



## 102ND GENERAL ASSEMBLY

### State of Illinois

2021 and 2022

HB3486

Introduced 2/22/2021, by Rep. Anne Stava-Murray

#### SYNOPSIS AS INTRODUCED:

5 ILCS 430/1-5  
5 ILCS 430/5-45

Amends the State Officials and Employees Ethics Act. Provides that no person who has served as a statewide elected official, the executive or administrative head of a State agency, the deputy executive or administrative head of a State agency, or a member of the General Assembly shall, within 2 years after the termination of service or employment, become a lobbyist. Defines "lobbyist".

LRB102 17015 RJF 22437 b

1 AN ACT concerning government.

2 **Be it enacted by the People of the State of Illinois,**  
3 **represented in the General Assembly:**

4 Section 5. The State Officials and Employees Ethics Act is  
5 amended by changing Sections 1-5 and 5-45 as follows:

6 (5 ILCS 430/1-5)

7 Sec. 1-5. Definitions. As used in this Act:

8 "Appointee" means a person appointed to a position in or  
9 with a State agency, regardless of whether the position is  
10 compensated.

11 "Board members of Regional Transit Boards" means any  
12 person appointed to serve on the governing board of a Regional  
13 Transit Board.

14 "Campaign for elective office" means any activity in  
15 furtherance of an effort to influence the selection,  
16 nomination, election, or appointment of any individual to any  
17 federal, State, or local public office or office in a  
18 political organization, or the selection, nomination, or  
19 election of Presidential or Vice-Presidential electors, but  
20 does not include activities (i) relating to the support or  
21 opposition of any executive, legislative, or administrative  
22 action (as those terms are defined in Section 2 of the Lobbyist  
23 Registration Act), (ii) relating to collective bargaining, or

1 (iii) that are otherwise in furtherance of the person's  
2 official State duties.

3 "Candidate" means a person who has filed nominating papers  
4 or petitions for nomination or election to an elected State  
5 office, or who has been appointed to fill a vacancy in  
6 nomination, and who remains eligible for placement on the  
7 ballot at either a general primary election or general  
8 election.

9 "Collective bargaining" has the same meaning as that term  
10 is defined in Section 3 of the Illinois Public Labor Relations  
11 Act.

12 "Commission" means an ethics commission created by this  
13 Act.

14 "Compensated time" means any time worked by or credited to  
15 a State employee that counts toward any minimum work time  
16 requirement imposed as a condition of employment with a State  
17 agency, but does not include any designated State holidays or  
18 any period when the employee is on a leave of absence.

19 "Compensatory time off" means authorized time off earned  
20 by or awarded to a State employee to compensate in whole or in  
21 part for time worked in excess of the minimum work time  
22 required of that employee as a condition of employment with a  
23 State agency.

24 "Contribution" has the same meaning as that term is  
25 defined in Section 9-1.4 of the Election Code.

26 "Employee" means (i) any person employed full-time,

1 part-time, or pursuant to a contract and whose employment  
2 duties are subject to the direction and control of an employer  
3 with regard to the material details of how the work is to be  
4 performed or (ii) any appointed or elected commissioner,  
5 trustee, director, or board member of a board of a State  
6 agency, including any retirement system or investment board  
7 subject to the Illinois Pension Code or (iii) any other  
8 appointee.

9 "Employment benefits" include but are not limited to the  
10 following: modified compensation or benefit terms; compensated  
11 time off; or change of title, job duties, or location of office  
12 or employment. An employment benefit may also include  
13 favorable treatment in determining whether to bring any  
14 disciplinary or similar action or favorable treatment during  
15 the course of any disciplinary or similar action or other  
16 performance review.

17 "Executive branch constitutional officer" means the  
18 Governor, Lieutenant Governor, Attorney General, Secretary of  
19 State, Comptroller, and Treasurer.

20 "Gift" means any gratuity, discount, entertainment,  
21 hospitality, loan, forbearance, or other tangible or  
22 intangible item having monetary value including, but not  
23 limited to, cash, food and drink, and honoraria for speaking  
24 engagements related to or attributable to government  
25 employment or the official position of an employee, member, or  
26 officer. The value of a gift may be further defined by rules

1 adopted by the appropriate ethics commission or by the Auditor  
2 General for the Auditor General and for employees of the  
3 office of the Auditor General.

