

# SB3670



## 98TH GENERAL ASSEMBLY

### State of Illinois

2013 and 2014

SB3670

Introduced 11/7/2014, by Sen. Daniel Biss

#### SYNOPSIS AS INTRODUCED:

5 ILCS 430/5-45

Amends the State Officials and Employees Ethics Act. Provides that (in addition to current restrictions on chiefs of staff, deputy chiefs of staff, and deputy governors) a chief of staff, deputy chief of staff, or deputy governor serving in the Office of the Governor is prohibited from lobbying or consulting in any fashion before or with the executive or legislative branch of State government for a period of one year immediately after termination of State employment. Effective immediately.

LRB098 21409 JWD 59834 b

A BILL FOR

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 (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

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; and
- 12 (6) chiefs of staff, deputy chiefs of staff, associate  
13 chiefs of staff, assistant chiefs of staff, and deputy  
14 governors.

15 (h-5) In addition to the restrictions of subsection (h) of  
16 this Section and notwithstanding any provision of law to the  
17 contrary, a chief of staff, deputy chief of staff, or deputy  
18 governor serving in the Office of the Governor is prohibited  
19 from lobbying, as defined in Section 2 of the Lobbyist  
20 Registration Act, or consulting in any fashion before or with  
21 the executive or legislative branch of State government for a  
22 period of one year immediately after termination of State  
23 employment.

24 (i) For the purposes of this Section, with respect to  
25 officers or employees of a regional transit board, as defined  
26 in this Act, the phrase "person or entity" does not include:

1 (i) the United States government, (ii) the State, (iii)  
2 municipalities, as defined under Article VII, Section 1 of the  
3 Illinois Constitution, (iv) units of local government, as  
4 defined under Article VII, Section 1 of the Illinois  
5 Constitution, or (v) school districts.

6 (Source: P.A. 96-555, eff. 8-18-09; 97-653, eff. 1-13-12.)

7 Section 99. Effective date. This Act takes effect upon  
8 becoming law.