ARTICLE 1. SHORT TITLE; DEFINITIONS.

Rule 1-1. Short title. These rules may be cited as the Operational Rules of the Legislative Ethics Commission.

Rule 1-5. Definitions. Unless the context clearly requires otherwise:

"Act" means the State Officials and Employees Ethics Act [5 ILCS 430/].

"Chairperson" means the chairperson of the Legislative Ethics Commission.

"Commission" means the Legislative Ethics Commission.

"Commissioner" means a commissioner of the Legislative Ethics Commission.

"Inspector General" and "Legislative Inspector General" mean the Legislative Inspector General appointed under Section 25-10(b) of the Act.

"Officer or employee" means a former or current member of the General Assembly or State employee of the legislative branch.

ARTICLE 5. ORGANIZATION.

Rule 5-5. Composition of Legislative Ethics Commission.
The Legislative Ethics 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. [5 ILCS 430/25-5(b)].

Rule 5-10. Officers. The commissioners shall choose from their number a chairperson and any 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. [5 ILCS 430/25-5(e)] The first chairperson for the Legislative Ethics Commission shall be one of the appointees of the Senate Minority Leader. The chairperson for the Legislative Ethics Commission for subsequent terms shall be elected from among the appointees of each legislative leader on a rotating basis as follows: House Speaker, Senate President, House Minority Leader, Senate Minority Leader.

(a) Meetings shall be called by the chairperson or upon the concurrence of any 3 commissioners.
(b) A quorum is 5 members, and official action by the Commission requires the affirmative vote of 5 members. [5 ILCS 430/25-5(e)]
(c) Meetings of the Commission are not subject to the Open Meetings Act [5 ILCS 120/1.02], but meetings of the Commission, or parts of those meetings, if not prohibited by law, may be
open to the public or to specific invitees (such as the Legislative Inspector General, ethics officers, staff, and others) in the appropriate circumstances and with the approval of the Commission.

(d) Notice of the time, place, and subject matter of meetings shall be given to each commissioner at least 24 hours in advance by any one or more reasonable means. If, however, the public will be invited to attend or participate, public notice of the time, place, and subject matter of the public portion of the meeting shall be given at least 5 days in advance by any one or more reasonable means, including posting at the principal office of the Commission and on the Commission's website. Notice of hearings shall be reasonable and just as the circumstances require.

(e) Minutes of each meeting shall be taken as directed by the chairperson and shall be maintained at the principal office of the Commission. All actions taken by the Commission shall be on a motion made and seconded and recorded in the minutes. The results of votes on motions shall be recorded in the minutes, but need not be by roll call. Minutes shall be distributed to commissioners at least 24 hours before the next meeting. If all or a portion of a meeting is open to the public, then the minutes relating to that meeting or portion of a meeting, after the minutes have been approved by the Commission, may be made available to the public for inspection and copying.
Rule 5-20. Appointment of Executive Director. The Legislative Ethics Commission shall appoint an Executive Director subject to the approval of at least 3 of the 4 legislative leaders. [5 ILCS 430/25-5(h)].

Rule 5-25. Duties of Executive Director. The Executive Director serves as the director of the staff of the Legislative Ethics Commission and is responsible for the employment of necessary professional, technical, and secretarial staff as directed by the Commission. The Executive Director shall serve at the pleasure of the Commission.

Rule 5-30. Duties of staff. The duties and organization of staff are established by the Executive Director as directed by the Commission.

Rule 5-35. Compensation of Executive Director and staff. The compensation of the Executive Director shall be determined by the Commission subject to the approval of at least 3 of the 4 legislative leaders. The Executive Director and staff of the Legislative Ethics Commission shall be compensated at an hourly, daily, or monthly rate established by the Commission.

Rule 5-40. Timekeeping; Executive Director and staff. The Executive Director and staff of the Legislative Ethics Commission shall periodically submit records documenting time
worked in fulfillment of duties specified in the State Officials and Employees Ethics Act or these Rules. These time records shall not reveal the identity of any subjects of investigation or the nature of any matter pending before the Commission.

Rule 5-45. Compensation; Legislative Inspector General. The Legislative Inspector General may be a full-time salaried position or a contractual position that is compensated at a salary established by the Commission or an hourly, daily, or monthly rate established by the Commission. Once established, the salary or rate of compensation shall not be diminished for the remainder of the term of appointment, but the hourly, daily, or monthly basis of the rate may be changed from time to time.

