



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

**Investigation Policy and
Procedures Manual
07/30/2024**

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INTRODUCTION

In December 2003, the Illinois State Officials and Employees Ethics Act (5 ILCS 430, *et seq.*, hereinafter, the “Ethics Act”) established the Office of Executive Inspector General for the Agencies of the Illinois Governor (“OEIG”). The OEIG has discretion to determine the appropriate means of investigation as permitted by law, and has four programmatic main functions:

- investigating allegations of fraud, waste, abuse, mismanagement, misconduct, nonfeasance, misfeasance, malfeasance, or violations of the Ethics Act or violations of other related laws, rules, and policies;
- establishing standards for, and overseeing ethics and harassment and discrimination prevention training programs;
- monitoring compliance with State and federal hiring rules and laws; and
- issuing “revolving door” determinations for post-government employment for certain individuals.

The OEIG has jurisdiction over the Governor and Lieutenant Governor and all employees of, appointees to, and vendors and others doing business with:

- all executive branch State agencies, departments, boards, and commissions 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;
- the nine State public universities;
- the four Chicago area Regional Transit Boards (Metra, Pace, the Chicago Transit Authority, and the Regional Transportation Authority); and
- the Regional Development Authorities.

Pursuant to Section 20-20 of the Ethics Act, the OEIG has the jurisdiction and authority to:

- receive and investigate allegations of violations of the Ethics Act;
- request information relating to an investigation from any person when the Executive Inspector General deems that information necessary in conducting an investigation;
- issue subpoenas to compel the attendance of witnesses for the purposes of testimony and production of documents and other items for inspection and copying, and to make service of those subpoenas;
- participate in or conduct, when appropriate, multi-jurisdictional investigations; and
- review hiring and employment files of each State agency within the Executive Inspector General's jurisdiction to ensure compliance with *Rutan v. Republican Party of Illinois*, 497 U.S. 62 (1990), and with all applicable employment laws.

CHAPTER I

POLICIES AND PROCEDURES

POLICY 100.1: Policy and Procedures Manual

All OEIG personnel must comply with Joint Committee on Administrative Rules, Ill. Admin. Code tit. 2, § 1620.300 (2023) [hereinafter “Admin. Code”], Conduct of Investigations, as follows:

- 1) All investigations by an Executive Inspector General or the Executive Inspector General’s employees (collectively known as EIG) shall be conducted in accordance with procedures contained within this Part and within a policy and procedures manual developed by the EIG and approved by the Executive Ethics Commission. Approval shall be based on compliance with the Act, this Part and other applicable law. A policy and procedures manual should give direction to EIG employees that supplement the requirements of the Act and this Part.
- 2) The policy and procedures manual described in subsection (c) shall be submitted for approval to the Executive Ethics Commission (EEC) within 90 days after July 1, 2008. Any future amendments to the policy and procedures manual shall be subject to the Commission's approval. An updated policy and procedures manual for each EIG shall be posted on the EEC website. Portions of the policy and procedures manual that may compromise the integrity of investigations or confidential investigative techniques may be redacted by the EEC after consultation with the appropriate EIG.
- 3) Waiver by the Commission

Upon written petition by an Executive Inspector General and a finding that the waiver is, in the particular context, necessary to avoid compromising the integrity of an investigation, the Commission may grant a waiver of the subsection [(c)(7)]¹ requirement that requests for documents or physical objects be in writing.
- 4) Temporary Waiver by the Chair

The Chair of the Commission, or the Chair’s designee, may likewise grant a waiver of the subsection (c)(7) requirement that requests for documents or physical objects be made in writing in response to an oral or written request by an EIG if the Chair or the Chair’s designee finds that the waiver is, in the particular context, necessary to avoid compromising the integrity of an investigation, and provided that, within 72 hours after the waiver, the Executive Inspector General files a written request to the Commission. A waiver granted by the Chair pursuant to this subsection (b)(2) may be withdrawn by the Chair at any time if the Chair no longer reasonably believes that the waiver is necessary to avoid compromising the integrity of an investigation.

¹ The original text of § 1620.300 refers to subsection (c)(6).

POLICY 100.2: Distribution of OEIG Policy and Procedures Manual

All OEIG personnel will be provided a copy of this Policy and Procedures Manual at the beginning of their employment with the OEIG. OEIG personnel are required to adhere to this manual when discharging their duties and responsibilities. OEIG personnel are responsible for reviewing this Policy and Procedures Manual and becoming familiar with all of the policies and procedures contained herein.

POLICY 100.3: Violations of Policies or Procedures

Any OEIG personnel who violate the policies or procedures contained in this Policy and Procedures Manual may be subject to disciplinary action, up to and including discharge.

POLICY 100.4: Compliance with Administrative Rules

All OEIG investigative activity must comply with Admin. Code §§ 1620.300-.350. If any policy or procedure contained in this Policy and Procedures Manual is inconsistent with the Admin. Code, then the Admin. Code shall control.

CHAPTER II

FILING COMPLAINTS AND INITIATING INVESTIGATIONS

POLICY 200.1: Filing Complaints with the OEIG

Any person may file a complaint, *anonymously or in the complainant's name*, with the OEIG by:

- (1) mailing a completed OEIG complaint form to:

Office of Executive Inspector General
Attention: Complaint Division
69 West Washington, Ste. 3400
Chicago, IL 60601
- (2) completing an OEIG complaint form at <https://oeig.illinois.gov>;
- (3) calling the OEIG hotline at (866) 814-1113 or (888) 261-2734 (TTY); or
- (4) scheduling an appointment with the OEIG's Springfield or Chicago office to obtain, complete, and submit a complaint form in person.

POLICY 200.2: OEIG Case Initiation Form

An EIG shall accept case initiation forms from State of Illinois employees and the general public in accordance with Admin. Code § 1620.320.

Pursuant to Admin. Code § 1620.310, the OEIG has prescribed and made available a case initiation form (OEIG Complaint Forms 300.4A & 300.4B) for investigation of a complaint against an individual or entity under OEIG jurisdiction. The contents of OEIG Complaint Forms 300.4A and 300.4B are consistent with Admin. Code § 1620.320, as follows:

The case initiation form shall set out:

- 1) the name of the employee or officer who is alleged to have committed misconduct;
- 2) the identity of the State agency by which the employee or officer is employed;
- 3) the name, address and telephone number of the complainant,—unless filed anonymously;
- 4) the date and time of the alleged misconduct;
- 5) a description of the acts and circumstances that surrounded the alleged misconduct;
- 6) the names of any other person who witnessed, participated in, or was subjected to, alleged misconduct of any kind;

- 7) an address to which the completed form may be mailed;
- 8) a statement of the confidentiality of the identity of the complainant (see 5 ILCS 430/20-90(a));
- 9) a statement that penalties may be applied for intentionally making a false report alleging an ethics violation (see 5 ILCS 430/50-5(d)); and
- 10) such other information that the Executive Inspector General reasonably requires.

POLICY 200.3: Confidentiality of the Complainant or Source

The OEIG will keep confidential the identity of all complainants or sources of allegations as provided by law. Pursuant to Section 20-90(a) of the Ethics Act, the identity of any individual providing information or reporting any possible or alleged misconduct to the OEIG will be kept confidential by the OEIG, unless the individual consents to the disclosure of their identity as the complainant or source of allegations, or disclosure is otherwise required by law. The OEIG may disclose the identity of a person in any other capacity other than as the source of the allegation.

