



Office of the Inspector General

Summary Activity Report April 1 - September 30, 2011

Introduction

■ Creation of the Office

January 1, 2011, the Office of the Inspector General became effective at the Illinois State Toll Highway Authority

■ Requirements from Statute

(m) “The Toll Highway Inspector General shall provide to the Governor, the Board of the Authority and the General Assembly a summary of reports and investigations made under this Section no later than March 31 and September 30 of each year.



The summaries shall detail the final disposition of the Inspector General's recommendations. The summaries shall not contain any confidential or identifying information concerning the subjects of the reports and investigations.

The summaries shall also include detailed, recommended administrative actions and matters for consideration by the Governor, the Board of the Authority, and the General Assembly."

Mission/Jurisdiction

The statute (605 ILCS 10/8.5) further advises in section (d) that: *“The Toll Highway Inspector General shall have jurisdiction over the Authority and all Board members, officers and employees of, and vendors, subcontractors and others doing business with the Authority. The jurisdiction of the Toll Highway Inspector General is to investigate allegations of fraud, waste, abuse, mismanagement, misconduct, nonfeasance, misfeasance or malfeasance.”*

The statute requires in section (f)(3) that: *“Final reports and recommendations shall be submitted to the Authority’s Executive Director and the Board of Directors for investigations not involving the Board.”*



Investigations

■ Current Staff

Senior Investigator

Investigator/Auditor

Deputy Inspector General (filled vacancy)

Administrative Assistant



Investigations Resulting in Discipline

- **IG-11-0010:** Toll Collector – felony theft – pled to misdemeanor – restitution of \$7,000 – resigned
- **IG-11-0005:** Employee Benefits Department – regarding failure to notify of divorce – reimbursement of \$696.64
- **IG-11-0012:** Toll Collector – felony theft of \$811.25 and official misconduct – still pending – employee dismissed
- **IG-11-0013:** Toll Collector – theft of \$415.75 – restitution of \$415.75 – resigned



Investigations Resulting in Discipline

- **IG-11-0014:** Toll Collector – theft of \$789.55 – restitution of \$789.55 – felony charges pending
- **IG-11-0003:** Laborer – improperly conducting outside employment during Tollway hours – employee dismissed
- **IG-11-0031:** Employee Benefits Department – employee improperly listed nephew as a dependent on health insurance – repaid \$6320.06
- **IG-11-0027:** Summer Temp Toll Collector – theft of \$520.35 – reimbursed \$520.35 – employee dismissed



Investigations Resulting in Recommendations

- **IG-11-0015:** Rutan question regarding Video Surveillance Supervisor position
- **IG-11-0025:** Rutan question regarding Seasonal/Temporary Toll Collector position
- **PI-2011-011:** Policy questions regarding missing assets
- **IG-11-0032:** Plaza Supervisor/Manager Inquiry
The interviews of the supervisors and managers determined that direct oversight of activities of collectors is not routinely conducted and review of Unusual Occurrence Reports is not always done by plaza supervisors

Recommendations

IG-11-0032: Plaza Supervisor/Manager Inquiry

- The Toll Collectors Manual should be updated with all current requirements and each collector should sign off upon receipt of a copy
- Additional training should be given to each collector regarding the appropriate collection of tolls and the necessity for submission of Unusual Occurrence Reports
- Consideration should be given to additional training for Plaza Supervisors in management issues

Recommendations

IG-11-0032: Plaza Supervisor/Manager inquiry

- Additional computer surveys by Toll Audit should be done on a regular weekly basis regarding emergency vehicles, unpaid tolls and any other unusual occurrences and the information made available to the District and Plaza Supervisors
- District Supervisors should have regular monthly meetings with Plaza Supervisors to ensure all plazas are complying with all regulations

General Summary of Activity

- During the period of April through September, 2011 the Office of the Inspector General opened twenty-four (24) Inspector General (IG) cases and closed twenty-one (21) IG cases.
- There were twelve (12) Investigative Assistance (IA) cases opened and twelve (12) IA's closed.
- The office opened twenty (20) Preliminary Inquiry (PI) Investigations and closed eight (8). Two of the PI investigations were converted to IG cases for further investigation.



General Summary of Activity

- The IG office received twenty (20) complaints from citizens. Two of these require additional information and four were referred to other departments for resolution. A total of twenty-six (26) customer complaints were resolved during the period due to carry over from previous lists.
- Five (5) redacted investigative reports were posted on the Tollway website for public review during this six month period and additional ones will be posted each month.

General Summary of Activity

- The IG office has collected a total of \$25,500.53 in restitution to the Tollway during the past six months.
- There are no recommended administrative actions for consideration by the Governor, the Board of the Authority or the General Assembly during this period.



Other Statutory Requirements

Administrative Rules

- The legislation creating the Office of the Inspector General (605 ILCS) 10/8.5), effective January 1, 2011, included the following additional requirement:

(g) “Within six months of appointment, the initial Toll Highway Inspector General shall propose rules, in accordance with the provisions of the Illinois Administrative Procedure Act, establishing minimum requirements for initiating, conducting and completing investigations.”



Other Statutory Requirements

Administrative Rules

- The proposed rules were submitted and published in the 2011 Illinois Register, Volume 35, Issue 27, dated July 1, 2011, pages 10298-10311 for Section Numbers 3430.10-3430.150.
- On September 13, 2011, the Joint Committee on Administrative Rules met in the Michael A. Bilandic Building, Chicago, and approved the proposed rules without questions. A formal notification of acceptance will be provided.





THANK YOU