







OEIG

2015 Annual Report

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





Acting Executive Inspector General's Message

t is my privilege to serve the people of Illinois as the Acting Executive Inspector General for the Agencies of the Illinois Governor. The primary mission of the Office of Executive Inspector General (OEIG) is to promote accountability in the public entities under our jurisdiction. We investigate allegations of misconduct; teach state employees the rules of ethical conduct; and strive to ensure that state employees, and

the public alike, trust this office to investigate complaints. Each and every day, we do our utmost so that:

- our office is independent, objective, and fair;
- individuals who wish to report misconduct may easily do so with confidence;
- we conduct our investigations without bias and in a timely manner; and
- our work is transparent to the fullest extent allowed by law.

The OEIG has a long history of thorough and impartial investigations of complaints from citizens, state employees, vendors, and others. In Fiscal Year 2015, the OEIG concluded 94 investigations. The following are a few examples of the 2015 published reports:

- The Illinois Department of Transportation (IDOT) circumvented hiring rules regarding a *Rutan-exempt* position for over a decade. (In re: Schneider, et al., Case # 11-01567). After the investigation, IDOT terminated dozens of improperly hired employees.
- Lax oversight at the Illinois Department of Veterans' Affairs (IDVA) resulted in mismanagement of tens of thousands of dollars intended for Wounded Warrior. (In re: Cavanaugh, Case # 11-02230). After the investigation, IDVA sought the return of thousands of dollars in improperly documented expenditures.
- An Illinois Department of Human Services (IDHS) caseworker helped friends and relatives to file false applications, in violation of IDHS policies. (In re: Barnes, Case # 11-00696). After the investigation, IDHS terminated the caseworker. The OEIG referred the Barnes matter to law enforcement, who declined to bring charges.

In addition to our investigative work, the OEIG oversaw nearly 200,000 ethics training sessions; delivered multiple presentations; and responded to 296 requests for revolving door determinations, which ensures integrity in state government decisions.

If you wish to file a confidential report of activity you believe violates state laws, regulations, or rules, please do so by calling the OEIG hotline at 886-814-1113 or visiting our website at InspectorGeneral.Illinois.gov.

Sincerely,

Margaret X. Shickey

Maggie Hickey Acting Executive Inspector General

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The OEIG draws statutory authority from the State Officials and Employees Ethics Act, which was signed into law on December 9, 2003. The OEIG investigates allegations of fraud, waste, abuse, mismanagement, misconduct, nonfeasance, misfeasance, malfeasance, and violations of the Ethics Act. The OEIG also investigates violations of other related laws and rules involving public employees, appointees, officials, and others doing business with entities under the OEIG's jurisdiction.

Mission

Ensure accountability in public entities

The OEIG is an independent executive branch state agency, which ensures accountability in state government, the state public universities, and the four Chicago-area regional transit boards. The OEIG's primary functions are to investigate allegations of misconduct and to report its findings and recommendations to affected public entities.

Jurisdiction

Agencies of the Illinois Governor, state universities, & regional transit boards The OEIG's jurisdiction comprises more than 170,000 public employees, appointees, and officials, including the governor; the lieutenant governor; more than 300 executive branch state agencies, departments, and boards; the nine state public universities; and the four regional transit boards (the Regional Transportation Authority, the Chicago Transit Authority, Metra, and Pace).

Leadership

Focused on fair, timely, & complete investigations

- Maggie Hickey Acting Executive Inspector General
- Susan Haling First Assistant Inspector General
- Daniel Hurtado General Counsel
- Fallon Opperman Deputy Inspector General and Chief of Chicago Division
- Thomas H. Klein Deputy Inspector General and Chief of Springfield Division
- Brandon Myers Deputy Inspector General and Chief of Regional Transit Board Division
- Claudia Ortega Chief Administrative Officer

nvestigations

"The Executive Inspector General appointed by the Governor shall have jurisdiction over (i) the Governor, (ii) the Lieutenant Governor, (iii) all officers and employees of, and vendors and others doing business with, executive branch state agencies under the jurisdiction of the Executive Ethics Commission and not within the jurisdiction of the Attorney General, the Secretary of State, the Comptroller, or the Treasurer, and (iv) all board members and employees of the Regional Transit Boards and all vendors and others doing business with the Regional Transit Boards."

"The jurisdiction of each Executive Inspector General is to investigate allegations of fraud, waste, abuse, mismanagement, misconduct, nonfeasance, misfeasance, malfeasance, or violations of this Act or violations of other related laws and rules."

 State Officials and Employees Ethics Act, 5 ILCS 430/20-10(c)



As an investigative agency, the OEIG detects, identifies, and eliminates waste, misconduct, fraud, mismanagement, and malfeasance. The OEIG receives complaints of misconduct from the general public; state employees, contractors, and bidders; and anonymous sources. In all instances, in the absence of consent, the OEIG takes every measure permissible under the law to ensure that the identities of complainants are and will remain confidential. The OEIG also initiates its own investigations.

Allegations are evaluated to determine appropriate action. In Fiscal Year 2015, the OEIG evaluated 2,721 complaints, initiated 95 investigations, and completed 94 investigations, including 29 with findings of wrongdoing. In FY15, 13 reports were made public. At the close of the fiscal year, 114 investigations remained open.

Investigators interview witnesses, collect documents, analyze records, conduct surveillance, perform computer forensics, and utilize a variety of other investigatory tools and techniques. The OEIG may also use its subpoena power to acquire information relevant to an investigation. Investigations are governed by the OEIG's Investigation Policy and Procedures Manual; the Illinois Administrative Code; and all other applicable laws, rules, policies, and regulations.

Anyone seeking to report possible violations may:

- call at 886-814-1113;
- log into inspectorgeneral.illinois.gov;
- send a fax to 312-814-5479;
- TTY at 888-261-2734; or
- write to or visit the OEIG Springfield or Chicago offices.

Revolving Door Determinations

"Within 10 calendar days after receiving notification from an employee in a position subject to the policies required by subsection (c), such Inspector General shall make a determination as to whether the State employee is restricted from accepting such employment"

 State Officials and Employees Ethics Act, 5 ILCS 430/5-45(f) Under certain circumstances, the OEIG is called upon to determine whether public employees, appointees, and officials are restricted from accepting employment or compensation upon leaving public employment. Generally, revolving door restrictions under the Ethics Act are intended to prevent former public servants who participated in contracting, licensing, or regulatory decisions from accepting employment from an entity affected by those decisions.

In FY15, the OEIG received 296 revolving door determination requests and made 290 determinations.

thics Training and Compliance

"[E]thics training programs shall be overseen by the appropriate Ethics Commission and Inspector General appointed pursuant to this Act in consultation with the Office of the Attorney General."

• State Officials and Employees Ethics Act, 5 ILCS 430/5-10(a)

"Each Inspector General shall set standards and determine the hours and frequency of training necessary for each position or category of positions."

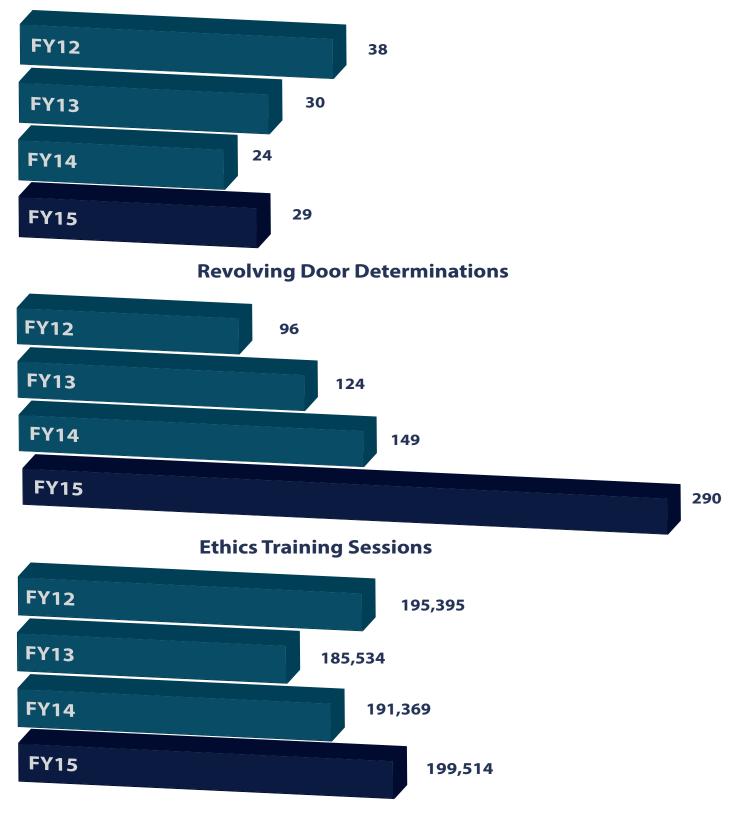
• State Officials and Employees Ethics Act, 5 ILCS 430/5-10(c) The Ethics Act requires individuals under the OEIG's jurisdiction to complete ethics training. Specifically, the Ethics Act requires:

- state employees, appointees, and officials to complete ethics training at least annually; and
- new state employees, appointees, and officials to complete initial ethics training within 30 days of the commencement of their employment or office.

