate Bill 1342 would have expanded the definition of State employee to include elected commissioners, trustees, directors, and board members of State agencies. The Bill also would have amended the definition of the term "Gift" under the Gift Ban Act to allow prohibited sources to provide not-for-profit organizations with anything of value on behalf of a State employee. Under the terms of this proposed Bill, the EEC and the Attorney General would no longer have an oversight or consultation role with respect to ethics training. In the Prohibited Political Activities section of this proposed Bill, the language clarified that the mere presence or incidental use of State property does not necessarily amount to an illicit misappropriation. The Revolving Door Prohibition would have been revised to make it clear that the provision applied to current as well as former State employees. Under the Gift Ban section, SB 1342 further defined the terms "educational mission" and "travel." Under the section concerning union employees, the proposed language stated that recommendations for discipline and any actions taken against a State employee must be in compliance with any collective bargaining agreements that apply to the State employee.
- 5) House Bill 8 would have added a new section to the Ethics Act that broadened the Revolving Door Prohibition for lobbyists. Under this proposed legislation, no State employee could have worked as a lobbyist representing clients before any State agency for which the employee worked for one year from the date the State employee left the agency. It would also have been a Class A misdemeanor to intentionally violate this new provision in the Act.
- 6) House Bill 824 would have expanded the definition of State employee to include elected commissioners, trustees, directors, and board members of State agencies. The Bill also would have amended the definition of the term "Gift" under the Gift Ban Act to allow prohibited sources to provide not-for-profit organizations with anything of value on behalf of a State employee. Under the terms of this proposed Bill, the Executive Ethics Commission and the Attorney General would no longer have an oversight or a consultation role with respect to ethics training. The Revolving Door Prohibition would have been revised to make it clear that the provision applied to current as well as



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

www.inspectorgeneral.illinois.gov

former State employees and extended the prohibition from the current one year to two years for current State employees.

The Bill also would have established procedures for providing a redacted version of OEIG final reports to the EEC, the employee who is the subject of the investigation, and to the public. Under this proposed legislation, if the State agency or ultimate jurisdictional authority agreed to impose discipline upon an employee on the basis of the misconduct reported in the OEIG final report, the OEIG would have to deliver a redacted copy of the final report to the EEC. The EEC would then provide a copy of the redacted report to the employee facing discipline and allow the employee 30 days to provide in writing any reason why the redacted final report should not be released to the public. After the employee's thirty-day time period expired, the EEC would have 21 days to make a written finding on whether or not it was fair and in the public interest to release the redacted report. The EEC could delay its finding pending the conclusion of related judicial or administrative proceedings and it may require further redactions prior to release of the report.

- 7) House Bill 1325 would have required the OEIG to submit annual ethics training plans to the EEC for approval, would have expanded the Revolving Door Prohibition of the Ethics Act to include spouses and immediate family members living with a current State employee, and would have required the OEIG to submit most of their Final Reports to the EEC in redacted form. The ultimate jurisdictional authority also would have been required to report to the EEC what discipline, if any, it intended to impose on the subject of the OEIG Final Report. The EEC would have decided whether a public release of the redacted Final Report was fair and in the public interest and either acted accordingly, delayed release pending additional information, or delayed release pending the conclusion of related judicial or administrative proceedings.





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

FY 2007

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 2007 Founded Complaints by Type of Misconduct*, examine all founded cases that were concluded during Fiscal Year 2007, regardless of the fiscal year in which the complaint was received. Contrast *Appendix A – Total Complaints (Received in FY 2007) by Type of Misconduct Alleged*, which references only those allegations received in FY 07.