POLICY 200.4: Evaluation of Complaints

All new OEIG complaints will be evaluated by OEIG personnel, who will take action in a manner consistent with Admin. Code § 1620.300(c), as follows:

- 1) Within 5 business days either after the receipt of a complaint in which a 20-63 Complainant is identified or after the subsequent identification or location of a person who was subjected to the discrimination, harassment, or sexual harassment as alleged in a pending complaint, the EIG shall notify the 20-63 Complainant of the receipt of the complaint, the complainant's rights, and an explanation of the process, rules, and procedures related to the investigation of an allegation, and of the duties of the EIG and the EEC. [5 ILCS 430/20-63] The notification shall be transmitted to the 20-63 Complainant by letter or appropriate electronic means.
- 2) Within 30 calendar days after receipt of a case initiation form as described in § 1620.320, the EIG shall do one of 5 things:
 - A) Determine that no investigation is appropriate; or
 - B) Open an investigation file pursuant to Admin. Code § 1620.330 and commence an investigation; or
 - C) Refer the case initiation form to the appropriate EIG, the Executive Ethics Commission or other appropriate body as described in Admin. Code § 1620.340 and take no further action; or
 - D) Suspend the investigation pending review of the outcome of other proceedings; or

- E) Refer the investigation to the Executive Ethics Commission for consideration of appointment of a Special Executive Inspector General.
- 3) The OEIG shall notify a 20-63 Complainant of the EIG's decision to open or close an investigation into the relevant complaint or to refer the complaint to another appropriate agency within 5 business days after the decision is made. If, however, the EIG reasonably determines that publicly acknowledging the existence of an investigation would interfere with the conduct or completion of that investigation, the notification may be withheld until public acknowledgment of the investigation would no longer interfere with that investigation. [5 ILCS 430/20-63]

POLICY 200.5: Opening an Investigative File

The OEIG will open an investigation in accordance with certain provisions of the Ethics Act and Admin. Code, as follows:

- 1) Upon deciding to open an investigation file in accordance with Admin. Code § 1620.300(c)(4)(B), the Executive Inspector General shall promptly create an investigation file and assign the file a unique tracking number. Multiple case initiation forms that relate to the same alleged acts of misconduct may be consolidated for purposes of investigation. In the absence of a completed case initiation form, the Executive Inspector General may create an investigation file and assign the file a unique tracking number if the Executive Inspector General reasonably believes that misconduct may have occurred within the Executive Inspector General's jurisdiction. Investigations that have been closed and are reopened, involving the same alleged wrongdoing by at least one of the same persons who was the subject of the original complaint, shall be identified by the same tracking number as the initial investigation. All time limits stated in this Part shall be applied from the date of the original complaint. (See Admin. Code § 1620.330(a))
- 2) The investigation file shall contain the case initiation form, or if none, so much of the information that would normally appear on the case initiation form as is known to the Executive Inspector General at the inception of the matter. (See Admin. Code § 1620.330(b))
- 3) Investigations shall commence upon the opening of an investigation file in accordance with Admin. Code § 1620.330. Investigations shall be conducted in accordance with Section 20-20 of the Ethics Act. (See Admin. Code § 1620.350)

Each EIG shall disclose the opening of all investigation files, as described in Admin. Code § 1620.330, in writing to the Executive Ethics Commission. The disclosure shall identify the affected office, agency or agencies, the date the investigation was opened, and the investigation's unique tracking number. Reports on all investigations opened in a calendar month shall be submitted to the Commission on or before the 15th day of the following month. (See Admin. Code § 1620.300(c)(6))

An EIG shall not investigate allegations of violations of State or federal law or the Ethics Act made against an EIG (including the EIG's employees). An EIG shall not investigate allegations of violations of State or federal law or of the Ethics Act if an EIG (including the EIG's employees) could be reasonably deemed to be a wrongdoer or suspect. Instead, in such cases, the EIG shall promptly refer all such allegations to the EEC for consideration of appointment of a Special Executive Inspector General. (See Admin. Code § 1620.300(c)(2))

Notwithstanding Section 1620.330, if an EIG receives a case initiation form or other information that alleges misconduct of an officer or employee outside his or her jurisdiction, he or she shall promptly forward the case initiation form or information to the appropriate EIG, appropriate ethics commission or other appropriate body and shall keep a record of this referral and its recipients. (See Admin. Code § 1620.340)

POLICY 200.6: Electronic Tracking of Investigations

The OEIG will store data regarding the status of investigations in an electronic database in order to track the progress of each investigation according to its unique tracking number.

POLICY 200.7: Conduct of Investigations

All OEIG personnel must execute their investigative duties and responsibilities in an objective manner without regard to political affiliation or personal interests. If, for any reason, any OEIG personnel believe they cannot undertake their duties in an objective manner or may be perceived of not being able to do so, they must notify the Executive Inspector General or their designee immediately so that appropriate action may be taken.

CHAPTER III

REQUESTS FOR INFORMATION

POLICY 300.1: OEIG Requests for Documents

When requesting, for production or viewing, documents or physical objects under office or agency control relating to an OEIG investigation, all OEIG personnel must comply with Admin. Code § 1620.300, as follows:

All EIG requests for production of or viewing of documents or physical objects under office or agency control shall be made in writing; provided, however, that the Commission may exempt any EIG who functions wholly within a single office or agency from the application of this requirement upon joint petition by the EIG and the affected office or agency. A written request for documents or physical objects shall state that the recipient of the request, should the recipient believe that the release of the subject matter of the request might violate existing rights or protections under State or federal law, has the right to seek a determination from the Commission relative to such rights or protections, if desired. An EIG may take reasonable steps to seal or otherwise ensure the integrity of the requested documents or physical objects pending the Commission's determination. If security concerns demand the removal of sealed documents or physical objects, the EIG shall issue a subpoena before removal. The Commission shall consider the applicability of the right or protection asserted and issue a determination within 5 business days; provided, however that where delay for such a period could place an investigation in jeopardy, an EIG may request expedited consideration. The recipient and Commission shall maintain confidentiality about the request so as to minimize any risk of compromising the investigation. The recipient may assert any existing rights or protections under State or federal law with respect to the request, and such assertions made in good faith do not constitute failure to cooperate in an investigation. (See Admin. Code § 1620.300(c)(7))

OEIG personnel shall utilize OEIG FORM 400.1 when requesting production or viewing of documents or physical objects under office or agency control.

Staff may utilize a separate form, OEIG FORM 400.1A, when requesting production or viewing of documents or physical objects from other external sources NOT under office or agency control. The OEIG also has authority to issue subpoenas to require the appearance of witnesses or production of documents.

CHAPTER IV

CONDUCTING INTERVIEWS

POLICY 400.1: Manner of Conducting Interviews

When conducting interviews, all OEIG personnel must act in a manner consistent with Admin. Code § 1620.300(c)(10), as follows:

- 1) Interviews shall be conducted in a businesslike manner. The investigator shall avoid any personality clashes, acts of undue familiarity, abuse, or use of profanity. The investigator shall treat all persons interviewed with respect and not unduly embarrass, inconvenience, intimidate or degrade the interviewee.
- 2) Any armed State employee present shall not use firearms in any manner that might intimidate, unless anyone else in the room is physically threatened.
- 3) Interviewees enjoy all rights in the course of an interview protected by the Constitution of the United States and federal and State law.
- 4) The duty to cooperate in investigations as provided at 5 ILCS 430/20-70 does not include restriction on those rights.
- 5) In the event that the subject of an interview believes that the investigator has operated in violation of this Part, or in violation of applicable law, the interviewee may file a written objection with the EEC, setting forth with specificity the nature of the alleged violation. Within 30 days after receiving the objection, the EEC shall issue a written finding either sustaining or overruling the objection, shall appoint a Special Executive Inspector General to discover more facts (by interviewing witnesses, etc.), or shall refer the issue to an appropriate law enforcement authority. If the EEC sustains the objection, it shall issue a copy of its finding to the EIG to whom the investigator reports, as well as make public a copy of its finding. Subjects of the complaint process described in this subsection (c)([10])(E) are entitled to due process of law.

POLICY 400.2: Use of Video-Conferencing Technology for Interviews

In order to efficiently and safely conduct interviews, the OEIG may use video-conferencing technology that allows all interview participants to be seen and heard simultaneously while participating from different physical locations. OEIG personnel must comply with all rules applying to interviews during video-conferenced interviews.

POLICY 400.3: Administrative Rights

When conducting interviews, all OEIG personnel must follow Admin. Code § 1620.300(c)(8), which states the following:

An EIG desiring to interview any State officer or employee who is the subject of an EIG investigation and whom the EIG, based on the information available at the time of the interview, reasonably believes likely faces discipline shall notify the interviewee whether the underlying investigation is criminal or administrative in nature. If the underlying investigation is criminal in nature, the interviewee shall be presented a form that outlines the interviewee's rights during the interview, including the right to the presence of an attorney, union representative or coworker uninvolved in the investigation. If the underlying investigation is administrative in nature, the interviewee shall be presented a form that outlines the interviewee's rights during the interview, including the right to presence of a union representative or coworker uninvolved in the investigation. In both criminal and administrative investigations, the interviewee shall sign the form, attesting only to the fact that the form was presented to the interviewee and he or she was given the opportunity to read it. All forms presented to interviewees shall be pre-approved by the Commission. If, at any point, an interview subject requests the presence of an authorized person, or an attorney, the interview shall be suspended and a new date and time set. Evidence obtained directly or indirectly in violation of this subsection (c) is not admissible in any proceeding before the EEC.

