

Becoming a Compliance Champion: Practical Tips for Fostering Compliance in Your State Agency

Georgia Man, Chief Compliance Officer, Office of the Governor
Nathan Maddox, Executive Inspector General, Office of the Secretary of State

Overview

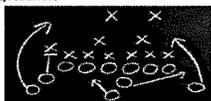
1. Background – What role does compliance play in helping state government operate more ethically and effectively?
2. Fostering core compliance values – TEAM Illinois
3. Compliance champion toolkit – practical tips for promoting an environment of compliance
4. Questions / further discussion

Background

- Many compliance issues have been neglected across State government, leading to operational and legal issues and driving up costs
- In the private sector, internal compliance has taken on prominent role in (1) helping companies identify and prevent malfeasance, and (2) implementing proactive, forward-thinking risk management to drive efficiency and reduce costs and legal risks
- The Executive Branch needs more uniform policies and procedures to give agency management teams the tools to fix problems and mitigate future risk
- Compliance program will assist agencies in developing internal controls to comply with federal, state, administrative, ethics, and audit requirements and appropriately respond to/remediate non-compliance

Background

- Illinois has an ethics oversight and enforcement system but no internal structure within Executive Branch agencies to prevent and mitigate compliance issues
- 3 Lines of Defense in Risk Management
 1. **Management and Ownership – the Defensive Line:** Agency Ethics Officers and other Agency personnel
 2. **Risk Policy and Monitoring – the Linebackers:** Absence has led to lack of clear guidance and support for Defensive Line, more issues getting through to Secondary
 3. **Oversight and Enforcement – the Secondary:** Executive Inspector General, Executive Ethics Commission, Auditors



The Cost of Non-Compliance

- Non-Compliance (1) Creates Inefficiency, (2) Drives Higher Costs, and (3) Hinders Proper Management of Agencies
- Non-compliance with law has led to \$14 billion being spent annually per court order or consent decree, removing flexibility over how agencies budget their funds
- 2014 study by Indiana University and City University of Hong Kong stated that Illinois would have spent 5.2 percent less (\$1,308 per citizen) between 1997-2008 if state only an "average amount of corruption"
- Bringing Agencies Back into Compliance is Achievable and Will Save Taxpayer Dollars
- DHS Bureau of Hearings erased \$1.98 million/year in federal fines and related costs by reforming administrative hearing process

Lessons for State Government

- Understand and address compliance risks in order to use resources effectively
- Build a culture of compliance by implementing procedures and tools to help employees comply
- Implement a consistent and timely investigation process
- Reward employees who champion compliance and discipline those who do not comply
- Break down risk silos

Building a Culture of Compliance – TEAM Illinois

Public service is a public trust. State employees are a part of a team of public servants serving our fellow citizens. Our team must strive to be:

- **TRANSPARENT**, honest, and respectful in our dealings and communications with our fellow employees and the people of Illinois
- **ETHICAL** in both our extraordinary and everyday conduct and decisions
- **ACCOUNTABLE** to the taxpayers and to each other
- **MOTIVATED** to provide the best customer service day-in and day-out to the people of Illinois

What is a Compliance Champion?

- Passionate about living the TEAM values
- Understands and supports the mission of the agency
- Works cooperatively with the agency business units
- Action-orientated – always promoting and working to improve best practices

Compliance Champion Toolkit

1. Be visible within the agency
2. Give clear, easy-to-follow guidance to employees
3. Build your team
4. Collaborate with natural partners
5. Use investigatory reports to improve internal controls

Tip 1: Be Visible within Your Agency

- **Role of the ethics officer: moving beyond forms and reminders**
- **Speaking and meeting opportunities within your agency**
 - "Tacking on" to the end of business meetings
 - Short, entertaining ethics tips and presentations
- **Going straight to the source**
 - Reach out directly to rank-and-file employees
 - Foster open lines of communication
- **Closing the loop**
 - Keeping complainants in the loop when possible
 - Reporting up and down the chain on ethics issues and findings

10

Tip 2: Give Clear, Easy-to-Follow Guidance to Employees

- **Most Important Guidance to Employees – "Raise Your Hand"**
- It is a state employee's **right and responsibility** to report compliance concerns and obtain guidance when he is unsure about what action he should take
- Each state employee is **responsibility and accountable** for preventing, detecting, and reporting instances of non-compliance to management, the Ethics Officer, the Chief Compliance Officer, and/or an Inspector General

11

Tip 3: Build Your Team

- **Identify and foster compliance champions**
- **Compliance champions come from all corners of your agency** – they do not have to be ethics personnel, auditors, or lawyers
- **Questions to ask –**
 - Does this person go **above and beyond** with respect to compliance, training, and ethics?
 - Is this person **held in high regard** by their colleagues?
 - Does this person act with **TEAM values even when no one is watching?**
- **Utilize, recognize, and reward compliance champions**

12

Tip 4: Collaborate with Natural Partners

- **Internal and external auditors** – use audit findings as a tool to improve agency operations
- **Human resources and labor relations** – have valuable insight into most frequent employee issues
- **Inspector Generals** – investigatory findings can reveal and provide a roadmap to fixing broader issues

13

Tip 5: Use Investigatory Reports to Improve Internal Controls

- Experiences of the Secretary of State's Executive Inspector General
- What is a "Special Report"?
- Using Special Reports and other investigatory findings to improve internal controls, policies, and procedures
- The role of an Audit Review Committee

14

Discussion/Questions

- What new compliance tools and guidance would be most helpful for your agency?
- How can training be reformed to reinforce compliance values?
- How can we reward employees who champion compliance?
- What are the biggest compliance issues facing your agency today?
- How does your agency approach internal investigations and how does that process need to be improved?

