

**STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION**

COMPLIANCE EXAMINATION

For the Two Years Ended June 30, 2008

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2008

TABLE OF CONTENTS

	<u>Page</u>
Agency Officials	1
Management Assertion Letter	2
Compliance Report	
Summary	4
Accountants' Report	
Independent Accountants' Report on State Compliance, on Internal Control Over Compliance, and on Supplementary Information for State Compliance Purposes	5
Schedule of Findings	
Current Findings – State Compliance	8
Supplementary Information for State Compliance Purposes	
Summary	11
Fiscal Schedules and Analysis	
Schedule of Appropriations, Expenditures and Lapsed Balances	12
Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances	14
Schedule of Changes in State Property	15
Analysis of Significant Variations in Expenditures	16
Analysis of Significant Lapse Period Spending	18
Analysis of Operations	
Agency Functions and Planning Program	19
Average Number of Employees	21
Service Efforts and Accomplishments (Not Examined)	22

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2008

AGENCY OFFICIALS

Executive Director

Kevin Steelman

Commission Members as of June 30, 2008:

James F. Clayborne, Jr.

Terry Link

William Peterson

Dale Risinger

Gary Hannig

Art Turner

Brent Hassert

Patricia Reid-Lindner

Agency office is located at:

420 Stratton Building
Springfield, Illinois 62706

Senator James F. Clayborne, Jr.
Senator Terry Link
Senator William E. Peterson
Senator Dale E. Risinger



Representative Gary Hannig, Chairman
Representative Arthur L. Turner
Representative Brent Hassert
Representative Patricia Reid Lindner

EXECUTIVE DIRECTOR:
Kevin Steelman

LEGISLATIVE ETHICS COMMISSION

420 Stratton Building, Springfield, IL 62706
Phone: (217) 558-1561
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MANAGEMENT ASSERTION LETTER

December 10, 2008

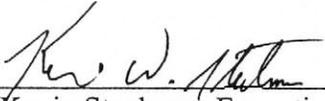
Honorable William G. Holland
Auditor General
State of Illinois
Hes Park Plaza
740 East Ash
Springfield, IL 62703-3154

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the Commission. We are responsible for and we have established and maintained an effective system of internal controls over compliance requirements. We have performed an evaluation of the Commission's compliance with the following assertions during the two-year period ended June 30, 2008. Based on this evaluation, we assert that during the years ended June 30, 2008 and June 30, 2007, the Commission has materially complied with the assertions below.

- A. The Commission has obligated, expended, received and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The Commission has obligated, expended, received and used public funds of the State in accordance with any limitations, restrictions, conditions or mandatory directions imposed by law upon such obligation, expenditure, receipt or use.
- C. The Commission has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.

Yours very truly,

Legislative Ethics Commission



(Kevin Steelman, Executive Director)

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2008

COMPLIANCE REPORT

SUMMARY

The compliance testing performed during this examination was conducted in accordance with *Government Auditing Standards* and in accordance with the Illinois State Auditing Act.

ACCOUNTANTS' REPORTS

The Independent Accountants' Report on State Compliance, on Internal Control Over Compliance and on Supplementary Information for State Compliance Purposes does not contain scope limitations, disclaimers, or other significant non-standard language.

SUMMARY OF FINDINGS

<u>Number of</u>	<u>Current Report</u>	<u>Prior Report</u>
Findings	2	0
Repeated findings	N/A	N/A
Prior recommendations implemented or not repeated	N/A	N/A

Details of findings are presented in a separately tabbed report section of this report.

SCHEDULE OF FINDINGS

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)			
08-1	8	Inappropriate Signature Authority Designation	Significant Deficiency and Noncompliance
08-2	9	Inadequate Segregation of Duties	Significant Deficiency and Noncompliance

EXIT CONFERENCE

The Commission waived a formal exit conference in a letter dated November 18, 2008.