In FY15, public employees, board members, and elected officials participated in over 190,000 ethics training sessions overseen by the OEIG. The OEIG produced training for more than 50,000 employees and officials, in agencies directly under the Illinois governor, and approved training by the four Chicago-area regional transit boards and the nine state public universities.

Key Metrics

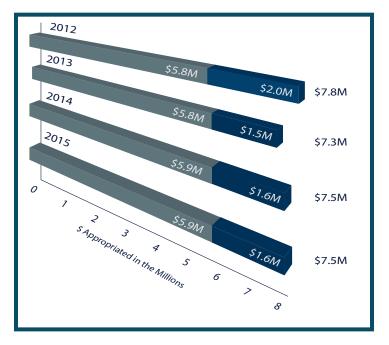
Final Founded Reports Issued



Finance

Source OF Funds

For FY15, the Illinois General Assembly appropriated \$7.5 million for the OEIG, the same appropriation the office received for FY14. In order to conserve state resources, the OEIG did not seek an increase in the FY15 appropriation, despite its growing workload. Of the total appropriation, \$5.9 million was from the General Revenue Fund (GRF), and \$1.6 million was from the Public Transportation Fund (PTF), which supports the Regional Transit Board Division. In March 2015, as part of a general budget reduction, the General Assembly reduced the OEIG's FY15 GRF budget by \$133,400, from \$5.9 million to \$5.8 million.



FINANCIAL RESULTS

n FY15, the OEIG spent \$6.3 million, \$5.3 million from the GRF and \$1 million from the PTF. Staff attrition was the primary reason that expenditures fell short of appropriated funding.

OEIG Budget Results	GRF	PTF	Total
Budget FY15 Actual FY15 Variance	\$5.8m \$5.3m (\$0.5)	\$1.6m \$1.0m (\$0.6)	\$7.4m \$6.3m (\$1.1)

INTERNAL CONTROLS

The OEIG makes every effort to use the state's scarce financial resources effectively, efficiently, and in compliance with applicable laws and rules. Specifically, the OEIG conforms to the state uniform accounting system and ensures that it obligates and expends public funds in accordance with applicable rules.

Total Operating Expenses [in thousands]	FY14	FY15
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Personnel	\$ 5,584	\$ 5,091
Leases, Vendors, and Central Management Services Chargebacks	925	962
Telecommunications	123	100
Printing and Office Supplies	54	39
Travel and Conferences	26	56
Office Equipment	10	5
Automotive Repairs and Fuel	8	6
Other	0	0
Total	6,730	6,259

Personnel-related expenses accounted for 81.3% of the OEIG's FY15 operating expenses. The bulk of the OEIG's other expenses derived from office space rent and the cost of the OEIG's internet-based ethics training technology.

BUDGETING FOR RESULTS

he following metrics demonstrate the OEIG's volume of work per year:

Performance Indicator	FY12	FY13	FY14	FY15
Complaints Evaluated	2,492	2,809	2,521	2,721
Investigations Completed	117	86	91	94
Publicly Disclosed Reports	30	22	19	13
Investigations Pending	122	119	113	114
Investigations Pending \geq 6 mos.	63	64	74	80
Revolving Door Determinations Issued	96	124	149	290
Ethics Training Course Sessions	195,395	185,534	191,369	199,514

Objectives

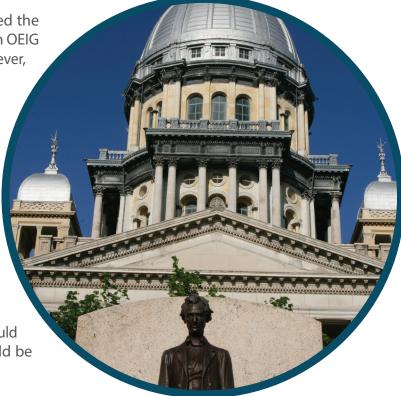
The primary purpose of the OEIG is to investigate fraud, waste, abuse, mismanagement, misconduct, nonfeasance, misfeasance, malfeasance, violations of the Ethics Act or other violations of state laws and rules. To achieve that purpose, we strive to increase transparency in government, promote ethical awareness, and maintain operational excellence.

INCREASE TRANSPARENCY IN GOVERNMENT

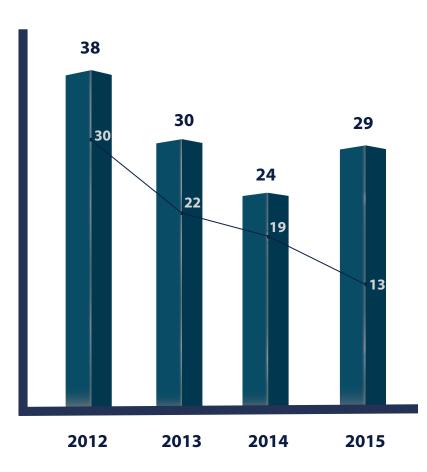
n 2009, the Illinois General Assembly amended the Ethics Act to permit public disclosure of certain OEIG investigations. The majority of OEIG reports, however, remain undisclosed.

The EEC has the sole authority to publicly disclose OEIG reports, and the EEC is only required to publicly disclose OEIG reports if a public employee receives discipline resulting in termination of employment or suspension of three or more days. The OEIG does not have authority to enforce its recommendations for disciplinary or other corrective action in founded cases; however, the EEC has discretion to publicly disclose an OEIG report whenever disclosure is not mandated.

The OEIG continues to support legislation that would expand the instances when OEIG reports would be publicly disclosed (see page 32).



Number of Publicly Disclosed Reports



*The line graph represents OEIG reports that the EEC released to the public; the bar graph represents the total number of founded OEIG reports.

The news media continues to play an important role in increasing public awareness of matters related to government integrity and ethics. In FY15, OEIG investigations were covered by several media outlets, including:

- The Daily Herald
- WSIL-TV (Carterville, IL)
- Crain's Chicago Business
- The Quad City Times
- WBBM-TV/CBS 2 Chicago
- The Chicago Tribune

- The News-Gazette (Champaign-Urbana)
- Lee Enterprises
- The St. Louis Post-Dispatch
- The Chicago Sun-Times
- The Jacksonville Journal-Courier
- WLS-TV/ABC 7 Chicago

Ethics Training

he OEIG has three statutory responsibilities regarding ethics training for employees, appointees, and officials under its jurisdiction:

- oversee ethics training with the Executive Ethics Commission and with the Office of the Attorney General;
- set ethics training standards, including the required hours and frequency of training for each employee position or category; and
- monitor employee compliance with the ethics training requirements.

Ethics Officers

The OEIG meets with newly designated ethics officers to discuss the administration of ethics training; answer questions; and explain the OEIG's authority, programs, and operations. OEIG staff held 30 orientation sessions with new ethics officers during FY15.

The number of

supervision

STATE OFFICIALS AND EMPLOYEES LTHICS ACT B SLOPP ALLON ANTICLE 1. GENERAL PROVISIONS (Rearing P.A. 93-615, all, 11-19-10.) Stream & Station. The head and printing from one 1.2.2 Distant Alexand and Property Act States 12, referenced Mary, 12, 201 at 1-5. Outrimonal Assurant in this Area "Approximate" mechanic a partners: approximatel to a Resal of sylandians the Doublers in Completing a Campulge for discline office" means long index the selection, nonsingtion, election, or appoint and, share, or local public office or office in a p 199,514 resolution, manufaction, or election of Presidential or V associant, representation, or matching to the autoport or opport does not include activities (i) relating to the autoport or opport logislative, or administrative ection (as those terms are do Lobbyist Registration Act). (ii) relating to oblective be otherwise in Authematics of the person's official State due "Gardidate" means a person who has filed nomin employees trained in nomination or election to an elected State office, or who has a racancy in nonimation, and who remains eligible for p FY15 under the OEIG's other a general primary election or general election "Collective bargaining" has the same meaning as that Section 3 of the Winots Public Labor Relations Act. "Commission" means an effect commission created by th "Companisated time" means any time worked by or e amployee that counts toward any minimum work time require condition of employment with a State agency, but does not include State holidays or any period when the employee is on a leave "Compensatory time off" means authorized time off earns a State employee to compensate in whole or in part # minimum work time required

General Outreach Efforts

To improve transparency and promote awareness of the OEIG's functions, OEIG staff members participate in various outreach activities. During FY15, OEIG employees:

- addressed a delegation from the Inspector General for the City of Montreal;
- addressed the Illinois Government Bar Association;
- attended meetings from the national and Illinois chapters of the Association of Inspectors General;
- attended the EEC Annual Ethics Officer Conference;



- spoke at Northeastern Illinois University;
- addressed Palatine High School students;
- met with senior managers of numerous state agencies and state public universities;
- met with members and staff of the General Assembly;
- delivered continuing legal education presentations to the Office of the Illinois Attorney General;
- presented testimony to state legislative and regional planning bodies; and
- issued statements to news media regarding pending legislation.