15

REPORT

SPRING 2007

AN UPDATE FROM THE SECRETARY OF STATE INSPECTOR GENERAL



I want to thank all those Secretary of State employees who have assisted with the Inspector General's department audit reviews. While the reviews are an ongoing process, these initial reviews provided a great starting point for

the direction of this office over the next few years and beyond.

From these reviews concerns were addressed, accomplishments were recognized and applauded, and new initiatives were identified throughout the office. One major initiative resulting from these audits was the elimination of Social Security numbers on all Department of Personnel employee records. Previously, an employee's Social Security number was required on most personnel documents, including training and PAR (Personnel Action Request) forms. During the department's review, Personnel employees expressed concern about safeguarding this personal information in an era of rampant identity theft.

Inspector General Jim Burns recommended that the practice of requesting Social Security numbers on employee personnel documents be expeditiously phased out, and replaced with an employee number for exclusive use within Secretary of State operations. The new employee numbers have no value or application outside the office so the risk of identity theft using the numbers is eliminated. All internal document processing will remain virtually unchanged while providing employees with an added level of security.

I applaud Inspector General Jim Burns and his staff as well as the entire Secretary of State's office in taking customer service to the next level and preserving the integrity of this office.

Jesse White

Jesse White
Secretary of State

IG conducts department audit reviews

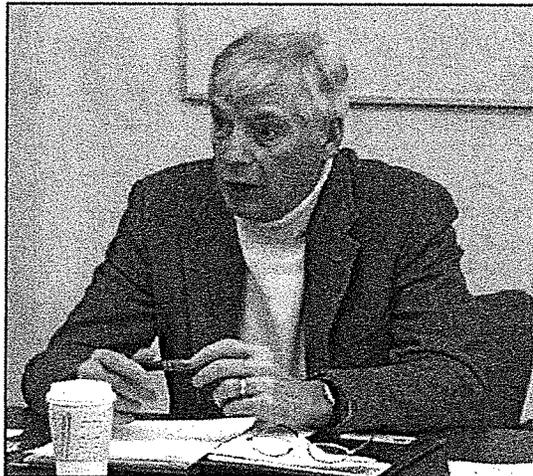
Secretary of State Jesse White announced in June 2005 a comprehensive review of Secretary of State departments under the direction of Inspector General Jim Burns. The department reviews would enable Secretary White and the IG staff to examine the mission, organization, programs, services and operations of each department, and to provide recommendations for improving programs, services and operations of the office. The reviews also would provide an opportunity to highlight each department's successes and initiatives as well as address budget and resource concerns.

Following each department's review, the information is presented to the Secretary of State Audit Review Committee, which is responsible for determining what action, if any, will be taken regarding the findings of the audits. The committee is chaired by Chief of Staff Tom Benigno.

"These departmental reviews provide the groundwork for building on current programs and services and developing further initiatives for improving the overall operation of this office," said Secretary of State Jesse White.

Ultimately, each department, as well as the entire office, will benefit from the department reviews. Some changes already have been put into place, as indicated in this newsletter. The reviews also are designed to be an ongoing process, with subsequent status reviews being conducted as needed.

"The ongoing review process will serve as an important business tool in our mission of operating a proficient, cost-effective administration, while providing the best possible customer service to the people of Illinois," added Secretary White.



Jim Burns addresses the IG staff at the winter training session held at the Willowbrook headquarters.

Secretary of State • Office of the Inspector General
217-785-2012 (Springfield) • 630-455-4013 (Willowbrook)

Abuse of state time and equipment not tolerated

In the past six months, many IG investigations have focused on the misuse of state time, vehicles and equipment, in particular computers. Secretary of State policy forbids the unauthorized use of state computers and the dissemination of confidential personal information.

One key reason for the increase in cases is that technology has provided new tools to track employee entry onto computer screens and time spent online. Employee access data is available to pinpoint an individual's access to confidential Secretary of State files. Logging on to a screen without authorization or disseminating confidential information is cause for termination.

Recent investigations have found employees using state equipment and computers for personal business, while others have been using computers for business related to secondary employment. These practices are strictly forbidden, as is the use of fax equipment, telephones and office supplies for personal reasons. Misuse of state time has included soliciting and conducting business for personal gain, soliciting business for other interests, and conducting political business on state time. Employees also have been found to be spending work hours at Web sites unrelated to Secretary of State operations.