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OFFICE OF THE AUDITOR GENERAL
WILLIAM G. HOLLAND

INDEPENDENT ACCOUNTANTS' REPORT ON STATE COMPLIANCE,
ON INTERNAL CONTROL OVER COMPLIANCE, AND ON
SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES

Honorable William G. Holland
Auditor General
State of Illinois

Compliance

We have examined the State of Illinois, Legislative Ethics Commission's compliance with the requirements listed below, as more fully described in the Audit Guide for Financial Audits and Compliance Attestation Engagements of Illinois State Agencies (Audit Guide) as adopted by the Auditor General, during the two years ended June 30, 2008. The management of the State of Illinois, Legislative Ethics Commission is responsible for compliance with these requirements. Our responsibility is to express an opinion on the State of Illinois, Legislative Ethics Commission's compliance based on our examination.

- A. The State of Illinois, Legislative Ethics Commission has obligated, expended, received, and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The State of Illinois, Legislative Ethics Commission has obligated, expended, received, and used public funds of the State in accordance with any limitations, restrictions, conditions or mandatory directions imposed by law upon such obligation, expenditure, receipt or use.
- C. The State of Illinois, Legislative Ethics Commission has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.

We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants; the standards applicable to attestation engagements contained in *Government Auditing Standards* issued by the Comptroller General of the United States; the Illinois State Auditing Act (Act); and the Audit Guide as adopted by the Auditor General pursuant to the Act; and, accordingly, included examining, on a test basis, evidence about the State of Illinois, Legislative Ethics Commission's compliance with those requirements listed in the first paragraph of this report and performing such other procedures as

we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion. Our examination does not provide a legal determination on the State of Illinois, Legislative Ethics Commission's compliance with specified requirements.

In our opinion, the State of Illinois, Legislative Ethics Commission complied, in all material respects, with the requirements listed in the first paragraph of this report during the two years ended June 30, 2008. However, the results of our procedures disclosed instances of noncompliance, which are required to be reported in accordance with criteria established by the Audit Guide, issued by the Illinois Office of the Auditor General and which are described in the accompanying schedule of findings as findings 08-1 and 08-2.

Internal Control

The management of the State of Illinois, Legislative Ethics Commission is responsible for establishing and maintaining effective internal control over compliance with the requirements listed in the first paragraph of this report. In planning and performing our examination, we considered the State of Illinois, Legislative Ethics Commission's internal control over compliance with the requirements listed in the first paragraph of this report in order to determine our examination procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with the Audit Guide issued by the Illinois Office of the Auditor General, but not for the purpose of expressing an opinion on the effectiveness of the State of Illinois, Legislative Ethics Commission's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State of Illinois, Legislative Ethics Commission's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and would not necessarily identify all deficiencies in internal control that might be significant deficiencies or material weaknesses as defined below. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be significant deficiencies.

A *control deficiency* in an entity's internal control over compliance exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect noncompliance with the requirements listed in the first paragraph of this report on a timely basis. A *significant deficiency* is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to comply with the requirements listed in the first paragraph of this report such that there is more than a remote likelihood that noncompliance with a requirement that is more than inconsequential will not be prevented or detected by the entity's internal control. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings as items 08-1 and 08-2 to be significant deficiencies.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that material noncompliance with a requirement listed in the first paragraph of this report will not be prevented or detected by the entity's internal control.

We did not consider any of the deficiencies described in the accompanying schedule of findings to be material weaknesses.

As required by the Audit Guide, immaterial findings relating to instances of noncompliance excluded from this report have been reported in a separate letter.

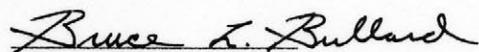
The State of Illinois, Legislative Ethics Commission's response to the findings identified in our examination are described in the accompanying schedule of findings. We did not examine the State of Illinois, Legislative Ethics Commission's response and, accordingly, we express no opinion on it.

Supplementary Information for State Compliance Purposes

Our examination was conducted for the purpose of forming an opinion on compliance with the requirements listed in the first paragraph of this report. The accompanying supplementary information as listed in the table of contents as Supplementary Information for State Compliance Purposes is presented for purposes of additional analysis. We have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General to the 2007 and 2008 Supplementary Information for State Compliance Purposes, except for information on Service Efforts and Accomplishments on which we did not perform any procedures. However, we do not express an opinion on the supplementary information.