Note also 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.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

APPENDIX A

TOTAL ALLEGATIONS RECEIVED BY TYPE OF MISCONDUCT ALLEGED ¹

Category of Misconduct	FY 06 # Complaints Received ²	FY 07 # Allegations Received ³
Abuse	53	56
Abuse of Time	52	75
ADA	0	6
Bid-rigging	3	2
Breach of Confidentiality	0	26
Bribery	4	16
Child Support	3	12
Conflict of Interest	20	53
Corruption	8	13
Discrimination	26	41
Extortion	2	3
Failure to Follow Department Policy	25	48
False Employment Application	4	4
Fraud	105	184
Ghost Payrolling	0	4
Gift Ban Violation	0	7
Harassment	31	90
Hiring Improprieties	17	66
Improper Political Promotion	1	1
Misappropriation/Misuse of Funds	20	25
Misconduct	497	313
Mismanagement	26	212
Misuse of Property	22	64



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Category of Misconduct	FY 06 # Complaints Received ²	FY 07 # Allegations Received ³
None	17	20
Other	137	43
Other Ethics Act	2	4
Patronage	9	6
Personnel	62	65
Political Work on State Time	12	18
Procurement Fraud	0	9
Prohibited Political Activity	1	14
Retaliation	31	34
Revolving Door Violation	1	3
Sexual Harassment	5	4
Theft	21	32
Unethical Behavior/Practices	35	15
Violence in Workplace	6	5
Waste	16	8
Wrongful Termination	3	13
Wrongfully Convicted	1	1
Total	1,278 ²	1,615 ³

¹ Allegations/Complaints received July 1, 2006 through June 30, 2007.

² For FY 06 the OEIG did not have data available to tally total allegations in complaints with multiple allegations.

³ FY 07 data includes total for 1,270 initial complaints, some containing multiple initial allegations.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

APPENDIX B

FY 2007 - FOUNDED COMPLAINTS BY TYPE OF MISCONDUCT

Category of Misconduct	FY 06 # Complaints Founded	Category of Misconduct	FY 07 # Complaints Founded
Abuse of Time	5	Abuse of Time	15
Misconduct	12	Misconduct	15
Misuse of Property	4	Misuse of Property	13
Fraud	9	Fraud	10
Unethical Behavior/Practices	5	Unethical Behavior/Practices	4
Political Work on State Time	0	Political Work on State Time	3
Abuse	2	Abuse	2
Conflict of Interest	3	Conflict of Interest	2
Failure to Follow Dept. Policy	1	Failure to Follow Dept. Policy	2
Harassment	2	Harassment	2
Hiring Improprieties	0	Hiring Improprieties	2
Misappropriation/Misuse of Funds	2	Misappropriation/Misuse of Funds	2
Mismanagement	0	Mismanagement	2
Prohibited Political Activity	0	Prohibited Political Activity	2
Bid-rigging	0	Bid-rigging	1
Breach of Confidentiality	0	Breach of Confidentiality	1
Ghost Payrolling	2	Ghost Payrolling	1
Other Ethics Act	0	Other Ethics Act	1
Procurement Fraud	2	Procurement Fraud	1
Sexual Harassment	0	Sexual Harassment	1
Theft	3	Theft	1
Waste	1	Waste	1
Extortion	1	Extortion	0
False Employment Application	1	False Employment Application	0
Other	6	Other	0
Personnel	1	Personnel	0
Retaliation	1	Retaliation	0
Violence in Workplace	1	Violence in Workplace	0
Total	64	Total	84



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

APPENDIX C

FY 2007

NUMBER OF COMPLAINTS - BY AGENCY [†]

Agency	No. Complaints Received in FY 06 [‡]	No. Complaints Received in FY 07 [‡]
Aging	8	3
Agriculture	14	8
Art Council	0	1
Attorney General	3	3
Carl Sandburg College	0	1
Banks and Real Estate (See Financial and Professional Regulation)	3	1
Board of Education	7	10
Board of Elections	1	1
Board of Higher Education	1	0
State Board of Investment	0	1
Capital Development Board	3	0
Central Management Services	47	26
Chicago State University	1	5
Children and Family Services	87	98
Children and Family Services – Inspector General	1	0
City Colleges of Chicago	0	1
City Colleges of Chicago - Kennedy-King	0	2
Civil Service Commission	1	0
College of DuPage	0	1
College of Lake County	0	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	No. Complaints Received in FY 06 ‡	No. Complaints Received in FY 07 ‡
Community College Board	0	5
Commerce and Economic Opportunity	12	7
Commerce Commission	10	4
Community College Board	2	0
Corrections	92	87
Comptroller	0	1
Criminal Justice Information Authority	7	1
Drycleaner Environmental Response Trust Fund	0	1
East St. Louis Advisory Authority	0	1
Eastern Illinois University	1	9
Educational Labor Relations Board	0	3
Equal Employment Opportunity Commission	0	1
Emergency Management Agency	4	2
Employment Security	46	55
Employees Retirement System	3	1
Environmental Protection Agency	8	12
Executive Inspector General for the Agencies of the Illinois Governor	1	0
Financial And Professional Regulation	17	29
Fire Marshal	13	5
Gaming Board	1	0
Governor's Office	18	16
Governors State University	4	5
Guardianship and Advocacy Commission	7	6
Health Facilities Authority	1	0
Healthcare and Family Services (See Healthcare and Public Aid)	22	59
Healthcare and Family Services – Inspector General	0	1