Rule 5-50. Timekeeping; Inspector General. The Legislative Inspector General shall periodically submit records documenting time worked by the Legislative Inspector General in fulfillment of duties specified in the State Officials and Employees Ethics Act or these Rules. These time records shall not reveal the identity of any subjects of investigation or the nature of any investigation.

Rule 5-55. Outside employment. (a) Neither the Executive Director, staff of the
Commission, nor the Legislative Inspector General shall accept or engage in outside employment without first having obtained the permission of the Commission.

(b) Staff of the Legislative Inspector General shall not accept or engage in outside employment without first having obtained the permission of the Legislative Inspector General.

Rule 5-60. Intergovernmental agreements. The Executive Director, on behalf of the Commission and with its approval, and the Legislative Inspector General may enter into intergovernmental agreements with respect to sharing office space, personnel, and equipment and with respect to other relevant matters and may expend appropriations pursuant to those agreements.

Rule 5-65. Budgets and appropriations.

(a) The Legislative Inspector General shall submit to the Commission recommendations for annual budgets for the Office of the Legislative Inspector General.

(b) The Commission shall annually submit to the General Assembly requests for appropriations to the Commission and to the Office of the Legislative Inspector General.

ARTICLE 10. INFORMATION.

Rule 10-5. Requests for records. A request for access to
records for inspection and copying shall be handled in accordance with the Freedom of Information Act. The Freedom of Information Officer for the Legislative Ethics Commission shall be the Executive Director unless the Commission designates otherwise.

Rule 10-10. (Repealed).

Rule 10-15. (Repealed).

Rule 10-20. (Repealed).

ARTICLE 15. RULEMAKING.

Rule 15-5. Rulemaking procedures.

(a) Rules of the Legislative Ethics Commission may be adopted, amended, or repealed only by affirmative vote of at least 5 members of the Commission.

(b) Rulemaking of the Commission is not governed by the Illinois Administrative Procedure Act [5 ILCS 100/], but the Commission shall give reasonable notice and an opportunity for comments.

ARTICLE 17. INVESTIGATIONS.

Rule 17-5. State officer or employee case initiation form.
The Legislative Inspector General shall prescribe and make available a case initiation form for investigation of a complaint against a State officer or employee.

Rule 17-10. Case initiation form; contents. The case initiation form shall set out:

(a) The name of the employee or officer who is alleged to have committed a violation;

(b) The identity of the State agency that employs the employee or officer;

(c) The name, address, and telephone number of the complainant;

(d) The date and time of the alleged violation;

(e) A description of the acts and circumstances that surrounded the alleged violation;

(f) The names of any other person who witnessed or participated in the alleged violation;

(g) An address to which the completed form may be mailed;

(h) A statement of the confidentiality of the identity of the complainant (see 5 ILCS 430/25-90(a));

(i) A statement that the Legislative Inspector General's investigatory files and reports are confidential and exempt from disclosure under the Freedom of Information Act (see 5 ILCS 430/25-90(b) and 430/25-95(d)).

(j) A statement that allegations, pleadings, and related documents are exempt from disclosure under the Freedom of Information Act (5 ILCS 430/25-90(b) and 430/25-95(d)).
Information Act so long as the Commission does not make a finding of a violation (see 5 ILCS 430/25-90(b) and 430/25-95(b)).

(k) A statement that penalties may be imposed for intentionally making a false report alleging a violation (see 5 ILCS 430/50-5(d)); and

(l) Any other information that the Legislative Inspector General reasonably requires.


(a) Upon receipt of a completed case initiation form, the Legislative Inspector General shall promptly create an investigation file and assign the file a unique tracking number. Multiple case initiation forms that relate to the same alleged violations may be consolidated for purposes of investigation. In the absence of a completed case initiation form, the Legislative Inspector General may create an investigation file and assign the file a unique tracking number, if upon information received and not upon his or her own prerogative, the Legislative Inspector General reasonably believes that a violation may have occurred within the Legislative Inspector General's jurisdiction.

(b) The investigation file shall contain the case initiation form or, if none, so much of the information that would normally appear on the case initiation form as is known to the Legislative Inspector General at the inception of the
Rule 17-20. Referral to the appropriate authority. Notwithstanding Rule 17-15, if the Legislative Inspector General receives a case initiation form or other information that alleges a violation by an officer or employee outside his or her jurisdiction, he or she shall promptly forward the case initiation form or information to the appropriate ethics commission or other appropriate body and shall keep a record of this referral and its recipients.