"The majority of Secretary of State employees are honest and dedicated individuals who do not abuse state computers and work time," said Secretary of State Jesse White. "However, I urge all employees at every level to strongly consider their office conduct and practices, and to keep in mind that any serious infractions will be investigated and acted upon in an appropriate manner." Employees who are found to be in violation of Secretary of State policies regarding the use of office computers and time face serious consequences, including termination. For more information, please refer to the Secretary of State Policy Manual.

**IF YOU REPORT IT,
WE CAN STOP IT.**
ReportItNow.net

Facilities to get armored courier pick-up

The security of daily bank deposits and change funds has been a serious concern for many larger Secretary of State facilities that do not have armored courier service. During fiscal year 2006, the Inspector General's office issued a special report to Secretary of State management regarding the safety of employees responsible for making daily banking transactions. A copy of the report was given to the Secretary of State Audit Review Committee, which requested that management prioritize the facilities by level of risk. As a result, six facilities have been earmarked for armored courier service that did not have it before.



Candid camera

In 2000, the only camera equipment being used in Driver Services facilities were time-lapse recorders, which focused on the common areas in facilities. With the purchase of newer and more efficient equipment, cameras are now in all major Metro facilities with enough hard drive space to last three weeks.

The cameras make customers think twice before attempting to conduct a dishonest transaction or become disorderly. Cameras also have been used in investigations involving activity in facility parking lots, including illegal driving schools, and in identifying specific vehicles present in facility lots when problems have occurred.

Doug O'Connor, assistant chief of Metro security, recounted several incidences where the cameras also provided witness to the honesty and integrity of Secretary of State employees. Recently, when payments for six license plates went missing, viewing the transaction on camera enabled supervisors to determine that the money was never paid by the applicant. Activity caught on camera in a Metro facility also was used to establish that there was no employee involvement in a licensing scam involving stolen vehicles.

Misuse of parking transponders addressed

A recent Inspector General investigation found that a high-level Secretary of State employee was misusing a parking transponder. A parking transponder is an electronic device attached to a car's windshield that allows free parking in designated parking garages and lots. The transponders are typically used in state vehicles approved for official state business in downtown Chicago.

Through a cooperative effort among the Budget & Fiscal Management, Securities and Driver Services Departments, the Inspector General's office and the Executive Office, the issue was addressed and the number of parking transponders allocated to the Secretary of State's office has been greatly reduced, with an annual cost savings of about \$90,000. The staffer in question was given a seven-day suspension for using the parking transponder for personal use.

Language soon will be added to the Secretary of State Motor Vehicle Policy Manual limiting parking transponder use for only state-owned vehicles.

Inspector General Jim Burns appreciates the cooperation of all those employees involved during the course of this investigation. The IG's office will continue to work with Secretary of State Jesse White to uphold honest service and ethics and positive morale throughout the office.



OFFICE OF THE ATTORNEY GENERAL
STATE OF ILLINOIS

Lisa Madigan
ATTORNEY GENERAL

July 5, 2013

Mr. David Wickster
Executive Director
Fraternal Order of Police Labor Council
974 Clock Tower Drive
Springfield, Illinois 62704-1304

RE: FOIA Request for Review – 2012 PAC 20495

Dear Mr. Wickster:

Pursuant to section 9.5(a) of the Freedom of Information Act (FOIA) (5 ILCS 140/9.5(a) (West 2011 Supp.)), the Public Access Bureau has received your Request for Review of the response by the Office of the Secretary of State to your FOIA request. Specifically, you requested the "Inspector General's Audit Report of Secretary of State Department of Police and any attached special reports."¹ On June 1, 2012, the Secretary of State denied your request in its entirety, alluding to its previous denial under section 7(1)(f) of FOIA (5 ILCS 140/7(1)(f) (West 2011 Supp.)) of a request for copies of the same records submitted by Fraternal Order of Police Lodge 95.

Section 7(1)(f) exempts from inspection and copying "[p]reliminary drafts, notes, recommendations, memoranda and other records in which opinions are expressed, or policies or actions are formulated, except that a specific record or relevant portion of a record shall not be exempt when the record is publicly cited and identified by the head of the public body." The section 7(1)(f) exemption applies to "inter- and intra-agency predecisional and deliberative material." *Harwood v. McDonough*, 344 Ill. App. 3d 242, 247 (1st Dist. 2003). The exemption is intended to enable government officials to candidly discuss matters of public concern in order

¹Freedom of Information Act request submitted by Mr. David Wickster, Executive Director, Illinois Fraternal Order of Police Labor Council, to Office of the Secretary of State (May 24, 2012).

Mr. David Wickster
July 5, 2013
Page 2

"prevent injury to the quality of agency decisions." *N.L.R.B. v. Sears, Roebuck & Co.*, 421 U.S. 132, 151 (1975).

The Public Access Bureau previously reviewed the records in question and approved a request by the Secretary of State for pre-authorization to withhold those records under section 7(1)(f) of FOIA. *See* 2010 PAC 8552 (Ill. Att'y Gen. PAC Pre-Auth. al8552, issued December 20, 2010) ("This office has * * * determined that the audit reports contain opinions and recommendations by the [Inspector General] to the [Secretary of State] with the intention of formulating a course of action with regard to several matters addressed in the reports.") We have re-examined the records and reached the same conclusion in this matter. Because the records in question are exempt from disclosure under section 7(1)(f) of FOIA, we have determined that no further action is warranted as to this matter.