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	No. Complaints Received in FY 06 ‡	No. Complaints Received in FY 07 ‡
Historic Preservation Agency	4	1
Housing Development Authority	1	2
Human Rights	16	7
Human Services	367	350
Illinois Law Enforcement Training Standards Board	0	1
Illinois State University	0	1
Illinois Student Assistance Commission	3	2
Illinois Technology Development Alliance	1	0
Industrial Commission	2	0
Insurance (See Financial and Professional Regulation)	3	0
Joint Commission on Administrative Rules	2	0
Judicial Inquiry Board	3	1
Juvenile Justice	0	11
Labor	6	2
Labor Relations Board	2	1
Law Enforcement Commission	1	1
Legislative Council	1	1
Lieutenant Governor	1	2
Mental Health	1	0
Military Affairs	6	3
Natural Resources	17	16
Non-State Agency	84	134
None Given	10	5
Northeast Illinois Planning Commission	0	1
Northeastern Illinois University	5	2
Northern Illinois University	3	5



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	No. Complaints Received in FY 06 ‡	No. Complaints Received in FY 07 ‡
Other	6	2
Professional Regulation (See Financial and Professional Regulation)	6	8
Office of Executive Inspector General	0	4
Property Tax Appeal Board	0	1
Public Aid (See Healthcare and Family Services)	28	0
Public Health	16	14
Racing Board	1	2
Rehabilitation Services	1	4
Revenue	22	18
Secretary of State	7	5
Senate	1	1
Southern Illinois University - Carbondale	3	3
US Social Security Administration	1	1
Southern Illinois University Edwardsville	3	1
State Appellate Defender Office	1	0
State Police	17	13
State's Attorney's Appellate Prosecutor	1	0
Treasurer	0	1
Teachers Retirement System	1	1
Toll Highway Authority	11	11
Transportation	83	58
Truman College	0	1
Universities Retirement System	1	0
University of Illinois	32	14
University of Illinois at Chicago	1	0
Unknown	6	9
Vandalia Correctional Center	1	0
Vendor	10	45



OFFICE OF EXECUTIVE INSPECTOR GENERAL

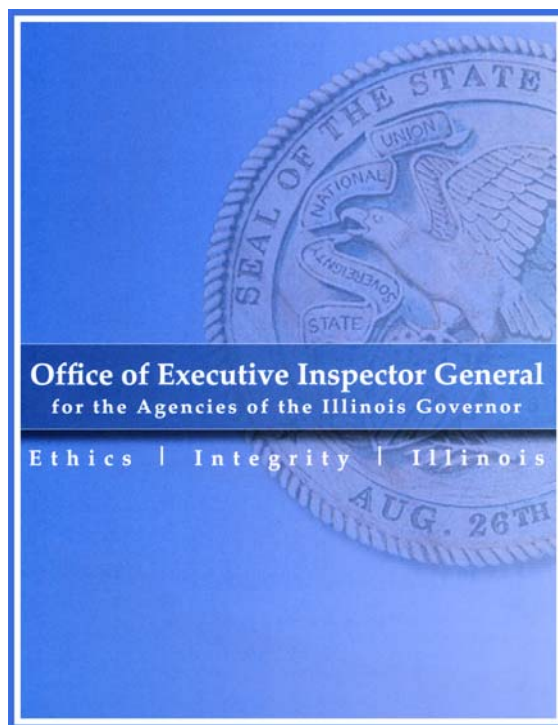
for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Agency	No. Complaints Received in FY 06 †	No. Complaints Received in FY 07 ‡
Veterans Affairs	24	16
Western Illinois University	4	4
Workers Compensation Commission	3	10
Zion Police Department	1	0
Total	1,278	1,270

† Note that complaints made against an agency employee are shown under the agency's name but may not involve allegations against the agency itself.