We have not applied procedures to the 2006 Supplementary Information for State Compliance Purposes, and accordingly, we do not express an opinion thereon.

This report is intended solely for the information and use of the Auditor General, the General Assembly, the Legislative Audit Commission, the Governor, agency management, the governing board and is not intended to be and should not be used by anyone other than these specified parties.



Bruce L. Bullard, CPA

Director of Financial and Compliance Audits

December 10, 2008

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
SCHEDULE OF FINDINGS
For the Two Years Ended June 30, 2008

CURRENT FINDINGS — State Compliance

08-1. **FINDING** (Inappropriate Signature Authority Designation)

The Legislative Ethics Commission (Commission) authorized personnel from other State agencies to approve vouchers as the agency head without entering into an intergovernmental contract.

We noted one individual had signature authority to approve travel, payroll and invoice vouchers. Another individual had signature authority to approve payroll vouchers.

The Intergovernmental Cooperation Act (Act) (5 ILCS 220/5) states any one or more public agencies may contract with any one or more other public agencies to perform any governmental service, activity or undertaking or to combine, transfer, or exercise any powers, functions, privileges, or authority which any of the public agencies entering into the contract is authorized by law to perform, provided that such contract shall be approved by the governing bodies of each party to the contract and except where specifically and expressly prohibited by law. Such contract shall set forth fully the purposes, powers, rights, objectives and responsibilities of the contracting parties.

Commission personnel stated that nearly all administrative work for the Legislative Ethics Commission and the Legislative Inspector General are performed by the Director of the Legislative Ethics Commission. When the Director is absent, no one is available to process payroll for both agencies. In order to maintain operations when the Director of the Legislative Ethics Commission is absent, signature authority was delegated to fiscal staff serving in Senate Operations, and the House Fiscal unit. Using these outside staff to process payrolls and sign documents is not routine practice and is done only as needed.

By not entering into an intergovernmental contract the Commission increases the risk that powers and responsibilities over expenditure authority could be abused. (Finding Code No. 08-1)

RECOMMENDATION

We recommend the Commission retain all voucher signature authority or comply with the Act by entering into an intergovernmental contract.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
SCHEDULE OF FINDINGS
For the Two Years Ended June 30, 2008

COMMISSION RESPONSE

Accepted. Signature authority was delegated to administrative staff of both Senate and House fiscal units to enable continuity of payroll during periods of the Executive Director's absence. This was an infrequent event, but provides a mechanism for continued fiscal activity. Some of the authority was authorized when the agencies were initially created. The LEC will seek an interagency agreement to formalize this redundancy.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
SCHEDULE OF FINDINGS
For the Two Years Ended June 30, 2008

CURRENT FINDINGS — State Compliance (continued)

08-2. **FINDING** (Inadequate Segregation of Duties)

The Legislative Ethics Commission (Commission) had an inadequate segregation of duties in the areas of expenditure control and State property.

We noted the following inadequate segregation of duties:

- One person had authority to approve vouchers, maintain accounting records and perform monthly expenditure reconciliations.
- One person had authority to approve all property purchases, tag all inventory, maintain the property records and complete the quarterly reports of State property.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls, which shall provide assurance that funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use, and misappropriation. In addition, good business practices require the Commission maintain adequate segregation of duties in order to help ensure the safeguarding of assets, prevent improper expenditures, and ensure the accuracy and reliability of accounting data.

Commission personnel stated that the size of the agency makes segregation of duties difficult to accomplish.

A lack of adequate segregation of duties increases the likelihood that a loss from errors or irregularities could occur and would not be found in the normal course of employees carrying out their assigned duties. (Finding Code No. 08-2)

RECOMMENDATION

We recommend the Commission maintain effective internal control over the record keeping and accounting duties concerned with expenditure and property control.