Rule 17-25. Investigations. Investigations shall commence upon the opening of an investigation file in accordance with Rule 17-15. Investigations shall be conducted in accordance with Article 25 of the Act [5 ILCS 430/Art. 25]. The Legislative Inspector General shall not commence any investigation without the advance approval of the Commission, following notice of the allegations involved to each member of the Commission. The Legislative Inspector General shall not investigate matters that are beyond the scope of, or are unrelated to, the initial complaint upon which the investigation was founded, without the advance approval of the Commission.

Rule 17-30. Subpoenas; Inspector General. The Legislative Inspector General may, with the advance approval of the
Commission, issue subpoenas to compel the (i) attendance of witnesses for the purpose of testimony or (ii) production of documents for the purposes of inspection and copying.

Rule 17-35. Investigations not concluded within 6 months.

(a) Should an investigation not be concluded within 6 months after opening an investigation file, the Legislative Inspector General shall submit a report to the Commission and the appropriate ultimate jurisdictional authority within 10 days after the close of the 6-month period. The report shall indicate the investigation's unique tracking number, the date the investigation began, a description of the nature of the alleged violation, and reasons for the delay in concluding the investigation.

(b) The Legislative Inspector General shall update each report made under subsection (a) each 90 days thereafter until the investigation has been concluded.

ARTICLE 20. HEARINGS.

Rule 20-5. Attorney of record. In all cases filed before the Commission, all respondents not appearing pro se must be represented of record by a member of the Illinois Bar. Attorneys admitted to practice in states other than Illinois may appear and be heard upon special leave of the chairperson or administrative law judge, if any. The Attorney General shall
represent the Legislative Inspector General as provided in Section 25-45 of the Act. Attorneys shall file a written appearance before addressing the Commission and may not withdraw an appearance for a party without leave of the Commission.

Rule 20-10. Filing requirements.
(a) To file with the Commission a party shall submit either:

(1) an original and 9 copies of all documents with the Commission at the Commission's offices; or

(2) an electronic copy of all documents with the Commission in the format and manner directed by the Commission.

The documents shall be produced or, for electronic documents, formatted to be produced on 8 1/2" x 11" white paper by a typing, printing, duplicating, or copying process that provides a clear, readable image. If a filing is unreadable, it will be returned as unacceptable for filing. Parties represented by counsel shall send to the Commission an electronic copy of all documents via electronic mail on the same day that the paper documents are filed. Parties not represented by counsel are encouraged to send electronic copies of all filings.

(b) Each party who files a document with the Commission shall also send a paper or electronic copy of that document to
the other party in the case, or, if represented, to the other party's attorney and to the administrative law judge, if any. Parties shall attach a certificate of service to each document in accordance with Illinois Supreme Court Rule 12.


(a) Cases shall be commenced by the filing of a petition for leave to file a complaint with the Commission. Prior to filing the petition, the Attorney General must determine that reasonable cause exists to believe that a violation has occurred.

(b) The Legislative Inspector General shall be designated as "the petitioner" and the person who is alleged to have violated the Act shall be designated as "the respondent".

(c) The petition shall be captioned substantially as follows:

IN THE LEGISLATIVE ETHICS COMMISSION
OF THE STATE OF ILLINOIS

A. B., in the capacity of )
Legislative Inspector General, )
Petitioner, )
v. ) No. _____________
Petition for Leave to File a Complaint

(d) The Commission shall assign each petition a unique tracking number and all subsequent filings in each case shall reference this tracking number.

Rule 20-20. Petition; required provisions.

(a) The petition shall set forth the jurisdiction of the Commission by identifying the respondent, the respondent's employer, and the Section of the Act the respondent is alleged to have violated. The petition shall also set forth the alleged violation and the grounds that exist to support the petition.

(b) Accompanying each petition shall be a complaint upon which the Attorney General and the Legislative Inspector General wish to proceed. The complaint shall set forth the elements contained in subsection (a), as well as facts that fully describe the alleged violation of the Act, including, but not limited to, dates, times, locations, and relationships between the respondent and other relevant parties.

Rule 20-25. Service. After filing the petition and
complaint, the petitioner shall serve a file-stamped copy of both documents on all respondents and on each respondent's ultimate jurisdictional authority in the same manner as process is served under Part 2 (Process) of the Civil Practice Law of the Code of Civil Procedure [735 ILCS 5/Art. II, Part 2]. [5 ILCS 430/25-50(d)] Petitioner shall file the proof of service with the Commission.