Other Training

OEIG employees participated in continuing legal education and other training sessions, such as:

- The Association of Inspectors General Annual AIG training;
- Council of the Inspectors General on Integrity & Efficiency (CIGIE) Contract and Grant Fraud Training;
- The Association of Certified Fraud Examiners Legal Elements of Fraud Examination Training; and
- CIGIE General Investigations Training in Glynco, Georgia.

Electronic Newsletter

The OEIG produces a one-page electronic newsletter, *Illinois Ethics Matters*, which is distributed monthly. The OEIG delivers *Illinois Ethics Matters* to state agencies, the General Assembly, the news media, and the public. Many recipients, such as state agency ethics officers, redistribute the newsletter throughout their respective organizations.

The newsletter addresses publicly disclosed OEIG reports; public findings related to alleged violations of the Ethics Act; appeals of OEIG revolving door determinations; changes or proposed changes to ethics laws, rules, or policies; and other ethics-related information of interest to the public.

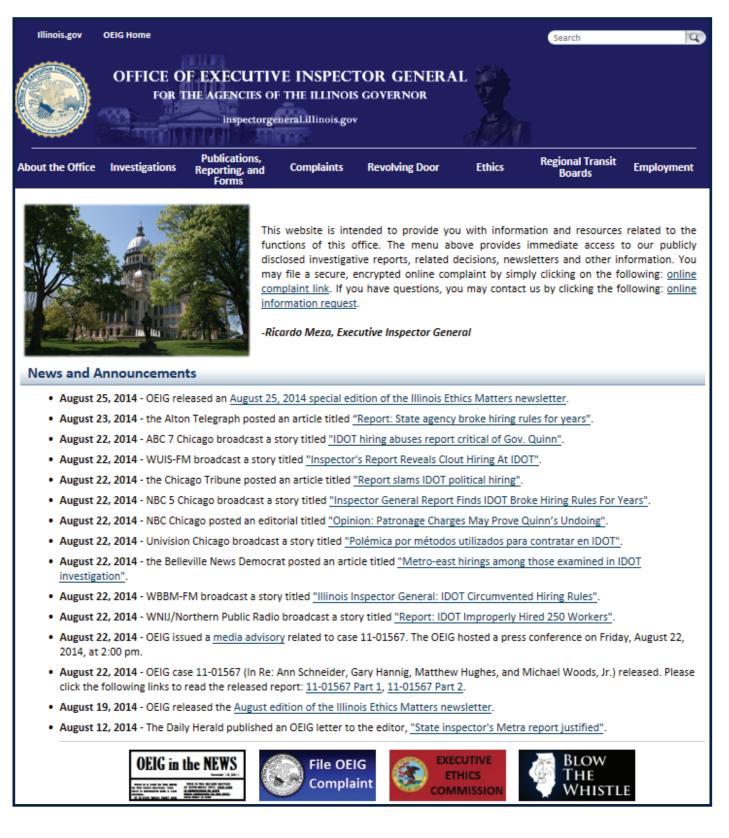


Internships

The OEIG manages an internship program, which permits qualified students to conduct legal research, draft memoranda, and participate in investigative activities. Legal interns must be enrolled in an accredited law school, and investigative interns must be junior, senior, or graduate level students in a program related to criminal justice or public administration at an accredited college.

Website

The OEIG's website provides 24/7 access to complaint forms, revolving door forms, ethics officer contact information, publicly disclosed OEIG reports, and other OEIG information.





MAINTAIN OPERATIONAL EXCELLENCE

Continuing education and training are key components of the OEIG's initiative to maintain efficiency and effectiveness. The OEIG trains new employees on applicable laws, administrative rules, and OEIG policies and procedures. Investigative staff members, in particular, receive continuous instruction concerning laws, policies, and investigative tools and techniques.

During FY15, employees attended various professional training sessions relevant to their individual jobs, which addressed topics such as:

- forensic examinations;
- data analytics in investigations and audits;
- interview and interrogation techniques;
- fraud detection and prevention;
- personal information security;
- ethical leadership;
- contract and grant procedures;
- government fraud audits;
- audit techniques;
- advanced customer service skills;
- human resource information systems;
- creative problem solving;
- Adobe InDesign;
- Microsoft Excel;
- Microsoft Windows servers; and
- certified inspector general investigations.

Investigations

PROCESS AND PERFORMANCE: COMPLAINTS

During FY15, the OEIG received 2,721 complaints. The OEIG must evaluate each complaint within 30 days of its receipt.

After the initial evaluation, the OEIG will take one of the following actions:

- initiate an investigation;
- determine that no investigation or referral by the OEIG is appropriate; or
- refer the matter to another agency.

The OEIG initiated 95 investigations in FY15, including nine based on complaints received in FY14. The OEIG opened investigations based on a single complaint or several related complaints. Otherwise, the OEIG self-initiated the investigations.

In FY15, the OEIG found that 332 complaints did not warrant an OEIG investigation. The OEIG did not open an investigation if, for example, the complaint did not contain a violation of state law, rule, or policy; the alleged wrong doing occurred outside of the OEIG's statute of limitations; or a related action was already pending.

In FY15, the OEIG referred 2,215 complaints to other agencies or appropriate entities. The OEIG may refer matters to the affected public agency where it appears that the allegations would be more appropriately addressed by the affected agency. In some instances, when the OEIG refers the matter to another agency, the OEIG requests that the agency respond to the allegations. The OEIG then reviews these agency responses to determine whether the agency adequately addressed the allegations and whether the OEIG should open an investigation.

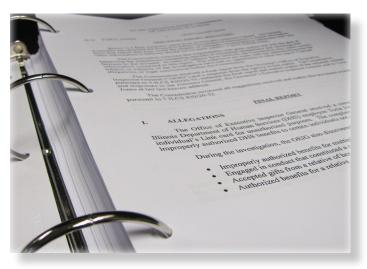
Initial Disposition of Complaints Received*	FY14	FY15
Investigations Initiated	80	86
Determined No Investigation or Referral by the OEIG was Appropriate	376	332
Complaints Referred	2,040	2,215
Complaints Pending Review as of the End of the Fiscal Year	25	88
Total Received	2,521	2,721

*This table only reflects the disposition of complaints the OEIG received during the given fiscal year. During FY15, for example, the OEIG initiated a total of 95 investigations, but only 86 of them resulted from complaints received in FY15.

PROCESS AND PERFORMANCE: INVESTIGATIONS

If the OEIG finds reasonable cause to believe a violation of law or policy has occurred within its jurisdiction, it will write a final report, which documents:

- the allegations of wrongdoing;
- facts confirmed by the investigation;
- an analysis of the facts in comparison to the applicable law, rule, or policy; and
- findings and recommendations.



In accordance with state law, OEIG reports are only provided to the affected public entities and other appropriate authorities, such as the governor or a board of trustees. The OEIG does not have the authority to enforce its recommendations, and therefore, it is the responsibility of the affected agencies to act upon OEIG recommendations.

If the OEIG finds reasonable cause to believe a violation of the Ethics Act has occurred—such as prohibited political activity, a gift ban violation, or failure to cooperate with an OEIG investigation—the OEIG may request that the Office of the Attorney General file a complaint with the EEC. If the EEC rules that a violation occurred, the EEC may impose an administrative fine of up to \$5,000 for each violation.

If the OEIG does not find reasonable cause to believe a violation has occurred, the OEIG will create an "unfounded report," which the OEIG only provides to the EEC. Alternatively, the OEIG may "administratively close" an investigation for various reasons, including a lack of jurisdiction, an expired statute of limitations, or a pending parallel proceeding.

Disposition of Investigations	FY14	FY15
Founded Reports	24	29
Unfounded Reports	29	41
Administrative Closures (No Report)	38	24
Total Closed Investigations	91	94

Findings

Publicly Disclosed Investigative Reports

Over the course of FY15, the EEC made the following 13 OEIG cases public, organized by the primary type of misconduct in each case:

FRAUD AND FAILURE TO COOPERATE

In re: Barnes, Case # 11-00696

On September 18, 2014, the EEC disclosed the OEIG's final report regarding In re: Barnes, Case # 11-00696. The OEIG investigated allegations that an Illinois Department of Human Services (IDHS) employee was instructing applicants to file false claims in order to obtain benefits to which they were not entitled. The OEIG found, among other things that:

"Caseworker Barnes processed the disaster SNAP benefits applications of her relatives"

- In re: Barnes, Case # 11-00696

- DeAngelia Barnes participated in and condoned fraud when she instructed applicants to use false information on SNAP benefits applications;
- DeAngelia Barnes violated IDHS policy when she processed disaster SNAP benefits applications submitted by her relatives;
- DeAngelia Barnes violated IDHS policy when she socialized with IDHS customers; and
- DeAngelia Barnes failed to cooperate with the OEIG investigation in violation of the Ethics Act when she knowingly made false statements to OEIG investigators.

