

102ND GENERAL ASSEMBLY State of Illinois 2021 and 2022 SB3030

Introduced 1/5/2022, by Sen. Jil Tracy

SYNOPSIS AS INTRODUCED:

5 ILCS 430/25-5

5 ILCS 430/25-15

5 ILCS 430/25-20

5 ILCS 430/25-50

5 ILCS 430/25-52

Amends the State Officials and Employees Ethics Act. Provides that the appointing authorities shall (rather than may) appoint both members of the General Assembly and members of the general public to the Legislative Ethics Commission. Provides open meetings requirements for the Commission. Provides that the Commission shall adopt no rule requiring the Legislative Inspector General to seek the Commission's advance approval before commencing any investigation or issuing a subpoena. Provides that any existing rule requiring the Legislative Inspector General to seek the Commission's advance approval before commencing any investigation or issuing a subpoena is void. Provides that the Legislative Inspector General may 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 without the advance approval of the Legislative Ethics Commission. Provides that a complaint with the Legislative Ethics Commission must be filed within 12 months after the Legislative Inspector General's initiation of an investigation (currently, 12 months after receipt of the allegation of the violation or 18 months after the most recent act of the alleged violation or series of violations). Provides that the Legislative Ethics Commission shall make available to the public any summary report in which a subject of the report is a current or former member of the General Assembly, and the Legislative Inspector General found that reasonable cause exists to believe that a violation has occurred. Requires that publicly available summary reports be posted on the websites of the Legislative Ethics Commission and the Legislative Inspector General.

LRB102 23198 RJF 32360 b

1 AN ACT concerning government.

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

- Section 5. The State Officials and Employees Ethics Act is amended by changing Sections 25-5, 25-15, 25-20, 25-50, and
- 6 25-52 as follows:
- 7 (5 ILCS 430/25-5)
- 8 Sec. 25-5. Legislative Ethics Commission.
- 9 (a) The Legislative Ethics Commission is created.
- 10 (b) The Legislative Ethics Commission shall consist of 8
 11 commissioners appointed 2 each by the President and Minority
 12 Leader of the Senate and the Speaker and Minority Leader of the
- 13 House of Representatives.

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- The terms of the initial commissioners shall commence upon qualification. Each appointing authority shall designate one appointee who shall serve for a 2-year term running through June 30, 2005. Each appointing authority shall designate one appointee who shall serve for a 4-year term running through June 30, 2007. The initial appointments shall be made within
- After the initial terms, commissioners shall serve for 4-year terms commencing on July 1 of the year of appointment and running through June 30 of the fourth following year.

60 days after the effective date of this Act.

Commissioners may be reappointed to one or more subsequent terms.

A vacancy shall occur upon a commissioner's death, resignation, removal, disqualification, termination of legislative service in the house or caucus of the appointing authority, or other inability to act. Vacancies occurring other than at the end of a term shall be filled by the appointing authority only for the balance of the term of the commissioner whose office is vacant.

Terms shall run regardless of whether the position is filled.

(c) The appointing authorities shall appoint commissioners who have experience holding governmental office or employment and shall may appoint commissioners who are members of the General Assembly as well as commissioners from the general public. A commissioner who is a member of the General Assembly must recuse himself or herself from participating in any matter relating to any investigation or proceeding in which he or she is the subject or is a complainant. A person is not eligible to serve as a commissioner if that person (i) has been convicted of a felony or a crime of dishonesty or moral turpitude, (ii) is, or was within the preceding 12 months, engaged in activities that require registration under the Lobbyist Registration Act, (iii) is a relative of the appointing authority, (iv) is a State officer or employee other than a member of the General Assembly, or (v) is a

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1 candidate for statewide, federal, or judicial office.