OEIG personnel shall utilize OEIG FORM 500.3 to comply with this policy.

POLICY 400.4: Audio Recording

When conducting interviews, all OEIG personnel must follow Admin. Code § 1620.300(c)(11), which states the following:

State employees who are subjects of EIG interviews and whom the EIG, based on the information available at the time of the interview, reasonably believes likely faces discipline, shall be presented a form that outlines their rights during the interview. The form shall also clearly indicate that the interviewee has the right to refuse to consent to have the interview recorded and the right to stop the recording of the interview at any time and that refusing to consent to have the interview recorded or to stop the recording at any time shall not constitute failure to cooperate in the investigation or otherwise subject the interviewee to any discipline. The form shall also indicate that the interviewee may request at any time that the interview be recorded. If the interviewee requests at any time that the interview be recorded, the interviewer shall honor this request, stop the interview and immediately provide the employee a request to record form. Upon execution of a request to record form, the interview and all future interviews of the subject shall be recorded by mechanical, digital or other means. All forms and recordings shall be preserved, unedited, in the investigation file. Nothing in this subsection (c)(11) shall be construed to require the recording of interviews other than pursuant to an appropriately executed request of the interviewee. The interviewee shall sign the form, attesting only to the fact that the form was presented to the interviewee and he or she was given the opportunity to read it.

OEIG personnel shall utilize OEIG FORM 500.2 to comply with this policy.

POLICY 400.5: 20-63 Complainants

The EIG shall determine a reasonable time, place, and manner for a 20-63 Complainant to exercise the Complainant's right to review, in person, any transcript or interview report created from an audio recording of the Complainant's interview and shall make reasonable accommodations as necessary.

CHAPTER V

COMPLETION OF INVESTIGATIONS

Upon completion of investigations, the EIG or the EIG's designee shall write a final report summarizing the background of the investigation, the allegations, investigative steps taken and conclusions drawn. The final report shall include a recommendation regarding appropriate action. An investigation is deemed completed for purposes of this Part when all processes of internal review of the investigation and of the final report have terminated.

POLICY 500.1: Completion of Investigations – Final Report Finding Violation

Upon completion of an OEIG investigation that determines reasonable cause to believe a violation occurred, OEIG personnel will issue a summary report and otherwise comply with the procedures set forth in Admin. Code §1620.1000, as follows:

If an EIG, or the Attorney General pursuant to Section 20-50 or 20-51 of the Ethics Act, respectively, upon the conclusion of an investigation, determines that reasonable cause exists to believe that a violation has occurred, then the EIG or Attorney General, shall issue a summary report of the investigation. The report shall be delivered to the appropriate Ultimate Jurisdictional Authority and to the head of each State agency affected by or involved in the investigation, if appropriate. [5 ILCS 430/20-50]

- 1) The summary report of the investigation shall include the following:
 - A) The unique tracking number of the investigation.
 - B) A description of any allegations or other information received by the Executive Inspector General or Attorney General pertinent to the investigation.
 - C) A summary of investigative steps taken. This summary need not disclose any confidential investigation techniques.
 - D) A description of any alleged misconduct discovered in the course of the investigation.
 - E) Recommendations for any corrective or disciplinary action to be taken in response to any alleged misconduct described in the report, including but not limited to discharge.
 - F) Other information the Executive Inspector General or Attorney General deems relevant to the investigation or resulting recommendation. [5 ILCS 430/20-50(b)]
 - G) The last known mailing addresses for all subjects or, if the subjects are represented by counsel, the mailing address for their counsel.
 - H) The date of the last alleged violation of the Act or other State law, rule or policy giving rise to the investigation.

- I) Other information deemed necessary by the Commission to fulfill its duties.
- 2) The appropriate UJA or agency head shall respond to the summary report within 20 days, in writing, to the Executive Inspector General or Attorney General, as appropriate. The response shall include a description of any corrective or disciplinary action to be imposed. [5 ILCS 430/20-50] If the appropriate UJA or agency fails to respond in writing within 20 days, the Executive Inspector General or Attorney General shall inform the Commission of this failure within 5 business days.
- 3) Within 30 days after receiving a response from the appropriate UJA or agency head, the Executive Inspector General or Attorney General, as appropriate, shall:
 - A) notify the Commission and the Attorney General that he or she believes that a complaint should be filed with the Commission and submit the summary report and supporting documents to the Attorney General; or
 - B) deliver to the Commission a statement setting forth the basis for his or her decision not to file a complaint and a copy of the summary report and response from the UJA or agency head. [5 ILCS 430/20-50(c-5)]
- 4) A summary report submitted to the Commission shall be accompanied by a copy of any impact statement submitted by a 20-63 Complainant with respect to the report.
- 5) If, after reviewing the documents, the Commission believes that further investigation is warranted, the Commission may:
 - A) request that the Executive Inspector General provide additional information or conduct further investigation; or
 - B) appoint a Special Executive Inspector General; or
 - C) refer the summary report and response to the Attorney General for further investigation or review.
- 6) If, after review, the Attorney General determines that reasonable cause exists to believe that a violation has occurred, then the Attorney General may file a complaint with the EEC. If the Attorney General concludes that there is insufficient evidence that a violation has occurred, the Attorney General shall notify the EEC and the appropriate EIG. [5 ILCS 430/20-50(c-10)]
- 7) If a given investigation results in a determination by the EIG that reasonable cause exists to believe that violations of both the Ethics Act (including rules or policies adopted to implement the Ethics Act) and laws other than the Ethics Act have occurred, and if the Attorney General files a complaint with the Commission related to the Ethics Act violations, then the EIG must file its summary report as to the non-Ethics Act violations no later than 30 days after the final administrative decision is made with respect to the complaint filed by the Attorney General.

POLICY 500.2: Completion of Investigations – Final Report Finding No Violation

Upon completion of an OEIG investigation that determines there is insufficient evidence that a violation occurred, OEIG personnel will issue a summary report and otherwise comply with the procedures set forth in Admin. Code §1620.1010, as follows:

If, upon the conclusion of an investigation, an Executive Inspector General or the Attorney General determines that there is insufficient evidence that a violation has occurred, the EIG or Attorney General shall close the investigation and provide the EEC with a written statement. [5 ILCS 430/20-51]

The statement shall contain:

- 1) The unique tracking number of the investigation.
- 2) A description of any allegations or other information received by the EIG or Attorney General pertinent to the investigation.
- 3) A summary of investigative steps taken. This summary need not disclose any confidential investigation techniques.
- 4) The facts or conclusions of law that form the basis for the EIG's determination that no violation of the Ethics Act has occurred.
- 5) Recommendations for any corrective action to be taken in response to any findings made in the report, if any.
- 6) Other information the EIG deems relevant to the investigation or resulting statement.
- 7) Other information deemed necessary by the EEC to fulfill its duties.

If, after reviewing the documents, the Commission believes that further investigation is warranted, the Commission may:

- 1) request that the EIG provide additional information or conduct further investigation; or
- 2) appoint a Special Executive Inspector General; or
- 3) refer the allegations to the Attorney General for further investigation or review. [5 ILCS 430/20-51]

POLICY 500.3: Request for Written Statement of Decision to Close Investigation

The OEIG shall comply with Section 20-51 of the Ethics Act, which states, *inter alia*, that “[a]t the request of the subject of the investigation, the Inspector General shall provide a written statement to the subject of the investigation of the Inspector General’s decision to close the investigation.” The OEIG requires subjects of investigations to make such requests in written form to the OEIG.

POLICY 500.4: Request for Status of an Investigation

The OEIG shall comply with Section 20-90(c) of the Ethics Act, which states that “[i]n his or her discretion, an Executive Inspector General may notify complainants and subjects of an investigation with an update on the status of the respective investigation, including when the investigation is opened and closed.” The OEIG requires complainants and subjects of investigations to make such requests in written form to the OEIG.