The OEIG recommended that IDHS terminate Ms. Barnes, and also referred the apparent false IDHS documents to the Illinois Department of Healthcare & Family Services Inspector General. IDHS agreed with the OEIG recommendations and terminated Ms. Barnes.

In re: Reikalas, Case # 12-01729

On December 1, 2014, the EEC released the OEIG's final report regarding In re: Reikalas, Case # 12-01729. The OEIG investigated allegations that an Illinois Department of Insurance (IDOI) field examiner filed false travel receipts. The OEIG found that Anita Reikalas:

- violated IDOI policy when she submitted receipts for work-related travel that falsely indicated that she used a limousine service; and
- failed to cooperate with the OEIG investigation in violation of the Ethics Act when she knowingly made false statements to OEIG investigators.

"Ms. Reikalas submitted false documentation to DOI and also the insurance companies she was examining"

- In re: Reikalas, Case # 12-01729

The OEIG recommended that IDOI terminate Ms. Reikalas and that Illinois bar her from future state employment. Ms. Reikalas retired before IDOI could act on the OEIG recommendation.

In re: Carter, Case # 13-00740

On April 15, 2015, the EEC released the OEIG's final report regarding In re: Carter, Case # 13-00740. The OEIG investigated allegations that a Chicago Transit Authority (CTA) bus operator filed false medical claims. The OEIG found that Shenequa Carter:

- violated CTA rules when she filed falsified documents to receive time off under the Family and Medical Leave Act; and
- violated the Ethics Act when she knowingly made numerous false statements to OEIG investigators. (Ms. Carter claimed she did not know who submitted the false forms, but instead claimed she gave blank forms

"[T]he OEIG concludes that Ms. Carter knowingly submitted falsified forms to Sedgwick [Claims Management Services, CTA's third-party administrator]...." - In re: Carter, Case # 13-00740

to a "triage nurse" working for her doctor. Her doctor denied completing the forms and also denied having a "triage nurse" who would have accepted the forms. The OEIG found that the forms were faxed to CTA from Ms. Carter's child's elementary school.)

The OEIG recommended that CTA discipline Ms. Carter. Based on the findings and recommendations in the OEIG report, CTA conducted its own internal review, and subsequently terminated Ms. Carter.

GRANT **F**RAUD AND **M**ISMANAGEMENT

In re: Tower of Refuge, Doris Turner, Case # 11-00290

On February 11, 2015, the EEC disclosed the OEIG's final report regarding In re: Tower of Refuge, Doris Turner, Case # 11-00290. The OEIG investigated allegations that an Illinois Department of Public Health (IDPH) grantee misspent public funds. Specifically, the investigation examined Tower of Refuge, which received state grants for HIV/AIDS and prostate cancer awareness. The OEIG found that:

• Tower of Refuge violated the terms of its grants by falsely certifying expenditures;

"Tower . . . inappropriately obtained grant funds which they were not entitled to obtain and also inappropriately used grant funds to purchase gift cards which they then used for themselves" - In re: Tower of Refuge, Doris Turner, Case # 11-00290

- Tower of Refuge spent grant funds for the benefit of its directors Lorenzo and Bevey Louden (gift cards, for example, were redeemed in Las Vegas while Mr. Louden was in Las Vegas, on an iTunes account that was associated with the Louden family, and at the nail salon where Ms. Louden had her nails done); and
- the Chief of IDPH's Center for Minority Health Services, Doris Turner, violated her duty to IDPH by failing to adequately monitor the grants.

The OEIG recommended that IDPH take necessary steps to recover the misspent funds, that IDPH take appropriate action against Ms. Turner for her failure to adequately monitor the grants, and that other state agencies review grants issued to Tower of Refuge to ensure it spent grant funds properly. In response to the OEIG investigation, IDPH initiated an action to recover misspent funds from Tower of Refuge and implemented several changes to how IDPH awards and monitors grants. IDPH began to use independent reviewers as part of the supervision process and implemented an electronic Grants Administration and Management system (eGrAMS). Ms. Turner retired from IDPH.

In re: Cavanaugh, Case # 11-02230

On April 15, 2015, the EEC disclosed the OEIG's final report regarding In re: Cavanaugh, Case # 11-02230. The OEIG investigated allegations that the Illinois Department of Veterans' Affairs (IDVA) failed to properly manage public funds. Specifically, the investigation examined the Veterans Cash Grant Program. Kevin Cavanaugh was in charge of overseeing the Program for IDVA, which included monitoring grant expenditures and logging grantee reports. The OEIG found that:

- Kevin Cavanaugh failed to monitor the Program's grantees by failing to obtain required grantee reports;
- Kevin Cavanaugh failed to prevent non-compliant grantees from receiving additional grant funds;
- Kevin Cavanaugh improperly accepted gifts from grantees (including golf games, golf equipment, and various fundraising tickets) in violation of the Ethics Act;
- Kevin Cavanaugh violated IDVA policies by engaging in conflicts of interest and sending personal emails from his state account; and
- IDVA failed to properly manage and oversee the Program.

Mr. Cavanaugh resigned from IDVA during the investigation. The OEIG recommended that IDVA place the OEIG report in Mr. Cavanaugh's personnel file, and that Illinois bar him from future state employment. The OEIG further recommended that IDVA seek to recover funds from grantees that could not properly account for expenditures, and that it remind employees and grantees about the gift ban under the Ethics Act. IDVA agreed with the OEIG's recommendations, placed the OEIG report in Mr. Cavanaugh's file, and initiated various recovery actions against grantees in 2014, recouping over \$34,000.

HIRING IMPROPRIETY

A series of US Supreme Court rulings, including *Rutan v Republican Party of Illinois* in 1990, established the general principle that hiring or firing public employees cannot be based on political affiliation. Illinois now manages most employment decisions under the requirements of several Administrative Orders that are designed to remove political affiliation from the employment process, commonly referred to as the "*Rutan* hiring process."

Under the Ethics Act the OEIG must "review hiring and employment files. . . .to ensure compliance with *Rutan*....and with all applicable employment laws." 5 ILCS 430/20-20(9) (citations omitted).

In re: Gulli, et al., Case # 10-01308

On April 21, 2015, the EEC released the OEIG's final report regarding In re: Gulli, et al., Case # 10-01308. The OEIG investigated allegations that IDVA improperly hired staff by using consecutive emergency

appointments to bypass the required hiring process at the Manteno Veterans' Home. The OEIG found that:

 IDVA Human Resources employees, Jerri Gulli and Jimmie Miller, and Manteno Administrator Reginald Booker violated the Illinois Personnel Code by allowing emergency appointments to be renewed.

The OEIG recommended that IDVA counsel its

employees on the proper use of emergency appointments. The OEIG further recommended that the Office of the Governor and the Illinois Department of Central Management Services (CMS), which oversees most state hiring, provide agencies with updated information on emergency appointments, and that CMS instruct its staff on the non-existence of any "four-day break rule" for emergency appointments. The Office of the Governor, CMS, and IDVA accepted all of the OEIG's recommendations.

In re: Schneider, et al., Case # 11-01567

On August 22, 2014, the EEC released the OEIG's final report regarding In re: Schneider, et al., Case # 11-01567. The OEIG investigated allegations that the Illinois Department of Transportation (IDOT) circumvented the *Rutan* hiring process by hiring staff into putatively *Rutan*-exempt staff assistant positions and then assigning them duties that were primarily unrelated to the staff assistant job description. In addition to self-initiating an investigation into IDOT's use of the staff assistant position, the OEIG received eight separate complaints relating to hiring issues at IDOT, which were combined into a single investigation. Investigators conducted more than 100 interviews of current and former IDOT employees and examined over 170 personnel files of IDOT staff assistants.

The OEIG investigation found that the number of IDOT employees in the *Rutan*-exempt staff assistant position grew from three in 2002 to a peak of more than 100 in 2011. While staff assistant job descriptions suggested that these employees would perform the kinds of duties that would exempt them from the *Rutan* hiring process, the OEIG found that the actual duties performed by most staff assistants would not support *Rutan*-exempt status. Moreover, the OEIG investigation found that some *Rutan*-exempt staff assistants were later transferred into *Rutan*-covered positions without having to go through the competitive hiring process,

"This investigation revealed that IDVA found a way to circumvent the competitive hiring process and did so for an extended period of time."

- In re: Gulli, et al., Case # 10-01308

and others were able to obtain employment into *Rutan*-covered positions based on the experience they unfairly acquired as staff assistants.