- (c-5) If a commissioner is required to recuse himself or herself from participating in a matter as provided in subsection (c), the recusal shall create a temporary vacancy for the limited purpose of consideration of the matter for which the commissioner recused himself or herself, and the appointing authority for the recusing commissioner shall make a temporary appointment to fill the vacancy for consideration of the matter for which the commissioner recused himself or herself.
- (d) The Legislative Ethics Commission shall have jurisdiction over current and former members of the General Assembly regarding events occurring during a member's term of office and current and former State employees regarding events occurring during any period of employment where the State employee's ultimate jurisdictional authority is legislative leader, (ii) the Senate Operations Commission, or (iii) the Joint Committee on Legislative Support Services. The Legislative Ethics Commission shall have jurisdiction over complainants and respondents in violation of subsection (d) of Section 25-90. The jurisdiction of the Commission is limited to matters arising under this Act.

An officer or executive branch State employee serving on a legislative branch board or commission remains subject to the jurisdiction of the Executive Ethics Commission and is not subject to the jurisdiction of the Legislative Ethics

Commission.

(e) The Legislative Ethics Commission must meet, either in person or by other technological means, monthly or as often as necessary. At the first meeting of the Legislative Ethics Commission, the commissioners shall choose from their number a chairperson and other officers that they deem appropriate. The terms of officers shall be for 2 years commencing July 1 and running through June 30 of the second following year. Meetings shall be held at the call of the chairperson or any 3 commissioners. Official action by the Commission shall require the affirmative vote of 5 commissioners, and a quorum shall consist of 5 commissioners. Commissioners shall receive no compensation but may be reimbursed for their reasonable expenses actually incurred in the performance of their duties.

(e-5) Except as otherwise provided in this subsection (e-5), all meetings and hearings of the Commission shall be open to the public. The Commission may hold administrative hearings that are closed to the public, but all votes in a closed administrative hearing must be made public and listed by case number. The Commission shall make available to the public a schedule of all dates and times of Commission meetings on the Illinois General Assembly website. The Commission shall also make available to the public on the Illinois General Assembly website a record of all minutes of meetings held by the Commission and any votes taken therein. The Commission may redact any confidential information that

- may be disclosed under the requirements of this subsection

 (e-5), but must note of the fact that confidential information

 was withheld from disclosure. The Commission shall adopt rules

 to implement this subsection (e-5).
 - (f) No commissioner, other than a commissioner who is a member of the General Assembly, or employee of the Legislative Ethics Commission may during his or her term of appointment or employment:
 - (1) become a candidate for any elective office;
 - (2) hold any other elected or appointed public office except for appointments on governmental advisory boards or study commissions or as otherwise expressly authorized by law:
 - (3) be actively involved in the affairs of any political party or political organization; or
 - (4) advocate for the appointment of another person to an appointed or elected office or position or actively participate in any campaign for any elective office.
 - (f-5) No commissioner who is a member of the General Assembly may be a candidate for statewide, federal, or judicial office. If a commissioner who is a member of the General Assembly files petitions to be a candidate for a statewide, federal, or judicial office, he or she shall be deemed to have resigned from his or her position as a commissioner on the date his or her name is certified for the ballot by the State Board of Elections or local election

- 1 authority and his or her position as a commissioner shall be
- 2 deemed vacant. Such person may not be reappointed to the
- 3 Commission during any time he or she is a candidate for
- 4 statewide, federal, or judicial office.
- 5 (g) An appointing authority may remove a commissioner only
- 6 for cause.
- 7 (h) The Legislative Ethics Commission shall appoint an
- 8 Executive Director subject to the approval of at least 3 of the
- 9 4 legislative leaders. The compensation of the Executive
- 10 Director shall be as determined by the Commission. The
- 11 Executive Director of the Legislative Ethics Commission may
- 12 employ, subject to the approval of at least 3 of the 4
- 13 legislative leaders, and determine the compensation of staff,
- 14 as appropriations permit.
- 15 (i) In consultation with the Legislative Inspector
- 16 General, the Legislative Ethics Commission may develop
- 17 comprehensive training for members and employees under its
- 18 jurisdiction that includes, but is not limited to, sexual
- 19 harassment, employment discrimination, and workplace civility.
- The training may be recommended to the ultimate jurisdictional
- 21 authorities and may be approved by the Commission to satisfy
- 22 the sexual harassment training required under Section 5-10.5
- or be provided in addition to the annual sexual harassment
- training required under Section 5-10.5. The Commission may
- 25 seek input from governmental agencies or private entities for
- 26 guidance in developing such training.