COMMISSION RESPONSE

Accepted. Segregation of duties is difficult to undertake in a single staff office. The LEC will work to provide routine expenditure updates to the LEC as a way of enhancing financial oversight.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2008

SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES

SUMMARY

Supplementary Information for State Compliance Purposes presented in this section of the report includes the following:

- Fiscal Schedules and Analysis:

- Schedule of Appropriations, Expenditures and Lapsed Balances
- Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances
- Schedule of Changes in State Property
- Analysis of Significant Variations in Expenditures
- Analysis of Significant Lapse Period Spending

- Analysis of Operations:

- Agency Functions and Planning Program
- Average Number of Employees
- Service Efforts and Accomplishments (Not Examined)

The accountants' report that covers the Supplementary Information for State Compliance Purposes presented in the Compliance Report Section states the auditors have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General, except for information on the Service Efforts and Accomplishments on which they did not perform any procedures. However, the accountants do not express an opinion on the supplementary information.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES

For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2007	Appropriations (Net of Transfers)	Lapse Period		Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
		Expenditures Through June 30	Expenditures July 1 to August 31		
General Revenue Fund - 001					
Ordinary and Contingent Expenses of the Commission and the Office of the Legislative Inspector General	\$ 328,900	\$ 79,086	\$ 4,132	\$ 83,218	\$ 245,682
Total Fiscal Year 2007	<u>\$ 328,900</u>	<u>\$ 79,086</u>	<u>\$ 4,132</u>	<u>\$ 83,218</u>	<u>\$ 245,682</u>

Note A: Appropriations, expenditures, and lapsed balances were obtained from Comptroller records and have been reconciled to records of the Commission.

Note B: The Legislative Inspector General and the Legislative Ethics Commission share an appropriation and expenditure data. In both Fiscal Years 2007 and 2008 both entities were reported under the Legislative Ethics Commission's agency code on the Comptroller's records. The above expenditures include both the Office of the Legislative Inspector General's expenditures and the Legislative Ethics Commission's expenditures.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES

For the Fiscal Year Ended June 30, 2007

P.A. 94-0798 FISCAL YEAR 2007	Appropriations (Net of Transfers)	Lapse Period		Balances Lapsed August 31
		Expenditures Through June 30	Expenditures July 1 to August 31	
General Revenue Fund - 001				
Ordinary and Contingent Expenses of the Commission and the Office of the Legislative Inspector General	\$ 328,900	\$ 74,936	\$ 8,343	\$ 83,279
Total Fiscal Year 2007	<u>\$ 328,900</u>	<u>\$ 74,936</u>	<u>\$ 8,343</u>	<u>\$ 83,279</u>
				<u>\$ 245,621</u>

Note A: Appropriations, expenditures, and lapsed balances were obtained from Comptroller records and have been reconciled to records of the Commission.

Note B: The Legislative Inspector General and the Legislative Ethics Commission share an appropriation and expenditure data. In both Fiscal Years 2007 and 2008 both entities were reported under the Legislative Ethics Commission's agency code on the Comptroller's records. The above expenditures include both the Office of the Legislative Inspector General's expenditures and the Legislative Ethics Commissions's expenditures.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
 For the Fiscal Years Ended June 30,

	Fiscal Year		
	2008	2007	2006
General Revenue Fund - 001	P.A. 95-0348	P.A. 94-0798	P.A. 94-0015
Appropriations (Net of Transfers)	<u>\$ 328,900</u>	<u>\$ 328,900</u>	<u>\$ 315,000</u>
<u>Expenditures</u>			
Ordinary and Contingent Expenses of the Commission and the Office of the Legislative Inspector General	<u>\$ 83,218</u>	<u>\$ 83,279</u>	<u>\$ 71,515</u>
Lapsed Balances	<u><u>\$ 245,682</u></u>	<u><u>\$ 245,621</u></u>	<u><u>\$ 243,485</u></u>

Note: The Legislative Inspector General and the Legislative Ethics Commission share an appropriation and expenditure data. In both Fiscal Years 2007 and 2008 both entities were reported under the Legislative Ethics Commission's agency code on the Comptroller's records. See the Analysis of Significant Variations in Expenditures to see a comparison of expenditures in total and by detailed object code. The above expenditures include both the Office of the Legislative Inspector General's expenditures and the Legislative Ethics Commission's expenditures.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
SCHEDULE OF CHANGES IN STATE PROPERTY
 For the Two Years Ended June 30, 2008