CHAPTER VI

REVOLVING DOOR PROHIBITION

POLICY 600.1: Compliance with Administrative Rules

The OEIG will comply with Admin. Code § 1620.610, as follows:

- 1) Within 6 months after the effective date of PA 96-555 (August 18, 2009), each executive branch constitutional officer shall adopt a policy delineating which State positions under his or her jurisdiction and control, by the nature of their duties, may have the authority to participate personally and substantially in the award or fiscal administration of State contracts or in regulatory or licensing decisions. These policies shall be filed with the EEC and appropriate EIG. [5 ILCS 430/5-45(c)]
- 2) No later than June 1, 2010, and annually thereafter, each EIG shall report to the EEC his or her determination of any additional State positions under his or her jurisdiction, not otherwise subject to the policies required by Section 5-45(c) of the Act, that are nonetheless subject to the notification requirement of Section 5-45(f) due to their involvement in the award or fiscal administration of State contracts or in regulatory or licensing decisions. [5 ILCS 430/5-45(d)]
- 3) Any State employee in a position subject to the policies required by subsection 5-45(c) or a determination of Section 5-45(d) of the Act, but who does not fall within the prohibition of Section 5-45(h), who is offered non-State employment during State employment or within a period of one year immediately after termination of State employment shall, prior to accepting such non-State employment, notify the appropriate EIG. [5 ILCS 430/5-45(f)] The employee's notification to the appropriate EIG must include:
 - A) the employee's name;
 - B) a description of the positions the employee held in State government in the last 12 months, including the title, responsibilities, and employing State agency or agencies;
 - C) the title, description and responsibilities of the prospective employment position;
 - D) the name, description, ownership, corporate structure including its parent and any subsidiaries, and contact information of the prospective employer;
 - E) in the case of self-employment, that is, when the employee will be an independent contractor who receives compensation or fees for services provided, regardless of whether those fees are paid directly or through a third party, the employee's initial submission shall include a list of known clients with which the employee or the employee's business intends to contract. The employee must update this list for a period of one year after termination of State

employment when the employee or the employee's company intends to contract with a new client and submit the names of each additional client to both the former employee's Ethics Officer and the appropriate EIG.

- F) a statement from the Ethics Officer or Officers of the State agency or agencies employing the employee in the last 12 months that identifies any contracts the prospective employer, or its parent or subsidiaries have had with the State agency or agencies in the last 12 months, the amounts of those contracts, any regulatory or licensing decisions made by the State agency or agencies in the last 12 months that applied to the prospective employer or its parent or subsidiary, whether the employee was involved in any regulatory, licensing or contracting decisions or activities regarding the prospective employer or its parent or subsidiary within the last 12 months, and if the employee was involved, a description of that involvement. If the Ethics Officer is the employee seeking the determination or is unable for any reason to provide this statement, the EIG may consider a statement provided by another appropriate employee or officer. The statement from the ethics officer must be submitted to the appropriate EIG within 5 calendar days after receiving notification from the employee.
- 4) Within 10 calendar days after receiving notification from an employee or officer in a position subject to policies required by subsection (a), the EIG shall make a determination as to whether the State employee is restricted from accepting such employment by Section 5-45(a) or (b) of the Act. Such a determination must be in writing, signed and dated by the EIG, and delivered to the subject of the determination within 10 calendar days. [5 ILCS 430/5-45(f)]
- 5) A copy of such a determination shall also be forwarded to the ultimate jurisdictional authority, the Attorney General and the Commission. [5 ILCS 430/5-45(g)] If an Executive Inspector General fails to make a determination within 10 calendar days after receiving a notification described in subsections (c) and (d), the EIG shall report this failure to the Attorney General and the EEC immediately.
- 6) An Executive Inspector General's determination may be appealed to the Commission by the person subject to the determination or the Attorney General no later than the 10th calendar day after the date of the determination. [5 ILCS 430/5-45(g)]
 - A) The appeal filed with the EEC shall contain a copy of the EIG's written determination and a verified statement that explains the basis for arguing that the determination was in error. Copies of the appeal shall be sent to the relevant Executive Inspector General and shall also be sent to the subject of the determination, if filed by the Attorney General, or the Attorney General, if filed by the subject of the determination.
 - B) The Attorney General shall serve a complete copy of the Executive Inspector General's revolving door determination file on the appellant with a copy to the EEC within 48 hours after the appeal is filed with the EEC.

- C) Any objection to the appeal by the subject of the determination or by the Attorney General shall be filed with the EEC within 5 calendar days after the filing, unless the EEC grants an extension of time.
 - D) The EEC shall seek, accept and consider written public comments regarding a determination. A copy of the appeal will be posted on the EEC's web site and be posted at the EEC's offices, with instructions on how written public comments may be forwarded to the EEC for consideration. The EEC shall assess, in addition to any other relevant information, the effect of the prospective employment or relationship upon the decisions referred to in Section 5-45(a) or (b) of the Act, based upon the totality of the participation by the former officer or employee in those decisions. [5 ILCS 430/5-45(g)]
 - E) The EEC shall decide whether to uphold an EIG's determination within 10 calendar days after receiving the appeal. Copies of the EEC's decision shall be sent to the former officer or employee, the Attorney General, the relevant EIG, and the ultimate jurisdictional authority.
- 7) Any State employee in a position subject to the policies required by Section 5-45(c) or a determination of Section 5-45(d) of the Act, who is offered non-State employment during State employment or within a period of one year immediately after termination of State employment, but fails to provide the required notice set forth in subsection (c), shall be subject to a fine pursuant to Section 50-5(e) of the Act [5 ILCS 430/5-45(f)].
 - 8) Any employee or officer who receives offers of non-State employment during State employment or within a period of one year immediately after termination of State employment and who is concerned about the effect of accepting the employment offer vis-à-vis the revolving door prohibition may seek a determination as provided in this Section.

POLICY 600.2: OEIG Revolving Door Forms

Pursuant to Admin. Code § 1620.610, the OEIG has made available on its website² and attached to this Manual OEIG FORMS RD-101 (to be submitted by the individual subject to the revolving door prohibitions), RD-102 (to be submitted by the appropriate Ethics Officer), and RD-103 (which may be submitted by the prospective employer). The contents of OEIG Revolving Door Forms are consistent with Admin. Code § 1620.610 set forth above.

² Available at [Instructions and Forms \(illinois.gov\)](http://Instructions and Forms (illinois.gov))

CHAPTER VII

MANDATED REPORTING

POLICY 700.1: Compliance with Mandated Reporting

The OEIG will provide reports to the EEC consistent with Admin. Code § 1620.300(c)(6), which states:

Each EIG shall disclose the opening of all investigation files, as described in Section 1620.330, in writing to the EEC. The disclosure shall identify the affected office, agency or agencies, the date the investigation was opened, and the investigation's unique tracking number. Reports on all investigations opened in a calendar month shall be submitted to the EEC on or before the 15th day of the following month.

POLICY 700.2: Quarterly and Six-Month Status Reports

The OEIG will provide reports to the EEC consistent with Admin. Code § 1620.810, as follows:

- 1) Each EIG shall file a quarterly activity report with the EEC that reflects investigative activity during the previous quarter on or before January 15, April 15, July 15 and October 15 of each year. The activity report shall include:
 - A) the number of investigations opened during the preceding quarter, the affected offices or agencies, and the unique tracking number for new investigations;
 - B) the number of investigations closed during the preceding quarter, the affected offices or agencies, and the unique tracking number for closed investigations;
 - C) the status of each on-going investigation that remained open at the end of the quarter, the affected office, agency or agencies, the investigation's unique tracking number, the date opened, and a brief statement of the general nature of the investigation at the time the status report is filed. [5 ILCS 430/20-65(a)];
 - D) a statement of the amount of public funds at risk of loss as a result of the alleged misconduct under investigation;
 - E) a statement of whether the alleged misconduct may give rise to criminal penalties. If law enforcement was notified of the allegations, the report should indicate the date of the notification and the identity of the law enforcement entity notified. If law enforcement was not notified, the report should explain why notification has not occurred; and
 - F) other information deemed necessary by the EEC to fulfill its duties.

