

**STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
COMPLIANCE EXAMINATION**

For the Two Years Ended June 30, 2011

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2011

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**AGENCY OFFICIALS**

**OFFICE OF THE ARCHITECT OF THE CAPITOL**

|  |  |
|--|--|
| Architect of the Capitol (11/16/09 to present) | Mr. J. Richard Alsop III                                       |
| Deputy Director (11/16/09 to 12/31/09)         | Mr. Dean McGeath   |
| Acting Director (through 11/15/09)             | Mr. Dean McGeath   |
| Senior Project Manager                         | Mr. Mark Flowers   |
| Fiscal Officer                                 | Ms. Sue Friedrich  |
| Board Member                                   |  |
| Co-Chair                                       | Jillayne Rock, Secretary of the Senate                         |
| Co-Chair (6/22/11 to present)                  | Tim Mapes, Clerk of the House of Representatives               |
| Co-Chair (through 6/3/11)                      | Mark Mahoney, Clerk of the House of Representatives            |
| Member   | Scott Kaiser, Assistant Secretary of the Senate                |
| Member   | Bradley Bolin, Assistant Clerk of the House of Representatives |

Agency office is located at:

Suite 602  
William G. Stratton Office Building  
Springfield, IL 62706



**THE OFFICE OF THE ARCHITECT OF THE CAPITOL**

William G. Stratton Building Suite 602 Springfield, Illinois 62706

Telephone: 217.782.7863 Facsimile: 217.524.1873

J. Richard Alsop III  
AIA LEED AP  
Architect of the Capitol

November 17, 2011

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

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the Office of the Architect of the Capitol (Office). We are responsible for and we have established and maintained an effective system of, internal controls over compliance requirements. We have performed an evaluation of the Office's compliance with the following assertions during the two-year period ended June 30, 2011. Based on this evaluation, we assert that during the year(s) ended June 30, 2010 and June 30, 2011, the Office has materially complied with the assertions below.

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

Yours very truly,

Office of the Architect of the Capitol

  
\_\_\_\_\_  
J. Richard Alsop III  
Architect of the Capitol

  
\_\_\_\_\_  
Sue Friedrich  
Fiscal Officer

## COMPLIANCE REPORT

### SUMMARY

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

### ACCOUNTANTS' REPORTS

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

### SUMMARY OF FINDINGS

| <u>Number of</u>                                     | <u>Current</u> | <u>Prior</u> |
|--|----------------|--------------|
| Findings   | 1              | 2            |
| Repeated findings                                    | 1              | 0            |
| Prior recommendations implemented<br>or not repeated | 1              | 1            |

### SCHEDULE OF FINDINGS

| <u>Item No.</u>            | <u>Page</u> | <u>Description</u>  | <u>Finding Type</u>                      |
|----------------------------|-------------|---|--|
| FINDING (STATE COMPLIANCE) |             |   |  |
| 11-1                       | 8           | Non-compliance with Legislative Commission Reorganization Act | Significant Deficiency and Noncompliance |
| PRIOR FINDING NOT REPEATED |             |   |  |
| A                          | 9           | Property control weaknesses                                   |  |

## **EXIT CONFERENCE**

A formal exit conference was waived by J. Richard Alsop III, Architect of the Capitol, in a correspondence dated November 8, 2011. Responses to the recommendations were provided by J. Richard Alsop III, Architect of the Capitol in a correspondence dated November 9, 2011.

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OFFICE OF THE AUDITOR GENERAL  
WILLIAM G. HOLLAND

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

Honorable William G. Holland  
Auditor General  
State of Illinois

**Compliance**

We have examined the State of Illinois, Office of the Architect of the Capitol's (Office) compliance with the requirements listed below, as more fully described in the Audit Guide for Financial Audits and Compliance Attestation Engagements of Illinois State Agencies (Audit Guide) as adopted by the Auditor General, during the two years ended June 30, 2011. The management of the Office is responsible for compliance with these requirements. Our responsibility is to express an opinion on the Office's compliance based on our examination.

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

We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants; the standards applicable to attestation engagements contained in *Government Auditing Standards* issued by the Comptroller General of the United States; the Illinois State Auditing Act (Act); and the Audit Guide as adopted by the Auditor General pursuant to the Act; and, accordingly, included examining, on a test basis, evidence about the Office's compliance with those requirements listed in the first paragraph of this report and performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion. Our examination does not provide a legal determination on the Office's compliance with specified requirements.

