PUBLICATION OF REDACTED VERSION OF OEIG FINAL REPORT

Below is the redacted final summary report from an Executive Inspector General. The General Assembly has directed the Executive Ethics Commission (Commission) to redact information from this report that may reveal the identity of witnesses, complainants or informants and “any other information it believes should not be made public.” 5 ILCS 430/20-52(b).

The Commission exercises this responsibility with great caution and with the goal of balancing the sometimes-competing interests of increasing transparency and operating with fairness to the accused and others uninvolved. To balance these interests, the Commission may redact certain information contained in this report. Additionally, the Commission redacts certain information that relates to allegations against a person who was found not to have committed a violation. The redactions are made with the understanding that the subject or subjects of the investigation have had no opportunity to rebut the report’s factual allegations or legal conclusions before the Commission.

The Commission received this report from the Governor’s Office of Executive Inspector General (“OEIG”) and a response from the agency in this matter. The Commission, pursuant to 5 ILCS 430/20-52, redacted the final report and mailed copies of the redacted version and responses to the Attorney General, the Executive Inspector General for the Governor, and Erin Aleman’s last known address.

The Commission reviewed all suggestions received and makes this document available pursuant to 5 ILCS 430/20-52.
OEIG SUMMARY REPORT

I. INTRODUCTION AND ALLEGATIONS

On June 24, 2019, the Office of Executive Inspector General (OEIG) received an anonymous complaint alleging that former Illinois Department of Transportation (IDOT) Director of the Office of Planning and Programming Erin Aleman accepted a position as Executive Director of the Chicago Metropolitan Agency for Planning (CMAP) in violation of the Revolving Door provisions of the State Officials and Employees Ethics Act (Ethics Act). According to the complaint, Ms. Aleman was a signatory on contracts awarded to CMAP, totaling approximately $20 million per year.

[Pursuant to Footnote 32, the OEIG concludes that an allegation is “founded” when it has determined that there is reasonable cause to believe that a violation of law or policy has occurred, or that there has been fraud, waste, mismanagement, misconduct, nonfeasance, misfeasance, or malfeasance. The information in this paragraph is redacted because it relates to an allegation that the OEIG determined was unfounded. Therefore, the Commission exercises its discretion to redact this section pursuant to 5 ILCS 430/20-52(2).]

II. BACKGROUND

The Revolving Door provision of the Ethics Act prohibits certain State employees from accepting non-State employment within one year of separation from State employment when the employee personally and substantially participated in the award of State contracts or change orders valued at $25,000 or more, or in regulatory or licensing decisions on the agency’s behalf, to the prospective employer within one year prior to leaving State employment.1 Accordingly, State agencies must determine which employees, by the nature of their duties, may participate in the awarding of such contracts or in regulatory or licensing decisions. Once identified, the names of these employees are placed on a list commonly referred to as a “c-list.”2

Any c-list employee who is offered non-State employment within one year of separation from State employment must notify the OEIG prior to accepting such non-State employment.3 Notification requires that the employee complete a Revolving Door Notification of Offer form (RD-101) and that the Ethics Officer for the State employing agency complete an Ethics Officer Revolving Door Statement (RD-102).4 Upon receipt of notification, the OEIG makes a determination whether the employee participated personally and substantially either in awarding a State contract valued at $25,000 or more to his or her prospective employer, or in a licensing or regulatory decision that directly applied to his or her prospective employer.5 If the OEIG finds personal and substantial participation, the employee will be prohibited from accepting the non-State employment offer for one year after termination of State employment.6 Illinois law provides

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1 5 ILCS 430/5-45(a)-(b).
2 5 ILCS 430/5-45(c).
3 5 ILCS 430/5-45(f).
4 2 Ill. Admin. Code § 1620.610(c)(6).
5 5 ILCS 430/5-45(f).
6 Id. See also 2 Ill. Admin. Code § 1620.610(d).
that any employee who is on the “c-list” and fails to provide notice to the OEIG of any non-State employment offer received within one year of the termination of that employee’s State employment, prior to accepting such non-State employment, “shall be subject to a fine” of up to $5,000.\(^7\)

[Pursuant to footnote 32, the OEIG concludes that an allegation is “founded” when it has determined that there is reasonable cause to believe that a violation of law or policy has occurred, or that there has been fraud, waste, mismanagement, misconduct, nonfeasance, misfeasance, or malfeasance. The information in this paragraph is redacted because it relates to an allegation that the OEIG determined was unfounded. Therefore, the Commission exercises its discretion to redact this section pursuant to 5 ILCS 430/20-52(a).]

Any employee who knowingly accepts non-State employment in violation of the Ethics Act Revolving Door provisions may be subject to a fine of up to three times the total annual compensation that would have been obtained in violation of the provision.\(^8\)

III. [Pursuant to footnote 32, the OEIG concludes that an allegation is “founded” when it has determined that there is reasonable cause to believe that a violation of law or policy has occurred, or that there has been fraud, waste, mismanagement, misconduct, nonfeasance, misfeasance, or malfeasance. The information in this section is redacted because it relates to an allegation that the OEIG determined was unfounded. Therefore, the Commission exercises its discretion to redact this section pursuant to 5 ILCS 430/20-52(a).]

IV. ERIN ALEMAN’S REVOLVING DOOR VIOLATION

A. Erin Aleman’s State Employment

The IDOT Office of Planning and Programming (OP&P) is responsible for developing transportation programs aimed at improving the State's transportation system.\(^9\) To achieve its planning goals, OP&P works with metropolitan planning organizations (MPOs), which were created by federal statute and designated to ensure regional cooperation in metropolitan transportation planning.\(^10\) As the administrator of Federal Highway Administration (FHA) and Federal Transit Administration planning funds, IDOT allocates these funds to MPOs within the State based on an approved distribution formula and monitors MPO activities to ensure that the work is being managed and performed satisfactorily. IDOT also receives approximately $20 million in FHA Statewide Planning & Research (SPR) funds to conduct statewide planning and

\(^7\) 2 Ill. Admin. Code § 1620.610(g). See also 5 ILCS 430/50-5(e).
\(^8\) 5 ILCS 430/50-5(a-1).
research activities.\textsuperscript{11} Qualified applicants, which include MPOs and other public agencies, request SPR funding by submitting project proposals to IDOT for consideration.\textsuperscript{12} There are 16 MPOs in the state of Illinois, and CMAP is the only MPO in the Chicagoland area.\textsuperscript{13}

Ms. Aleman began working for IDOT in August 2015. She initially served as Bureau Chief of Communications until she was promoted to Director of OP&P, effective January 1, 2017. As Director of OP&P, Ms. Aleman reported to Deputy Secretary of Program Development [Former IDOT Employee 2] until his retirement at the end of 2017, and after that, she reported to [Former IDOT Employee 3]. Prior to working at IDOT, Ms. Aleman worked at CMAP as a Principal Planner.