‡ No. complaints received in FY 2005: 1,145.





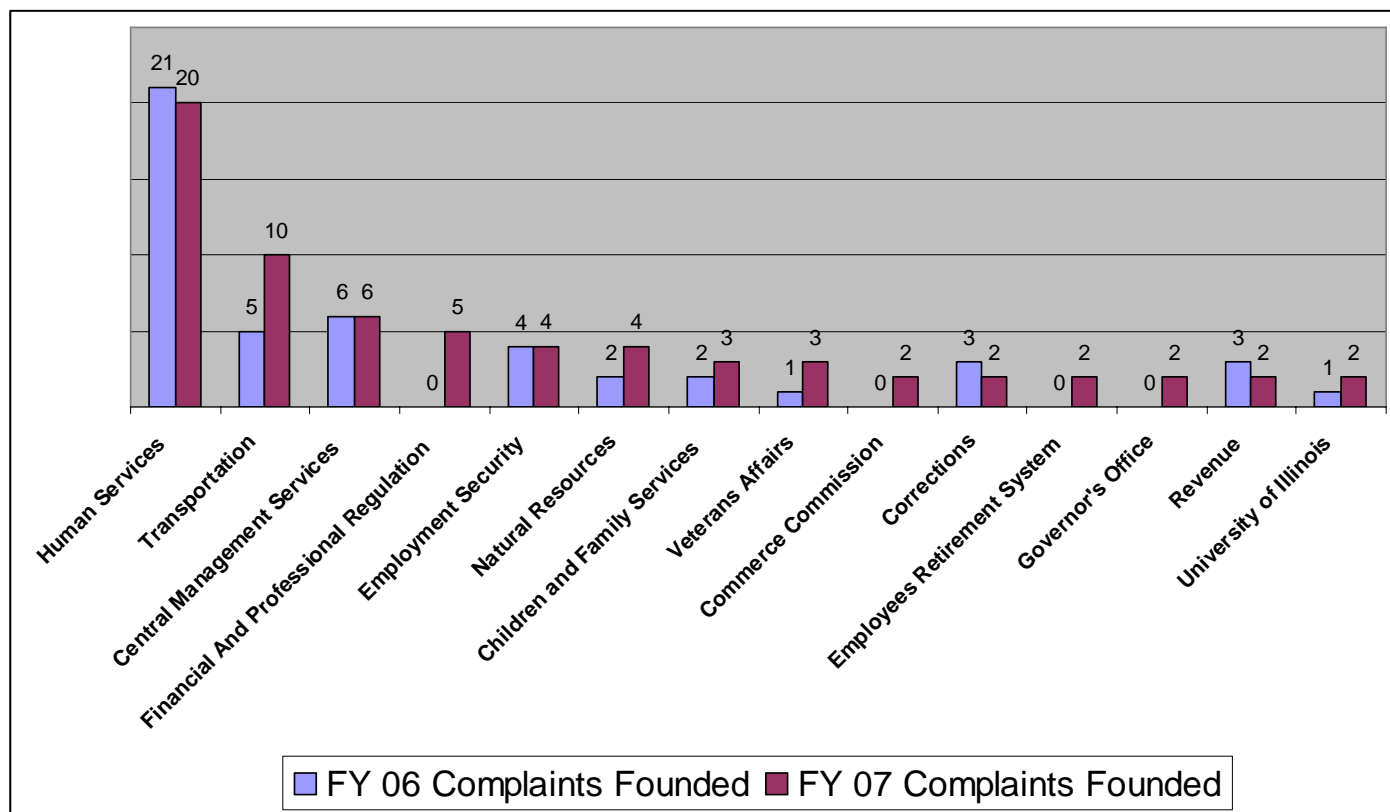
OFFICE OF EXECUTIVE INSPECTOR GENERAL for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

APPENDIX D

FY 2006 – FY 2007

Highest Founded Complaint Totals By Agency





OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

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 25 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 in 2005, Ms. Roberts worked with the Illinois Department of Human Services Office of Inspector General, where she served initially as Deputy Inspector General until her appointment as 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 suburban police commander. 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 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 formerly served as 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.