If you have any questions, please contact me at (312) 814-6756. This letter shall serve to close this matter.

Very truly yours,



STEVE SILVERMAN
Assistant Attorney General
Public Access Bureau

20495 f no fi war sa

Cc: Ms. Donna Leonard
Executive Counsel
Office of the Secretary of State
17 N. State, Suite 1179
Chicago, Illinois 60602

REPORT

SPRING 2013

AN UPDATE FROM THE SECRETARY OF STATE INSPECTOR GENERAL



April was National Donate Life Month, and I had the opportunity to travel the state urging all Illinoisans to join the Organ/Tissue Donor Registry. Currently, there are more than 5.2 million people

registered to be organ/tissue donors in Illinois. However, more than 300 people die each year waiting for an organ transplant and about 5,000 are on the waiting list.

Our ad campaign this year featured Secretary of State employee Vikki Tulcus, who died in January waiting for a kidney. Vikki had worked with our Organ/Tissue Donor Program for nearly 10 years helping donor and recipient families and those waiting for transplants. In the end, Vikki herself became a donor by donating her corneas so that two others can now see. I take comfort in knowing that her legacy endures through donation.

I want to encourage you – if you haven't done so already – to join the donor registry by visiting LifeGoesOn.com, calling 800-210-2106 or visiting your local Driver Services facility. Your decision to be a donor could mean a second chance at life for someone else.

I thank you for your dedication to providing the best possible service to the people of Illinois and maintaining the integrity of this office by observing sound, ethical business practices. If you ever observe questionable activities in the office, please do not hesitate to contact the IG's office, and be assured that your information will be kept confidential.

Jesse White

Jesse White
Secretary of State

IG's metro office moves to Oakbrook

The Inspector General's Willowbrook office has moved to an office in Oakbrook. The smaller Oakbrook office space is better suited to the needs of the office and results in a significant cost savings for the Secretary of State.

The new office is located at 2001 Midwest Rd., Ste. 208, Oak Brook 60523. The new phone number is 630-424-2564 and the fax number is 630-424-2893. The Willowbrook telephone numbers temporarily have a referral to the Oakbrook office numbers. The ReportItNow website lists the current information.

Log on and read!

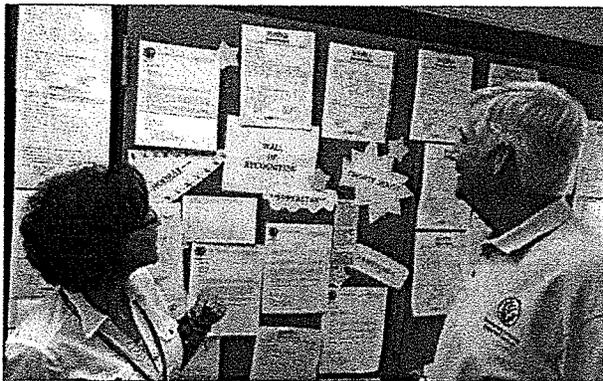
Every time you log on to a Driver Services or Vehicle Services computer, the following notice appears:

Office of the Illinois Secretary of State
ISOPKEX – Production LPAR

!! NOTICE !!

This system is to be used only for the Office of the Secretary of State. This system contains proprietary and confidential information of the Office. Programs and information contained in the system are for official business only. Any unauthorized use or disclosure of the information, or any use of the system not in connection with the Office, may result in disciplinary action, up to and including discharge.

The Inspector General's office continues to get complaints about employees violating customers' personal and confidential information. Frequent complaints include employees "bragging" that they are privy to personal and confidential information, and implying that employees could share the information inappropriately. Next time you are tempted to discuss a customer's personal and confidential information with another employee or anyone outside the office, please re-read the last line of the warning. It may keep you from losing your job.



Belleville facility Wall of Recognition

Inspector General Jim Burns and regional facility manager Lora Walters look at the Belleville Driver Services facility's Wall of Recognition. The display was created in 2011 to showcase positive feedback submitted by the public for excellent employee service provided at the facility.

Secretary of State • Office of the Inspector General
217-785-2012 (Springfield) • 630-424-2564 (Oakbrook)

Ethics Training 2012: Most often missed question

Congratulations to all Secretary of State employees on your excellent performance on the 2012 Ethics Training. Thank you again for annually refreshing and building upon your knowledge of the ethical principles of the office and employment with the state of Illinois.

For your future reference and training, please note that the following question was missed by the highest number of employees who randomly received this query on their version of the test.

Question — Secretary of State employees can attend political events and perform political activities during the workday by:

- A. Leaving the work area with no notice to attend the event.
- B. Applying for time off in 1/2-day increments, and receiving approval prior to a political event or activity.
- C. Attending during their morning or afternoon break.
- D. Can never attend during the workday.