Ms. Aleman’s personnel records show that Ms. Aleman resigned from her position as IDOT Director of OP&P on December 13, 2018 and that her separation date was December 31, 2018.

B. Revolving Door Training

Since 2004, all State employees are required to complete an annual State employee ethics training program.\textsuperscript{14} Furthermore, since 2009, State employees are required to complete initial ethics training within 30 days after commencement of his or her employment.\textsuperscript{15} Records reflect that Ms. Aleman completed her initial ethics training upon her hire in August 2015 and that she subsequently completed an ethics training program each year thereafter until her separation from State employment in 2018.\textsuperscript{16} During each of these trainings, Ms. Aleman was informed of the Ethics Act’s Revolving Door restrictions. Specifically, the training materials Ms. Aleman certified she reviewed, as recently as 2018, contained the following information:

If a state employee . . . is in a position that, by the nature of its duties, may have the authority to participate personally and substantially in the award of state contracts or in regulatory or licensing decisions, that employee has a duty to notify the OEIG prior to accepting an offer of non-state employment. [5 ILCS 430/5-45(c) and (f)]. Such employees are referred to as being on the “c-list” (because they are identified pursuant to subsection (c) of Section 5-45 of the Ethics Act).

* * *

\textsuperscript{12} Id.
\textsuperscript{14} 5 ILCS 430/5-10(a), P.A. 93-615 (effective Nov. 19, 2003).
\textsuperscript{15} 5/ ILCS 430/5-10(c), P.A. 96-555 (effective Aug. 18, 2009).
\textsuperscript{16} Records reflect that in 2017, Ms. Aleman was also required to complete Ethics Training for Appointees to State of Illinois Boards for her participation in the IDOT Consultant Selection Committee.
[C-list] employees who, during state employment and for one year after leaving state employment, want to accept an offer of compensation or employment from a non-state employer must notify the OEIG before accepting the offer.17

C. Erin Aleman’s C-List Status And Revolving Door Submission

Internal OEIG Revolving Door records reflect that on November 30, 2018, while still employed by the State, Ms. Aleman submitted an application for a Revolving Door determination to the OEIG. In her application, Ms. Aleman indicated that she had been offered employment at [Company 1], a consulting firm, and that she expected to leave State employment on December 31, 2018. Ms. Aleman also indicated in her application that in the year prior to her anticipated termination date, she had the authority to execute or approve the award of contracts, grants, or change orders; supervised individuals who had such authority; and participated in committees or work groups that participated in the awarding of contracts, grants, or change orders. However, she indicated that she did not participate in any way in a decision to award [Company 1] a contract, grant, or change order.

[Pursuant to footnote 32, the OEIG concludes that an allegation is “founded” when it has determined that there is reasonable cause to believe that a violation of law or policy has occurred, or that there has been fraud, waste, mismanagement, misconduct, nonfeasance, misfeasance, or malfeasance. The information in this sentence is redacted because it relates to an allegation that the OEIG determined was unfounded. Therefore, the Commission exercises its discretion to redact this sentence pursuant to 5 ILCS 430/20-52(a).] Mr. [Philip] Kaufmann completed an RD-102 Ethics Officer Statement, which confirmed that Ms. Aleman’s position had been identified as a c-list position under the Ethics Act.18 Mr. Kaufmann attached a copy of Ms. Aleman’s position description, which also indicated that Ms. Aleman’s position as Director of OP&P is covered under 18 Under Section 5-45(e) of the Ethics Act, the Governor is required to provide written notification to all c-list employees identifying them as such and of the requirement to seek a determination from the OEIG prior to accepting non-State employment. This Section also requires employees receiving such notification to certify in writing that they were advised of the prohibition and the requirement to notify the OEIG. Historically, the responsibility for providing such notice has been delegated to agency Ethics Officers. On August 9, 2019, the Office of the Governor sent an email to agency general counsels, including Mr. Kaufmann, reminding them of their responsibility to, among other things, notify c-list employees of their obligations when seeking non-State employment and obtain acknowledgement forms from c-list employees. During Mr. Kaufmann’s OEIG interview on October 30, 2019, the OEIG specifically asked about IDOT’s communication to employees about their c-list status. Mr. Kaufmann said he thought that employees were notified if their positions were subject to the Revolving Door notification requirements, but he was not sure whether that notification was verbal or written, who provided the notification, and when notification was given. He said IDOT employees learn about Revolving Door in various ways, such as annual ethics training and ethics orientation during onboarding, adding that Revolving Door is a topic of conversation for employees reaching retirement age. Mr. Kaufmann expressed that Ms. Aleman was notified that she was a c-list employee and that she needed to notify the OEIG prior to accepting non-State employment as evidenced by her Revolving Door application for [Company 1]. However, when the OEIG specifically requested that IDOT provide any written certifications that Ms. Aleman was advised of the Revolving Door Provision and the requirement to notify OEIG prior to accepting non-State employment, IDOT responded that the documents do not exist. During his April 15, 2020 interview, Mr. Kaufmann stated that IDOT is now taking steps to ensure that employees are notified of any Revolving Door restrictions by including notifications on job postings and implementing a notification process during employee onboarding.
IDOT’s Revolving Door Prohibition policy. Mr. Kaufmann indicated on the RD-102 that IDOT had no contracts with [Company 1]. Accordingly, the OEIG determined that Ms. Aleman was not restricted from accepting employment with [Company 1].

D. Erin Aleman’s Employment With CMAP

The OEIG confirmed through records from CMAP that on June 19, 2019, less than six months after leaving State employment, Ms. Aleman signed a five-year employment agreement with CMAP to become the agency’s new executive director, effective July 15, 2019. The CMAP Board publicly announced its selection of Ms. Aleman at its June 19, 2019 meeting. Records show that Ms. Aleman was first paid by CMAP on August 2, 2019 for the period ending July 27, 2019. As of January 3, 2020, which covered the pay period ending December 28, 2019, Ms. Aleman’s earnings totaled approximately $103,845 with an additional approximately $14,001 in employer-paid benefits.