- 2) On January 15, April 15, July 15 and October 15 of each year, the Attorney General shall submit a report to the EEC indicating:
 - A) the number of complaints received from each EIG since the date of the last report;
 - B) the number of complaints for which the Attorney General has determined reasonable cause exists to believe that a violation has occurred since the date of the last report; and
 - C) the number of complaints still under review by the Attorney General. [5 ILCS 430/20-86]
- 3) If any investigation is not concluded within 6 months after its initiation, the appropriate EIG shall file a 6-month report with the EEC by the 15th day of the month following it being open for 6 months. The 6-month report shall disclose:
 - A) The general nature of the allegation or information giving rise to the investigation (and present allegations or information being investigated, if different), the job title or job duties of the subjects of the investigation, and the investigation's unique tracking number.
 - B) The date of the last alleged violation of this Act or other State law giving rise to the investigation.
 - C) Whether the EIG has found credible any allegations of criminal conduct.
 - D) Whether the allegation has been referred to an appropriate law enforcement agency and the identity of the law enforcement agency to which those allegations were referred.
 - E) If an allegation has not been referred to an appropriate law enforcement agency, the reason for the failure to complete the investigation within 6 months, a summary of the investigative steps taken, additional investigative steps contemplated at the time of the report, and an estimate of additional time necessary to complete the investigation. [5 ILCS 430/20-65(b)]
 - F) A statement of the amount of public funds at risk of loss as a result of the alleged misconduct under investigation, if the amount of loss is greater than \$5,000.
 - G) If an ultimate jurisdictional authority is a subject of the investigation reported under this Section, the EIG shall inform the EEC separately of this fact.
 - H) Any other information deemed necessary by the EEC in determining whether to appoint a Special Executive Inspector General. The Commission may direct the EIG to provide the EEC a complete copy of any investigation file. When additional information is needed to determine whether a Special Executive Inspector General should be appointed, the EEC deems the EIG's disclosure of the additional information to the EEC to be "necessary" as provided at 5 ILCS

430/20-95(d).

- 4) The EIG shall continue to report each investigation not concluded within 6 months on the 15th day of each month, in accordance with subsection (c), until the investigation has been concluded. Each monthly report shall contain a personal verification by the EIG stating: "I have read this report and after thorough examination I believe that this report contains a complete and accurate listing of all investigations required by 2 Ill. Adm. Code 1620.810(c)."
- 5) If an EIG has referred an allegation to an appropriate law enforcement agency and continues to investigate the matter, the future reporting requirements of this Section are suspended. [5 ILCS 430/20-65(c)]
- 6) All reports shall be provided to the EEC in paper form, electronically or both, as directed by the EEC.

CHAPTER VIII

FILING A COMPLAINT WITH THE EEC

POLICY 800.1: Filing a Complaint with the Executive Ethics Commission

The OEIG will comply with the provisions of Admin. Code § 1620.300(e), which states as follows:

Any person may complain to the EEC, in writing, concerning an EIG's alleged violation of the Act or this Part. Upon receipt of a complaint, the EEC may notify the EIG and require the EIG to provide information related to the investigation in order to determine whether any conduct has occurred that would require the EEC to appoint a Special Executive Inspector General pursuant to 5 ILCS 430/20-21. Under those circumstances, the EEC deems the EIG's disclosure of that information to the EEC to be "necessary" as provided at 5 ILCS 430/20-95(d).

POLICY 800.2: Seeking Advice

The OEIG will comply with the provisions of Admin. Code § 1620.300(c)(9), which states as follows:

No EIG shall infringe upon the right of employees or officers to seek advice from their agency ethics officer on the interpretation and implementation of the Act, or to seek advice from private legal counsel.

APPENDIX

OEIG FORMS

TABLE OF FORMS

FORM 300.4A	Complaint Form
FORM 300.4B	Complaint Form (Spanish version)
FORM 400.1	Request for Documents or Physical Objects
FORM 400.1A	External Request for Documents or Physical Objects
FORM 500.2	Request (Consent) to Record Interview
FORM 500.3	Administrative Rights – State Employees
FORM RD-101	Revolving Door Notification of Offer Form
FORM RD-102	Ethics Officer’s Revolving Door Statement
FORM RD-103	Prospective Employer or Client Form



COMPLAINT

Please type or print clearly below. Return completed form to: Office of Executive Inspector General, Division of Investigations, 69 West Washington Street, Suite 3400, Chicago, IL 60602. Our toll-free hotline number is (866)814-1113. TTY: 1-888-261-2734.

(Your) Contact Information

The OEIG does accept anonymous complaints, however our inability to discuss this matter with you directly may hinder our ability to investigate this complaint.

Name: * _____ Date: _____

*The OEIG accepts anonymous complaints

Age: _____ Sex: ☐ M ☐ F

Address: _____
Street Address

City _____ State _____ Zip Code _____

Home Phone: _____ Business Phone: _____

Other Phone: _____ Email Address: _____

What is your preferred method of contact? _____

Are you employed by the State of Illinois, a State public university, CTA, Metra, Pace, or RTA? ☐ Yes ☐ No

If yes, which agency? _____ Job Title: _____

Is your complaint against an employee(s), agency, or someone doing business with the State of Illinois, a State public university, CTA, Metra, Pace, RTA, or one of the Regional Development Authorities? ☐ Yes ☐ No

If yes, which agency? _____

Have you notified any other federal, State, or local agency of your complaint or filed a lawsuit or grievance related to these matters? ☐ Yes ☐ No

If yes, with which agency did you file a complaint? _____

What is the complaint number? _____ Has your complaint been resolved? ☐ Yes ☐ No

If yes, briefly summarize the results:

Have you previously filed a complaint with the OEIG? ☐ Yes ☐ No

If yes, please list any known OEIG case numbers: _____

Is this complaint related to your previously filed OEIG complaint? ☐ Yes ☐ No

Please be aware that your complaint(s) may be referred to other government agencies including the agency referred to in your complaint.

If your complaint is referred, do you consent to the release of your identity as the complainant? ☐ Yes ☐ No

If the OEIG conducts an investigation and issues a report, do you consent to being identified as the complainant in that report? ☐ Yes ☐ No

Subject Information (person(s) against whom you are complaining)

Subject's Name: _____ Phone: _____

Approximate Age: _____ Sex: ☐ M ☐ F

Address:

Street Address

City

State

Zip Code

Agency Employed: _____ Job Title: _____

Additional Information: _____

Subject's Name: _____ Phone: _____

Approximate Age: _____ Sex: ☐ M ☐ F

Address:

Street Address

City

State

Zip Code

Agency Employed: _____ Job Title: _____

Additional Information: _____

Subject's Name: _____ Phone: _____

Approximate Age: _____ Sex: ☐ M ☐ F

Address:

Street Address

City

State

Zip Code

Agency Employed: _____ Job Title: _____

Additional Information: _____

Subject's Name: _____ Phone: _____

Approximate Age: _____ Sex: ☐ M ☐ F

Address:

Street Address

City

State

Zip Code

Agency Employed: _____ Job Title: _____

Additional Information: _____

Complaint Information

Please summarize your complaint, including the date and time of alleged incident(s) (please attach any documentation or other evidence in support of your complaint):

Please list other person(s) who could be a witness to the misconduct you have alleged:

Name	Any identifying information (Agency, Title, Telephone Number, etc.)
Name	Any identifying information (Agency, Title, Telephone Number, etc.)
Name	Any identifying information (Agency, Title, Telephone Number, etc.)

Please list any additional individuals who were subjected to the alleged misconduct:

Name	Any identifying information (Agency, Title, Telephone Number, etc.)
Name	Any identifying information (Agency, Title, Telephone Number, etc.)
Name	Any identifying information (Agency, Title, Telephone Number, etc.)

Complaint Taken By:*

*To be completed by the OEIG

Illinois law provides that the identity of any individual providing information to an Executive Inspector General shall be kept confidential and may not be disclosed without the consent of that individual or when disclosure of the individual's identity is otherwise required by law. 5 ILCS 430/20-90(a). Illinois law states that any person who intentionally makes, to an Executive Inspector General, a false report alleging misconduct is guilty of a Class A misdemeanor. 5 ILCS 430/50-5(d).



