



State of Illinois  
Illinois Department of Transportation

# ethics workplace

in the  
Seminar 2013

**Tuesday, October 8, 2013**

9:00 am – 3:00 pm

Willis Tower • 37th Floor

233 South Wacker • Chicago, Illinois

**Hosted by**

Illinois Department of Transportation



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## AGENDA

**9:00AM**

Welcome by **Director Jeff Heck**  
Illinois Department of Transportation

Opening remarks by **Secretary Ann L. Schneider**  
Illinois Department of Transportation

**Chief Counsel Michael Forti**  
Ethics Officer - Illinois Department of Transportation

Presentation by **Robert J. Callahan**  
Ambassador

### **BREAK**

Presentation by **Hon. Wayne R. Andersen (Ret.)**  
U.S. District Judge – Northern District of Illinois

Presentation by **Garrison Phillips**  
Associate General Counsel – Ethics and Compliance – United Airlines

### **LUNCH BREAK**

(lunch is on your own)

**1:00PM**

Presentation by **Clifford Eby, P.E.**  
President – Parsons Brinckerhoff

Presentation by **Daniel Cain**  
Special Agent – Federal Bureau of Investigations

**Patrick Murphy**  
Director – Forensic, Investigative and Dispute Services – Grant Thornton

**3:00PM**

### **CLOSING REMARKS**



### **Ann L. Schneider**

Secretary - Illinois Department of Transportation

Secretary Schneider was appointed by Illinois Governor Pat Quinn in July 2011, confirmed unanimously by the Illinois Senate the following month, and was confirmed for a second term in May 2013. Her 25 years of service with the state of Illinois, including nearly 8 with the department as the Chief Fiscal Officer and Chief Operating Officer have proven influential as she passionately continues her service as Illinois' Secretary of Transportation. Secretary Schneider oversees a workforce of over 5,200 employees with oversight of more than \$15.3 billion in capital projects that span rail, roadway, air, and transit programs. Under her leadership, Illinois has developed its first freight mobility plan and state rail plan. She is the chair of AASHTO's Standing Committee on Rail Transportation (SCORT) and CMAP's Policy Committee. She is a member of the AASHTO Sustainable Transportation: Energy, Infrastructure and Climate Solutions (STEICS) Steering Committee, and as Secretary, she sits on AASHTO's Board of Directors. Furthermore, in June, 2013, she was named chair of the U.S. Department of Transportation National Freight Advisory Committee. Secretary Schneider has her Masters of Public Administration and has completed her coursework, all but dissertation, for her Doctorate of Public Administration from the University of Illinois, Springfield



### **Robert J. Callahan**

Ambassador

Bob Callahan was a Foreign Service officer for 32 years, ending his career as ambassador to Nicaragua from 2008-2011. In addition to other assignments in Latin America (Costa Rica, Honduras, and Bolivia) and Europe (London, Athens, and Rome), he served in Baghdad as the press attaché and embassy spokesman from 2004-2005. He also taught national security policy for two years at the National War College and spent three years as a diplomatic fellow at George Washington University, where he taught courses and lectured on foreign policy, public diplomacy, and international relations. He speaks Spanish, Italian, and Greek. Since his retirement from the Foreign Service Bob has written articles on topics as varied as foreign affairs and education reform for the Chicago Tribune, Washington Post, and Cape Cod Times, among others. He has also led training classes for American diplomats and other Federal government employees assigned abroad and addressed the House Foreign Affairs Committee on the U.S. government's policy toward Nicaragua. Bob, who was born in Chicago, has a B.A. in modern European history from Loyola University and an M.A. in American history from DePaul University. Both are in Chicago. Before joining the State Department, he was an editor at Loyola University Press.



### **Hon. Wayne R. Andersen (Ret.)**

U.S. District Judge – Northern District of Illinois

Hon. Wayne R. Andersen (Ret.) has served as a U.S. District Judge for the Northern District of Illinois for 19 years and as a state court trial judge for 7 years. Judge Andersen is an active and effective settlement judge who has brokered numerous settlements in a wide range of complex cases. Believing that it is never too late to try to settle, Judge Andersen once ran a streak of seven consecutive jury trials which began, but settled during the trial. As a matter of routine, he withheld entry of judgment on jury verdicts while the parties, usually with his assistance, worked out post trial final settlements. He has coordinated efforts with settlement attorneys at the Seventh Circuit to enable parties to settle even while cases are on appeal. Counsel praise his superb people skills; exceptional legal knowledge; and well written, legally sound, and timely rulings. Judge Andersen successfully settled the Shakman litigation, pending since 1969, which attempted to eliminate illegal patronage practices involving government employees in Chicago and Cook County – a daunting task. Feeling that indefinite court oversight of elected government bodies was inappropriate, Judge Andersen succeeded in settling this matter, with a view towards ultimate dissolution of the existing injunctions and court oversight, with respect to five employee groups encompassing over 50,000 employees.