In our opinion, the Office complied, in all material respects, with the compliance requirements listed in the first paragraph of this report during the two years ended June 30, 2011. However, the

results of our procedures disclosed an instance of noncompliance with the requirements, which is required to be reported in accordance with criteria established by the Audit Guide, issued by the Illinois Office of the Auditor General and which is described in the accompanying schedule of findings as finding 11-1.

### **Internal Control**

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

*A deficiency in an entity's internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with the requirements listed in the first paragraph of this report on a timely basis. *A material weakness over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance such that there is a reasonable possibility that material noncompliance with a requirement listed in the first paragraph of this report will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above. However, we identified certain deficiencies in internal control over compliance that we considered to be a significant deficiency as described in the accompanying schedule of findings as finding 11-1. *A significant deficiency in an entity's internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

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

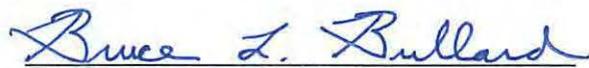
The Office's responses to the findings identified in our examination are described in the accompanying schedule of findings. We did not examine the Office's response and, accordingly, we express no opinion on the response.

### Supplementary Information for State Compliance Purposes

Our examination was conducted for the purpose of forming an opinion on compliance with the requirements listed in the first paragraph of this report. The accompanying supplementary information as listed in the table of contents as Supplementary Information for State Compliance Purposes is presented for purposes of additional analysis. We have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General to the 2010 and 2011 Supplementary Information for State Compliance Purposes, except for the Service Efforts and Accomplishments on which we did not perform any procedures. However, we do not express an opinion on the supplementary information.

We have not applied procedures to the 2009 Supplementary Information for State Compliance Purposes, and accordingly, we do not express an opinion thereon.

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



BRUCE L. BULLARD, CPA

Director of Financial and Compliance Audits

November 17, 2011

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2011

11-1. **FINDING** (Noncompliance with Legislative Commission Reorganization Act)

The Illinois Office of the Architect of the Capitol (Office) did not comply with provisions of the Legislative Commission Reorganization Act (Act).

The Office has not prepared and implemented a long-range master plan of development for the State Capitol Building and the remaining portion of the legislative complex addressing the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs.

The Act (25 ILCS 130/8A-15(b)) requires the Architect of the Capitol to prepare and implement a long-range master plan of development that addresses the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs of the State Capitol Building and legislative complex. The Architect of the Capitol is also required to submit the master plan to the Capitol Historic Preservation Board for its review and comment.

Office management stated the Capital Development Board held the contract and appropriation for the master plan until September 2011, so they were unable to take action during the examination period.

Failure to prepare and implement a long-range master plan is noncompliance with State statute and could result in unforeseen problems relating to the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs of the State Capitol Building and the legislative complex. (Finding Code No. 11-1, 09-2)

**RECOMMENDATION**

We recommend the Office take the appropriate actions to prepare and implement a long-range master plan as required by State statute.

**OFFICE RESPONSE**

Although it is part of the Legislative Commission Reorganization Act that the Office of the Architect shall prepare, or more realistically have prepared by others under our jurisdiction, a long range master-plan of the Capitol Complex, the contract and funding source during the compliance examination period ending June 30, 2011 was not held with this Office and the approval processes do not lie solely with this Office but in cooperation with our Board and the Capital Development Board (CDB). The role of the Office of the Architect is as a spearhead or facilitator, not the final authority. The decision to move the master-plan project forward is also a multi-party decision, made up of CDB, the Office of the Architect Board and this Office. Preparation and implementation are also not necessarily a linear process as they can and do occur simultaneously as situations warrant.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**PRIOR FINDING NOT REPEATED**  
For the Two Years Ended June 30, 2011

A. **FINDING** (Property control weaknesses)

During the prior examination period, the Office of the Architect of the Capitol (Office) did not exercise adequate control over the recording and reporting of its State property.