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- 1 (Source: P.A. 101-81, eff. 7-12-19; 101-221, eff. 8-9-19;
- 2 101-617, eff. 12-20-19; 102-664, eff. 1-1-22.)
- 3 (5 ILCS 430/25-15)
- 4 Sec. 25-15. Duties of the Legislative Ethics Commission.
- 5 In addition to duties otherwise assigned by law, the
- 6 Legislative Ethics Commission shall have the following duties:
 - (1) To promulgate rules governing the performance of its duties and the exercise of its powers and governing the investigations of the Legislative Inspector General; except that, the Legislative Ethics Commission shall adopt no rule requiring the Legislative Inspector General to seek the Commission's advance approval before commencing any investigation authorized under this Article or issuing a subpoena under this Article. Any existing rule, as of the effective date of this amendatory Act of the 102nd General Assembly, requiring the Legislative Inspector General to seek the Commission's advance approval before commencing any investigation or issuing a subpoena is void. The rules shall be available on the Commission's website and any proposed changes to the rules must be made available to the public on the Commission's website no less than 7 days before the adoption of the changes. Any person shall be given an opportunity to provide written or oral testimony before the Commission in support of or opposition to proposed rules.

- (2) To conduct administrative hearings and rule on matters brought before the Commission only upon the receipt of pleadings filed by the Legislative Inspector General and not upon its own prerogative, but may appoint special Legislative Inspectors General as provided in Section 25-21. Any other allegations of misconduct received by the Commission from a person other than the Legislative Inspector General shall be referred to the Office of the Legislative Inspector General.
- (3) To prepare and publish manuals and guides and, working with the Office of the Attorney General, oversee training of employees under its jurisdiction that explains their duties.
- (4) To prepare public information materials to facilitate compliance, implementation, and enforcement of this Act.
 - (5) To submit reports as required by this Act.
- (6) To the extent authorized by this Act, to make rulings, issue recommendations, and impose administrative fines, if appropriate, in connection with the implementation and interpretation of this Act. The powers and duties of the Commission are limited to matters clearly within the purview of this Act.
- (7) To issue subpoenas with respect to matters pending before the Commission, subject to the provisions of this Article and in the discretion of the Commission, to compel

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2	the	production	of	documents	and	other	item	ıs :	for	inspect	ion
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- (8) To appoint special Legislative Inspectors General as provided in Section 25-21.
- (9) To conspicuously display on the Commission's website the procedures for reporting a violation of this Act, including how to report violations via email or online.
- 10 (10) To conspicuously display on the Commission's
 11 website any vacancies within the Office of the Legislative
 12 Inspector General.
- 13 (11) To appoint an Acting Legislative Inspector
 14 General in the event of a vacancy in the Office of the
 15 Legislative Inspector General.
- 16 (Source: P.A. 102-664, eff. 1-1-22.)
- 17 (5 ILCS 430/25-20)
- 18 Sec. 25-20. Duties of the Legislative Inspector General.
- 19 In addition to duties otherwise assigned by law, the
- 20 Legislative Inspector General shall have the following duties:
- 21 (1) To receive and investigate, without advance 22 approval of the Legislative Ethics Commission, allegations 23 of violations of this Act and other wrongful acts within 24 his or her jurisdiction based on a complaint. Except as
- otherwise provided in paragraph (1.5), an investigation

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may not be initiated more than one year after the alleged wrongful act or the most recent act of a series of alleged wrongful acts based on the same wrongful conduct except if there is reasonable cause to believe that fraudulent concealment has occurred. To constitute fraudulent concealment sufficient to toll this limitations period, there must be an affirmative act or representation calculated to prevent discovery of the fact that a violation or other wrongful act has occurred. Legislative Inspector General shall have the discretion to determine the appropriate means of investigation as permitted by law.