*A long habit of not thinking a thing wrong gives  
it a superficial appearance of being right.*

-Thomas Paine



### **Garrison Phillips**

Associate General Counsel-Ethics and Compliance – United Airlines

Garrison Phillips is the Associate General Counsel-Ethics and Compliance at United Airlines. Garrison has been with United since November 2009 and previously held the position of Sr. Counsel – Labor and Employment. In his role as Associate General Counsel – Ethics and Compliance, Garrison has overall responsibility for managing and providing oversight to the Company’s Ethics and Compliance Office and program, which includes developing and implementing an appropriate and effective anti-bribery/anti-corruption program. The Ethics and Compliance Office is also responsible for assisting the Audit Committee of the Board of Directors in maintaining an ethical culture within United and for ensuring company compliance with laws and regulations. The Ethics and Compliance Office is responsible for setting and guiding the company’s ethics platform and compliance initiatives, which includes ensuring co-workers receive appropriate communications and trainings. Garrison has overall responsibility for ensuring that the Ethics and Compliance Office serves as an effective resource for co-workers to obtain guidance in complying with laws, regulations, company policies and the Ethics and Compliance Principles, and is a place for co-workers to express concerns. Prior to coming to United, Garrison was a shareholder at the law firm Littler Mendelson where he focused on employment litigation and counseling, as well as conducting employment compliance training. Garrison graduated with a BA from the University of Michigan in 1993 and a JD from the University of Illinois College of Law in 1996.



### **Clifford Eby, P.E.**

President – Parsons Brinckerhoff

Cliff Eby has close to 40 years in the transportation industry, with broad expertise in rail safety, finance and economic regulatory practices, transportation policy, and rail infrastructure design and implementation. With experience in both the public and private sectors, he has held executive and management positions with major engineering and construction firms and the federal government. Mr. Eby is currently President of Parsons Brinckerhoff. On a national basis, he oversees an operation responsible for planning, design, strategic consulting and construction services for highways, bridges, transit and rail, aviation, and ports and marine projects. Prior to joining Parsons Brinckerhoff, Mr. Eby served as acting administrator of the Federal Railroad Administration (FRA) from 2008 to 2009 and as deputy administrator from 2005 to 2008. He was responsible for the FRA’s day-to-day administrative functions and rail financial assistance programs and also served as the agency’s representative to the boards of the Moynihan Station Redevelopment Corporation, the Union Station Redevelopment Corporation, the USDOT Credit Council and the National Passenger Railroad Corporation (Amtrak). Cliff holds a B.S., Civil Engineering, Lehigh University, 1973; M.B.A., Finance and Investment, George Washington University, 1977; Additional Studies: Dartmouth College, Tuck Executive Program, 1998.

*Honor is better than honors.*

-Abraham Lincoln

*While we are free to choose our actions, we are not free to choose the consequences of our actions.*

-Steven Covey



### **Daniel Cain**

Special Agent – Federal Bureau of Investigations

Dan Cain has been a Special Agent with the FBI for over 27 years. After initially being assigned to Portland, Oregon in 1986, he came to the Chicago Field Office in 1989. Mr. Cain has spent the majority of his career investigating complex white collar crimes and public corruption. Most recently, he was assigned as the Case Agent for the public corruption investigation code named Board Games, which resulted in the conviction of 15 individuals including former Illinois Governor Rod Blagojevich. Mr. Cain graduated from the University of Illinois with a Bachelor of Science in Accountancy.



### **Patrick Murphy**

Director – Forensic, Investigative and Dispute Services – Grant Thornton

Pat Murphy has over 26 years of experience as a Special Agent and Supervisory Special Agent with the FBI. He has spent his career investigating and supervising complex white collar crime to include financial institution fraud, corporate fraud, bankruptcy fraud, embezzlements, securities fraud, investment fraud, mortgage fraud, antitrust, and public corruption. Pat has extensive experience testifying before federal grand jury and in federal court. Most recently he served as the public corruption coordinator for the Chicago office of the FBI. Pat's successes include his role as co-lead investigator and later supervisor of the long term public corruption investigation, code named Board Games, which resulted in the conviction of 15 individuals including former Illinois Governor Rod Blagojevich. He led the investigation of Michael Segal and his company Near North Insurance Brokerage which resulted in the conviction of Mr. Segal and his company on fraud charges as well as a \$15 million forfeiture.