QUEJA

Por favor escriba o imprima claramente. Envíe la forma completa a la: Oficina del Inspector Ejecutivo General, División de Investigaciones, 69 West Washington Street, Suite 3400, Chicago, IL 60602. Nuestro número gratuito es el (866) 814 -1113. (TTY) 1-888-261-2734

(Su) Información de Contacto

Nombre:* _____ Fecha: _____

*La OEIG acepta quejas anónimas, sin embargo, nuestra incapacidad para discutir este asunto con usted directamente puede obstaculizar nuestra capacidad para investigar esta queja

Edad: _____ Sexo: ☐ M ☐ F

Dirrección: _____

Numero de Domicilio _____

Ciudad _____

Estado _____

Código Postal _____

Número de
teléfono casero: _____

Número de
negocio: _____

Otro número: _____

Correo
electrónico: _____

¿Cuál es su método preferido de contacto? _____

¿Estas empleado por el estado de Illinois, una universidad pública del estado, CTA, Metra, Pace, o RTA? ☐ Sí ☐ No

¿Si sí, en qué agencia? _____

Nombre del Puesto: _____

¿Es su queja contra un empleado(s), agencia, o alguien que hace negocio con el Estado de Illinois, Universidad pública estatal, CTA, Metra, Pace, RTA o una de las Autoridades de Desarrollo Regional? ☐ Sí ☐ No

¿Si sí, en qué agencia? _____

¿Ha notificado otra agencia federal, agencia local o del estado, de su queja o ha archivado una demanda o un agravio relacionado con esta queja? ☐ Sí ☐ No

¿Si sí, con qué agencia se ha quejado? _____

¿Cuál es el número de la queja? _____ ¿Su queja ha sido resuelto? ☐ Sí ☐ No

En caso afirmativo, resume brevemente los resultados:

¿Ha archivado previamente una queja con nuestra oficina? ☐ Sí ☐ No

¿Si sí, anote por favor el número de su queja? _____

¿Su queja es relacionada con la queja previamente archivada? ☐ Sí ☐ No

Por favor esté consiente que su queja podra ser remitido ha otra agencia del gobierno estatal incluyendo a la agencia identificado en su queja.

¿Si su queja se refiere, usted da su consentimiento para la publicacion de su identidad como el demandante?

☐ Sí ☐ No

¿Si la OEIG lleva a cabo una investigacion y emite un informe, usted da su consentimiento para ser identificado como el demandante?

☐ Sí ☐ No

Nombre del sujeto (persona(s) contra quien usted se queja)

Nombre del sujeto: _____

Teléfono: _____

Edad Aproximada: _____

Sexo: ☐ M ☐ F

Dirección: _____

Numero de Domicilio _____

Ciudad _____

Estado _____

Código Postal _____

Agencia de Empleo: _____

Nombre del Puesto: _____

Información Adicional: _____

Nombre del sujeto: _____

Teléfono: _____

Edad Aproximada: _____

Sexo: ☐ M ☐ F

Dirección: _____

Numero de Domicilio _____

Ciudad _____

Estado _____

Código Postal _____

Agencia de Empleo: _____

Nombre del Puesto: _____

Información Adicional: _____

Nombre del sujeto: _____

Teléfono: _____

Edad Aproximada: _____

Sexo: ☐ M ☐ F

Dirección: _____

Numero de Domicilio _____

Ciudad _____

Estado _____

Código Postal _____

Agencia de Empleo: _____

Nombre del Puesto: _____

Información Adicional: _____

Nombre del sujeto: _____

Teléfono: _____

Edad Aproximado: _____

Sexo: ☐ M ☐ F

Dirección: _____

Numero de Domicilio _____

Ciudad _____

Estado _____

Código Postal _____

Agencia de Empleo: _____

Nombre del Puesto: _____

Información Adicional: _____

QUEJA INFORMACIÓN

Por favor resumen su queja, incluya la fecha(s) y la hora(s) de incidentes alegados (por favor incluya cualquier documentación disponible que podra ayudar su queja):

Por favor lista otras personas que podrían ser testigo de la mala conducta que usted ha alegado:

Nombre	Cualquier información de identificación (agencia, título, número de teléfono, etc.)
Nombre	Cualquier información de identificación (agencia, título, número de teléfono, etc.)
Nombre	Cualquier información de identificación (agencia, título, número de teléfono, etc.)

Por favor lista otras personas que hayan sido objeto de la presunta mala conducta:

Nombre	Cualquier información de identificación (agencia, título, número de teléfono, etc.)
Nombre	Cualquier información de identificación (agencia, título, número de teléfono, etc.)
Nombre	Cualquier información de identificación (agencia, título, número de teléfono, etc.)

Queja tomada por:*

*Rellenar por la OEIG

La ley de Illinois establece que la identidad de cualquier persona que proporciona la información a un Inspector General Ejecutivo será confidencial y no podrá ser divulgada sin el consentimiento de esa persona o cuando la divulgación de la identidad del individuo se lo requiera la ley. 5 ILCS 430/20-90(a). La ley de Illinois establece que cualquier persona que hace intencionalmente, a un Inspector General Ejecutivo, un informe falso alegando mala conducta es culpable de un delito menor Clase A. 5 ILCS 430/50-5(d).



Office of Executive Inspector General
for the Agencies of the Illinois Governor
www.inspectorgeneral.illinois.gov

REQUEST FOR DOCUMENTS OR PHYSICAL OBJECTS

To:

Agency:

Address:

Date:

Case Number:

RFD Number:

The Office of Executive Inspector General for the Agencies of the Illinois Governor ("OEIG") is conducting an official investigation. Our investigation involves the collection of information that may be in your possession or control. Pursuant to the authority granted the OEIG under 5 ILCS 430/20-20(2) and Illinois Administrative Code tit. 2, § 1620.300 (2010), we request that you produce the following documents or physical objects in your agency's custody or control:

[Click here to enter text.](#)

If applicable, we ask that you produce the requested information, separated as indicated by the enumerated points above, on or before: _____

Please indicate in writing if a requested document(s) does not exist.

If you believe the release of the above-listed documents or subject matter of this request might violate existing rights or protections under State or federal law, or is personal or confidential in nature, legally privileged or otherwise sensitive, you may seek a determination from the Illinois Executive Ethics Commission ("EEC") relative to such rights or protections. You may assert any existing rights or protections under State or federal law with respect to the request, and such assertions made in good faith do not constitute failure to cooperate with this investigation.

If, in the judgment of the Executive Inspector General, security concerns demand the removal of documents or physical objects, the Executive Inspector General shall issue a subpoena for the immediate seizure and removal of the evidence. If at the time of seizure, you notify the OEIG of your appeal to the EEC, then the OEIG will hold the evidence under seal pending the decision of the Commission.

Evidence obtained by the OEIG in violation of the governing administrative rule will be inadmissible in any proceeding before the EEC.

If you have any questions, please contact the below OEIG staff member.

Submitted by: _____



Office of Executive Inspector General
for the Agencies of the Illinois Governor
www.inspectorgeneral.illinois.gov

EXTERNAL REQUEST FOR DOCUMENTS OR PHYSICAL OBJECTS

To:

Address:

Date:

Case Number:

RFD Number:

The Office of Executive Inspector General for the Agencies of the Illinois Governor (“OEIG”) is conducting an official investigation. Our investigation involves the collection of information that may be in your possession or control. Pursuant to the authority granted the OEIG under 5 ILCS 430/20-20(2), we request that you produce the following documents or physical objects in your custody or control:

[Click here to enter text.](#)

If applicable, we ask that you produce the requested information, separated as indicated by the enumerated points above, on or before: _____

Please indicate in writing if a requested document(s) does not exist.

If you have any questions, please contact the below OEIG staff member.

Submitted by: _____



Office of Executive Inspector General
for the Agencies of the Illinois Governor
www.inspectorgeneral.illinois.gov

REQUEST (CONSENT) TO RECORD INTERVIEW

Date: _____ Location: _____ Case Number: _____

I/We _____

of (City, State) _____

hereby **authorize** investigator(s) _____ and _____

from the Executive Inspector General for the Agencies of the Illinois Governor to record our
interview/conversation on (Date) _____ at _____ am/pm.

I understand that I am not required to consent to such recording but have been asked whether I am
willing to consent. I have given this written permission to the above-named investigator(s) freely
and voluntarily and without threats or promises of any kind.

Interviewee's Signature

Representative's Signature

Interviewee's Name (printed)

Representative's Name (printed)

**NOTICE: You have the right to refuse to have the interview recorded. You have the right
to stop the recording of the interview at any time. Refusing to consent to have the interview
recorded or stopping the recording at any time shall not constitute failure to cooperate in the
investigation or otherwise subject you to any discipline or penalty. However, asking to stop
the recording **WILL NOT STOP THIS INTERVIEW**. At any time, you may request that
the interview be recorded.**

I understand that I am not required to consent to such recording but have been asked whether I am
willing to consent.