4 "Governmental entity" means a unit of local government  
5 (including a community college district) or a school district  
6 but not a State agency or a Regional Transit Board.

7 "Leave of absence" means any period during which a State  
8 employee does not receive (i) compensation for State  
9 employment, (ii) service credit towards State pension  
10 benefits, and (iii) health insurance benefits paid for by the  
11 State.

12 "Legislative branch constitutional officer" means a member  
13 of the General Assembly and the Auditor General.

14 "Legislative leader" means the President and Minority  
15 Leader of the Senate and the Speaker and Minority Leader of the  
16 House of Representatives.

17 "Member" means a member of the General Assembly.

18 "Lobbyist" means an individual who, by acting directly,  
19 does any of the following:

20 (1) Receives compensation to encourage the passage,  
21 defeat, approval, veto, or modification of legislation, a  
22 rule, or an executive order by the members of the General  
23 Assembly, a State agency, or any statewide elected  
24 official.

25 (2) Is a designated representative of an organization  
26 which has as one of its purposes the encouragement of the

1 passage, defeat, approval, veto, or modification of  
2 legislation, a rule, or an executive order before the  
3 General Assembly, a State agency, or any statewide elected  
4 official.

5 (3) Represents the position of a federal, State, or  
6 local government agency, in which the person serves or is  
7 employed as the designated representative, for purposes of  
8 encouraging the passage, defeat, approval, veto, or  
9 modification of legislation, a rule, or an executive order  
10 by members of the General Assembly, a State agency, or any  
11 statewide elected official.

12 "Lobbyist" does not include:

13 (1) Officials and employees of a political party  
14 organized in the State of Illinois representing more than  
15 2% of the total votes cast for governor in the last  
16 preceding general election, but only when representing the  
17 political party in an official capacity.

18 (2) Representatives of the news media only when  
19 engaged in the reporting and dissemination of news and  
20 editorials.

21 (3) All federal, State, and local elected officials,  
22 while performing the duties and responsibilities of  
23 office.

24 (4) Persons whose activities are limited to  
25 appearances to give testimony or provide information or  
26 assistance at sessions of committees of the General

1 Assembly or at public hearings of State agencies or who  
2 are giving testimony or providing information or  
3 assistance at the request of public officials or  
4 employees.

5 (5) Members of the staff of the United States Congress  
6 or the General Assembly.

7 (6) State agency officials and employees while they  
8 are engaged in activities within the agency in which they  
9 serve or are employed or with another agency with which  
10 the official's or employee's agency is involved in a  
11 collaborative project.

12 (7) An individual who is a member, director, trustee,  
13 officer, or committee member of a business, trade, labor,  
14 farm, professional, religious, education, or charitable  
15 association, foundation, or organization who is not paid  
16 compensation and is not otherwise specifically designated  
17 as a lobbyist under this Act.

18 "Officer" means an executive branch constitutional officer  
19 or a legislative branch constitutional officer.

20 "Political" means any activity in support of or in  
21 connection with any campaign for elective office or any  
22 political organization, but does not include activities (i)  
23 relating to the support or opposition of any executive,  
24 legislative, or administrative action (as those terms are  
25 defined in Section 2 of the Lobbyist Registration Act), (ii)  
26 relating to collective bargaining, or (iii) that are otherwise

1 in furtherance of the person's official State duties or  
2 governmental and public service functions.

3 "Political organization" means a party, committee,  
4 association, fund, or other organization (whether or not  
5 incorporated) that is required to file a statement of  
6 organization with the State Board of Elections or a county  
7 clerk under Section 9-3 of the Election Code, but only with  
8 regard to those activities that require filing with the State  
9 Board of Elections or a county clerk.

10 "Prohibited political activity" means:

11 (1) Preparing for, organizing, or participating in any  
12 political meeting, political rally, political  
13 demonstration, or other political event.

14 (2) Soliciting contributions, including but not  
15 limited to the purchase of, selling, distributing, or  
16 receiving payment for tickets for any political  
17 fundraiser, political meeting, or other political event.

18 (3) Soliciting, planning the solicitation of, or  
19 preparing any document or report regarding any thing of  
20 value intended as a campaign contribution.