Rule 20-30. Objections. A respondent may file objections to the petition within 30 days after the notice of the petition has been served on the respondent. [5 ILCS 430/25-50(e)] If the respondent fails to object to the petition, a general denial of the facts set forth in the petition shall be considered filed.

Rule 20-35. Sufficiency of the petition.

(a) Within 60 days after the time for respondent to file an objection to the petition has expired, the Commission shall meet in person or by telephone in a closed session to review the sufficiency of the petition.

(b) If the Commission finds that the petition is sufficient, the Commission shall grant the petition to file a complaint. The Commission shall notify the parties by certified mail, return receipt requested, of the decision to grant the petition. The notice shall include a hearing date scheduled within 4 weeks after the date of the notice. [5 ILCS 430/25-50(f)] The Commission may grant, for good cause shown, a
continuance of the hearing date contained in the notice.

(c) If the Commission finds that the petition is insufficient for any reason, the Commission shall notify the parties via certified mail, return receipt requested, of the decision to deny the petition. [5 ILCS 430/25-50(f)] The Commission may deny the petition with or without leave to refile.


(a) The parties shall not engage in discovery without leave of the Commission, but the Commission encourages the voluntary exchange of information by the parties.

(b) At least 2 weeks prior to the scheduled hearing or at a date determined by the chairperson or an administrative law judge, if any, each party must file with the Commission and disclose to the other party:

   (1) the names of all witnesses expected to testify at hearing;

   (2) a summary of the witnesses' expected testimony;

   (3) copies of all documents expected to be introduced into evidence at hearing;

   (4) a description of any physical evidence expected to be introduced at hearing; and

   (5) any known evidence that tends to negate the allegations contained in the complaint.

(c) Any physical evidence expected to be introduced at
hearing shall be made available to the other party for
inspection at least 2 weeks prior to the scheduled hearing or
at a date determined by the chairperson or an administrative
law judge, if any.

(d) All writings or electronic recordings in the possession
of either party reflecting prior statements of an identified
witness, which statements are related in any way to the subject
matter of the witness' expected testimony, or to matters
bearing on the witness' credibility, shall be filed with the
Commission and be produced to the opposing party no later than
one week prior to the commencement of the hearing or at a date
determined by the chairperson or administrative law judge, if
any. If a statement is part of notes that were taken during the
case investigation, the notes may be redacted to remove the
author's thoughts, mental impressions, or other work product.

(e) A party offering testimony or evidence that has not
been disclosed in accordance with this Rule has the burden to
show that the evidence was not available at the time required
by this Rule and that the other party has not been unfairly
prejudiced by the failure to disclose.


(a) The Commission and the Legislative Inspector General,
with the advance approval of the Commission, shall have
authority to issue subpoenas in the name of the Commission to
compel the presence of witnesses for purposes of testimony and
the production of documents and other items for inspection and

(b) Subpoenas may be issued upon written request of either
party if:

(1) the request is reasonably designed to produce or
lead to the production of evidence related to the alleged
violation;

(2) the terms of compliance are reasonable given the
time frames and other circumstances;

(3) the party seeking the subpoena has attempted and
failed to obtain the subject of the subpoena through other
means; and

(4) the subpoena is properly prepared and presented for
signature.

(c) Subpoenas for testimony of witnesses at hearing will be
granted in the absence of compelling circumstances to the
 contrary.

(d) Witnesses may be subpoenaed to give sworn evidentiary
depositions, subject to cross-examination, if and only if they
are unable to attend the hearing.

(e) The cost of service and witness and mileage fees shall
be borne by the person requesting the subpoena. Witness and
mileage fees shall be the same as are paid witnesses in the
circuit courts of the State of Illinois.

(f) The person requesting a subpoena shall be responsible
for its service in accordance with the Illinois Code of Civil
Rule 20-50. Motions.

(a) Unless made orally on the record during a hearing, all motions shall be in writing and shall briefly state the order or relief requested and the specific grounds upon which relief is sought. Motions based on facts that are not in the record shall be supported by affidavit.

(b) The motion shall point out specifically the defect complained of or other grounds for relief and shall specify the requested relief. The moving party shall file a proposed order with each motion.