Gilbert R. Jimenez

Deputy Inspector General for Investigations Interim Director of Investigations

Mr. Jimenez joined the OEIG after serving as an Investigation Case Manager and Special Projects Manager for the Chicago Board of Education – Office of the Inspector General, where he conducted investigations and supervised a team of investigators who probed employee misconduct, and waste, fraud, and mismanagement in the Chicago Public Schools Capital, Facilities Management, Purchasing and Minority/Woman Owned Business programs. Mr. Jimenez' investigative skill set 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 for 20 years, was previously engaged in the private practice of law. He formerly taught Urban Affairs Reporting at the Northwestern University Medill Graduate School of Journalism, and Media Law/Ethics and First Amendment Law to undergraduate journalism students 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.

Millicent Willis, Deputy Inspector General

Ms. Willis is a graduate of Northwestern University and Howard University School of Law. She began her career as an Assistant Public Defender handling criminal litigation and appeals. During her twenty year legal career, Ms. Willis has held several governmental positions in which she supervised or conducted disciplinary investigations and hearings. As Counsel at the Illinois Attorney Registration and Disciplinary Commission, Ms. Willis investigated and prosecuted allegations of attorney misconduct. She also served as General Counsel and Acting Chief Administrator for the Chicago Police Department's Office of Professional Standards, where she made disciplinary recommendations to the Superintendent of Police. Ms. Willis was Senior Assistant Attorney for employee discipline for the Chicago Public Schools, the third largest school district in the nation. She is a former Senior Policy Analyst for the City of Chicago's Office of Emergency Management and Communications, where she was responsible for policy and legislative matters, conducted investigations and managed an investigative team. She was most recently Assistant Executive Director – Legal at the Cook County Department of Corrections where she helped to manage the largest single site pre-trial detention facility in the country. In addition to her legal and investigative work, Ms. Willis has significant experience in training and course design, having trained not only attorneys and investigators on a variety of topics, including report writing, statement taking and litigation skills, but also Ph.D. candidates in the areas of communication skills and conflict resolution.



OFFICE OF EXECUTIVE INSPECTOR GENERAL

for the Agencies of the Illinois Governor

www.inspectorgeneral.illinois.gov

Derick Love, Deputy Director of Investigations

Mr. Love joined the OEIG as Deputy Director of Investigations in August, 2007. He comes to the OEIG after serving 27 years with the McLean County Sheriff's Department. There, Mr. Love served as Detention Facility Superintendent and Chief Deputy. In the position of Detention Facility Superintendent, he was responsible for the oversight of the 205-bed detention facility and the correctional staff. Mr. Love also was responsible for the oversight and preparation of the facility's \$3 million budget. During his tenure as Chief Deputy, he was responsible for the administration and oversight of all functions of the Sheriff's Department and its 135 employees. His responsibilities included preparation and oversight of the department's \$7 million budget. Mr. Love also represented the department in contract negotiations and handled all personnel matters. Mr. Love provided direct supervision of the Support Services Commander, Patrol Division Commander, Criminal Investigations Commander and Detention Facility Superintendent. He holds a Bachelor of Science degree in Criminal Justice from Illinois State University.

David E. Keahl, Director of Ethics Training and Compliance

Mr. Keahl is responsible for oversight of the development and implementation of ethics training and compliance programs and standards 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. Mr. Keahl has been with the OEIG since 2003. Prior to joining the OEIG, he 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. He 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

www.inspectorgeneral.illinois.gov

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>

Printed by authority of the State of Illinois, March 2008, 150 copies. Reproduction cost per copy: \$6.76.
Printing Order No. IISG 08-731.

A PDF copy of this report can be downloaded from the web page:

<http://inspectorgeneral.il.gov/pdf/OEIGG%20FY%202007%20Annual%20Report.PDF>.