During the current examination period, our sample testing showed the Office accurately recorded and reported its State property. (Finding Code 09-1)

## **SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES**

### **SUMMARY**

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

- Fiscal Schedules and Analysis:

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

- Analysis of Operations:

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

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

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
Appropriations for Fiscal Year 2011

Fourteen Months Ended August 31, 2011

| P.A. 96-0956, 96-0957<br>FISCAL YEAR 2011 | Appropriations<br>(Net After<br>Transfers) | Expenditures<br>Through 6/30/11 | Approximate<br>Lapse Period<br>Expenditures<br>7/01 - 8/31/11 | Approximate<br>Total<br>Expenditures | Approximate<br>Balances<br>Lapsed |
|---|--|---------------------------------|---|--------------------------------------|-----------------------------------|
| <b>General Revenue Fund - 001</b>         |  |                                 |   |                                      |                                   |
| Personal Services                         | \$ -                                       | \$ -                            | \$ -  | \$ -                                 | \$ -                              |
| State Contributions to Social Security    | -  | -                               | -   | -                                    | -                                 |
| Lump Sum: Operational Expenses            | <u>1,669,500</u>                           | <u>472,457</u>                  | <u>627,889</u>  | <u>1,100,346</u>                     | <u>569,154</u>                    |
| <b>Total General Revenue Fund</b>         | <u>\$ 1,669,500</u>                        | <u>\$ 472,457</u>               | <u>\$ 627,889</u>   | <u>\$ 1,100,346</u>                  | <u>\$ 569,154</u>                 |
| <b>Capital Development Fund - 141</b>     |  |                                 |   |                                      |                                   |
| Capitol Upgrades and Improvements         | \$ 2,296,235                               | \$ 772,087                      | \$ -  | \$ 772,087                           | \$ 1,524,148                      |
| State Capitol Rehabilitation - 20         | 548,180                                    | -                               | -   | -                                    | 548,180                           |
| State Capitol Rehabilitation - 21         | <u>3,883</u>                               | <u>-</u>                        | <u>-</u>  | <u>-</u>                             | <u>3,883</u>                      |
| <b>Total Capital Development Fund</b>     | <u>\$ 2,848,298</u>                        | <u>\$ 772,087</u>               | <u>\$ -</u>   | <u>\$ 772,087</u>                    | <u>\$ 2,076,211</u>               |
| <b>Grand Total - All Funds</b>            | <u>\$ 4,517,798</u>                        | <u>\$ 1,244,544</u>             | <u>\$ 627,889</u>   | <u>\$ 1,872,433</u>                  | <u>\$ 2,645,365</u>               |

Note 1: Appropriations, expenditures, and lapsed balances were obtained from State Comptroller records and have been reconciled to the Agency's records.

Note 2: Expenditure amounts are vouchers approved for payment by the Agency and submitted to the State Comptroller for payment to the vendor.

Note 3: Approximate lapse period expenditures do not include interest payments approved for payment by the Agency and submitted to the Comptroller for payment after August.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
Appropriations for Fiscal Year 2010

Fourteen Months Ended August 31, 2010

| P.A. 96-0035, 96-0039, 96-0042<br>FISCAL YEAR 2010 | Appropriations           |                                 | Lapse Period                 |                       | Balances<br>Lapsed  |
|--|--------------------------|---------------------------------|------------------------------|-----------------------|---------------------|
|  | (Net After<br>Transfers) | Expenditures<br>Through 6/30/10 | Expenditures<br>7/01-8/31/10 | Total<br>Expenditures |                     |
| <b>General Revenue Fund - 001</b>                  |                          |                                 |                              |                       |                     |
| Personal Services                                  | \$ 345,000               | \$ 301,295                      | \$ -                         | \$ 301,295            | \$ 43,705           |
| State Contributions to Social Security             | 33,800                   | 22,462                          | -                            | 22,462                | 11,338              |
| Lump Sum: Operational Expenses                     | 1,110,700                | 86,139                          | 839,860                      | 925,999               | 184,701             |
| <b>Total General Revenue Fund</b>                  | <b>\$ 1,489,500</b>      | <b>\$ 409,896</b>               | <b>\$ 839,860</b>            | <b>\$ 1,249,756</b>   | <b>\$ 239,744</b>   |
| <b>Capital Development Fund - 141</b>              |                          |                                 |                              |                       |                     |
| Capitol Upgrades and Improvements                  | \$ 2,000,000             | \$ -                            | \$ -                         | \$ -                  | \$ 2,000,000        |
| State Capitol Rehabilitation - 20                  | 548,180                  | -                               | -                            | -                     | 548,180             |
| State Capitol Rehabilitation - 21                  | 3,883                    | -                               | -                            | -                     | 3,883               |
| <b>Total Capital Development Fund</b>              | <b>\$ 2,552,063</b>      | <b>\$ -</b>                     | <b>\$ -</b>                  | <b>\$ -</b>           | <b>\$ 2,552,063</b> |
| <b>Grand Total - All Funds</b>                     | <b>\$ 4,041,563</b>      | <b>\$ 409,896</b>               | <b>\$ 839,860</b>            | <b>\$ 1,249,756</b>   | <b>\$ 2,791,807</b> |