(c) The chairperson or, if an administrative law judge has been appointed, the administrative law judge may determine all motions except motions that are potentially dispositive of the case. Motions that are potentially dispositive of the case must be determined by the Commission.

(d) All written motions that are potentially dispositive of the case shall be filed with the Commission and served on the other party at least one week prior to the scheduled hearing. Potentially dispositive motions filed less than one week prior to a scheduled hearing may, in the Commission's discretion, be considered after the scheduled hearing. The scheduled hearing may be continued while the Commission considers the potentially dispositive motion if, in the opinion of the chairperson or the administrative law judge, continuing the scheduled hearing is
in the best interests of judicial economy.

(e) The Commission may consider potentially dispositive motions with or without oral argument by the parties and may direct the chairperson or administrative law judge to conduct a hearing on the motion and present proposed findings of fact and conclusions of law to the Commission.

(f) Dispositive motions may not exceed 15 pages in length and non-dispositive motions may not exceed 5 pages in length without first obtaining leave of the Commission.

Rule 20-55. Hearings.

(a) The chairperson shall preside over all hearings unless, at the election of the Commission, the chairperson designates an administrative law judge to act as a hearing officer. The administrative law judges shall be licensed to practice law in the State of Illinois and may be a commissioner or regular or contractual employee of the Commission. The Commission shall grant, for good cause shown, a petition from either party seeking disqualification of the administrative law judge or a commissioner for bias or conflict of interest.

(b) All hearings shall be closed to the public.

(c) Hearings shall be conducted in substantially the same manner as provided in the contested case provisions of Article 10 of the Illinois Administrative Procedure Act [5 ILCS 100/Art. 10].

(d) At the conclusion of the hearing, the chairperson or
the administrative law judge, if any, may set a briefing schedule.

(e) If a party, or any person at the instance of or in collusion with a party, unreasonably refuses or fails to comply with these Rules or with any order of the Commission, chairperson, or administrative law judge, the chairperson or administrative law judge may enter an adverse finding, or order as may be necessary to ensure just disposition of the matter.

(f) The chairperson or the administrative law judge presiding at the hearing may conduct any additional proceedings ancillary to or related to the hearing as he or she deems appropriate.

Rule 20-60. Decision of the Commission.

(a) Within 60 days after the hearing or after briefs are due, whichever is later, the Commission shall enter a decision.

(b) The decision shall include a description of the alleged misconduct, the decision of the Commission, including any fines levied and any recommendation of discipline, and the reasoning for that decision.

(c) Decisions of the Commission shall be signed by at least 5 commissioners.

(d) All decisions shall be sent to the parties, including the Legislative Inspector General, the ultimate jurisdictional authority, the head of the appropriate State agency, and the Attorney General. [5 ILCS 430/25-55(a)]
(e) Once a complaint has been filed with the Commission, any proposed settlement reached by the parties must be submitted to the Commission for review and approval.

ARTICLE 25. REVOLVING DOOR DETERMINATIONS; APPEALS; JUDICIAL APPOINTMENT WAIVER.

Rule 25-5. Definitions. In this Article, unless the context clearly requires otherwise:

"Relationship" means any arrangement between a source and the officer or employee for employment, compensation, or fees for services.

"Requestor" means a person seeking an appeal of a decision of the Legislative Inspector General under subsection (g) of Section 5-45 of the State Officials and Employees Ethics Act (see 5 ILCS 430/5-45).

Rule 25-6. Revolving door notification and determination. The Legislative Inspector General may determine what additional State positions under his or her jurisdiction, not otherwise subject to the policies required by subsection (c) of Section 5-45 of the State Officials and Employees Ethics Act, are nonetheless subject to the notification requirement of subsection (f) of Section 5-45 of the State Officials and Employees Ethics Act due to an individual's involvement in the award of State contracts or in regulatory or licensing
Rule 25-7. Revolving door determination procedure. Within 10 calendar days after receiving notification from an employee in a position subject to the policies required by subsection (c) of Section 5-45 of the State Officials and Employees Ethics Act, the Legislative Inspector General shall make a determination as to whether the State employee is restricted from accepting the employment by subsections (a) or (b) of Section 5-45 of the State Officials and Employees Ethics Act. In making a determination, in addition to any other relevant information, the Inspector General shall assess the effect of the prospective employment or relationship upon decisions referred to in subsections (a) and (b) Section 5-45 of the State Officials and Employees Ethics Act, based on the totality of the participation by the former officer, member, or State employee in those decisions.