21 (4) Planning, conducting, or participating in a public  
22 opinion poll in connection with a campaign for elective  
23 office or on behalf of a political organization for  
24 political purposes or for or against any referendum  
25 question.

26 (5) Surveying or gathering information from potential



1 or actual voters in an election to determine probable vote  
2 outcome in connection with a campaign for elective office  
3 or on behalf of a political organization for political  
4 purposes or for or against any referendum question.

5 (6) Assisting at the polls on election day on behalf  
6 of any political organization or candidate for elective  
7 office or for or against any referendum question.

8 (7) Soliciting votes on behalf of a candidate for  
9 elective office or a political organization or for or  
10 against any referendum question or helping in an effort to  
11 get voters to the polls.

12 (8) Initiating for circulation, preparing,  
13 circulating, reviewing, or filing any petition on behalf  
14 of a candidate for elective office or for or against any  
15 referendum question.

16 (9) Making contributions on behalf of any candidate  
17 for elective office in that capacity or in connection with  
18 a campaign for elective office.

19 (10) Preparing or reviewing responses to candidate  
20 questionnaires in connection with a campaign for elective  
21 office or on behalf of a political organization for  
22 political purposes.

23 (11) Distributing, preparing for distribution, or  
24 mailing campaign literature, campaign signs, or other  
25 campaign material on behalf of any candidate for elective  
26 office or for or against any referendum question.

1           (12) Campaigning for any elective office or for or  
2 against any referendum question.

3           (13) Managing or working on a campaign for elective  
4 office or for or against any referendum question.

5           (14) Serving as a delegate, alternate, or proxy to a  
6 political party convention.

7           (15) Participating in any recount or challenge to the  
8 outcome of any election, except to the extent that under  
9 subsection (d) of Section 6 of Article IV of the Illinois  
10 Constitution each house of the General Assembly shall  
11 judge the elections, returns, and qualifications of its  
12 members.

13 "Prohibited source" means any person or entity who:

14           (1) is seeking official action (i) by the member or  
15 officer or (ii) in the case of an employee, by the employee  
16 or by the member, officer, State agency, or other employee  
17 directing the employee;

18           (2) does business or seeks to do business (i) with the  
19 member or officer or (ii) in the case of an employee, with  
20 the employee or with the member, officer, State agency, or  
21 other employee directing the employee;

22           (3) conducts activities regulated (i) by the member or  
23 officer or (ii) in the case of an employee, by the employee  
24 or by the member, officer, State agency, or other employee  
25 directing the employee;

26           (4) has interests that may be substantially affected

1 by the performance or non-performance of the official  
2 duties of the member, officer, or employee;

3 (5) is registered or required to be registered with  
4 the Secretary of State under the Lobbyist Registration  
5 Act, except that an entity not otherwise a prohibited  
6 source does not become a prohibited source merely because  
7 a registered lobbyist is one of its members or serves on  
8 its board of directors; or

9 (6) is an agent of, a spouse of, or an immediate family  
10 member who is living with a "prohibited source".

11 "Regional Transit Boards" means (i) the Regional  
12 Transportation Authority created by the Regional  
13 Transportation Authority Act, (ii) the Suburban Bus Division  
14 created by the Regional Transportation Authority Act, (iii)  
15 the Commuter Rail Division created by the Regional  
16 Transportation Authority Act, and (iv) the Chicago Transit  
17 Authority created by the Metropolitan Transit Authority Act.

18 "State agency" includes all officers, boards, commissions  
19 and agencies created by the Constitution, whether in the  
20 executive or legislative branch; all officers, departments,  
21 boards, commissions, agencies, institutions, authorities,  
22 public institutions of higher learning as defined in Section 2  
23 of the Higher Education Cooperation Act (except community  
24 colleges), and bodies politic and corporate of the State; and  
25 administrative units or corporate outgrowths of the State  
26 government which are created by or pursuant to statute, other

1 than units of local government (including community college  
2 districts) and their officers, school districts, and boards of  
3 election commissioners; and all administrative units and  
4 corporate outgrowths of the above and as may be created by  
5 executive order of the Governor. "State agency" includes the  
6 General Assembly, the Senate, the House of Representatives,  
7 the President and Minority Leader of the Senate, the Speaker  
8 and Minority Leader of the House of Representatives, the  
9 Senate Operations Commission, and the legislative support  
10 services agencies. "State agency" includes the Office of the  
11 Auditor General. "State agency" does not include the judicial  
12 branch.

