



101ST GENERAL ASSEMBLY

State of Illinois

2019 and 2020

HB4097

Introduced 1/16/2020, by Rep. Katie Stuart

SYNOPSIS AS INTRODUCED:

5 ILCS 430/5-45

Amends the State Officials and Employees Ethics Act. Provides that any member of the General Assembly holding office on or after the effective date of this amendatory Act shall not, within a period of 2 years immediately following the conclusion of his or her term of office or resignation from office, knowingly accept employment or receive compensation or fees for services that would require him or her to register as a lobbyist under the Lobbyist Registration Act. Specifies that the provision does not apply to employment by a State agency or lobbying done without compensation. Effective immediately.

LRB101 15935 RJF 65295 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 Section 5-45 as follows:

6 (5 ILCS 430/5-45)

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

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

19 (a-5) No officer, member, or spouse or immediate family
20 member living with such person shall, during the officer or
21 member's term in office or within a period of 2 years
22 immediately leaving office, hold an ownership interest, other
23 than a passive interest in a publicly traded company, in any

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

21 (a-10) This subsection (a-10) applies on and after June 25,
22 2021. No officer, member, or spouse or immediate family member
23 living with such person, shall, during the officer or member's
24 term in office or within a period of 2 years immediately after
25 leaving office, hold an ownership interest, other than a
26 passive interest in a publicly traded company, in any cannabis

1 business establishment which is licensed under the Cannabis
2 Regulation and Tax Act. Any member of the General Assembly or
3 spouse or immediate family member living with such person who
4 has an ownership interest, other than a passive interest in a
5 publicly traded company, in any cannabis business
6 establishment which is licensed under the Cannabis Regulation
7 and Tax Act at the time of the effective date of this
8 amendatory Act of the 101st General Assembly shall divest
9 himself or herself of such ownership within one year after the
10 effective date of this amendatory Act of the 101st General
11 Assembly.

12 No State employee who works for any State agency that
13 regulates cannabis business establishment license holders who
14 participated personally and substantially in the award of
15 licenses under the Cannabis Regulation and Tax Act or a spouse
16 or immediate family member living with such person shall,
17 during State employment or within a period of 2 years
18 immediately after termination of State employment, hold an
19 ownership interest, other than a passive interest in a publicly
20 traded company, in any cannabis license under the Cannabis
21 Regulation and Tax Act.

22 (b) No former officer of the executive branch or State
23 employee of the executive branch with regulatory or licensing
24 authority, or spouse or immediate family member living with
25 such person, shall, within a period of one year immediately
26 after termination of State employment, knowingly accept

1 employment or receive compensation or fees for services from a
2 person or entity if the officer or State employee, during the
3 year immediately preceding termination of State employment,
4 participated personally and substantially in making a
5 regulatory or licensing decision that directly applied to the
6 person or entity, or its parent or subsidiary.

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

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

23 (d) Each Inspector General shall have the authority to
24 determine that additional State positions under his or her
25 jurisdiction, not otherwise subject to the policies required by
26 subsection (c) of this Section, are nonetheless subject to the

1 notification requirement of subsection (f) below due to their
2 involvement in the award of State contracts or in regulatory or
3 licensing decisions.

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

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

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

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

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

13 (h) The following officers, members, or State employees
14 shall not, within a period of one year immediately after
15 termination of office or State employment, knowingly accept
16 employment or receive compensation or fees for services from a
17 person or entity if the person or entity or its parent or
18 subsidiary, during the year immediately preceding termination
19 of State employment, was a party to a State contract or
20 contracts with a cumulative value of \$25,000 or more involving
21 the officer, member, or State employee's State agency, or was
22 the subject of a regulatory or licensing decision involving the
23 officer, member, or State employee's State agency, regardless
24 of whether he or she participated personally and substantially
25 in the award of the State contract or contracts or the making
26 of the regulatory or licensing decision in 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 (h-5) Any member who holds office on or after the effective
18 date of this amendatory Act of the 101st General Assembly shall
19 not, within a period of 2 years immediately following the
20 conclusion of his or her term of office or resignation from
21 office, knowingly accept employment or receive compensation or
22 fees for services that would require him or her to register as
23 a lobbyist under the Lobbyist Registration Act. This subsection
24 (h-5) does not apply to employment by a State agency or
25 lobbying done without compensation.

26 (i) For the purposes of this Section, with respect to

1 officers or employees of a regional transit board, as defined
2 in this Act, the phrase "person or entity" does not include:
3 (i) the United States government, (ii) the State, (iii)
4 municipalities, as defined under Article VII, Section 1 of the
5 Illinois Constitution, (iv) units of local government, as
6 defined under Article VII, Section 1 of the Illinois
7 Constitution, or (v) school districts.

8 (Source: P.A. 101-31, eff. 6-28-19; 101-593, eff. 12-4-19.)

9 Section 99. Effective date. This Act takes effect upon
10 becoming law.