Correct Answer: B

The incorrect answer chosen most often is option D. Generally, it is correct that an employee may not engage in political activities during work hours. As detailed in the Ethics Act Summary, Secretary of State Policy 1.9, and Section 5-15 of the State Officials and Employees Ethics Act, state employees may not engage in political activities while "on State time."

The question above, however, highlights the narrow exception of when it is permissible to participate in such events. For the purposes of this question, "on State time" does not include authorized vacation, personal or compensatory time or state holidays. Therefore, employees are not precluded from voluntarily participating in political activities or events while on their own time and using non-state resources. Advanced notice and the use of appropriate time is required.

Valued member of OIG retires



Steve Nash

Inspector Steven G. Nash has announced his retirement from the Secretary of State, Office of the Inspector General, effective May 31. Steve has dedicated more than four decades to public service. He served 30 years with honor and distinction as a special agent with the FBI. Following his retirement from the FBI, Steve served another decade with the OIG.

"Steve's service to the Secretary of State's office has been exemplary, and the skills and abilities he brought with him will be greatly missed," said Secretary of State Jesse White. "We all wish him well and to enjoy the rewards of his long and distinguished career."



• CASE IN POINT •

- The Inspector General's office received an anonymous complaint that a security guard at a Chicago facility was stealing office supplies. Several employees had observed the security guard with a package containing Secretary of State property and saw him leave the facility with the package. When questioned, he admitted taking the items. The employee received a 29-day suspension.
- An employee signed a title application on behalf of an applicant's wife in order to expedite the application process. The applicant and his wife confirmed to an OIG inspector that the wife had authorized the employee, a family friend, to sign the wife's name to the title. Neither the employee, nor the applicant or his wife believed that there was anything improper about this procedure. The employee received a written warning.
- The OIG received information that an employee had been arrested by local law enforcement for a narcotics offense and driving on a suspended license. Copies of the arrest reports revealed that at the time of the arrest the employee had been driving a vehicle with license plates registered to a different vehicle. The employee acknowledged that she had transferred the license plates from the other vehicle herself and paid the necessary fees for the transfer. An investigation disclosed no record of payment of the fees, and the employee could provide no receipts. The employee was terminated.
- An unidentified individual called a Secretary of State facility and asked to speak to a specific employee. The caller said to the facility manager who answered the phone that he was with the Inspector General's office. An investigation determined that the caller was an employee from a different facility with no affiliation to the OIG. The employee admitted making the call and falsely represented himself in order to reach his intended recipient without interference. The employee received a three-day suspension.
- An alert supervisor noticed that an employee's documentation submitted in support of a medical absence mirrored documentation submitted previously for a prior medical absence. An investigation into the legitimacy of the documentation revealed no records of the employee having been treated at the named hospital on the date alleged. The employee was terminated.

**If you suspect any wrongdoing in your workplace,
please contact the IG's office at the website below.**

Confidentiality is guaranteed
and anonymous reports are welcome.

ReportItNow.net

REPORT

SPRING 2010

AN UPDATE FROM THE SECRETARY OF STATE INSPECTOR GENERAL



In December, Inspector General Jim Burns served as moderator of a blue ribbon panel on Ethics and Government Reform at the

Secretary of State Inspector General office's annual conference in Chicago. All the panelists were in agreement that reforming state government and changing the culture of corruption requires leaders committed to reform.

As Secretary of State, I remain committed to reform, integrity and public service. Working with Inspector General Burns, I will continue to reinforce our zero-tolerance policy on unethical behavior in this office.

As public servants, it is our mission to provide Illinoisans with the highest level of service possible. I am proud of the progress we have made over the last decade to change the culture of an office that had fallen under a cloud of controversy. Thank you for your ongoing efforts and commitment to public service to the people of Illinois.

Jesse White

Jesse White
Secretary of State

SOS policies governing elections, campaigns

With the election year in full swing, employees are reminded of the following Secretary of State policies governing elections and campaigns.

- No employee shall engage in any form of political activity during state-compensated time or on state property.
- Use of state equipment, including computers, faxes, copy machines, etc., for political purposes is strictly prohibited.
- State vehicles may not be used at any time to attend political events and activities.
- Personal cell phones may not be used for political purposes during state-compensated time and on state property.
- Political fundraising is strictly prohibited during state-compensated time and may not be conducted on state property and/or using state equipment at any time.
- Unless otherwise stated by a collective bargaining agreement, employees must use vacation or personal time (in full- or half-day increments) in order to participate in any political activities during state business hours. Time off must be pre-approved 24 hours prior to activity.
- Employees who are candidates for public office must file a Notification of Candidacy for Public Office (on ABE) with the Department of Personnel. If elected, the employee must file a Secondary Employment Form (on ABE) with the Department of Personnel.
- An employee seeking public office or assisting a candidate is prohibited from conducting or participating in any activity relating to such candidacy during working hours.

Failure to adhere to these policies may result in disciplinary action up to and including discharge. For more information, please consult the Secretary of State Policy Manual, the State Officials and Employees Ethics Act, or call the Department of Personnel at 217-782-1750.