13 "State employee" means any employee of a State agency.

14 "Ultimate jurisdictional authority" means the following:

15 (1) For members, legislative partisan staff, and  
16 legislative secretaries, the appropriate legislative  
17 leader: President of the Senate, Minority Leader of the  
18 Senate, Speaker of the House of Representatives, or  
19 Minority Leader of the House of Representatives.

20 (2) For State employees who are professional staff or  
21 employees of the Senate and not covered under item (1),  
22 the Senate Operations Commission.

23 (3) For State employees who are professional staff or  
24 employees of the House of Representatives and not covered  
25 under item (1), the Speaker of the House of  
26 Representatives.

1           (4) For State employees who are employees of the  
2           legislative support services agencies, the Joint Committee  
3           on Legislative Support Services.

4           (5) For State employees of the Auditor General, the  
5           Auditor General.

6           (6) For State employees of public institutions of  
7           higher learning as defined in Section 2 of the Higher  
8           Education Cooperation Act (except community colleges), the  
9           board of trustees of the appropriate public institution of  
10          higher learning.

11          (7) For State employees of an executive branch  
12          constitutional officer other than those described in  
13          paragraph (6), the appropriate executive branch  
14          constitutional officer.

15          (8) For State employees not under the jurisdiction of  
16          paragraph (1), (2), (3), (4), (5), (6), or (7), the  
17          Governor.

18          (9) For employees of Regional Transit Boards, the  
19          appropriate Regional Transit Board.

20          (10) For board members of Regional Transit Boards, the  
21          Governor.

22          (Source: P.A. 96-6, eff. 4-3-09; 96-555, eff. 8-18-09;  
23          96-1528, eff. 7-1-11; 96-1533, eff. 3-4-11; 97-813, eff.  
24          7-13-12.)

1           Sec. 5-45. Procurement; revolving door prohibition.

2           (a) No former officer, member, or State employee, or  
3 spouse or immediate family member living with such person,  
4 shall, within a period of one year immediately after  
5 termination of State employment, knowingly accept employment  
6 or receive compensation or fees for services from a person or  
7 entity if the officer, member, or State employee, during the  
8 year immediately preceding termination of State employment,  
9 participated personally and substantially in the award of  
10 State contracts, or the issuance of State contract change  
11 orders, with a cumulative value of \$25,000 or more to the  
12 person or entity, or its parent or subsidiary.

13           (a-5) No officer, member, or spouse or immediate family  
14 member living with such person shall, during the officer or  
15 member's term in office or within a period of 2 years  
16 immediately leaving office, hold an ownership interest, other  
17 than a passive interest in a publicly traded company, in any  
18 gaming license under the Illinois Gambling Act, the Video  
19 Gaming Act, the Illinois Horse Racing Act of 1975, or the  
20 Sports Wagering Act. Any member of the General Assembly or  
21 spouse or immediate family member living with such person who  
22 has an ownership interest, other than a passive interest in a  
23 publicly traded company, in any gaming license under the  
24 Illinois Gambling Act, the Illinois Horse Racing Act of 1975,  
25 the Video Gaming Act, or the Sports Wagering Act at the time of  
26 the effective date of this amendatory Act of the 101st General

1 Assembly shall divest himself or herself of such ownership  
2 within one year after the effective date of this amendatory  
3 Act of the 101st General Assembly. No State employee who works  
4 for the Illinois Gaming Board or Illinois Racing Board or  
5 spouse or immediate family member living with such person  
6 shall, during State employment or within a period of 2 years  
7 immediately after termination of State employment, hold an  
8 ownership interest, other than a passive interest in a  
9 publicly traded company, in any gaming license under the  
10 Illinois Gambling Act, the Video Gaming Act, the Illinois  
11 Horse Racing Act of 1975, or the Sports Wagering Act.