The OEIG determined that approximately 255 different people held the staff assistant position at various times between 2003 and 2013. The OEIG analyzed the duties actually performed by 155 of these staff

"[B]oth Secretary Schneider and former Secretary Hannig permitted the Staff Assistant position to be manipulated in circumvention of the *Rutan* hiring process." - In re: Schneider, et al., Case # 11-01567

assistants. The majority of these staff assistants (108 or 69.7%) would not have qualified for *Rutan*-exempt status based on the duties they performed. Others (22 or 14.2%) performed some duties that would have qualified for a *Rutan* exemption, but also performed some duties that would not have qualified. Only 25 staff assistants (or 16.1%) of these staff assistants exclusively performed tasks in keeping with their *Rutan*-exempt designation.

Moreover, the OEIG discovered that at least 50 staff assistants had personal or professional connections to elected officials and identified five staff assistants who were related to senior IDOT officials.

The OEIG concluded that IDOT officials violated state law and regulations. The OEIG made several recommendations to IDOT, including:

- abolish the staff assistant position;
- review positions that are exempt from the Personnel Code to ensure that they are properly classified and that proper hiring procedures are being followed;
- terminate Bureau Chief of Personnel Management Mike Woods;
- place a copy of the OEIG report in the personnel file of former Director of Finance and Administration Matt Hughes; and
- require all IDOT employees that are responsible for personnel actions to complete training on the *Rutan* hiring process.

In response to the OEIG investigation, the Office of the Governor reported that:

- IDOT Secretary Ann Schneider resigned, effective July 10, 2014;
- the contract with former IDOT Secretary Gary Hannig ended on June 30, 2014;
- Mr. Woods resigned on July 2, 2014;
- IDOT placed a copy of the OEIG report in Mr. Hughes' file;
- IDOT abolished the staff assistant position; and
- IDOT announced a moratorium on the creation of new *Rutan*-exempt positions.

In addition, the Office of the Governor announced the creation of a Technical Code Merit Board to ensure the integrity of "technical" positions and executive-level training regarding the *Rutan* process. The Office of the Governor also reminded all IDOT employees to report potential *Rutan* violations to the OEIG.

MISMANAGEMENT

In re: Metra Managers and Staff, Case # 11-01032

On July 24, 2014, the EEC disclosed the OEIG's final report regarding In re: Metra Managers and Staff, Case # 11-01032. The OEIG investigated allegations that employees on the Metra Electric District line (MED) regularly traded work assignments without documenting the changes. Federal law and Metra regulations required railroad employees to document their hours of actual work to ensure compliance with federal maximum-hours rules, which were designed to ensure sufficient rest times between shifts.

The OEIG found that some Metra staff improperly listed the hours they were originally assigned by Metra rather than the hours they actually worked. As a result, Metra was unable to accurately track whether MED staff exceeded maximum-hour limits or met minimum-rest rules, as required by federal law. The OEIG recommended that Metra:

- ensure that employees accurately complete their Federal Railroad Administration (FRA) Hours of Service logs;
- end the informal change-in-assignment practice ("swapping"), even in emergencies;
- discipline all current employees who improperly completed their FRA logs; and
- discipline senior managers for their failure to accurately track hours.

During and after the OEIG investigation, Metra made numerous changes to its policies and practices, including:

"Numerous Metra employees who engaged in 'swapping' inaccurately recorded their hours of service on their FRA logs." - In re: Metra Managers and Staff, Case # 11-01032

- ending the "swapping" practice;
- entering changes of assignment into the payroll system; and
- randomly auditing FRA logs to ensure that the safety records track hours employees actually work.

In re: Gordon, et al., Case # 11-02202

On December 1, 2014, the EEC disclosed the OEIG's final report regarding In re: Gordon, et al., Case # 11-02202. The OEIG investigated allegations that Illinois Department of Human Rights (IDHR) employees improperly extended investigation deadlines. The OEIG found that:

 four IDHR investigators, Isabella Gordon, Derrick Venton, Jill Parker, and Dean Reed, falsified numerous IDHR documents, which gave them additional time to investigate discrimination claims.

All four IDHR investigators resigned prior to the conclusion of the OEIG investigation. The OEIG recommended that IDHR place a copy of the report in each of their personnel files, and that IDHR review its management practices to increase oversight of ongoing investigations. IDHR has implemented new practices and procedures aimed at improving how it handles investigations.

In re: El-Talabani, Case # 13-01848

On July 24, 2014, the EEC disclosed the OEIG's final report regarding In re: El-Talabani, Case # 13-01848. The OEIG investigated allegations that a Metra employee took ethics training on behalf of his colleagues, in violation of state law. The OEIG found that:

• Metra Police Department Lt. Laith El-Talabani completed online ethics training and training certifications for four other Metra police officers.

The OEIG recommended that Metra take steps to ensure that all employees take their own ethics training. The OEIG also recommended that Metra discipline Lt. El-Talabani and require the four police officers to personally complete their ethics training. In response to the report, Metra implemented all OEIG recommendations and demoted Lt. El-Talabani to patrolman.

PROHIBITED POLITICAL ACTIVITY

In re: Reimer, Case # 14-00544

On February 18, 2015, the EEC disclosed the OEIG's final report regarding In re: Reimer, Case # 14-00544. The OEIG investigated allegations that Illinois State University (ISU) employee Tricia Reimer violated the Ethics Act by sending a political email to another ISU employee. The OEIG found that:

"Ms. Reimer used her State computer and State email account to send an email with the subject 'SURS & voting' to 16 individuals encouraging them to vote for Kirk Dillard in the March 18, 2014 primary election." -In re: Reimer, Case # 14-00544

ISU employee Tricia Reimer sent two separate emails from her state email account to over a dozen recipients, soliciting support for a candidate in the 2014 primary election.

Ms. Reimer retired from ISU during the course of the investigation. The OEIG recommended that a copy of the report be placed in her personnel file. ISU agreed and complied.

VIOLATIONS OF AGENCY POLICIES

In re: Helm, Case # 11-02070

On June 29, 2015, the EEC disclosed the OEIG's final report regarding In re: Helm, Case # 11-02070. The OEIG's investigation revealed that an IDOT employee abused time and resources by making excessive personal phone calls and using a state vehicle for personal matters. The OEIG found that William Helm:

- engaged in approximately 41 hours of personal conversations on his personal telephone during work hours, from September 9, 2011 through March 9, 2012; and
- repeatedly used a state vehicle to visit and transport a non-state employee.

Mr. Helm resigned during the investigation. The OEIG recommended that IDOT place a copy of the OEIG report in Mr. Helm's file and recoup the cost of his time spent on personal phone calls. IDOT sought reimbursement for over \$1,700 in lost time.

In re: White, Case # 12-01662

On June 29, 2015, the EEC disclosed the OEIG's final report regarding In re: White, Case # 12-01662. The OEIG investigated allegations that an Illinois Department of Human Services (IDHS) employee violated agency policy by repeatedly accessing a government database for private purposes. The OEIG found that:

• IDHS Caseworker Laroddica White improperly accessed and disclosed confidential client information from a government database to help her former boyfriend's business.

The OEIG recommended that IDHS terminate Laroddica White. Ms. White resigned during her termination proceedings.

"[O]n multiple occasions, Ms. White used her DHS computer to access the [government] database to obtain or verify addresses for Mr. Ellis' repossession company, not DHS business." -In re: White, Case # 12-01662

Revolving Door

The revolving door provisions of the Ethics Act prohibit public employees who "personally and substantially" participated in a regulatory, licensing, or procurement decision from accepting employment or compensation from the subject of that decision, its parent, or its subsidiary. Certain public employees, whose positions may include the authority to make such decisions, are required to seek a determination by the OEIG that they may legally accept outside employment, prior to accepting non-state employment.

The Ethics Act requires the OEIG to make the revolving door determination within 10 calendar days. The OEIG receives written statements from the current or former public employee (the employee), from the applicable ethics officer, and often from the prospective non-state employer. In addition, the OEIG conducts interviews of the employee, the employee's supervisor, and others. The OEIG also examines various public records regarding any contract awards or regulatory decisions involving the employee. The OEIG then determines whether the employee "personally and substantially" participated in the award of a public contract, a regulatory decision, or licensing decision that directly applied to the prospective employer, its parent, or its subsidiary.

Revolving door determination requests and OEIG determinations are generally not public. If the OEIG determines that the employee is "restricted" (that acceptance of the non-state employment would violate the revolving door prohibition), the employee or the Attorney General may appeal the determination to the EEC. If the OEIG determines that the employee is "not restricted," the Attorney General may also appeal the determination to the EEC. If the OEIG determines that the employee is "not restricted," the Attorney General may also appeal the determination to the EEC. Once the EEC rules on an appeal, its decision becomes public. In FY15, the EEC only received two of these appeals, and in both instances, the EEC affirmed the OEIG's determinations:

In re: Emmett Burton (15-EEC-015)

Emmett Burton was a Bond Analyst for the Governor's Office of Management and Budget, starting in October 2014. He served on scoring teams, which evaluated bank bids and proposals for services related to bond issues and other capital market transactions. Specifically, Mr. Burton served on teams whose evaluations resulted in the award of contracts to his prospective employer and, in one instance, a syndicate that included his prospective employer. The last time Mr. Burton scored a bid that resulted in a contract award to his prospective employer was in March 2014.