Ms. Aleman did not submit a Revolving Door application, nor in any way notify the OEIG, of her intent to accept employment with CMAP.

E. Summary Of IDOT Grants Awarded To CMAP

In order to determine whether Ms. Aleman was personally and substantially involved in the award of IDOT contracts or grants valued at $25,000 or more to CMAP, the OEIG requested and reviewed all IDOT contracts and grant agreements with CMAP for fiscal years (FY) 2018 and 2019. The OEIG learned that during calendar year 2018, Ms. Aleman’s last year of IDOT employment, IDOT entered into the following grant agreements with CMAP, totaling over $3.7 million, following a competitive call for projects for SPR funds.

<table>
<thead>
<tr>
<th>Agreement Number</th>
<th>Execution Date</th>
<th>Performance Period</th>
<th>Project Scope</th>
<th>Award amount</th>
</tr>
</thead>
</table>

19 Referencing the Revolving Door provisions of the Ethics Act, IDOT internally publishes its own Revolving Door policy on its intranet site. This policy states that “[t]hose subject to the revolving door employment ban are those who exercise discretion in making decisions about awarding contracts, issuing change orders, or enforcing regulations” and “includes not only those who make or approve final decisions, but also those who provide decision-makers with recommendations or advice about the decision.”


21 Under the terms of the employment agreement, as of July 15, 2019, Ms. Aleman was to earn an annual salary of $225,000.

22 IDOT published Notice of Funding Opportunity #19-1439-01 on April 13, 2018, announcing an estimated total of $20,000,000 in available funding.

23 Unless otherwise indicated, the award amount listed includes a 20% State-funded “match.”
Each of these agreements was signed by Ms. Aleman as Director of OP&P, along with Mr. Kaufmann as Chief Counsel, Mr. Magalis as Chief Financial Officer (CFO), and then-IDOT Secretary Randy Blankenhorn.\textsuperscript{25}

\textbf{F. Interview Of Erin Aleman}

On January 8, 2020, the OEIG interviewed Ms. Aleman. Ms. Aleman confirmed that she worked as IDOT Director of OP&P from approximately January 2017 until her last day in late December 2018. Ms. Aleman said that during her last year of IDOT employment as Director of OP&P, she had the authority to award or execute grants, participated in the award of grants, and supervised staff who had the authority award, approve, or execute grants. She also said that during her first year as Director of OP&P, in 2017, she participated in a Consultant Selection Committee, which met periodically to select engineering firms for consultant contracts. She said she recused herself from the Consultant Selection Committee in approximately October 2017 because it was her understanding that she was in a position where planning or providing input on contracts would put her at a disadvantage for future employment and she did not want to limit her opportunities in the event that she left IDOT at the end of 2018. Ms. Aleman acknowledged that she completed annual ethics training, that she was familiar with the Revolving Door provisions of the Ethics Act, and that she was aware that her position was considered a c-list position. Ms. Aleman said she spoke to Mr. Kaufmann and inquired about her c-list status sometime in 2017 at the suggestion of her former supervisor, then-Deputy Secretary of Program Development, [Former IDOT Employee 2], who was leaving State employment at the time.\textsuperscript{26}

Ms. Aleman confirmed she went through the Revolving Door process for her employment with [Company 1] but did not seek a Revolving Door determination for her employment with CMAP. She explained that when she left IDOT, she was aware that she was required to notify the

\begin{table}
\begin{tabular}[t]{|c|c|c|c|c|}
\hline
19-1439-9537 & 10/31/2018 & 9/1/2018 – 12/31/2021 & Pavement management plans for Chicago local agencies & $1,596,584.63\textsuperscript{24} \\
19-1439-9535 & 11/30/2018 & 3/1/2019 – 6/30/2023 & Local Technical Assistance Support & $500,000.00 \\
\hline
\end{tabular}
\end{table}

\textsuperscript{24} The award amount does not include a $400,000 local match, which was a requirement of the agreement.

\textsuperscript{25} The OEIG’s review of IDOT grant agreements also revealed that IDOT awarded over $26,000,000 in non-discretionary funding to CMAP under the Metropolitan Planning Program (MPP). Ms. Aleman was also a signatory on each of these MPP grant agreements, three in total, which were executed on September 20, 2018 and retroactively effective July 1, 2018.

\textsuperscript{26} As stated above, the OEIG completed a Revolving Door determination for [Former IDOT Employee 2] with respect to a non-State employment offer in December 2017.
OEIG of any employment opportunity for one year after termination of State employment, but with the CMAP Executive Director position, everything happened so fast that it did not cross her mind to double check with the OEIG before accepting the position. She also said she mistakenly believed that the Revolving Door notification requirement only applied to private sector employment and did not apply to units of local government, like CMAP.  

During her interview, the OEIG asked Ms. Aleman generally about her involvement in State contracts, grants, and change orders. Ms. Aleman said that OP&P had a number of contracts with consultants that assist with planning and project developments. She stated that IDOT also had contracts with local agencies, which would receive formula-based funding, as well as SPR grants. She explained that there are federal discretionary SPR funds available for planning studies related to the State’s transportation system and that local agencies and others can apply for these grant funds. Ms. Aleman said that her staff would review applications received and make recommendations to her as to which municipalities and public agencies should receive such funding. Ms. Aleman said she reviewed the recommendations and approved them, and then the IDOT Secretary would make the final approval.

Ms. Aleman stated that every year, IDOT is responsible for developing a transportation planning work program (Work Program) for spending the SPR funds. She explained that for discretionary funds, IDOT has put out a competitive call for projects or Notice of Funding Opportunity (NOFO) so that MPOs and local agencies could apply for the funding. She said because SPR funds are federal dollars, the Work Program needs to be turned in to and approved by the FHA by July 1 of each year. Ms. Aleman said that [Identifying Information Redacted] [IDOT Employee], who directly reported to Ms. Aleman, was responsible for sending out the NOFO, evaluating whether each project submitted for consideration met the State’s goals, and preparing a project list of qualified applicants. Ms. Aleman said she (Ms. Aleman) would review the project list to make sure the projects met the State’s goals and were geographically spread out across the State. Ms. Aleman explained that the selection of projects to be included in the Work Program was a collaborative process between her, [IDOT Employee], and [IDOT Employee]’s staff and that she (Ms. Aleman) would walk through the list of projects with then-Secretary Blankenhorn.