12 (a-10) This subsection (a-10) applies on and after June  
13 25, 2021. No officer, member, or spouse or immediate family  
14 member living with such person, shall, during the officer or  
15 member's term in office or within a period of 2 years  
16 immediately after leaving office, hold an ownership interest,  
17 other than a passive interest in a publicly traded company, in  
18 any cannabis business establishment which is licensed under  
19 the Cannabis Regulation and Tax Act. Any member of the General  
20 Assembly or spouse or immediate family member living with such  
21 person who has an ownership interest, other than a passive  
22 interest in a publicly traded company, in any cannabis  
23 business establishment which is licensed under the Cannabis  
24 Regulation and Tax Act at the time of the effective date of  
25 this amendatory Act of the 101st General Assembly shall divest  
26 himself or herself of such ownership within one year after the

1 effective date of this amendatory Act of the 101st General  
2 Assembly.

3 No State employee who works for any State agency that  
4 regulates cannabis business establishment license holders who  
5 participated personally and substantially in the award of  
6 licenses under the Cannabis Regulation and Tax Act or a spouse  
7 or immediate family member living with such person shall,  
8 during State employment or within a period of 2 years  
9 immediately after termination of State employment, hold an  
10 ownership interest, other than a passive interest in a  
11 publicly traded company, in any cannabis license under the  
12 Cannabis Regulation and Tax Act.

13 (a-15) No person who has served as a statewide elected  
14 official, the executive or administrative head of a State  
15 agency, the deputy executive or administrative head of a State  
16 agency, or a member of the General Assembly shall, within 2  
17 years after the termination of service or employment, become a  
18 lobbyist.

19 (b) No former officer of the executive branch or State  
20 employee of the executive branch with regulatory or licensing  
21 authority, or spouse or immediate family member living with  
22 such person, shall, within a period of one year immediately  
23 after termination of State employment, knowingly accept  
24 employment or receive compensation or fees for services from a  
25 person or entity if the officer or State employee, during the  
26 year immediately preceding termination of State employment,



1 participated personally and substantially in making a  
2 regulatory or licensing decision that directly applied to the  
3 person or entity, or its parent or subsidiary.

4 (c) Within 6 months after the effective date of this  
5 amendatory Act of the 96th General Assembly, each executive  
6 branch constitutional officer and legislative leader, the  
7 Auditor General, and the Joint Committee on Legislative  
8 Support Services shall adopt a policy delineating which State  
9 positions under his or her jurisdiction and control, by the  
10 nature of their duties, may have the authority to participate  
11 personally and substantially in the award of State contracts  
12 or in regulatory or licensing decisions. The Governor shall  
13 adopt such a policy for all State employees of the executive  
14 branch not under the jurisdiction and control of any other  
15 executive branch constitutional officer.

16 The policies required under subsection (c) of this Section  
17 shall be filed with the appropriate ethics commission  
18 established under this Act or, for the Auditor General, with  
19 the Office of the Auditor General.

20 (d) Each Inspector General shall have the authority to  
21 determine that additional State positions under his or her  
22 jurisdiction, not otherwise subject to the policies required  
23 by subsection (c) of this Section, are nonetheless subject to  
24 the notification requirement of subsection (f) below due to  
25 their involvement in the award of State contracts or in  
26 regulatory or licensing decisions.

1           (e) The Joint Committee on Legislative Support Services,  
2 the Auditor General, and each of the executive branch  
3 constitutional officers and legislative leaders subject to  
4 subsection (c) of this Section shall provide written  
5 notification to all employees in positions subject to the  
6 policies required by subsection (c) or a determination made  
7 under subsection (d): (1) upon hiring, promotion, or transfer  
8 into the relevant position; and (2) at the time the employee's  
9 duties are changed in such a way as to qualify that employee.  
10 An employee receiving notification must certify in writing  
11 that the person was advised of the prohibition and the  
12 requirement to notify the appropriate Inspector General in  
13 subsection (f).