A determination by the Inspector General must be in writing, signed, and dated by the Inspector General, and delivered to the subject of the determination within 10 calendar days or the person is deemed eligible for the employment opportunity. Notice of any determination of the Inspector General and of any appeal of the determination shall be given to the ultimate jurisdictional authority, the Attorney General, and the Executive Ethics Commission.
Rule 25-10. Appeal of revolving door determination.

An officer or employee or the spouse or immediate family member living with such person may seek an appeal of a decision of the Legislative Inspector General in accordance with subsection (g) of Section 5-45 of the State Officials and Employees Ethics Act. The requestor shall file with the Commission a petition to appeal by no later than the 10th calendar day after the date of the determination.

(a) (Blank).

(b) (Blank).

Rule 25-15. Appeal of revolving door determination; Commission procedure. Upon receipt of the requestor's petition, the Commission shall seek, accept, and consider written public comments regarding a determination. In deciding whether to uphold the Legislative Inspector General's determination, the Commission shall assess, in addition to any other relevant information, the effect of the prospective employment or relationship upon the decisions referred to in subsections (a) and (b) of Section 5-45 of the State Officials and Employees Ethics Act, based on the totality of the participation by the former officer, member, or State employee in those decisions.

The Commission shall decide whether to uphold the Legislative Inspector General's determination within 10 calendar days or the person is deemed eligible for the
Rule 25-20. (Repealed).

Rule 25-25. Waiver of prohibition of Legislative Inspector General or employees as judicial appointee.

A current or former Legislative Inspector General or a current or former employee of the office of the Legislative Inspector General may request the Commission to waive the prohibition of judicial appointments (see 5 ILCS 430/25-10(e-1)). The requestor shall file a verified petition that identifies:

(a) The judicial office to which he or she intends to be appointed;
(b) The effect, if any, of his or her appointment on present or anticipated investigations conducted by any Legislative Inspector General or law enforcement entity;
(c) Any Legislative Inspector General investigations, current, anticipated, or closed in the previous 5 years, related to the office, including employees of the office, to
which he or she intends to be appointed; and

(d) Any other information the requestor believes may support the waiver.

Rule 25-30. Waiver of prohibition of Legislative Inspector General or employees as judicial appointee; Commission procedure.

Upon receipt of the requestor's petition, the Commission may do one or more of the following:

(a) Grant the petition.

(b) Deny the petition.

(c) Request additional written information from the requestor or other persons.

(d) Request oral testimony from the requestor or other persons.

(e) Conduct further inquiry related to the petition before the Commission.

ARTICLE 30. GIFT BAN.

Rule 30-5. Gift ban; educational missions and travel expenses for a meeting to discuss State business.

(a) This Rule further defines exceptions to the Gift Ban when a prohibited source provides educational missions or travel expenses for a meeting to discuss State business [5 ILCS 430/10-15(4) and (5)] and applies to travel on and after the
(b) Travel in connection with an educational mission or for a meeting to discuss State business is subject to the following conditions:

(1) it must be in furtherance of the recipient officer's or employee's State duties or employment or in furtherance of other legitimate State interests;

(2) it must bear a connection to the interests of the prohibited source;

(3) the destination must bear a reasonable relationship to the educational purposes of the travel or to the State business to be discussed;

(4) the length of time at the destination for the mission or meeting that is paid for by the prohibited source must be reasonably related to the purpose of the educational mission or State business; and

(5) expenses provided by a prohibited source must be reasonable under the circumstances.

(c) The following categories of expenses qualify under the educational mission and State business exceptions to the Gift Ban: travel to, at, and from the destination; lodging en route to, at, and from the destination; and tours, demonstrations, presentations, meetings, and materials. The following categories of expenses, without limitation, do not fall under the educational mission and State business exceptions to the Gift Ban, but may qualify as exceptions under other applicable
provisions of Section 10-15 of the Act: food; refreshments; entertainment; recreation; prizes; awards; and souvenirs.

(d) Qualified expenses under the educational mission and State business exceptions to the Gift Ban include those for the officer or employee. If the officer or employee is accompanied by an individual who either (i) is not a State officer or employee or (ii) is a State officer or employee but is not traveling in that capacity, any additional expenses for that individual qualify (i) under the educational mission and State business exceptions to the Gift Ban only if, because of legitimate dependent care obligations, the officer or employee would not be able to attend unless accompanied by that individual or (ii) to the extent that other applicable exceptions under Section 10-15 of the Act apply. If that individual is a State officer or employee and is traveling in that capacity, then this Rule or the applicable rule of the Executive Ethics Commission applies independently to that individual.