	Equipment
Balance at July 1, 2006	\$ 16,280
Additions	-
Deletions	-
Net Transfers	-
Balance at June 30, 2007	\$ 16,280
Balance at July 1, 2007	\$ 16,280
Additions	4,000
Deletions	9,206
Net Transfers	-
Balance at June 30, 2008	\$ 11,074

Note: The above schedule has been derived from Agency records which have been reconciled to property reports submitted to the Office of the Comptroller.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
 For the Two Years Ended June 30, 2008

<u>GENERAL REVENUE FUND – 001</u>	<u>2008</u>		<u>2007</u>
Personal Services	\$ 67,514		\$ 65,291
Employee Retirement Contributions Paid by Employer	0		0
State Contribution to State Employees' Retirement System	5,224	(A)	3,492
State Contribution to Social Security	5,147		4,976
Contractual Services	814		776
Travel	1,343		1,592
Commodities	240		237
Equipment	0	(B)	4,239
Telecommunications	<u>2,936</u>		<u>2,676</u>
Total General Revenue Fund Expenditures	<u>\$ 83,218</u>		<u>\$ 83,279</u>

Explanations of significant variations in expenditures (fluctuations of 20% and \$500) for the two years ended June 30, 2008 are represented below:

- (A) The increase in state contribution to state employees' retirement system in FY08 was due to the retirement rate changing to 16.561% which is an increase from the FY07 rate of 11.525%.

- (B) The decrease in equipment expenditures in FY08 was due to a new copier being purchased in the amount of \$4,000 and a library book for \$239 in FY07. No equipment was purchased in FY08.

Note: The Legislative Ethics Commission shared an appropriation with the Office of the Legislative Inspector General during FY07 and FY08. The above expenditures include both the Office of the Legislative Inspector General's expenditures and the Legislative Ethics Commission's expenditures.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
 For the Two Years Ended June 30, 2008

<u>GENERAL REVENUE FUND – 001</u>	<u>2007</u>		<u>2006</u>
Personal Services	\$ 65,291		\$ 57,595
Employee Retirement Contributions Paid by Employer	0		87
State Contribution to State Employees' Retirement System	3,492		3,503
State Contribution to Social Security	4,976		4,400
Contractual Services	776	(A)	1,356
Travel	1,592		1,489
Commodities	237		30
Equipment	4,239	(B)	0
Telecommunications	<u>2,676</u>		<u>3,055</u>
Total General Revenue Fund Expenditures	<u>\$ 83,279</u>		<u>\$ 71,515</u>

Explanations of significant variations in expenditures (fluctuations of 20% and \$500) for the two years ended June 30, 2007 are represented below:

- (A) The decrease in contractual service expenditures in FY07 was due to the elimination of a service agreement for a Watts copier and decreased postage.

- (B) The increase in equipment expenditures in FY07 was due to a new copier being purchased in the amount of \$4,000 and a library book for \$239. No equipment was purchased in FY06.

Note: The Legislative Ethics Commission shared an appropriation with the Office of the Legislative Inspector General during FY06 and FY07. The above expenditures include both the Office of the Legislative Inspector General's expenditures and the Legislative Ethics Commission's expenditures.

STATE OF ILLINOIS
 LEGISLATIVE ETHICS COMMISSION
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
 For the Two Years Ended June 30, 2008

<u>GENERAL REVENUE FUND – 001</u>	<u>2008</u>		<u>2007</u>
Personal Services	\$ 2,960		\$ 3,099
Employee Retirement Contributions Paid by Employer	0		0
State Contribution to State Employees' Retirement System	490		357
State Contribution to Social Security	226		237
Contractual Services	231		5
Travel	0		426
Commodities	0		0
Equipment	0	(A)	4,000
Telecommunications	<u>225</u>		<u>219</u>
Total General Revenue Fund Expenditures	<u>\$ 4,132</u>		<u>\$ 8,343</u>

Explanations of significant lapse period spending (spending greater than 20% and \$500) for the two years ended June 30, 2008 are represented below:

- (A) Lapse period expenditures were due to a new copier that was purchased in the amount of \$4,000 that was approved and ordered prior to June 30, but was not paid until the lapse period.