When asked about grants awarded to CMAP, Ms. Aleman said she would imagine that she was a signatory on all FY 2018 and 2019 grant agreements with CMAP. Ms. Aleman reviewed the above five discretionary grant agreements and acknowledged that she reviewed, approved, and signed each agreement as the Director of OP&P. She said that Mr. Kaufmann would have also reviewed and signed off on the agreements for completeness and accuracy and that Mr. Magalis, who was Acting CFO at the time, would have reviewed and signed off on the agreements to ensure that there was money in the budget for the projects. Ms. Aleman acknowledged that Secretary

27 After Ms. Aleman’s interview, the OEIG learned that IDOT has a Revolving Door Policy that discusses the required OEIG notification in the context of prospective private sector employment, though the policy does not limit notification to “only” private sector employment as Ms. Aleman believed. The IDOT policy states in relevant part, “Before anyone on the c-list is allowed to engage in any private sector employment during the one year period after the end of their State employment, regardless of whether it has any relationship to the department, they must submit a request for clearance to the [OEIG].” Ms. Aleman did not reference this IDOT policy in her interview.

28 The OEIG spoke to [IDOT Employee], who confirmed this collaborative process.
Blankenhorn would not have signed each grant agreement without her signature or approval as the Director of OP&P.29

V. ANALYSIS

A. [Pursuant to Footnote 32, the OEIG concludes that an allegation is “founded” when it has determined that there is reasonable cause to believe that a violation of law or policy has occurred, or that there has been fraud, waste, mismanagement, misconduct, nonfeasance, misfeasance, or malfeasance. The information in this paragraph is redacted because it relates to an allegation that the OEIG determined was unfounded. Therefore, the Commission exercises its discretion to redact this section pursuant to 5 ILCS 430/20-52(2).]

B. Erin Aleman’s Revolving Door Restrictions Regarding Her Employment With CMAP

The Ethics Act requires all c-list State employees to notify the OEIG before accepting any non-State employment within one year of separation from State employment.30 Records show that each year since she began her State employment, Ms. Aleman took annual ethics training, which contained information related to the Revolving Door Prohibition and the notification requirements for “c-list” employees, and due to her role and duties at IDOT, Ms. Aleman was considered a c-list employee. In fact, on November 30, 2018, in recognition of the Revolving Door notification requirement, Ms. Aleman submitted an application for a Revolving Door determination to the OEIG with respect to an offer of employment from [Company 1]. Thus, Ms. Aleman certainly was aware that she was required to notify the OEIG prior to accepting non-State employment, which she acknowledged during her OEIG interview.

Nevertheless, less than six months after leaving IDOT, Ms. Aleman formally accepted an offer of employment with CMAP as its Executive Director. Ms. Aleman admitted that she never went through the Revolving Door determination process for this position, though she acknowledged she should have. Ms. Aleman stated that at the time, she erroneously believed that the notification requirement only applied to private sector employment. The Ethics Act, however, contains no such distinction, and the annual ethics training sets forth the notification requirement to the OEIG for an offer of employment from a “non-State employer.”31 Given the foregoing, the allegation that Ms. Aleman violated the Ethics Act when she failed to notify the OEIG before accepting employment from CMAP, a non-State employer, within one year after separation from State employment is FOUND.32

29 As part of this investigation, the OEIG also interviewed Mr. Blankenhorn, who confirmed that he would not have signed a contract or agreement without signatures from the Program Director, the CFO, and Chief Counsel.
30 5 ILCS 430/5-45(f).
31 The Ethics Act provides that employees of a regional transit board, which are otherwise subject to the Revolving Door restrictions, are not restricted from accepting employment from certain governmental entities, including units of local government, and are also not required to notify the OEIG prior to accepting employment from these governmental entities. See 5 ILCS 430/5-45(i). However, this exemption does not extend to other State employees.
32 The OEIG concludes that an allegation is “founded” when it has determined that there is reasonable cause to believe that a violation of law or policy has occurred, or that there has been fraud, waste, mismanagement, misconduct, nonfeasance, misfeasance, or malfeasance.
As noted above, the Ethics Act prohibits all State employees from knowingly accepting non-State employment or receiving compensation or fees within one year of separation from State employment if, during the year preceding the employee’s separation, the employee personally and substantially participated in either the award of State contracts or grants valued at $25,000 or more to the prospective employer, or in regulatory or licensing decisions on the agency’s behalf that applied to the prospective employer.33

In this case, records show that during Ms. Aleman’s last year of employment as IDOT Director of OP&P, Ms. Aleman signed off on several discretionary grants awarded to CMAP for various planning services, cumulatively valued at more than $3 million. During her OEIG interview, Ms. Aleman acknowledged that she, in consultation with her Bureau Chief of Planning, reviewed and evaluated projects submitted for consideration by applicants following a statewide call for projects, and together they put together a list of recommended projects. Ms. Aleman said that she walked through that list of recommended projects with then-Secretary Blankenhorn for the final decision. Finally, in her OEIG interview, after reviewing each of the FY 2019 discretionary grant agreements with CMAP, Ms. Aleman acknowledged that she reviewed, approved, and signed each agreement as the Director of OP&P and that the Secretary would not have signed each grant agreement without her signature or approval.

In sum, the OEIG finds sufficient evidence that Ms. Aleman was personally and substantially involved in the issuance of multiple State grants to CMAP, each valued at substantially more than $25,000, during the year preceding her separation from State employment. Thus, by accepting an offer of employment from CMAP within one year following termination of her State employment, Ms. Aleman violated Section 5-45(a) of the Revolving Door provisions of the Ethics Act, and this allegation is FOUNDED.

[VI.] FINDINGS AND RECOMMENDATIONS

As a result of its investigation, the OEIG concludes that there is REASONABLE CAUSE TO ISSUE THE FOLLOWING FINDINGS:

- FOUNDED – Erin Aleman failed to comply with the notification requirement of the Revolving Door provisions of the Ethics Act.
- FOUNDED – Erin Aleman violated the Revolving Door Prohibition by accepting employment and receiving compensation from CMAP.

33 5 ILCS 430/5-45(a)-(b).

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Because Ms. Aleman has already left State employment, the OEIG recommends that IDOT place a copy of this report in her centralized personnel file. The OEIG will refer the Revolving Door Matters to the Illinois Office of the Attorney General to file a complaint with the Executive Ethics Commission.