### **Michael Forti**

Chief Counsel - Illinois Department of Transportation

Michael Forti became IDOT's newest Chief Counsel in December 2012. He is a 1980 graduate of the Northwestern University School of Law and has practiced in both the private and public sectors. Upon graduation from Northwestern Law School, he joined Bell, Boyd & Lloyd, now K & L Gates, LLP, and developed a litigation practice handling a wide range of commercial cases, including intellectual property, accounting malpractice, contract and antitrust. He became a partner in the firm and practiced there until 1994. He has since worked in the public sector for the past 18 years in the City of Chicago's Law Department, first as a Chief Assistant and later as a Deputy Corporation Counsel. He was in charge of overseeing the Law Department's Constitutional and Commercial Litigation Division which represents the City in an array of complex commercial and constitutional cases, including the defense of the City's gun safety ordinances and a variety of First Amendment cases. Michael is a member of the Chicago Bar Association, the Federal Trial Bar and the Lesbian and Gay Bar Association of Chicago.

*Always do right--this will gratify some and astonish the rest.*

-Mark Twain

## NOTES

*Relativity applies to physics, not ethics.*

-Albert Einstein

## PARTICIPANTS OF PAST SEMINARS



**Robert D. Grant**



**Christopher G. Kennedy**



**Honorable  
Charles P. Kocoras**



**Robert S Rivkin**



**Ann Calvaresi Barr**



**Mark J. Cheviron**



**Ted Chung**



**Lawrence Oliver II**



**Patrick M. Collins**



**Honorable  
J. Dennis Hastert**



**James W. Wagner**



**Honorable  
Anne M. Burke**



**Rodger Heaton**



**Scott Turow**



**Michelle T. McVicker**



**Brigadier General  
Calvin L. Scovel, III**



**Tuskegee Airmen**

## HOW TO REPORT TRANSPORTATION FRAUD

If you are aware of or suspect the commission of fraud on transportation related projects funded by the Illinois Department of Transportation including fraud pertaining to the Disadvantaged Business Enterprise (DBE) Program, contact IDOT's Office of Quality Compliance & Review. Allegations may be reported by DOT employees, contractors, or the general public. OQCR's Hotline is open 24 hours a day. All information will be kept strictly confidential.

### REPORT TO IDOT

IDOT Fraud Hotline

Call: **1-800-455-5008** (toll free)

Email to: **[DOT.FraudAwareness@illinois.gov](mailto:DOT.FraudAwareness@illinois.gov)**

Mail To: IDOT Office of Quality Compliance and Review,  
2300 South Dirksen Parkway, Springfield, IL 62764

### REPORT TO THE FEDERAL GOVERNMENT

The US DOT Office of Inspector General (OIG) also maintains a Hotline to facilitate the reporting of allegations of fraud, waste, abuse, or mismanagement in U.S. Department of Transportation (DOT) programs or operations. You may report such allegations through the contact information listed below. Allegations may be reported by DOT employees, contractors, or the general public. OIG's Hotline is open 24 hours a day, seven days a week and is operated by a third party contractor.

**[www.oig.dot.gov/hotline](http://www.oig.dot.gov/hotline)**

Call: **1-800-424-9071** (toll free)

Email to: **[hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)**

Mail to: DOT Inspector General, 1200 New Jersey Ave SE,  
West Bldg 7th Floor, Washington DC, 20590

### REPORT TO THE OFFICE OF THE EXECUTIVE INSPECTOR GENERAL

Complaints regarding allegations of State employee misconduct, fraud, waste, etc., can be made to the Office of Executive Inspector General for the Agencies of the Illinois Governor by anyone. However, the complaint must relate to the official conduct of a State employee of a State agency, board, commission, or State public university under the jurisdiction of the OEIG, or a person or entity (such as a vendor of the State) doing business with an employee or State agency under the jurisdiction of the OEIG.

- Visit [www2.illinois.gov/oeig/Pages/FileaComplaint.aspx](http://www2.illinois.gov/oeig/Pages/FileaComplaint.aspx)
- Call the OEIG's toll-free hotline at 866.814.1113
- Contact the Office via telecommunications device for the disabled (TTY) at 888.261.2734
- Mail a completed complaint form to:  
Office of Executive Inspector General for the Agencies of the Illinois Governor  
Attention: Complaint Division  
32 West Randolph, Suite 1900  
Chicago, Illinois 60601
- Fax a completed Complaint Form to 312.814.5479
- Visit the OEIG's Springfield or Chicago offices to obtain, complete and submit a complaint form

*When you throw out integrity the rest is easy.*

-J.R. Ewing ("Dallas" television show)