(1.5) Notwithstanding any provision of law to the contrary, the Legislative Inspector General, whether appointed by the Legislative Ethics Commission or the General Assembly, may initiate an investigation based on information provided to the Office of the Legislative Inspector General or the Legislative Ethics Commission during the period from December 1, 2014 through November 3, 2017. Any investigation initiated under this paragraph (1.5) must be initiated within one year after the effective date of this amendatory Act of the 100th General Assembly.

Notwithstanding any provision of law to the contrary, the Legislative Inspector General, through the Attorney General, shall have the authority to file a complaint

related to any founded violations that occurred during the period December 1, 2014 through November 3, 2017 to the Legislative Ethics Commission, and the Commission shall have jurisdiction to conduct administrative hearings related to any pleadings filed by the Legislative Inspector General, provided the complaint is filed with the Commission no later than 6 months after the summary report is provided to the Attorney General in accordance with subsection (c) of Section 25-50.

- (2) To request information relating to an investigation from any person when the Legislative Inspector General deems that information necessary in conducting an investigation.
- (3) To issue subpoenas, with the advance approval of the Commission, 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 and subpoenas issued under item (7) of Section 25-15.
 - (4) To submit reports as required by this Act.
- (5) To file pleadings in the name of the Legislative Inspector General with the Legislative Ethics Commission, through the Attorney General, as provided in this Article if the Attorney General finds that reasonable cause exists to believe that a violation has occurred.
 - (6) To assist and coordinate the ethics officers for

- State agencies under the jurisdiction of the Legislative
 Inspector General and to work with those ethics officers.
 - (7) To participate in or conduct, when appropriate, multi-jurisdictional investigations.
 - (8) To request, as the Legislative Inspector General deems appropriate, from ethics officers of State agencies under his or her jurisdiction, reports or information on (i) the content of a State agency's ethics training program and (ii) the percentage of new officers and employees who have completed ethics training.
 - (9) To establish a policy that ensures the appropriate handling and correct recording of all investigations of allegations and to ensure that the policy is accessible via the Internet in order that those seeking to report those allegations are familiar with the process and that the subjects of those allegations are treated fairly.
 - (10) To post information to the Legislative Inspector General's website explaining to complainants and subjects of an investigation the legal limitations on the Legislative Inspector General's ability to provide information to them and a general overview of the investigation process.
- 23 (Source: P.A. 102-664, eff. 1-1-22.)
- 24 (5 ILCS 430/25-50)
- 25 Sec. 25-50. Investigation reports.

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the Legislative Inspector General, upon conclusion of an investigation, determines that reasonable cause exists to believe that a violation has occurred, then the Legislative Inspector General shall issue a summary report of the investigation. The report shall be delivered to the appropriate ultimate jurisdictional authority, to the head of State agency affected by or involved in investigation, if appropriate, and the member, if any, that is subject of the report. The appropriate the ultimate jurisdictional authority or agency head and the member, if any, that is the subject of the report shall respond to the summary report within 20 days, in writing, to the Legislative Inspector General. If the ultimate jurisdictional authority is the subject of the report, he or she may only respond to the summary report in his or her capacity as the subject of the report and shall not respond in his or her capacity as the ultimate jurisdictional authority. The response shall include a description of any corrective or disciplinary action to be imposed. If the appropriate ultimate jurisdictional authority or the member that is the subject of the report does not respond within 20 days, or within an extended time as agreed to bv the Legislative Inspector General, the Legislative Inspector General may proceed under subsection (c) as if a response had been received. A member receiving and responding to a report under this Section shall be deemed to be acting in his or her official capacity.