(e) More than one prohibited source may contribute to qualified expenses so long as the other requirements of this Rule are met.

(f) The officer or employee or a non-prohibited source must pay all non-qualified expenses that do not otherwise fall under an exception to the Gift Ban.

ARTICLE 35. MISCELLANEOUS.
Rule 35-5. Personnel policies.

(a) Each legislative leader, the Senate Operations Commission, the Speaker of the House of Representatives, the Joint Committee on Legislative Support Services, and each member of the General Assembly shall file copies of the personnel policies adopted and implemented pursuant to 5 ILCS 430/5-5 with the Commission upon request of the Commission.

(b) The officers and entities identified in subsection (a) of this Rule shall file with the Commission any newly adopted or supplemental personnel policies and any amendments to the personnel policies within 30 days after the adoption of the new or supplemental policies or the amendments.

(c) The officers and entities identified in subsection (a) of this Rule and the Legislative Support Services Agencies shall file with the Commission the name, business address, telephone number, and e-mail address of ethics officers appointed pursuant to 5 ILCS 430/25-23 upon request of the Commission and within 30 days after the appointment of new ethics officers.

(d) Each Legislative Support Services Agency shall file copies of any supplemental personnel policies adopted by the agency with the Commission upon request of the Commission. Those agencies shall also file with the Commission any amendments to supplemental personnel policies within 30 days after adoption of the amendments.
Rule 35-10. Quarterly reports.

(a) On January 15, April 15, July 15, and October 15 of each year, the Legislative Inspector General shall submit reports to the Commission indicating:

(1) the number of allegations received since the date of the last report;
(2) the number of investigations initiated since the date of the last report;
(3) the number of investigations concluded since the date of the last report;
(4) the number of investigations pending as of the reporting date;
(5) the number of complaints forwarded to the Attorney General since the date of the last report;
(6) the number of actions filed with the Commission since the date of the last report and the number of actions pending before the Commission as of the reporting date. [5 ILCS 430/25-85]

(b) On January 15, April 15, July 15, and October 15 of each year, the Attorney General shall submit a report to the Commission indicating:

(1) the number of complaints received from the Legislative Inspector General since the date of the last report;
(2) the number of complaints for which the Attorney
General has determined reasonable cause exists to believe that a violation has occurred since the date of the last report; and

(3) the number of complaints still under review by the Attorney General. [5 ILCS 430/25-86]

Rule 35-15. Ethics guidance. All written guidance provided by the Legislative Inspector General shall be provided in accordance with this Rule.

(a) Upon request of an ethics officer and with the prior concurrence of the Commission, the Legislative Inspector General shall provide written guidance to the ethics officers for State agencies under the jurisdiction of the Legislative Inspector General on matters involving interpretation or application of the State Officials and Employees Ethics Act. In the event an ethics officer is unavailable to receive guidance from the Legislative Inspector General or to provide guidance to members or staff, the Legislative Inspector General may provide written guidance to another person designated by a legislative leader upon the request of that designated person and with the prior concurrence of the Commission.

(b) The Legislative Inspector General shall cause to be filed with the Commission, prior to receiving the concurrence of the Commission, 9 copies of each document providing written guidance, but with all personally identifying information for all individuals other than the Legislative Inspector General
redacted.

(c) Nothing in this Rule precludes the Inspector General from providing oral guidance to ethics officers or others designated by a legislative leader on a confidential basis. Guidance provided under this Rule is exempt from disclosure under the Freedom of Information Act as set forth in Section 25-95 of the Act [5 ILCS 430/25-95].

Rule 35-20. Sexual harassment training. The Commission, in consultation with the Inspector General, shall develop sexual harassment training in accordance with Section 5-10.5 of the State Officials and Employees Ethics Act.

ARTICLE 90. PRIOR RULES.

Rule 90-5. Prior rules. The rules of the Legislative Ethics Commission adopted on April 13, 2005 and April 16, 2008 are superseded by these rules.

ARTICLE 99. EFFECTIVE DATE.

Rule 99-5. Effective date. These rules take effect upon adoption by the Legislative Ethics Commission. (eff. 5-10-18.)