Inspector General Jim Burns talks with employees and customers during a visit to the Rockford Driver Services facility. Burns was in Rockford to highlight successful reform efforts implemented by the Secretary of State's office that can serve as a model for improving state government.

ReportItNow.net

Secretary of State • Office of the Inspector General
217-785-2012 (Springfield) • 630-455-4013 (Willowbrook)

• CASE IN POINT •

SOS employee investigations

- An employee was terminated after an investigation revealed that she had falsified her salary earnings statements in order to qualify for child-care funds from the Department of Human Services.
- An employee was terminated after an investigation revealed that she had fraudulently claimed the death of a relative and took three days of bereavement leave. The same employee had previously been disciplined for accessing the file of the president-elect.
- A candidate for public office complained that his personal information was being illicitly accessed, and an investigation revealed that several Secretary of State employees had, in fact, accessed the candidate's Secretary of State file. Every employee who entered the file was interviewed to determine whether his or her inquiry was made for a legitimate business reason. The investigation found no culpability on any of the SOS employees.
- A counselor for a Chicago suburban social services agency alleged that confidential information of several of its employees had been accessed by a Secretary of State facility employee. The agency's employees had been involved in an internal dispute, and the spouse of one of the employees worked in the Driver Services Department. An investigation of SOS Department of Information Technology records revealed that no Secretary of State employee had accessed any of the agency employees' files and that the agency's fears were groundless.

New law expands IG's roll

The Secretary of State's Office of the Inspector General now has exclusive responsibility to investigate alleged violations of the Lobbyist Registration Act. Effective Jan. 1, 2010, a new law expanded the IG's jurisdiction to include investigations of individuals who are not Secretary of State employees.

The Lobbyist Registration Act regulates those individuals paid to influence state governmental action on behalf of clients, and mandates that these lobbyists register their status and report their expenditures. With assistance from the Secretary of State's Index Department, the IG's office will investigate reported wrongdoing concerning the lobbyists' duties under the law. The IG's office is empowered to:

- Have access to all the affected lobbyists' records.
- Request any information or assistance that may be necessary from any other governmental agency.
- Require by subpoena the appearance of witnesses and the production of all necessary documentary evidence. A person who is subpoenaed for testimony or documents and who refuses may be subject to the contempt powers of the circuit court.

The IG's office will submit substantiated investigations to the appropriate state's attorney or the Attorney General's office for prosecution of a business offense and a fine of not more than \$10,000 for each violation. In addition, any person convicted of a violation would be prohibited from lobbying for three years. Complaints also may be filed on the IG's Web page at ReportItNow.net.

Ethics Reform Panel at IG Conference

The annual Inspector General office's training conference was held in December at the Thompson Center in Chicago. Inspector General Jim Burns served as moderator of a blue ribbon panel on Ethics and Government Reform at the conference. Panelists included Cynthia Canary, director of the Illinois Campaign for Political Reform; Carol Marin, NBC Channel 5 political editor and *Chicago Sun-Times* columnist; Mike Lawrence, former director of the Paul Simon Public Policy Institute at Southern Illinois University Carbondale; and Andy Shaw, executive director of the Better Government Association. Following is an excerpt from an op-ed by Jim Burns sent to newspapers statewide following the panel discussion.

During the panel's discussions, I was struck by the consensus that changing a culture of corruption requires leaders committed to reform. Accountability, transparency and the ferreting out of unethical behavior is essential. While the panel recognized the importance of strong laws, it agreed that the achievement of genuine reform cannot occur without changing the culture of institutions, which is best accomplished by the combined efforts of strong leaders, effective prosecutors, independent Inspectors General, the media and good government "watchdog" organizations.

Over the past decade, I have served as the Inspector General for Illinois Secretary of State Jesse White. I have been the fortunate recipient of a strong and continued commitment from Secretary White, which has provided us the necessary independence and resources required to root out corruption, restore integrity and change the culture of an office that had fallen under a cloud of controversy.

My first order of business was to strengthen the Inspector General's office through assembling a top-notch staff composed of attorneys, former FBI, DEA and postal agents, experienced police officers and other investigators with specialized backgrounds. Our inspectors maintain a high level of trust with employees by quickly responding to complaints, maintaining confidentiality and visiting facilities statewide.

In addition to investigators, we have a team of auditors evaluating policies and programs to identify systemic vulnerabilities and to offer constructive recommendations to the Audit Review Committee (ARC). The ARC consists of senior management who consider and act on the audit team's recommendations, resulting in responsive action to prevent unethical behavior and to improve the efficiency and integrity of the office.

Other efforts to change the culture of the office included establishing a code of conduct for employees, setting strict fundraising policies that prohibit employee contributions, and publishing the IG Report, a newsletter distributed to office employees several times a year to communicate new initiatives and investigation results which serve as a further deterrent to wrongdoing.

We have been successful in our ongoing efforts to change the culture of the Secretary of State, in part, because we have gained the trust and confidence of the employees and public. But success is always a work in progress and is predicated on receiving the necessary cooperation from the leader of the office. As the panel on Ethics and Government Reform made clear, reform is most effective when initiated from the top of an organization. Without Secretary White's commitment to achieve meaningful reform, and the willing cooperation of the employees, our success would not have been possible.