Mr. Burton received an offer to begin work with his prospective employer in December 2014. The OEIG determined that this was within twelve months of his last state decision regarding this prospective employer, that Mr. Burton "personally and substantially" participated in that decision, and that Mr. Burton was thus "restricted" from accepting the offer. Mr. Burton appealed, arguing that he was only one of three evaluators of his prospective employer's bid, and that all three of the evaluators ranked his prospective employer as the highest bidder. Mr. Burton also argued that his score was the lowest of the three scores.

The EEC found that Mr. Burton "personally and substantially" participated "in the decision to award a contract to his prospective employer." The EEC stated that an employee may "personally and substantially" participate in the award of a state contract even if "the employee did not make the final determination" and even if "the employee was only one of a panel of employees who made the final determination." Moreover, the EEC ruled that the scoring of an invitation for bid constituted "personal and substantial involvement in the award of a state contract." As a result, the EEC affirmed the OEIG's determination that Mr. Burton was restricted from working for his prospective employer.

In re: Mark Doyle (15-EEC-007)

Mark Doyle was the Transition of Supports/Care, Project Manager for the Office of the Governor, but he was paid by the Illinois Department of Human Services (IDHS). Mr. Doyle was responsible for implementing and overseeing the closure of certain state-operated developmental disability and psychiatric care centers and moving the residents of those centers to community-based care facilities and small group homes. Between 2012 and January 31, 2015, IDHS issued a series of no-bid contracts and contract amendments to Community Resource Associates (CRA) to implement that transition. Mr. Doyle did not sign the contracts or amendments and lacked authority to do so. IDHS representatives stated, however, that Mr. Doyle was "very involved' in awarding the contract, and that he "pushed strongly to have CRA receive the contract[.]" Mr. Doyle acknowledged that he "did enthusiastically encourage the Division of Developmental Disabilities to consider looking at CRA as a possible option."

Mr. Doyle received an offer to work for a subsidiary of CRA in Georgia, called CRA Consulting, Inc (CRA-C). The OEIG determined that Mr. Doyle was restricted from accepting employment with CRA-C. Mr. Doyle appealed the determination to the EEC.

The EEC found that Mr. Doyle "personally and substantially" participated in the decision to award contracts or contract change orders to CRA-C, which "is the same entity as CRA" for the purposes of the revolving door prohibition. The EEC stated that a state employee may "personally and substantially" participate in the award of a state contract, or the issuance of state contract change orders, even if the employee "was not the final decision maker." As a result, the EEC affirmed the OEIG determination that Mr. Doyle was restricted from working for CRA-C.

EEC Disciplinary Decisions

n FY15, the EEC publicly disclosed three disciplinary decisions after the OEIG found reasonable cause to believe that violations of the Ethics Act occurred:

Meza v. Rednour, Jr. and Bliefnick (14-EEC-006)

John Rednour was the Manager of the DuQuoin State Fair for the Illinois Department of Agriculture (IDOA). In 2012, a company named "Alongi's since 1933" (Alongi's) won the contract with the DuQuoin Fair to manage beer sales. Under the contract, Alongi's could then sell tickets for beer at the DuQuoin Fair for \$4 per ticket. In 2012, Mr. Rednour asked Alongi's to give him a free "roll or two" of beer tickets, or 1,000 or 2,000 tickets, which had a market value of \$4,000 to \$8,000.

Amy Bliefnick was the Manager of the Illinois State Fair for the IDOA. Throughout her tenure, Combined Veterans Association of Illinois (CVA) held the contract for beer sales at the Illinois Fair. Under the contract, CVA could sell tickets for beer at the Illinois Fair for \$4.50 per ticket. The 2013 contract with CVA expressly provides that "free tickets are not to be given to anyone." In August 2013, CVA offered and Ms. Bliefnick accepted at least 120 beer tickets from CVA, which had a total market value of \$540.

The Attorney General, on behalf of the OEIG, brought a complaint to the EEC that both Mr. Rednour and Ms. Bliefnick improperly accepted gifts from vendors at their respective state fairs. The EEC concluded that Mr. Rednour violated the gift ban provisions under the Ethics Act when he solicited a gift from a state contractor, and Ms. Bliefnick also violated the gift ban under the Ethics Act when she accepted gifts from a state contractor.

On July 24, 2014, the EEC levied a fine of \$5,000 against Mr. Rednour and \$1,000 against Ms. Bliefnick. The EEC also noted that Mr. Rednour had agreed not to seek state employment for five years.

Meza v. Connors (14-EEC-012)

Leo Connors was a Labor Conciliator for the Illinois Department of Labor. The OEIG received allegations that, on at least one occasion, Mr. Connors used state equipment to send faxes about the sale of his own personal property. The OEIG interviewed Mr. Connors about his possible misuse of state equipment. After participating in one interview, Mr. Connors retained a lawyer who notified the OEIG that he "had advised Mr. Connors not to respond" to the OEIG's requests for records or a second interview. The OEIG advised Mr. Connors' counsel that failure to cooperate with an OEIG investigation "can result in findings of misconduct." Mr. Connors' counsel responded that he was "exercising his rights under the Fourth, Fifth, and Fourteenth Amendments to the United States Constitution and Article I of the Illinois Constitution of 1970." The OEIG then referred the matter to the Attorney General for prosecution before the EEC for failure to cooperate in an OEIG investigation.

On February 11, 2015, the EEC levied a fine of \$100 against Mr. Connors for obstructing an OEIG investigation in his interview and failing to cooperate with OEIG document requests.

Meza v. Gollin (14-EEC-011)

George Gollin is a professor at the University of Illinois Champaign-Urbana campus. In July 2013, he filed papers with the Federal Election Commission to run for U.S. Congress. Mr. Gollin spoke with his Ethics Officer and agreed to keep his campaign work separate from his University work. Despite this agreement, Mr. Gollin used his University email account to send dozens of emails, soliciting funds, advice, and support for his congressional campaign. Mr. Gollin acknowledged that he knew the Ethics Act prohibited him from misappropriating state resources to engage in political activity.

On June 25, 2015, the EEC levied a fine of \$5,000 against Mr. Gollin for sending dozens of campaign-related emails using his state provided email account.

Results

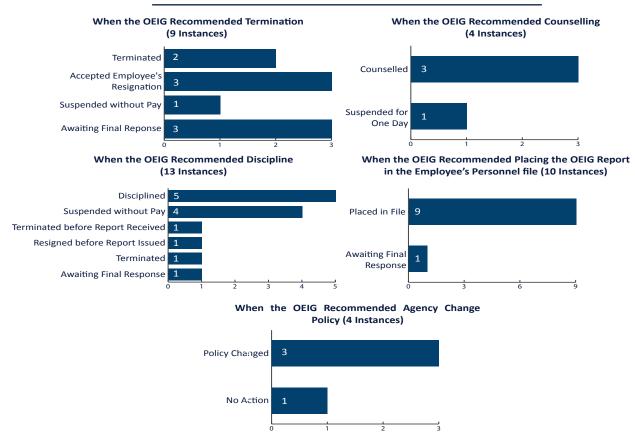
The OEIG concluded 94 investigations in FY15. If the OEIG found violations of law or policy, the OEIG made various recommendations to the affected agencies, which included:

- employee termination;
- employee counselling;
- employee disciplinary action;
- placing a copy of the OEIG report in the employee's personnel file; and
- · change of agency policy or procedure.

In FY15, several agencies took action based upon OEIG recommendations. For example:

- The Illinois Department of Public Health sought to recover grant funds under The Grant Fund Recovery Act (see page 20);
- The Illinois Department of Transportation sought to recoup payroll funds from an employee who made 41 hours of personal phone calls on state-compensated time (see page 25);
- The Illinois Department of Veterans' Affairs recovered over \$34,000 in grant funds (see page 21);
- Metra demoted an employee for taking ethics training on behalf of his colleagues, counselled those colleagues, and changed their training policies to minimize the risk of recurrence (see page 25).

AGENCY RESPONSES TO OEIG RECOMMENDATIONS



Moreover, several agencies issued statements in response to OEIG investigations, which included the following excerpts:

"On December 23, 2014, the Illinois Department of Public Health initiated an action under the Illinois Grant Fund Recovery Act (30 ILCS 705) to recover funds from Tower of Refuge relating to the grants discussed in the Final Summary Report. Should it be necessary, the Department will work with the Attorney General's Office to enforce any judgment and take appropriate collection action to recover funds."