At this time I DO NOT CONSENT to the recording of this interview.

Interviewee's Signature

Representative's Signature

Interviewee's Name (printed)

Representative's Name (printed)



Office of Executive Inspector General
for the Agencies of the Illinois Governor
www.inspectorgeneral.illinois.gov

ADMINISTRATIVE RIGHTS– STATE EMPLOYEES

NAME _____ DEPT _____ TITLE _____

DATE _____ TIME _____ CASE NUMBER _____

I understand that I am here today to be interviewed by _____ and _____ from the Office of Executive Inspector General for the Agencies of the Illinois Governor.

I have been informed that this is an administrative investigatory interview and I understand that this investigatory interview is part of an official administrative inquiry, and that pursuant to the State Officials and Employees Ethics Act, 5 ILCS 430/20-70, I am obligated to cooperate.

I further understand that:

- Refusal to cooperate in this investigatory interview could subject me to disciplinary action, up to and including discharge.
- As part of my duty to cooperate, the OEIG is requesting that I keep any information learned as part of this interview confidential.
- My duty to cooperate and the OEIG's request to keep any information learned as part of this investigation confidential still requires me to inform any other investigative or auditing authority, *e.g.*, the Illinois Auditor General, about any knowledge or information I may have regarding fraud, abuse or other misconduct.
- Any false, inaccurate, or deliberately incomplete statements by me, or my refusal to answer, could result in disciplinary action up to and including discharge.
- Any statement made by me in the course of this interview could be used as the basis for disciplinary action up to and including discharge.
- Statements made by me during the course of this administrative interview, and the fruits thereof, **CANNOT** be used against me in a subsequent criminal proceeding.
- I may have a union representative, attorney, or coworker uninvolved in the investigation present with me at this investigatory interview.

I also understand that I have the right to have this interview audio-recorded and the right to decline to have it recorded. Withholding consent to audio-record this interview does not amount to non-cooperation. By affixing my signature I am acknowledging that this form was presented to me and I have had a full opportunity to read it and that I understand my administrative rights.

Interviewee

Date

Witness

Date

Witness

Date



Revolving Door Notification of Offer (RD-101)

(Please print or type)

Please note that, if your state position has been identified as being subject to Section 5-45(c) of the State Officials and Employees Ethics Act, 5 ILCS 430/5-45(c), you are required to submit this form to the OEIG, notify your state employer's ethics officer, and receive a determination from the OEIG before accepting any new offer of employment or any new offer from a prospective client that you receive during the period extending to one year after the date of termination of your state employment.

I. Personal Information

State employee's or former state employee's full name*:

*"State employee" includes employees of the Regional Transportation Authority, the Chicago Transit Authority, Metra, and Pace.

Personal street address:

City:

State:

Zip code:

Home phone:

Personal cell phone:

State work phone or cell phone:

Personal e-mail:

State e-mail:

Date of hire by state:

Date of birth:

Date of hire by last state agency for which you worked:

End date or anticipated end date of state employment:

II. State Employment Information

State employment status:

I am notifying the OEIG of an employment offer because (check all that apply):

☐

Current state employee

☐

Former state employee

☐

I participated in the issuance or fiscal administration of contracts or change orders.

☐

I participated in regulatory or licensing decisions.

☐

I am required to notify the OEIG under 5 ILCS 430/5-45(f).

Provide the following information for all job/working titles you held during the past year. Use a separate sheet if necessary.

Position 1

Position 2

Job/working title:

Job/working title:

State agency:

State agency:

Responsibilities:

Responsibilities:

Supervisor name:

Supervisor name:

Supervisor title:

Supervisor title:

Supervisor phone:

Supervisor phone:

Dates position held:

to

Dates position held:

to

III. Prospective Employment Information

*If you will be self-employed, that is, if you expect to receive remuneration directly from one or more of your own clients, please skip this section and go to Section IV.

Prospective employer's name: Supervisor name:

Job/working title: Supervisor phone:

Responsibilities:

Describe your prospective employer and its ownership and corporate structure, including the identity of its parents and subsidiaries, if any (use a separate sheet if necessary):

IV. Prospective Client Information

*Complete this section only if you expect to receive remuneration directly from one or more of your own clients. You are required to submit a separate RD-101 form for each prospective client.

Prospective client's name:

Services to be provided:

Describe the prospective client, and, if applicable, its ownership and corporate structure, including the identity of its parents and subsidiaries, if any (use a separate sheet if necessary):

V. General Questions

Please answer "Yes" or "No" to each of the following questions.

	Yes	No
1) In the year prior to termination of state employment, did you have authority to execute, or authority to approve the award of, any contracts, grants, or change orders?	<input type="checkbox"/>	<input type="checkbox"/>
2) In the year prior to termination of state employment, did you supervise anyone with authority to execute, or authority to approve the award of, any contracts, grants, or change orders?	<input type="checkbox"/>	<input type="checkbox"/>
3) In the year prior to termination of state employment, did you participate in or were you a member of any committees or work groups that participated in the awarding of contracts, grants, or change orders?	<input type="checkbox"/>	<input type="checkbox"/>

- | | Yes | No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 4) In the year prior to termination of state employment, did you have the authority to participate in the fiscal administration of any contracts, grants, or change orders? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5) In the year prior to termination of state employment, did you supervise anyone with the authority to participate in the fiscal administration of any contracts, grants, or change orders? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6) In the year prior to termination of state employment, did you have the authority to issue regulatory or licensing decisions? | <input type="checkbox"/> | <input type="checkbox"/> |
| 7) In the year prior to termination of state employment, did you supervise anyone with the authority to issue regulatory or licensing decisions? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8) In the year prior to termination of state employment, did you participate in or were you a member of any committees or work groups that participated in any regulatory or licensing decisions? | <input type="checkbox"/> | <input type="checkbox"/> |

For all questions to which you answered "Yes," please provide a detailed description of the activities that resulted in a "Yes" answer. Please indicate the question number on which you are elaborating. Use a separate sheet if necessary.

VI. Employee's Contracting Involvement with Prospective Employer or Client

Please answer "Yes" or "No" to each of the following questions, even if you have answered "No" to all of the questions in Section V. If you will be self-employed, please complete a separate RD-101 form for each prospective client.

- | | Yes | No |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1) In the year prior to termination of state employment, did you have any interaction with employees or agents of the prospective employer or client, or its parent or subsidiary, other than interviewing for the prospective employment or business relationship? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2) In the year prior to termination of state employment, did you participate, in any way, in a decision to award your prospective employer or client, its parent, or its subsidiary a contract, grant, or change order? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3) In the year prior to termination of state employment, did you approve, negotiate, request, recommend or give advice on any: statements of work, solicitations, purchase orders, payments, invoices, contract or grant terms, reimbursement rates, requests for proposals (RFPs), invitations for bid (IFBs), procurement business cases (PBCs), or contract/grant specifications that involved your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4) In the year prior to termination of state employment, did you administer a contract, grant or change order or serve as a contact person for a contract, grant, or change order that involved your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5) In the year prior to termination of state employment, did you process any paperwork for a contract, grant, or change order that involved your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6) In the year prior to termination of state employment, did you order any products or services from your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |
| 7) In the year prior to termination of state employment, did you approve payments for products or services received from your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |

- | | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 8) In the year prior to termination of state employment, did you supervise any individual who participated or may have participated in the activities described in Questions 1-7 in this section? | <input type="checkbox"/> | <input type="checkbox"/> |
| 9) In the year prior to termination of state employment, were you a member of any committees or work groups that participated or may have participated in the activities described in Questions 1-7 in this section? | <input type="checkbox"/> | <input type="checkbox"/> |

For all questions to which you answered "Yes," please provide a detailed description of the activities that resulted in a "Yes" answer. Please indicate the question number on which you are elaborating. Use a separate sheet if necessary.

VII. Employee's Regulatory/Licensing Involvement with Prospective Employer or Client

Please answer "Yes" or "No" to each of the following questions, even if you answered "No" to all of the questions in Section V. If you will be self-employed please complete a separate RD-101 for each prospective client.

- | | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1) In the year prior to termination of state employment, were you responsible for preparing, initiating, or in any way participating in a licensing or regulatory decision with respect to your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2) In the year prior to termination of state employment, did you inspect, review, survey, or otherwise evaluate the premises or operations of your prospective employer or client, its parent, or its subsidiary? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3) In the year prior to termination of state employment, did you set any fee rates or fine rates that may have affected your prospective employer or client, its parent, or its subsidiary. | <input type="checkbox"/> | <input type="checkbox"/> |
| 4) In the year prior to termination of state employment, did you supervise anyone who may have participated in the activities described in Questions 1-3 in this section? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5) In the year prior to termination of state employment, did you sit on any committees or work groups that may have participated in the activities described in Questions 1-3 in this section? | <input type="checkbox"/> | <input type="checkbox"/> |

For all questions to which you answered "Yes," please provide a detailed description of the activities that resulted in a "Yes" answer. Please indicate the question number on which you are elaborating. Use a separate sheet if necessary.

VIII. Additional Information

Is there any additional information that might be relevant and helpful to the OEIG in making a determination of eligibility for employment or compensation? If so, please state it here. Use a separate sheet if necessary.

IX. Certification

I certify that the statements set forth in this Revolving Door Notification of Offer and all attachments are true and correct, and reflect the full extent of my participation in the award or fiscal administration of any state contracts, grants or change orders, or in the issuance of regulatory or licensing decisions applicable to the prospective employer or client, or its parent or subsidiary, during the year preceding termination of my state employment.

Signature

Print Name

Date

X. Instructions For Submission

Please submit a completed copy of this form to both your Ethics Officer and the OEIG and provide a blank RD-103 to your prospective employer or prospective client(s).

Please send your completed forms to the OEIG at oig.revolvingdoor@illinois.gov. If you are unable to deliver this form via email, please call us at 312-814-5600 for further instructions.



Ethics Officer's Revolving Door Statement (RD-102)

(Please print or type)

Please provide the information requested in Section III below based on the agency's records and/or Ethics Officer's knowledge, not the employee's RD-101. Pursuant to Ill. Admin. Code Tit. 2, §1620.610(c)(6) (2012), this statement must be submitted to the OEIG within 5 calendar days of receiving notification (the RD-101 form) from the employee or former employee.

I. State Employee or Former State Employee's Information

Full name of state employee or former state employee* to whom employment or compensation offer has been made:

*"state employee" includes employees and former employees of the Regional Transportation Authority, the Chicago Transit Authority, Metra, and Pace.

State employee's or former state employee's start date with your agency:

State employee's or former state employee's end date or anticipated end date with your agency:

State employee's or former employee's job/working title with your agency:

Describe the state employee's or former state employee's job duties with your agency (please attach job description if available):

II. Ethics Officer's Information

Ethics Officer's name:

Ethics Officer's agency title:

Mailing street address:

City:

State:

Zip code:

Phone number:

Fax:

E-mail address:

Date you received notification (the completed RD-101 form) from the state employee or former state employee:

III. Prospective Employer's Information

Please provide the information requested below regarding the state employee's or former state employee's prospective employer. If the state employee or former state employee intends to be self-employed, please complete a separate RD-102 form for each prospective client that the state employee or former state employee has identified in his/her RD-101 form(s).

Name of prospective employer or, if state employee or former state employee will be self-employed, name of prospective client:

Names of any parent or subsidiaries of prospective employer or prospective client of which the Ethics Officer is aware:

1) Please list and describe any contracts, grants, purchase orders, invoices or change orders the prospective employer or prospective client, its parent, or its subsidiary held or was awarded by the employee's agency during the year prior to the state employee's termination of state employment, including amounts and dates. Use a separate sheet if necessary.

2) Please list any regulatory or licensing decisions the employee's agency has made that applied to the prospective employer or prospective client, its parent, or its subsidiary during the year prior to the state employee's termination of state employment. Use a separate sheet if necessary.

3) Please describe, if any, the state employee's or former state employee's involvement with, or administration of, contracts, grants, or change orders, or regulatory or licensing processes at your agency during the year prior to the state employee's termination of state employment. Use a separate sheet if necessary.

4) Please indicate whether the state employee's or former state employee's position has been identified under Section 5 ILCS 430/5-45(c) of the State Officials and Employees Ethics Act as a position that may have the authority to participate personally and substantially in the award or fiscal administration of state contracts, grants, or change orders or in licensing and regulatory decisions.

☐ Yes ☐ No

5) Please state whether you, as Ethics Officer, have any information not previously disclosed that may be relevant to the OEIG's determination of whether the state employee or former state employee should be barred from accepting the employment or compensation offer:

☐ Yes ☐ No

6) If you answered "Yes" to Question 5, please explain and include, if applicable, a description of any conflicts or other issues related to the employment or compensation offer that are of concern to you. Use a separate sheet if necessary.

Signature

Name (Please print or type)

Date:

IV. Instructions for Submission

You may send your completed form to the OEIG at oig.revolvingdoor@illinois.gov.



Prospective Employer or Client Form (RD-103)

(please print or type)

The Office of Executive Inspector General (OEIG) thanks you for your cooperation in completing this form. Pursuant to the revolving door provisions of the State Officials and Employees Ethics Act (5 ILCS 430/5-45), the OEIG will use this information to make a determination as to whether the current or former state employee (or "prospective employee or contractor") is restricted from accepting employment with or compensation from you or your company or entity. The information that you provide on this form will be used only for that purpose.

I. Prospective Employer's Information

Name of prospective employee or contractor:

Official name of prospective employer's or client's company, business or entity:

Prospective employer's or client's web address:

Prospective employer's or client's contact person:

Contact person's title:

Phone:

Contact person's business address:

City:

State:

Zip Code:

Contact person's e-mail address:

Date employment, business relationship or compensation was offered to the prospective employee or contractor:

What is the prospective employee's or contractor's anticipated start date?:

What is the prospective employee's anticipated job title (if applicable)?:

Name of the immediate supervisor for the prospective job (if known or applicable):

Describe the prospective employee's or contractor's anticipated duties and responsibilities, or services to be provided:

Offered annual compensation or contract amount:

☐

\$1 - \$30,000

☐

\$30,001 - \$50,000

☐

\$50,001 - \$75,000

☐

\$75,001 - \$100,000

☐

More than \$100,000

☐

Salary plus commission

☐

Other

What is the prospective employer's or client's corporate structure (corporation, partnership, non-profit, etc.) and who are its owners or board members? Use a separate sheet if necessary.

List any parent or subsidiaries of the prospective employer or client. Use a separate sheet if necessary.

II. Prospective Employee's Interaction with Prospective Employer

Please answer "Yes" or "No" to each of the following questions:

- | | Yes | No |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1) In the year prior to the prospective employee's or contractor's termination of state employment, did employees or agents of the prospective employer or client, its parent, or its subsidiary interact with the prospective employee or contractor, other than during the interview or negotiation process? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2) In the year prior to the prospective employee's or contractor's termination of state employment, did the prospective employer or client, its parent, or its subsidiary hold or receive any contracts (including renewals), grants, or change orders from a state agency with which the prospective employee or contractor was employed? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3) In the year prior to the prospective employee's or contractor's termination of state employment, did the prospective employer or client, its parent, or its subsidiary request or receive payments or orders for goods or services from a state agency with which the prospective employee or contractor was employed? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4) In the year prior to the prospective employee's or contractor's termination of state employment, was the prospective employer or client, its parent, or its subsidiary subject to any licensing or regulatory actions by a state agency with which the prospective employee or contractor was employed. | <input type="checkbox"/> | <input type="checkbox"/> |
| 5) If you answered "yes" to any of Questions 2-4, please indicate whether the prospective employee or contractor had any role, no matter how minor, in those contracting actions (including in the administration or the award of grants or change orders) or regulatory/licensing actions. | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered "Yes" to any of questions 1-5 above, please describe, in detail, the circumstances and facts that caused you to answer "Yes." Use an additional sheet if necessary.

Signature

Name and Title (please print or type):

Date:

III. Instructions for Submission

You may send your completed form to the OEIG at oig.revolvingdoor@illinois.gov.



Ethics | Integrity | Illinois

Hotline 1-866-814-1113

TTY 1-888-261-2734

Online: oeig.illinois.gov

Chicago Office
69 West Washington Street, Ste 3400
Chicago, IL 60602
(312) 814-5600 phone

Springfield Office
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Springfield, IL 62701-1634
(217) 558-5600 phone