Note 1: Appropriations, expenditures, and lapsed balances were obtained from State Comptroller records and have been reconciled to the Agency's records.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30,

|  | <b>Fiscal Year</b> |              |              |
|--|--------------------|--------------|--------------|
|  | <u>2011</u>        | <u>2010</u>  | <u>2009</u>  |
|  |                    | P.A. 96-0035 |              |
|  | P.A. 96-0956       | P.A. 96-0039 |              |
|  | P.A. 96-0957       | P.A. 96-0042 | P.A. 95-0731 |
| <hr/>                                  |                    |              |              |
| <b>General Revenue Fund - 001</b>      |                    |              |              |
| Appropriations (Net of Transfers)      | \$ 1,669,500       | \$ 1,489,500 | \$ 1,546,695 |
| <hr/>                                  |                    |              |              |
| <u>Expenditures</u>                    |                    |              |              |
| Personal Services                      | \$ -               | \$ 301,295   | \$ 193,506   |
| Employee Retirement                    |                    |              |              |
| Contributions Paid by Employer         | -                  | -            | 7,749        |
| State Contribution to State            |                    |              |              |
| Employees' Retirement System           | -                  | -            | 40,776       |
| State Contributions to Social Security | -                  | 22,462       | 14,456       |
| Contractual Services                   | -                  | -            | 878,991      |
| Travel                                 | -                  | -            | 453          |
| Commodities                            | -                  | -            | 1,324        |
| Printing                               | -                  | -            | 9,032        |
| Equipment                              | -                  | -            | 2,095        |
| Electronic Data Processing             | -                  | -            | 7,817        |
| Telecommunications                     | -                  | -            | 5,101        |
| Lump Sum: Operating Expenses           | 1,100,346          | 925,999      | -            |
|  | <hr/>              |              |              |
| Total Expenditures                     | \$ 1,100,346       | \$ 1,249,756 | \$ 1,161,300 |
| <hr/>                                  |                    |              |              |
| Lapsed Balances                        | \$ 569,154         | \$ 239,744   | \$ 385,395   |
| <hr/>                                  |                    |              |              |
| <b>Capital Development Fund - 141</b>  |                    |              |              |
| Appropriations (Net of Transfers)      | \$ 2,848,298       | \$ 2,552,063 | \$ 557,524   |
| <hr/>                                  |                    |              |              |
| <u>Expenditures</u>                    |                    |              |              |
| Capitol Improvements and Upgrades      | \$ 772,087         | \$ -         | \$ -         |
| State Capitol Rehabilitation - 20      | -                  | -            | 5,462        |
| State Capitol Rehabilitation - 21      | -                  | -            | -            |
|  | <hr/>              |              |              |
| Total Expenditures                     | \$ 772,087         | \$ -         | \$ 5,462     |
| <hr/>                                  |                    |              |              |
| Balances Reappropriated July 1         | \$ -               | \$ -         | \$ 552,062   |
| <hr/>                                  |                    |              |              |
| Lapsed Balances                        | \$ 2,076,211       | \$ 2,552,063 | \$ -         |
| <hr/>                                  |                    |              |              |

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30,

|                                   | <b>Fiscal Year</b>  |                     |                   |
|-----------------------------------|---------------------|---------------------|-------------------|
|                                   | <u>2011</u>         | <u>2010</u>         | <u>2009</u>       |
|                                   |                     | P.A. 96-0035        |                   |
|                                   | P.A. 96-0956        | P.A. 96-0039        |                   |
|                                   | P.A. 96-0957        | P.A. 96-0042        | P.A. 95-0731      |
| <hr/>                             |                     |                     |                   |
| <b>GRAND TOTAL - ALL FUNDS</b>    |                     |                     |                   |
| Appropriations (Net of Transfers) | \$ 4,517,798        | \$ 4,041,563        | \$ 2,104,219      |
| Total Expenditures                | \$ 1,872,433        | \$ 1,249,756        | \$ 1,166,762      |
| Balances Reappropriated July 1    | \$ -                | \$ -                | \$ 552,062        |
| Lapsed Balances                   | <u>\$ 2,645,365</u> | <u>\$ 2,791,807</u> | <u>\$ 385,395</u> |