Note: The Legislative Ethics Commission shared an appropriation with the Office of the Legislative Inspector General during FY07 and FY08. The above lapse period expenditures include both the Office of the Legislative Inspector General's expenditures and the Legislative Ethics Commission's expenditures.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
AGENCY FUNCTIONS AND PLANNING PROGRAM
For the Two Years Ended June 30, 2008

FUNCTIONS

The Legislative Ethics Commission (Commission) was created in December 2003 by the State Officials and Employees Ethics Act (Act) (5 ILCS 430/et seq.). The Commission consists of 8 commissioners appointed 2 each by the President and Minority Leader of the Senate and the Speaker and Minority Leader of the House of Representatives. The Executive Director of the Legislative Ethics Commission is appointed by the Commission and subject to approval of at least 3 of the 4 legislative leaders.

The jurisdiction of the Commission extends to members of the General Assembly and all state employees whose ultimate jurisdictional authority is a legislative leader, the Senate Operations Commission or the Joint Committee on Legislative Support Services.

The State Officials and Employees Ethics Act states the Legislative Ethics Commission shall have the following duties:

- To promulgate rules governing the performance of its duties and the exercise of its powers and governing the investigations of the Legislative Inspector General.
- 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.
- 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.
- 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.
- To prepare public information materials to facilitate compliance, implementation, and enforcement of the Act.
- To submit reports as required by the Act.
- To the extent authorized by the Act, to make rulings, issue recommendations, and impose administrative fines, if appropriate, in connection with the implementation and interpretation of the Act. The powers and duties of the Commission are limited to matters clearly within the purview of the Act.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
AGENCY FUNCTIONS AND PLANNING PROGRAM
For the Two Years Ended June 30, 2008

FUNCTIONS (Continued)

- To issue subpoenas with respect to matters pending before the Commission to compel the attendance of witnesses for purposes of testimony and the production of documents and other items for inspection and copying.
- To appoint special Legislative Inspectors General.

PLANNING PROGRAM

The Commission is an investigative body with its powers and duties detailed in the State Officials and Employees Ethics Act. As a result, the Commission does not have formal written goals and objectives, but instead operates to fulfill the statutory responsibilities in a timely and efficient manner.

The Commission's Operating Rules and the Commission's Personnel Manual help implement and communicate the responsibilities set forth in the State Officials and Employees Ethics Act.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
AVERAGE NUMBER OF EMPLOYEES
For the Two Years Ended June 30, 2008

AVERAGE NUMBER OF EMPLOYEES

The following table, prepared from Agency records, presents the average number of employees for the Fiscal Years ended June 30,

<u>Division</u>	<u>2007</u>	<u>2008</u>
Executive Director	1	1
	<hr/>	<hr/>
Total average employees *	<u>1</u>	<u>1</u>

* The Executive Director is a part time employee.

STATE OF ILLINOIS
LEGISLATIVE ETHICS COMMISSION
SERVICE EFFORTS AND ACCOMPLISHMENTS
For the Two Years Ended June 30, 2008
(Not Examined)

The Legislative Ethics Commission (Commission) established a website for State employees and the general public. This website outlines information about the Office, including its history, legislative authority, and purpose. In addition, the website provides contact information for the Office.

Pursuant to the State Officials and Employees Ethics Act (5 ILCS 430), the Commission receives quarterly reports summarizing investigation activity from the Office of the Legislative Inspector General. Listed below is a compilation of allegation and investigation information reported to the Commission for Fiscal Years 2007 and 2008.

	<u>Fiscal Year 2007</u>	<u>Fiscal Year 2008</u>
Number of allegations received	11	19
Number of investigations initiated	11	19
Number of investigations concluded	11	17
Number of total open investigations	0	2

There were no pleadings filed in FY07 and FY08 with the Commission by the Legislative Inspector General. Accordingly, the Commission had not conducted an administrative hearing or given a ruling during FY07 and FY08