- 1 (b) The summary report of the investigation shall include 2 the following:
 - (1) A description of any allegations or other information received by the Legislative Inspector General pertinent to the investigation.
 - (2) A description of any alleged misconduct discovered in the course of the investigation.
 - (3) 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.
 - (4) Other information the Legislative Inspector General deems relevant to the investigation or resulting recommendations.
 - (c) Within 30 days after receiving a response from the appropriate ultimate jurisdictional authority or agency head under subsection (a), the Legislative Inspector General shall notify the Commission and the Attorney General if the Legislative Inspector General believes that a complaint should be filed with the Commission. If the Legislative Inspector General desires to file a complaint with the Commission, the Legislative Inspector General shall submit the summary report and supporting documents to the Attorney General. If the Attorney General concludes that there is insufficient evidence that a violation has occurred, the Attorney General shall notify the Legislative Inspector General and the Legislative

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Inspector General shall deliver to the Legislative Ethics Commission a copy of the summary report and response from the ultimate jurisdictional authority or agency head. If the Attorney General determines that reasonable cause exists to believe that a violation has occurred, then the Legislative Inspector General, represented by the Attorney General, may file with the Legislative Ethics Commission a complaint. The complaint shall set forth the alleged violation and the grounds that exist to support the complaint. Except as provided under subsection (1.5) of Section 20, the complaint must be filed with the Commission within 12 months after the Legislative Inspector General's initiation of an investigation receipt of the allegation of the violation or within 18 months after the most recent act of the alleged violation or of a series of alleged violations, whichever is later, except where there is reasonable cause to believe that fraudulent concealment has occurred. To constitute fraudulent concealment sufficient to toll this limitations period, there must be an affirmative act or representation calculated to prevent discovery of the fact that a violation has occurred. If a complaint is not filed with the Commission within 6 months after notice by the Inspector General to the Commission and the Attorney General, then the Commission may set a meeting of the Commission at which the Attorney General shall appear and provide a status report to the Commission.

(c-5) Within 30 days after receiving a response from the

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appropriate ultimate jurisdictional authority or agency head under subsection (a), if the Legislative Inspector General does not believe that a complaint should be filed, the Legislative Inspector General shall deliver to the Legislative Ethics Commission a statement setting forth the basis for the decision not to file a complaint and a copy of the summary report and response from the ultimate jurisdictional authority or agency head. The Inspector General may also submit a redacted version of the summary report and response from the ultimate jurisdictional authority if the Inspector General believes either contains information that, in the opinion of the Inspector General, should be redacted prior to releasing the report, may interfere with an ongoing investigation, or identifies an informant or complainant.

(c-10) If, after reviewing the documents, the Commission that further investigation is warranted, Commission may request that the Legislative Inspector General additional information conduct provide or further investigation. The Commission may also refer the summary report and response from the ultimate jurisdictional authority to the Attorney General for further investigation or review. If the Commission requests the Attorney General to investigate or review, the Commission must notify the Attorney General and the Legislative Inspector General. The Attorney General may not begin an investigation or review until receipt of notice from the Commission. 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 Legislative Ethics Commission. If the Attorney General concludes that there is insufficient evidence that a violation has occurred, the Attorney General shall notify the Legislative Ethics Commission and the appropriate Legislative Inspector General.
 - (d) A copy of the complaint filed with the Legislative Ethics Commission must be served on all respondents named in the complaint and on each respondent's ultimate jurisdictional authority in the same manner as process is served under the Code of Civil Procedure.
 - (e) A respondent may file objections to the complaint within 30 days after notice of the petition has been served on the respondent.
 - (f) The Commission shall meet, at least 30 days after the complaint is served on all respondents either in person or by telephone, in a closed session to review the sufficiency of the complaint. The Commission shall issue notice by certified mail, return receipt requested, to the Legislative Inspector General, the Attorney General, and all respondents of the Commission's ruling on the sufficiency of the complaint. If the complaint is deemed to sufficiently allege a violation of this Act, then the Commission shall include a hearing date scheduled within 4 weeks after the date of the notice, unless all of the parties consent to a later date. If the complaint is