During this investigation, the OEIG learned that IDOT’s Revolving Door Policy provides that “[b]efore anyone on the c-list is allowed to engage in any private sector employment during the one year period after the end of their State employment, regardless of whether it has any relationship to the department, they must submit a request for clearance to the [OEIG].” This language is not as broad as the Ethics Act. The Ethics Act requires notification prior to accepting any “non-State employment” for one year after termination of State employment. Accordingly, the OEIG recommends that IDOT revise its policy consistent with the Ethics Act to ensure IDOT employees have additional notice of this requirement.

As discussed above, the OEIG is referring this matter to the Office of the Governor to ensure that any future appointments under the Governor’s purview involve careful consideration of the position’s duties and the needs of the Agency, and are not made in order to evade the requirements of the Ethics Act. In addition, the OEIG recommends that the Governor’s Office ensure that Ethics Officers are reminded of their duties to assist and advise on Revolving Door matters and obtain necessary training to be able to provide proper advice. Finally, the OEIG reiterates its recommendation that the Governor’s Office ensure agencies are fulfilling their statutory requirements set forth in the Ethics Act regarding notice to employees of their c-list status and requirements, and obtaining acknowledgement forms of that notice.

No further action is needed and this matter is considered closed.

Date:  May 4, 2020

Office of Executive Inspector General  
for the Agencies of the Illinois Governor  
69 West Washington Street, Ste. 3400  
Chicago, IL 60602

By:  Diana Villamil Zuver, #161  
Deputy Inspector General  
Kathryn Schwass, #138  
Investigator

34 [Information redacted]. In its written response, the Governor’s Office stated that within an August 9, 2019 email to all agency General Counsels (including Mr. Kaufmann), the agency counsels were directed to work with Ethics Officers to maintain accurate, up-to-date Revolving Door c-lists within the Online Revolving Door Tracking System, notify employees on those lists of their obligations when seeking non-State employment, and obtain acknowledgement forms from appropriate c-list employees. On February 13, 2020, the Governor’s Office sent another email to agency personnel that reminded General Counsels and Ethics Officers of their need to comply and provided a sample notification and acknowledgement form.
May 22, 2020

Via E-Mail to Fallon Opperman on behalf of:
Susan M. Haling
Executive Inspector General
Office of Executive Inspector General
69 West Washington, Suite 3400
Chicago, Illinois 60602

Re: OEIG Case No. 19-01254 Final Summary Report – Governor’s Office Response (CONFIDENTIAL)

Dear Executive Inspector General Haling:

This letter is in response to the Final Summary Report (“Final Report”) issued to the Governor’s Office by the Office of the Executive Inspector General (“OEIG”) in the above-captioned matter. The OEIG determined there was sufficient evidence to find that Erin Aleman, former Director of the Illinois Department of Transportation (“IDOT”) Office of Planning and Programming, violated the Ethics Act’s Revolving Door Prohibition by (1) failing to comply with the notification requirement, and (2) accepting employment with and receiving compensation or fees from the Chicago Metropolitan Agency for Planning, an entity Ms. Aleman was personally and substantially involved in awarding millions of dollars in State grants to during the year prior to her separation from State employment.

In the Final Report, the OEIG made several recommendations regarding its findings, and made recommendations regarding [REDACTED]. The Governor’s Office accepts and agrees with the OEIG’s recommendations and has discussed the recommendations with IDOT’s General Counsel, Phil Kaufmann. The recommendations are being implemented as follows:

First, the OEIG recommended that IDOT place a copy of the Final Report in Erin Aleman’s personnel file, which Mr. Kaufmann confirmed that IDOT will do.

Second, the OEIG recommended that IDOT revise the notification requirement in its revolving door policy consistent with the Ethics Act. Specifically, the OEIG learned that IDOT’s
OEIG Referral No. 19-01254  
May 22, 2020  
Page 2

policy for “c-list” employees\(^1\) only required notification and pre-clearance for prospective private sector employment. IDOT has confirmed that it will revise its policy to accurately reflect the Ethics Act’s requirement that notification and pre-clearance applies to any non-State employment, including public sector employment.

Third, the OEIG recommended that the Governor’s Office ensure that Ethics Officers are reminded of their duties to assist and advise on Revolving Door matters and obtain necessary training to be able to provide proper advice. This summer, the Governor’s Office will host a comprehensive Webex training on the Revolving Door Prohibition for all agency general counsels and Ethics Officers under its jurisdiction. The training has been developed by the OEIG and will be presented by representatives from both the Governor’s Office and the OEIG. The Governor’s Office will continue to provide in-depth Revolving Door training on an on-going basis.

Finally, the OEIG recommended that the Governor’s Office ensure that agencies are fulfilling their statutory requirements set forth in the Ethics Act regarding notice to employees of their c-list status and the corresponding requirements, and obtaining forms acknowledging receipt of that notice. The Revolving Door Prohibition training described above will highlight the requirements that (1) agencies must notify employees as soon as they are appointed to positions on the c-list or “h-list”\(^2\) of their status on either list and the associated requirements, and (2) c-list and h-list employees must sign acknowledgment forms regarding their status on either list.

If you have any questions or require any further information with respect to this response, please contact gov.compliance@illinois.gov.

Sincerely,

/s/
Whitney Rosen  
Deputy General Counsel & Ethics Officer  
Office of Illinois Governor JB Pritzker

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\(^1\) The “c-list” refers to employees that meet the criteria specified in 5 ILCS 430/5-45(c).

\(^2\) The “h-list” refers to employees that meet the criteria specified in 5 ILCS 430/5-45(h).
Case Number: 19-01254

Return 20 Days After Receipt

Please check the box that applies. (Please attach additional materials, as necessary.)

☐ We have implemented all of the OEIG recommendations. Please provide details as to actions taken:

☐ We will implement some or all of the OEIG recommendations but will require additional time to do so. We will report to OEIG within 30 days from today, June 5, 2020.

☐ We do not wish to implement some or all of the OEIG recommendations. Please provide details as to what actions were taken, if any, in response to OEIG recommendations:

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IDOT
Bureau Chief of Investigations & Compliance

Signature: ____________________________  Print Agency and Job Title: ____________________________

Bill Hutton  June 5, 2020

Print Name: ____________________________  Date: ____________________________

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FORM 700.7  Revised March 2013
That’s fine Bill.