Note 1: Fiscal Year 2011 expenditures and related lapsed balances do not reflect any interest payments approved for payment by the Agency and submitted to the Comptroller for payment after August.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
For the Two Years Ended June 30, 2011

|                          | Equipment  |
|--------------------------|------------|
| Balance at July 1, 2009  | \$ 139,720 |
| Additions                | 1,341      |
| Deletions                | (165)      |
| Net Transfers            | -          |
| Balance at June 30, 2010 | \$ 140,896 |
| Balance at July 1, 2010  | \$ 140,896 |
| Additions                | 12,831     |
| Deletions                | (147)      |
| Net Transfers            | -          |
| Balance at June 30, 2011 | \$ 153,580 |

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

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES**  
For the Two Years Ended June 30, 2011

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2011 AND 2010**

**General Revenue Fund (001)**

Personal Services and State Contributions to Social Security

The decrease in personal services and State contributions was due to the Office receiving a lump sum appropriation for all General Revenue Fund expenditures in FY11.

**Capitol Development Fund (141)**

Capitol Upgrade and Improvements

The increase was due to expenditures related to the phase II upgrade of the State Capitol Building's west wing HVAC system.

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2010 AND 2009**

**General Revenue Fund (001)**

Personal Services and State Contributions to Social Security

The increase in personal service expenditures and State contributions were due to the hiring of the new Architect in November 2009.

Contractual Services, State Contributions to SERS, and other line items

The decrease was due to the Office receiving a lump sum appropriation in FY10 for all items except personal services and State contributions to Social Security.

Lump Sums – Operating Expenses

The increase was due to the Office receiving a lump sum appropriation in FY10 for the majority of its line item expenditures.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING**  
For the Two Years Ended June 30, 2011

**FISCAL YEAR 2011**

**General Revenue Fund (001)**

Lump Sum: Operational Expenses

Lump sum lapse expenditures, totaling \$627,889, primarily consisted of payments for the replacement of the air handling unit on the State Capitol building and payments made for work completed on the ongoing State Capitol HVAC upgrade project. These projects were completed late in the fiscal year and billed and paid during the lapse period.

**FISCAL YEAR 2010**

**General Revenue Fund (001)**

Lump Sum: Operational Expenses

Lump sum lapse expenditures, totaling \$839,860, were primarily due to payments for restoration of decorative paint finishes and marble and granite cleaning around the State Capitol Building, and a comprehensive assessment of security measures in the Capitol Complex. These projects were completed late in the fiscal year and billed and paid during the lapse period.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**ANALYSIS OF OPERATIONS**  
For the Two Years Ended June 30, 2011

**FUNCTIONS AND PLANNING PROGRAM**

The Office of the Architect of the Capitol (Office) was established by Public Act 93-0632 as the successor agency to the Legislative Space Needs Commission (LSNC), effective February 1, 2004.

The Office is mandated by statute:

- To prepare and implement a long-range master plan of development for the State Capitol Building and the remaining portions of the legislative complex that addresses the improvement, construction, historic preserving, restoration, maintenance, repair and landscaping needs of the State Capitol Building and remaining portions of the legislative complex;
- To review, approve and monitor contracts for construction, preservation, restoration, maintenance, repair and landscaping work in the legislative complex, and all other activities that alter the historic integrity of the legislative complex;
- To make space allocations in facilities provided for use of the General Assembly and its related agencies.
- To maintain an inventory and registry of all historic items in the legislative complex;
- To acquire land in the City of Springfield, within the area bounded by Washington, Third, Cook, and Pasfield Streets for the purpose of providing space for operation and expansion of the legislative complex or other State facilities; and
- To annually report to the Board of the Office of the Architect of the Capitol, the Capitol Historic Preservation Board, and the appointing authorities of the Capitol Historic Preservation Board.

The Office is subject to the Legislative Commission Reorganization Act of 1984 (Act) (25 ILCS 130/1-1 et seq.). The Joint Committee on Legislative Support Services is responsible for establishing general policy and coordinating activities among the legislative support services agencies, including the Office.