- 1 deemed not to sufficiently allege a violation, then the
- 2 Commission shall send by certified mail, return receipt
- 3 requested, a notice to the Legislative Inspector General, the
- 4 Attorney General, and all respondents the decision to dismiss
- 5 the complaint.
- 6 (g) On the scheduled date the Commission shall conduct a
- 7 closed meeting, either in person or, if the parties consent,
- 8 by telephone, on the complaint and allow all parties the
- 9 opportunity to present testimony and evidence. All such
- 10 proceedings shall be transcribed.
- 11 (h) Within an appropriate time limit set by rules of the
- 12 Legislative Ethics Commission, the Commission shall (i)
- 13 dismiss the complaint, (ii) issue a recommendation of
- 14 discipline to the respondent and the respondent's ultimate
- jurisdictional authority, (iii) impose an administrative fine
- 16 upon the respondent, (iv) issue injunctive relief as described
- in Section 50-10, or (v) impose a combination of items (ii)
- 18 through (iv).
- 19 (i) The proceedings on any complaint filed with the
- 20 Commission shall be conducted pursuant to rules promulgated by
- 21 the Commission.
- 22 (j) The Commission may designate hearing officers to
- 23 conduct proceedings as determined by rule of the Commission.
- 24 (k) In all proceedings before the Commission, the standard
- of proof is by a preponderance of the evidence.
- 26 (1) Within 30 days after the issuance of a final

- 1 administrative decision that concludes that a violation
- 2 occurred, the Legislative Ethics Commission shall make public
- 3 the entire record of proceedings before the Commission, the
- 4 decision, any recommendation, any discipline imposed, and the
- 5 response from the agency head or ultimate jurisdictional
- 6 authority to the Legislative Ethics Commission.
- 7 (Source: P.A. 100-588, eff. 6-8-18; 101-221, eff. 8-9-19;
- 8 101-617, eff. 12-20-19.)
- 9 (5 ILCS 430/25-52)
- 10 Sec. 25-52. Release of summary reports.
- 11 (a) Within 60 days after receipt of a summary report and
- 12 response from the ultimate jurisdictional authority or agency
- 13 head that resulted in a suspension of at least 3 days or
- 14 termination of employment, the Legislative Ethics Commission
- shall make available to the public the report and response or a
- 16 redacted version of the report and response. The Legislative
- 17 Ethics Commission shall also make available to the public any
- 18 summary report in which a subject of the report is a current or
- 19 former member of the General Assembly, and the Legislative
- 20 Inspector General found that reasonable cause exists to
- 21 believe that a violation has occurred. The Legislative Ethics
- 22 Commission may make available to the public any other summary
- 23 report and response of the ultimate jurisdictional authority
- 24 or agency head or a redacted version of the report and
- 25 response. Publicly available summary reports shall be posted

on the websites of the Legislative Ethics Commission and the Legislative Inspector General.

- (b) The Legislative Ethics Commission shall redact information in the summary report that may reveal the identity of witnesses, complainants, or informants or if the Commission determines it is appropriate to protect the identity of a person before publication. The Commission may also redact any information it believes should not be made public. Prior to publication, the Commission shall permit the respondents, Legislative Inspector General, and Attorney General to review documents to be made public and offer suggestions for redaction or provide a response that shall be made public with the summary report.
- (c) The Legislative Ethics Commission may withhold publication of the report or response if the Legislative Inspector General or Attorney General certifies that publication will interfere with an ongoing investigation.
- 18 (Source: P.A. 96-555, eff. 8-18-09.)