I hope you had a good holiday
Fallon

From: Hutton, Bill  
Sent: Monday, July 6, 2020 11:06 AM  
To: Opperman, Fallon  
Subject: RE: Extension Request 19-01254

Fallon,

We intended to have a response sent to your office by COB today regarding this matter (Final Report 19-01254), but it is not yet complete. Would it be possible to receive a brief extension until the end of the week? We can have the response prepared and sent to your office by COB Friday, 7/10.

Thanks for your consideration.

Bill Hutton, Bureau Chief  
Bureau of Investigations & Compliance (BIC)  
Illinois Department of Transportation  
Office (217) 558-4440  
Mobile

From: Opperman, Fallon  
Sent: Friday, June 5, 2020 4:10 PM  
To: Hutton, Bill  
Subject: Re: Extension Request 19-01254

Thanks Bill.

Have a good weekend

Get Outlook for iOS
Fallon,

Per our conversion, I have attached IDOT’s extension request regarding OEIG case 19-01254. Let me know if you have any questions.

Thanks,

Bill Hutton, Bureau Chief
Bureau of Investigations & Compliance (BIC)
Illinois Department of Transportation
Office (217) 558-4440
Mobile **********
July 24, 2020

Via E-Mail to Fallon Opperman on behalf of:
Susan M. Haling
Executive Inspector General
Office of Executive Inspector General
69 West Washington, Suite 3400
Chicago, IL  60602

Re:   Department Response to OEIG Case No. 19-01254 Final Summary Report

Dear Executive Inspector General Haling:

This letter is IDOT’s supplemental response to the Governor’s Office response to the Final Summary Report by the Office of Executive Inspector General in the matter referenced above. The Governor’s Office accepted the recommendations of the OEIG and discussed implementation of those recommendations with IDOT Chief Counsel, Phil Kaufmann.

With respect to the implementation of those recommendations, IDOT confirms that a copy of the Final Report has been placed in the personnel file of Erin Aleman. Implementation of IDOT’s clarified policy that non-State employment includes public sector employment is being coordinated among ethics, investigations, legal and personnel staff to ensure the final policy is clear and “c-list” employees are made aware of and acknowledge the inclusion of public sector employment in the notification and pre-clearance obligations. Changes to IDOT’s Intranet ethics information and new employee training presentations are in process.

IDOT’s Ethics Officer and legal staff attended a mandatory revolving door requirements training provided by the Governor’s Office in June of 2020. Notices and acknowledgements for “c-list” and “h-list” employees were distributed as part of the training.

For both internal and external hires into new positions, job posting and onboarding procedure changes to give proper notice for “c-list” and “h-list” positions are being coordinated with personnel and ethics staff.
IDOT is committed to compliance with the State Officials and Employees Ethics Act and welcomes the opportunity to fully implement these policies and procedures.

Sincerely,

Michael S. Prater
Deputy Chief Counsel
Illinois Department of Transportation
Mr. Prater:

Our office received the Illinois Department of Transportation’s response to our Final Summary Report in Case No. 19-01254 (attached). Among other things, your response addresses the issues with the revolving door notification process for employees, and states:

   For both internal and external hires into new positions, job posting and onboarding procedure changes to give proper notice for “c-list” and “h-list” positions are being coordinated with personnel and ethics staff.

This response is not sufficient, especially in light of the fact that we have information developed elsewhere that IDOT has not yet implemented a notification process or actual notification.

Please supplement IDOT’s response with additional details on any specific actions IDOT has taken to notify employees of their “c-list” status and their corresponding responsibilities, along with the dates of those IDOT actions. Please provide this supplemental response by the close of business on Tuesday, July 28. Alternatively, we will schedule an interview with you to develop this information.

Thank you.

Neil P. Olson
General Counsel
Ethics Officer | FOIA Officer
Office of Executive Inspector General
for the Agencies of the Illinois Governor
607 East Adams, 14th Floor
Springfield, Illinois 62701
217-557-0905 (Springfield office)
312-814-5592 (Chicago office)
[phone number] (mobile)
Mr. Olson:

I provided additional information earlier today on actions taken. This is additional information of the status and plan for compliance.
Additional Information about the Status of the Notification Process

1. Status of a comprehensive, up-to-date C list:
   It appears that staff currently at the Department did not assist in the creation of the list by placing the revolving door designations on positions in the Department HRI database. Updating the list has been a planned project, but has not been done to date. Investigations staff report that there are 1389 revolving door positions, which is the C list. Of the 1389, 629 are unique position numbers, 1207 filled positions and 182 vacant positions. I have requested a list of all IDOT positions and job descriptions so that a comprehensive review each position can be completed.

2. Status of comprehensive, up-to-date H list:
   I was unable to find an H-list for the Department after requesting it from staff who have worked on revolving door issues and having legal administrative staff search our records. In an effort to create a comprehensive list, I will review IDOT management positions and job descriptions.

3. Information regarding last notices to C or H list employees:
   I was unable to find a record of employees on the C or H list being reminded of their status. IDOT conducts ethics training for new hires and presentations in leadership seminars that discuss revolving door obligations, but they do not give notice of what specific positions are on C or H list. The IDOT intranet ethics page also discusses these obligations and links to the statute, Executive Order 15-09 and the OEIG, but tells the employee to check with the Ethics Officer about their status on the C list.

Plan to Notify C and H List Employees

The Governor’s Office has worked with me to set out the following schedule for notifying C and H list employees:

August 3, 2020 – Personnel will review the C list status of positions being offered to a potential employee and include the proper Notice and Acknowledgement form with onboarding materials.

August 4, 2020 – Notice and Acknowledgement forms will be emailed to employees on the C list.

   Responses to the Notices will be tracked, recorded, and reminders sent.

August 31, 2020 – On or before this date H list review will be completed and Notice and Acknowledgement forms emailed and Personnel provided the H list.
September 30, 2020 - On or before this date C list review will be completed and employees given notice if their status has changed. Provide detailed plan of how IDOT will check at the time of receipt of resignation letter that individual has complied with revolving door process. Thank you,

Michael S. Prater  
Deputy Chief Counsel  
Illinois Department of Transportation  
2300 South Dirksen Parkway Room 313  
Springfield, Illinois 62764  
(217) 524-7749/
August 4, 2020

Via E-Mail to Fallon Opperman on behalf of:
Susan M. Haling
Executive Inspector General
Office of Executive Inspector General
69 West Washington, Suite 3400
Chicago, Illinois 60602

Re: OEIG Case No. 19-01254 Final Summary Report – Governor’s Office
Supplemental Response (CONFIDENTIAL)

Dear Executive Inspector General Haling:

This letter supplements the Governor’s Office Response dated May 22, 2020 (“Initial Response”) to the Final Summary Report (“Final Report”) issued to the Governor’s Office by the Office of the Executive Inspector General (“OEIG”) in the above-captioned matter.