REPORT

SUMMER 2010

AN UPDATE FROM THE SECRETARY OF STATE INSPECTOR GENERAL



Many Secretary of State employees have contact with outside vendors and service providers doing business with the state. While most contacts constitute legitimate business transactions, other activities may create a conflict of interest for employees. Among other things, new ethics laws now require employees to wait one year before accepting a position with a company they were involved in regulating or contracting with while employed with the Secretary of State. This helps eliminate unethical activity that might influence employees and possibly compromise the integrity of this office. The provision also extends to employees' spouses and other family members living with them.

I applaud the employees who come to work every day and serve the public with honesty and professionalism. If there is ever a question regarding the validity of a business transaction or a possible conflict of interest in the course of your employment, please contact the IG's office. Your information will be kept confidential and your assistance in helping to preserve the integrity of this office is appreciated.

Jesse White

Jesse White
Secretary of State

Revolving door stops turning

While people often change jobs for perfectly just and legal reasons, state government employees must be sure that they are not influenced by a job offer from the very person they are supposed to be regulating. For example, a Secretary of State employee bargaining with a vendor cannot obtain employment from that vendor until at least a year after leaving the Secretary of State's office. Otherwise, the employee's judgment would appear to be tainted because a future job would be at stake.

These revolving-door prohibitions have been tightened under both the Illinois Procurement Code and the State Officials and Employees Ethics Act, which became effective earlier this year. Generally, these restrictions apply to certain Secretary of State employees depending on their contracting or regulatory duties both (i) while they are employed by the State and (ii) even for a period of one year after leaving SOS employment. These restrictions also extend to spouses of Secretary of State employees as well as immediate family members living with an employee.

These restrictions are monitored by the Executive Inspector General and have serious penalties. A person who violates the revolving-door prohibition is guilty of a Class A misdemeanor and subject to a fine of up to three times the annual salary of the prohibited job. Additionally, a Secretary of State employee who violates this policy is subject to discipline up to and including discharge.



A delegation from Liaoning Province in China recently met with Secretary White and the Inspector General staff. Officials from the Liaoning Provincial Disciplinary Inspection Commission are engaged in the investigation of possible fraud, corruption and misconduct of local government officials. A meeting was arranged by the State of Illinois Far East Office to explore similarities between the Chinese government's duties and those of the Secretary of State Inspector General's office. The exchange of ideas and information helps facilitate a better understanding and appreciation of similar, universal issues affecting government entities worldwide.

ReportItNow.net

Secretary of State • Office of the Inspector General
217-785-2012 (Springfield) • 630-455-4013 (Willowbrook)

• CASE IN POINT •

- A facility manager was alerted that an employee had a Secretary of State test document in his shirt pocket. When the manager questioned the employee, the employee responded that he was taking the test home to help his son study for the exam. The employee claimed he did not know that it was a policy violation to remove a test document from the facility.
- A male employee was processing a female customer's transaction and asked for her phone number. The customer presumed it was a customary question in the renewal process. Later that evening the employee contacted the customer on Facebook. The following day the customer's father returned to the facility and requested that the employee not contact his daughter again. Employees are reminded that it is a violation of the Personnel Code to use a customer's private information for personal reasons.
- An employee was suspended for 29 days without pay after she issued an applicant a driver's license without administering either the written or vision tests. Other employees noticed that the applicant was being processed without the proper tests and notified the supervisor. The applicant has a business nearby where the employee frequently shops. The manager investigated and learned that the driver's license had been issued without following the proper procedures.
- Based on an anonymous complaint that appeared to have merit, the IG's office, in conjunction with the Secretary of State Police, conducted an investigation of an SOS police officer who was allegedly engaged in secondary employment activities on state time. As a result of the investigation, the officer resigned prior to disciplinary action.

Check your forms

It is incumbent upon employees to closely examine documents provided by their medical providers for FMLA leaves and absences. In recent cases, documents submitted by employees to the Department of Personnel showed evidence of photocopying or dates or other information that had been altered.

After questioning the doctors it was determined that the employees had submitted forms that had been altered by medical staff in the interest of expediency. The information on the form was correct and validated by the doctor; however, it appeared questionable because a date had been altered or information had been photocopied.

Before you leave the doctor's office, please take time to check your forms to make sure they are completed properly and are the original copies.



Deadbeats Don't Drive

The IG's office conducts reviews of the efficiency and effectiveness of Secretary of State programs in addition to its investigative responsibilities. The Deadbeats Don't Drive law was recently reviewed and found to be running very well.