-LaMar Hasbrouck, MD, MPH, Director Illinois Department of Public Health In response to Case # 11-00290, In re: Tower of Refuge and Doris Turner

"This is the Illinois Department of Veterans Affairs (IDVA) agency response to the OEIG Case No. 11-02230 Final Report....IDVA implemented a new, more thorough grant agreement as of November 2014. The improved grant agreement requires grantees to account for the expenditure of all grant funds by submitting invoices and/or receipts to document each expenditure within each grant report."

-Trish McGill, General Counsel and Ethics Officer Illinois Department of Veterans' Affairs In response to Case # 11-02230, In re: Cavanaugh

"Metra places great importance on employees' compliance with the Ethics Act and Metra's ethics policies. . . . In response [to the OEIG investigation], Metra has taken numerous actions. . . . Mr. El-Talabani was indefinitely stripped of his rank of Lieutenant and demoted two ranks to patrolman. . . . [Three patrolmen] were removed from service . . . pending completion of their annual ethics certification. . . . Finally, Metra is incorporating additional training in its 2014 ethics certification material to ensure that employees are aware of their obligations under the Ethics Act."

-Don Orseno, Chairman Metra In response to Case # 13-01848, In re: El-Talabani

"The Department of Human Services has received the ... Final Summary Report issued by [the OEIG] and concurs with [the] recommendation that Caseworker DeAngelia Barnes be terminated."

-Michelle R.B. Saddler, Secretary Illinois Department of Human Services In response to Case # 11-00696, In re: Barnes

"Based on the findings and recommendations of the OEIG's Final Report, CTA independently conducted its own internal investigation. As a result, CTA found Ms. Carter to be in violation of . . . CTA General Rules"

-Monica McMillan-Robinson, Vice President, Bus Operations Chicago Transit Authority In response to Case # 13-00740, In re: Carter

Legislative Action

Transparency in State Government

ouse Bill 2585, introduced by State Representative Fred Crespo (44th District) on February 18, 2015, and Senate Bill 1544, introduced by State Senator Heather Sterns (7th District) on February 20, 2015, would allow the OEIG to disclose OEIG reports to the public without the EEC. Under the current Ethics Act, the EEC is only required to publicly disclose OEIG reports when a public employee is terminated or suspended for three or more days. In other words, whether the public ever finds out about state misconduct may hinge on the severity of the discipline a state employer chooses to impose. This legislation, similar to that first introduced by Representative Crespo in October 2011, was introduced to avoid this loophole.

Here are three examples where the EEC can currently decide not to disclose OEIG reports:

- An agency imposes serious discipline that is not contemplated by the Ethics Act, such as docking an employee a month's salary.
- An agency imposes discipline that is less than a three-day suspension to avoid public scrutiny.
- An agency either cannot or will not impose discipline despite significant misconduct, mismanagement, or waste.



Protecting the Public by Disclosing Information to Agency Heads

House Bill 2587, introduced by State Representative Fred Crespo (44th District) on February 18, 2015, and Senate Bill 1542, introduced by State Senator Heather Sterns (7th District) on February 20, 2015, would expressly permit the OEIG to disclose the OEIG's investigative files and reports to the head of an affected agency.

Under the current law, the OEIG cannot disclose investigatory files or reports to an affected agency head before the OEIG initiates its final report. In light of the nature of OEIG investigations, the OEIG may, for example, be the first to obtain evidence involving ongoing fraud or dangers to public safety. Although the OEIG may advise an agency head of potential fraud or safety risks, the OEIG may be prohibited from sharing any related investigatory files or reports with the agency head. House Bill 2587/Senate Bill 1542 would clarify that the OEIG can share its files and reports with the heads of affected agencies in these circumstances.

Ensuring Access to Needed Information

House Bill 2586, introduced by State Representative Fred Crespo (44th District) on February 18, 2015, and Senate Bill 1543, introduced by State Senator Heather Sterns (7th District) on February 20, 2015, allows both the OEIG and the recipient of an OEIG request for documents to seek resolution from the EEC regarding objections to the OEIG request.

Under the current administrative rules, if a recipient of an OEIG request for documents believes that the release of the information may violate his or her rights or protections, he or she can seek a determination from the EEC. In contrast, the OEIG cannot seek a determination from the EEC if the respondent refuses or fails to provide the information. Thus, House Bill 2586 and Senate Bill 1543 create a mechanism to allow both the OEIG and the recipient of an OEIG request for documents to seek resolution from the EEC regarding the recipient's rights and protections.

99th General Assembly

At the time this Annual Report was published, the bills outlined above, regarding increased transparency (HB 2585 and SB 1544), disclosure to agency heads (HB 2587 and SB 1542), and access to information (HB 2586 and SB 1543), were not adopted by the General Assembly.

Appendices

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LEADERSHIP

MAGGIE HICKEY, ACTING EXECUTIVE INSPECTOR GENERAL

Ms. Hickey is the Acting Executive Inspector General for the Agencies of the Illinois Governor. She was nominated by Gov. Bruce Rauner in 2015. Before coming to the OEIG, she served the U.S. Attorney's Office for the Northern District of Illinois for over 10 years. From 2010-2015, she was the Executive Assistant United States Attorney, overseeing a staff of approximately 300 employees. Prior to her supervisory role, Ms. Hickey served as an Assistant United States Attorney in the Criminal Division, Financial Crimes and Special Prosecution Section, where she investigated and prosecuted a wide array of white collar crimes, including health care fraud, mortgage fraud, and bankruptcy fraud. She has tried multiple cases to verdict, and also briefed and argued many appeals before the U.S. Court of Appeals.

Previously, Ms. Hickey served as chief of staff to United States Senator Peter Fitzgerald. She began her career with the United States Senate, serving as the investigative counsel for the Committee on Government Affairs. Prior to her service with the United States Senate, she was an Assistant United States Attorney in the Criminal Division for the Southern District of West Virginia. She began her legal career as an associate with a law firm in Los Angeles, California, now known as Reed Smith. She currently serves on the board of the Constitutional Rights Foundation, Chicago.

THOMAS H. KLEIN, DEPUTY INSPECTOR GENERAL & CHIEF OF SPRINGFIELD DIVISION

Mr. Klein served as the Acting Executive Inspector General from April to July 2015. Mr. Klein rejoined the OEIG in February 2015 as Deputy Inspector General and Chief of the Springfield Division. Mr. Klein previously served with the OEIG from 2010-2011, before serving as General Counsel for the Illinois Capital Development Board. He previously spent over seven years with the Illinois Attorney General's Office and two years with a large law firm. Mr. Klein received a BA from Taylor University, an MA from Purdue University, and a JD from the University of Michigan Law School.

RICARDO MEZA, EXECUTIVE INSPECTOR GENERAL (SEPTEMBER 2010 - APRIL 2015)

Mr. Meza was appointed Acting Executive Inspector General on September 7, 2010 and confirmed by the Illinois Senate on November 17, 2010. He was subsequently reappointed and confirmed to a term that extended to June 30, 2018. Mr. Meza left the OEIG on April 17, 2015 to pursue work in the private sector as an officer with Greensfelder, Hemker & Gale, P.C.

SUSAN HALING, FIRST ASSISTANT INSPECTOR GENERAL

Ms. Haling joined the OEIG in December 2011 and currently serves as First Assistant Inspector General. She has more than nine years experience as an Assistant U.S. Attorney in Chicago, where she tried over 25 criminal trials. Ms. Haling also previously worked for the U.S. Justice Department, Criminal Division in Washington, D.C. Ms. Haling was a law clerk for the Honorable James F. Holderman, a former United States District Judge for the Northern District of Illinois. Ms. Haling received her BA from the University of Notre Dame and obtained her law degree from DePaul Law School, where she graduated Order of the Coif, served as editor for the Law Review, and was a member of Moot Court Trial Team.

DANIEL HURTADO, GENERAL COUNSEL

Mr. Hurtado was appointed Special Counsel in July 2012 and was subsequently appointed as General Counsel in March 2014. He took on the additional role of Chief of Staff in February 2015. Prior to joining the OEIG, he was a litigator with a large law firm for 17 years and served as in-house counsel for a media company for over two years. Mr. Hurtado has served as the President of the Hispanic Lawyers Association of Illinois, the Chair of the Chicago Lawyers Committee for Civil Rights, and a member of the Legal Assistance Foundation

Board of Directors and the Chicago Legal Clinic Board of Directors. He has been honored with the Chicago Bar Association Vanguard Award, the Public Interest Law Initiative Distinguished Alumnus Award, and MALDEF's Excellence in Legal Service Award. Mr. Hurtado received a BA from the University of Michigan and holds an MA and JD from Northwestern University, where he was an editor of the Journal of Criminal Law and Criminology and the President of the Hispanic Law Students Association.