The Board of the Office of the Architect of the Capitol (Board) is composed of the Secretary of the Senate, Assistant Secretary of the Senate, Clerk of the House of Representatives and Assistant Clerk of the House of Representatives. The Secretary and Clerk of the House are the Co-Chairs of the Board. The Board members do not receive any compensation and their term length is indefinite.

The Capitol Historic Preservation Board was established to serve as an advisory body to the Office. As of the end of the examination fieldwork, nine of the ten members have been appointed while one position remains vacant. The Capitol Historic Preservation Board held no meetings in FY10 or FY11.



STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**AVERAGE NUMBER OF EMPLOYEES**  
For the Years Ended June 30,

AVERAGE NUMBER OF EMPLOYEES

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

| <u>Position</u>                         | <u>2011</u> | <u>2010</u> | <u>2009</u> |
|---|-------------|-------------|-------------|
| Architect of the Capitol                | 1           | 1           | 0           |
| Acting Executive Director               | 0           | 0           | 1           |
| Senior Project Manager                  | 1           | 1           | 1           |
| Administrative Assistant/Fiscal Officer | 1           | 1           | 1           |
| Total average full-time employees       | <u>3</u>    | <u>3</u>    | <u>3</u>    |

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**SERVICE EFFORTS AND ACCOMPLISHMENTS (Not Examined)**  
For the Two Years Ended June 30, 2011

The Office of the Architect of the Capitol (Office) continues to oversee the improvements, construction, historical preservation, restoration, maintenance, repairs and landscaping for the Capitol Complex. The Office of the Architect of the Capitol reported the following accomplishments during the examination period:

**FY10**

During FY10, the following projects were completed or continued:

- Capitol HVAC Upgrade efforts were continued by adding additional services to replace antiquated and inefficient plumbing and electrical systems as well as architectural restorations and improvements to many public areas of the building.
- Restoration of decorative paint finishes in the South Wing of the second floor and the second floor elevator vestibules in the Capitol Building to restore interior finishes throughout the Capitol to their historically documented detailing and colors.
- Restoration of decorative hinges throughout the Capitol Building.
- The Statues on the first and second floor in the rotunda and eight statues in the rotunda drum were hand cleaned.
- Design efforts to improve and provide long term wear solutions to the northeast exterior emergency egress stairs, and new doors were designed to fit in the current egress door opening.
- North and South fountains in the East lawn were painted to protect existing finishes. Fountain maintenance was also continued to remove leaves and other foreign debris at both fountains.
- Stone floors and walls on the first, second, and third floor public areas of the Capitol Building were stripped, honed, and polished.
- A security assessment and vulnerability study was completed on the Capitol Complex. The report addressed: improving the safety and security of the Capitol Complex's people, operations and assets; ensuring the ability of the public to access functions of the government openly and easily; controlling security-related costs in a sustainable manner without increasing risk and; enhancing the overall security posture to create a best practices model.
- The Office of the Architect worked with a structural engineer and several contractors in order to strengthen the framed opening for the House and the Senate door chambers.

STATE OF ILLINOIS  
OFFICE OF THE ARCHITECT OF THE CAPITOL  
**SERVICE EFFORTS AND ACCOMPLISHMENTS (Not Examined)**  
For the Two Years Ended June 30, 2011

**FY11**

The Office completed several projects during FY11, including:

- Engineering design services to develop construction documents of work needed for the renovation of the replacement of Air Handling Unit (AHU) Number 11.
- Installation of a new AHU and humidifier in the east attic of the State Capitol Building.
- Repair and maintenance of the avian waste, failing wall finish and insulation from the north porch attic and reinstallation of the insulation and wall finish in the State Capitol Building.
- Asbestos abatement services in the east attic of the State Capitol Building associated with a new HVAC unit.
- Engineering design services of the South Parking Lot and North Drive to the Capitol Building to gather information regarding allowable changes.
- Design services for electric, data and communication upgrade on first floor, north/south corridor and rotunda (center area) of the State Capitol Building.
- Design services for southeast exterior exit stairway and exit door improvements at the State Capitol Building.
- Design services of an OSHA approved exterior support system for the Capitol Building to be used by window washers and general maintenance crews.
- Restoration of hinges (large and small) and window pulley sets throughout the State Capitol Building. This will be an ongoing project as hinges need replaced.