Within the initial Response, the Governor’s Office accepted and agreed with the OEIG’s recommendations and indicated it had discussed the recommendations with IDOT’s General Counsel, Phil Kaufmann. The Governor’s Office understood IDOT to be prioritizing implementation of the OEIG’s recommendations to ensure compliance with Ethics Act revolving door requirements. The Governor’s Office became aware that IDOT had not made progress in this effort when alerted by the OEIG in late July.

To address IDOT’s non-action, the Governor’s Office established with IDOT Deputy General Counsel Bill Prater a 60-day schedule for IDOT to (1) identify c-list and h-list positions; (2) notify and secure acknowledgements from each employee in an identified position; (3) develop and implement a plan for tracking and maintaining records of notification and receipt of acknowledgments; (4) establish a detailed plan of how IDOT will ensure notification of each covered employee when hired or moved into a covered position; and (5) establish a detailed plan of how IDOT will ensure each resignation from the agency is reviewed for revolving door compliance, with any non-compliance communicated to the OEIG. The Governor’s Office and IDOT have scheduled a standing, every two-week meeting to review progress and resolve issues. If your office would like an update on the progress at any point, please let me know and we will respond as quickly as possible.

As previewed in the Initial Response, throughout the month of June 2020, the Governor’s Office and the OEIG provided comprehensive Webex training on the Revolving Door Prohibition...
for all agency general counsels and Ethics Officers under its jurisdiction. The Governor’s Office will continue to provide in-depth Revolving Door training on an on-going basis. Additionally, the Governor’s Office is preparing a Revolving Door Training for c-list and h-list employees that will be added to the One Net training portal for use by Ethics Officers in their training of covered employees.

If you have any questions or require any further information with respect to this supplemental response, please contact gov.compliance@illinois.gov.

Sincerely,

/s/
Whitney Rosen
Deputy General Counsel & Chief Ethics Officer
Office of Illinois Governor JB Pritzker
August 5, 2020

Via Electronic Mail

Omer Osman
Acting Secretary
Illinois Department of Transportation
2300 South Dirksen Parkway
DOT Admin Building, Room 300
Springfield, Illinois 62764

Re: OEIG Case No. 19-01254

Dear Acting Secretary Osman:

This letter is a follow-up to IDOT’s response to OEIG Case No. 19-01254 (dated July 24, 2020) and Michael Prater’s supplemental emails sent on July 31st regarding IDOT’s actions taken to provide proper Revolving Door (RD) notice to its employees pursuant to the Ethics Act. As previously indicated, IDOT’s original July 24th response stating that “proper notice for ‘c-list’ and ‘h-list’ positions are being coordinated” was an insufficient response for at least two reasons: 1) the response provided no details or basis showing that efforts were actually being coordinated especially in light of contradicting evidence provided by IDOT’s Chief Counsel; and 2) this issue has been raised with IDOT for at least a year and still has not been effectuated.¹

With regard to our first issue, going forward, any responses provided to the OEIG regarding OEIG findings or recommendations need to be provided with an adequate level of detail in order for the OEIG to determine whether such response is acceptable.

With regard to our second issue, IDOT has been given numerous opportunities and reminders to fulfill its RD obligations to no avail. Based on IDOT’s non-action, as described below, the OEIG will not be following a similar course of action with IDOT in the future. The OEIG’s recommendations regarding this RD issue started with this Administration shortly after it took office.² More directly, in May 2019, the OEIG issued a report noting that an agency had

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¹ In addition, the July 24th response did not address IDOT’s plan to provide notice to its current c-list employees.
² Under the previous Governor’s Administration, agency General Counsels and Ethics Officers were also repeatedly informed of their RD obligations, including at a minimum through a detailed June 26, 2016 memo from Chief Compliance Officer and Associate General Counsel Georgia Man with various attachments, including notification forms that agencies could send to c-list and h-list employees, and a June 20, 2018 reminder email from Chief Ethics Officer and Associate General Counsel Christina McClernon that noted it was a follow-up to a Council of Counsels meeting about RD matters and again attached the June 26, 2016 memo. Moreover, in early 2017, IDOT received
not provided a c-list notification or obtained an employee acknowledgment form. In the report, the OEIG advised the current Administration to require Ethics Officers to maintain accurate, up-to-date c-lists, notify employees on that list of their obligations when seeking non-State employment, and obtain acknowledgment forms from appropriate c-list employees. The following actions have taken place since that report was issued:

- On August 9, 2019, Governor’s Office General Counsel Ann Spillane sent an email to all agency General Counsels, including IDOT Chief Counsel & Ethics Officer Phil Kaufmann, requesting that these RD actions be taken.

- Mr. Kaufmann was interviewed on October 30, 2019, and indicated that he received the August 9 email but upon further questioning admitted that he was unaware of any action taken by IDOT upon the direction from the Governor’s Office.

This paragraph was redacted at the time the letter was submitted to the EEC. The EEC does not possess an unredacted copy of this letter.

- On February 13, 2020, Governor’s Office Deputy General Counsel & Chief Ethics Officer Whitney Rosen emailed agency General Counsels, including Mr. Kaufmann, reiterating the requirement that General Counsels/Ethics Officers needed to provide RD notifications and obtain acknowledgement forms. Ms. Rosen included a notification form that agencies could send to c-list employees.

- On April 15, 2020, Mr. Kaufmann was interviewed again during which this issue was addressed once more. Mr. Kaufmann suggested action was being taken in the form of IDOT including notifications on new job postings (which did not comport with the RD obligations).

- On May 4, 2020, the OEIG issued a report to the Acting IDOT Secretary in Case No. 19-01254, in which the OEIG wrote that the RD issue still did not appear to have been adequately addressed by IDOT and recommended that the Governor’s Office ensure that these obligations were completed.

- In June 2020, the Governor’s Office required RD training for all General Counsels/Ethics Officers, which again included notification forms. This training was attended by Mr. Kaufmann on June 9, 2020.