14           (f) Any State employee in a position subject to the  
15 policies required by subsection (c) or to a determination  
16 under subsection (d), but who does not fall within the  
17 prohibition of subsection (h) below, who is offered non-State  
18 employment during State employment or within a period of one  
19 year immediately after termination of State employment shall,  
20 prior to accepting such non-State employment, notify the  
21 appropriate Inspector General. Within 10 calendar days after  
22 receiving notification from an employee in a position subject  
23 to the policies required by subsection (c), such Inspector  
24 General shall make a determination as to whether the State  
25 employee is restricted from accepting such employment by  
26 subsection (a) or (b). In making a determination, in addition

1 to any other relevant information, an Inspector General shall  
2 assess the effect of the prospective employment or  
3 relationship upon decisions referred to in subsections (a) and  
4 (b), based on the totality of the participation by the former  
5 officer, member, or State employee in those decisions. A  
6 determination by an Inspector General must be in writing,  
7 signed and dated by the Inspector General, and delivered to  
8 the subject of the determination within 10 calendar days or  
9 the person is deemed eligible for the employment opportunity.  
10 For purposes of this subsection, "appropriate Inspector  
11 General" means (i) for members and employees of the  
12 legislative branch, the Legislative Inspector General; (ii)  
13 for the Auditor General and employees of the Office of the  
14 Auditor General, the Inspector General provided for in Section  
15 30-5 of this Act; and (iii) for executive branch officers and  
16 employees, the Inspector General having jurisdiction over the  
17 officer or employee. Notice of any determination of an  
18 Inspector General and of any such appeal shall be given to the  
19 ultimate jurisdictional authority, the Attorney General, and  
20 the Executive Ethics Commission.

21 (g) An Inspector General's determination regarding  
22 restrictions under subsection (a) or (b) may be appealed to  
23 the appropriate Ethics Commission by the person subject to the  
24 decision or the Attorney General no later than the 10th  
25 calendar day after the date of the determination.

26 On appeal, the Ethics Commission or Auditor General shall

1 seek, accept, and consider written public comments regarding a  
2 determination. In deciding whether to uphold an Inspector  
3 General's determination, the appropriate Ethics Commission or  
4 Auditor General shall assess, in addition to any other  
5 relevant information, the effect of the prospective employment  
6 or relationship upon the decisions referred to in subsections  
7 (a) and (b), based on the totality of the participation by the  
8 former officer, member, or State employee in those decisions.  
9 The Ethics Commission shall decide whether to uphold an  
10 Inspector General's determination within 10 calendar days or  
11 the person is deemed eligible for the employment opportunity.

12 (h) The following officers, members, or State employees  
13 shall not, within a period of one year immediately after  
14 termination of office or State employment, knowingly accept  
15 employment or receive compensation or fees for services from a  
16 person or entity if the person or entity or its parent or  
17 subsidiary, during the year immediately preceding termination  
18 of State employment, was a party to a State contract or  
19 contracts with a cumulative value of \$25,000 or more involving  
20 the officer, member, or State employee's State agency, or was  
21 the subject of a regulatory or licensing decision involving  
22 the officer, member, or State employee's State agency,  
23 regardless of whether he or she participated personally and  
24 substantially in the award of the State contract or contracts  
25 or the making of the regulatory or licensing decision in  
26 question:

- 1 (1) members or officers;
  - 2 (2) members of a commission or board created by the  
3 Illinois Constitution;
  - 4 (3) persons whose appointment to office is subject to  
5 the advice and consent of the Senate;
  - 6 (4) the head of a department, commission, board,  
7 division, bureau, authority, or other administrative unit  
8 within the government of this State;
  - 9 (5) chief procurement officers, State purchasing  
10 officers, and their designees whose duties are directly  
11 related to State procurement;
  - 12 (6) chiefs of staff, deputy chiefs of staff, associate  
13 chiefs of staff, assistant chiefs of staff, and deputy  
14 governors;
  - 15 (7) employees of the Illinois Racing Board; and
  - 16 (8) employees of the Illinois Gaming Board.
- 17 (i) For the purposes of this Section, with respect to  
18 officers or employees of a regional transit board, as defined  
19 in this Act, the phrase "person or entity" does not include:  
20 (i) the United States government, (ii) the State, (iii)  
21 municipalities, as defined under Article VII, Section 1 of the  
22 Illinois Constitution, (iv) units of local government, as  
23 defined under Article VII, Section 1 of the Illinois  
24 Constitution, or (v) school districts.
- 25 (Source: P.A. 101-31, eff. 6-28-19; 101-593, eff. 12-4-19.)