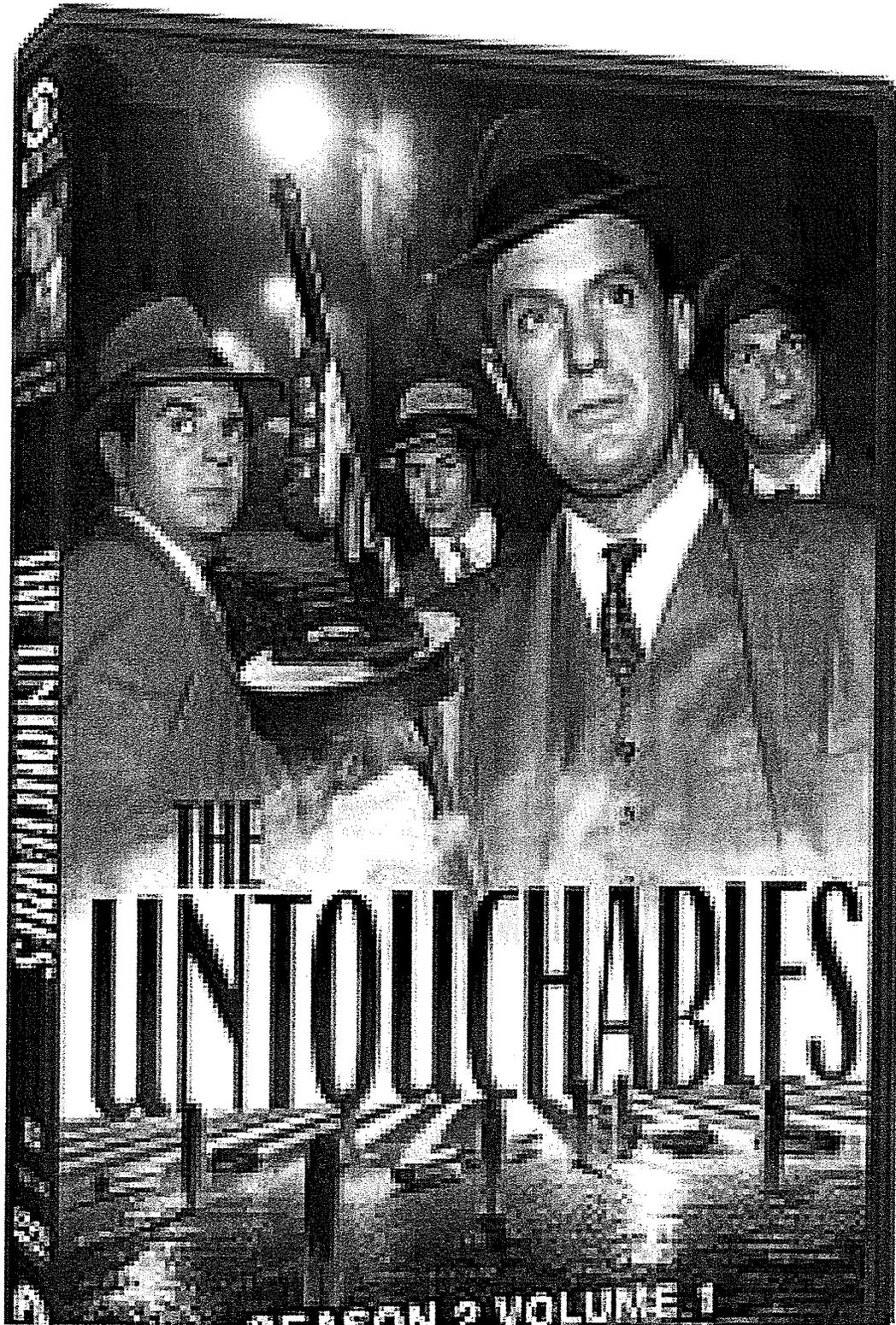
The Illinois Family Financial Responsibility Law allows Illinois courts to take action against deadbeat parents who have fallen more than three months behind in court-ordered child support payments. Deadbeat parents face the loss of their driving privileges. Either the circuit court or the Department of Healthcare and Family Services can order the suspension. Although the Secretary of State Driver Services Department has no input on the decision to suspend driving privileges, it is responsible for implementing the suspension and notifying the driver that his or her license will be suspended in 60 days for failure to pay child support.

Last year, suspension cases increased dramatically from fewer than 300 monthly to more than 4,000 at the end of the year. In a joint effort between the Secretary of State Information Technology staff and computer technicians from DHFS, a program has been designed to enter the information into Driver Services files on a daily basis. The number of suspension cases is expected to continue to increase again this year and the office is fully equipped to handle the increase.

Last year under the Deadbeats Don't Drive law, more than \$70 million was paid to custodial parents from deadbeat parents who previously were not complying with their child support obligation.

Personal communications not deemed private at work

Although it is not the Secretary of State's intent to routinely monitor all electronic communications, employees should be aware that when using state equipment for personal communications their rights to privacy are void. Before using your state e-mail, computer, cell phone, personal digital assistant, radio or pager to transmit personal messages, please remember that these communications are subject to disciplinary oversight. The policy also includes sending messages, data files or pictures through personal e-mail accounts or social networking websites. Limited, occasional or incidental use of state equipment for personal communications is understandable under certain circumstances, but this exception is generally interpreted very narrowly for only emergencies.



THE SOPRANOS

THE SOPRANOS

SEASON 2 VOLUME 1