This paragraph was redacted at the time the letter was submitted to the EEC. The EEC does not possess an unredacted copy of this letter.

and responded to a founded report from the OEIG relating to individuals failing to notify the OEIG prior to accepting non-State employment in violation of the RD prohibition. See OEIG Report for Investigation Case Nos. 15-02261, 16-01055, and 16-01414 involving multiple agencies. In its response to that report, in April 2017, then-IDOT Ethics Officer David Risley indicated that IDOT was working on updating its c-list and planned to send notifications to everyone on it on an annual basis.
While the OEIG appreciates that the Governor’s Office has now put a timeline in place for IDOT to fulfill its responsibilities, the OEIG is not confident in IDOT’s ability or willingness to actually complete this required task. As such, we expect to receive updates on the status of these projects in accordance with the timeline provided by Mr. Prater. We are requesting confirmation as follows:

- by **August 10, 2020**, that all appropriate IDOT c-list employees were notified of their status and duties;
- by **September 3, 2020**, that all appropriate h-list employees were notified of their status and duties; and
- by **October 2, 2020**, that IDOT has completed its review of the c-list and made necessary edits.

In addition, please notify the OEIG once IDOT has received the signed acknowledgment forms back from all of the c- and h-list employees, and include a detailed plan of how IDOT will continue to fulfill these RD responsibilities into the future with new hires.

The OEIG wants to emphasize the importance of IDOT fulfilling its RD responsibilities, particularly since IDOT has one of the largest number of c-list employees, many of whom leave State government to work for current State vendors. IDOT employees need to understand their own duties under the RD prohibition, which means they must know they are on IDOT’s c-list and be advised of their duties and possible consequences of non-compliance with those duties. Additionally, if employees are not clearly and timely advised of their RD duties, investigations into non-compliance with those duties are hindered and it is possible that employees may not be held accountable for engaging in improper post-employment transactions, thus thwarting the purpose of the Ethics Act RD prohibition. This may result in the OEIG making determinations as to whether IDOT leadership is attempting to improperly insulate employees from RD restrictions.

If you have any questions, please contact my General Counsel Neil Olson, at [redacted].

Sincerely,

[Redacted]

Executive Inspector General
for the Agencies of the Illinois Governor

cc: Ann Spillane, General Counsel, Office of the Governor
    Whitney Rosen, Deputy General Counsel & Chief Ethics Officer, Office of the Governor
    Philip Kaufmann, Chief Counsel & Ethics Officer, IDOT
    Michael Prater, Deputy Chief Counsel, IDOT
August 10, 2020

Ms. Susan Haling
Executive Inspector General
69 West Washington Street, Suite 3400
Chicago, IL 60602

Dear Inspector General Haling:

On August 4, 2020 the Illinois Department of Transportation (IDOT) emailed 1207 notice and acknowledgement forms to the employees on its C list with instructions to acknowledge in a reply email that each have read and understand the notice. The recipients were told to respond by August 14, 2020. As of today, IDOT has received over 650 responses, which are in the process of being recorded in a spreadsheet for tracking. After August 14 reminders will be sent to those who have not acknowledged their status on the C list, which will continue until all acknowledgements are received. For eight employees on the list emails were not delivered and those are being investigated and resolved.

The above information is provided as the confirmation you requested in your letter dated August 5, 2020. Our work on notification compliance continues. I will update you further on September 3, 2020.

Sincerely,

[Redacted]

Omer M. Osman, P.E.
Acting Secretary
September 3, 2020

Ms. Susan Haling
Executive Inspector General
69 West Washington Street, Suite 3400
Chicago, IL 60602

Dear Inspector General Haling:

Notification and acknowledgment forms were sent today to Illinois Department of Transportation employees on its H list and myself. IDOT’s H list consists of the Secretary of Transportation, an Assistant Secretary of Transportation, a Chief of Staff and a Deputy Chief of Staff. The Assistant Secretary position is currently vacant.

The above information is provided as the confirmation you requested in your letter dated August 5, 2020. Our work on notification compliance continues. I will update you further on October 2, 2020.

Sincerely,

Omer M. Osman, P.E.
Acting Secretary
October 2, 2020

Ms. Susan Haling
Executive Inspector General
69 West Washington Street, Suite 3400
Chicago, IL 60602

Inspector General Haling:

This is my third update in response to your August 5, 2020 letter. It is the first update where I have to report we need additional time to complete an obligation. The review of our positions for inclusion on the C-list is not done. I have directed that additional staff be assigned to this task and any other resources be provided to complete a comprehensive review on or before October 23, 2020. I hope this extension is acceptable to you and regret our need for it.

The tracking of the notice and acknowledge forms for our existing C-List continues. We have received over 1100 acknowledgements from the 1207 notices. Our ethics staff are contacting supervisors to advise employees to provide the remainder of the outstanding acknowledgements. The H-list acknowledgements sent September 3, 2020 have been received. Personnel includes the notice and acknowledgement form to new employees on revolving door lists. Ethics staff has been provided acknowledgements signed by new employees from personnel since the procedure was put in place.

I will update you further as progress continues and will provide our comprehensive updated C-List on October 23, 2020.

Sincerely,

[Signature]

Omer M. Osman, P.E.
Acting Secretary
October 23, 2020

Susan E. Haling
Executive Inspector General
Office of Executive Inspector General
69 West Washington, Suite 3400
Chicago, Illinois 60602

RE: OEIG Case No. 19-01254 Compliance Update

Inspector General Haling:

The Secretary has instructed me to apologize for failing to complete the C-List review I assured him would be completed by today and provide you an update on the status. I am sorry for the delay. Significant progress has been made. An updated C list will be completed soon.

As of October 1, 2020, IDOT’s personnel database contained 7,096 total positions (all vacant and filled positions) sorted into 68 sections of unequal size. There are five attorneys, one-half of the current legal staff, working on the review for these 7,000 positions. Excluding Highway Maintainer positions, the legal team is reviewing the status for 4,813 jobs. As of yesterday, nearly 1,400 of those reviews were completed. This does not mean that 3,000 plus job descriptions remain to be reviewed, because some job descriptions have multiple employees. For example, the Airport Design Engineer (PW114-23-60-201-000-01) contains three employees.

The reviews continue daily. To date, IDOT has completed reviews for 40 of the 68 sections. Some of the larger sections remain. It should be completed in 3 weeks. The Secretary has further directed that I update you weekly until the review is completed. I will provide an update on our progress on Friday, October 30, 2020.

Sincerely,

Michael S. Prater
Deputy Chief Counsel

cc: Secretary Osman
Georgina Syas
Phil Kaufmann
Whitney Rosen
Neil Olson