KRISTY SHORES, FIRST DEPUTY INSPECTOR GENERAL, CHIEF OF STAFF, & SPECIAL COUNSEL (JUNE 2007 - APRIL 2015)

Ms. Shores managed the OEIG's investigative activities, including those within the Chicago, Springfield, and Regional Transit Board Divisions. She then took on the additional role of Chief of Staff in December 2014. Ms. Shores took the position of Special Counsel on a part-time basis after pursuing work in the private sector in February 2015. She left the OEIG in April 2015.

DAVID KEAHL, CHIEF OF STAFF (OCTOBER 2003 - NOVEMBER 2014)

Mr. Keahl served as Director of Ethics Training and Compliance, Deputy Chief of Staff, and Chief of Staff. Previously, Mr. Keahl worked in the telecommunications industry for 27 years.

FALLON OPPERMAN, DEPUTY INSPECTOR GENERAL & CHIEF OF CHICAGO DIVISION

Fallon Opperman has served as the Deputy Inspector General and Chief of Chicago Division since February 2015. Ms. Opperman joined the OEIG as an Assistant Inspector General in June 2008 and most recently served as Chief of the Regional Transit Board Division. As Deputy Inspector General and Chief of Chicago Division, Ms. Opperman manages the investigative activities of the OEIG's Chicago office, including oversight of the Regional Transit Board Division. As Deputy Inspector General and Chief of Chicago Division, Ms. Opperman manages the investigative activities of the OEIG's Chicago office, including oversight of the Regional Transit Board Division. Ms. Opperman received a BA in political science from North Central College and obtained her law degree from the DePaul University College of Law.

BRANDON MYERS, DEPUTY INSPECTOR GENERAL & CHIEF OF REGIONAL TRANSIT BOARD DIVISION

As Deputy Inspector General and Chief of the Regional Transit Board Division, Dr. Brandon Myers is responsible for directing investigations related to the Regional Transportation Authority, the Chicago Transit Authority, Metra, and Pace. Dr. Myers joined the OEIG in January 2012 and previously served as Deputy Chief of the Regional Transit Board Division.

Before joining the OEIG, Dr. Myers contracted with the U.S. Department of State as a Security Supervisor for the U.S. Embassy in Kabul, Afghanistan and served as Chief of Police for the Braidwood Police Department. Dr. Myers holds an Ed. D. in ethical leadership and a B.S. in management from Olivet Nazarene University; an M.S. in criminal justice from Pacific Western University; and an M.A. in diplomacy from Norwich University. In addition, Dr. Myers is a graduate of the School of Police Staff and Command at Northwestern University and the Police Executive Development Program at Penn State University. He is a veteran of the U.S. Air Force and Illinois Army National Guard.

CLAUDIA ORTEGA, CHIEF ADMINISTRATIVE OFFICER

Ms. Ortega joined the OEIG in March 2014 and currently serves as Chief Administrative Officer. She manages the OEIG's finance, human resources, information technology, procurement and other administrative functions. Previously, Ms. Ortega worked in a financial reporting role for a State University and for a global forensics investigative firm. She holds a MSA in accounting from Benedictine University and a BA in accounting from DePaul University and she is a Certified Fraud Examiner.

LAURA BAUTISTA, DEPUTY INSPECTOR GENERAL & CHIEF OF SPRINGFIELD DIVISION (JULY 2013 - DECEMBER 2014)

Ms. Bautista served the OEIG as Deputy Inspector General and Chief of the Springfield Division from July 2013 to December 2014. Previously, Ms. Bautista was an Assistant Attorney General and Supervisor in the General Law Bureau of the Illinois Attorney General's Office.

Number of Complaints Received by Type	FY14	FY15
Abuse	11	22
Abuse of Time	48	82
Americans with Disabilities Act Violations	0	2
Bid-Rigging	1	1
Breach of Confidentiality	23	7
Bribery	5	2
Child Support	0	4
Conflict of Interest	12	17
Corruption	2	0
Discrimination	28	20
Ex Parte Communications Violation	1	1
Extortion	0	0
Failure to Cooperate	1	0
Failure to File Statement of Economic Interests	0	0
Failure to Follow Agency Policy	8	13
False Employment Application	0	0
Fraud	67	53
Ghost Pay Rolling	4	2
Gift Ban Violation	4	4
Harassment	56	56
Hiring Improprieties	30	81
Improper Political Promotion	2	0
Misappropriation or Misuse of Funds	20	18
Misconduct	1,389	1,551
Mismanagement	624	565
Misuse of Property	16	28
Other	54	64
Patronage	0	1
Political Work on State Time	5	4
Prisoner Complaint	3	5
Procurement Fraud	6	8
Prohibited Political Activity	10	13
Retaliation	34	33
Revolving Door Violation	4	10
Sexual Harassment	5	11
Theft	19	15
Unethical Conduct or Practices	10	14
Violence in the Workplace	2	3
Waste	3	3
Wrongful Termination	14	8
Total	2,521	2,721

Number of Founded Reports by Agency	FY14	FY15
Aging, Department on	0	0
Agriculture, Department of	1	0
Central Management Services, Department of	0	1
Chicago State University	1	0
Chicago Transit Authority	2	3
Children and Family Services, Department of	0	0
Commerce and Economic Opportunity, Department of	0	1
Corrections, Department of	0	1
Employment Security, Department of	0	2
Financial and Professional Regulation, Department of	0	0
Higher Education, Board of	1	0
Human Rights, Department of	0	1
Human Services, Department of	6	6
Illinois State University	0	2
Insurance, Department of	1	1
Juvenile Justice, Department of	0	0
Labor, Department of	1	0
Metra	3	0
Natural Resources, Department of	0	0
Northern Illinois University	1	0
Public Health, Department of	0	1
Regional Transit Authority	1	1
Revenue, Department of	1	1
Southern Illinois University - Edwardsville	0	1
State Board of Education	1	0
Transportation, Department of	2	4
University of Illinois	1	1
Various State Agencies	1	0
Veterans' Affairs, Department of	0	2
Workers' Compensation Commission	0	0
Total	24	29

Number of Founded Reports by Type	FY14	FY15
Abuse of Time	1	1
Conflict of Interest	2	1
Failure to Follow Department Policy	0	1
Fraud	6	8
Gift Ban Violation	1	1
Hiring Improprieties	1	1
Misappropriation or Misuse of Funds	1	0
Misconduct	3	6
Mismanagement	0	1
Misuse of Property	2	1
Political Work on State Time	3	3
Procurement Fraud	0	1
Prohibited Political Activity	0	2
Retaliation	0	1
Revolving Door Violation	1	1
Sexual Harassment	1	0
Theft	0	0
Unethical Conduct	2	0
Total	24	29

FREEDOM OF INFORMATION ACT

MISSION STATEMENT:

The Office of Executive Inspector General for the Agencies of the Illinois Governor (OEIG) 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 establishes standards for and provides oversight to ethics training for employees and officials within its jurisdiction.

OEIG OPERATING BUDGET FOR FISCAL YEAR 2015:

\$7,538,100*

OEIG OFFICES:

69 W. Washington St., Suite 3400 Chicago, IL 60602-9703 607 E. Adams St., 14th Floor Springfield, IL 62701-1634

NUMBER OF OEIG EMPLOYEES:

67 employees as of June 30, 2015

STATE AGENCY WITH LIMITED OVERSIGHT ROLE OVER THE OEIG:

Illinois Executive Ethics Commission

OEIG FOIA OFFICER:

Daniel Hurtado General Counsel Office of Executive Inspector General for the Agencies of the Illinois Governor 69 W. Washington St., Suite 3400 Chicago, IL 60602-9703

PHOTOCOPY COSTS FOR FOIA REQUESTS:

The OEIG provides the first 50 black-and-white copies at no charge; each additional page costs 15 cents.

* In March 2015, as part of a general budget reduction, the General Assembly reduced the OEIG's FY15 GRF budget by \$133,400, from \$5.9 million to \$5.8 million. This reduced the OEIG's total operating budget for FY15 to \$7.4 million.

ONLINE REFERENCES

State Officials and Employees Ethics Act (5 ILCS 430/1-1, et seq.)

Http://www.ilga.gov/legislation/ilcs/ilcs5.asp?ActID=2529&ChapterID=2

OEIG Monthly Reports

Http://www2.illinois.gov/oeig/Pages/monthly_reports.aspx

Executive Ethics Commission Revolving Door Decisions

Http://www2.illinois.gov/eec/Pages/disciplinary_decisions.aspx

Publicly Disclosed OEIG Investigative Reports

Http://www2.illinois.gov/oeig/Pages/PublishedOEIGCases.aspx

OEIG Investigation Policy and Procedures Manual

Http://www2.illinois.gov/oeig/Pages/policy.aspx

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In an effort to conserve resources and be green, the FY15 Annual Report will be distributed electronically.

An online copy of this report in PDF format may be found at: http://www2.illinois.gov/oeig/Pages/annual_reports.aspx

REPORT MISCONDUCT:

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