

State of Illinois  
Guardianship and Advocacy Commission

COMPLIANCE EXAMINATION

For The Two Years Ended June 30, 2011

Performed as Special Assistant Auditors  
for the Auditor General, State of Illinois

Kyle E. McGinnis  
Certified Public Accountant  
200 East Pine  
Springfield, Illinois 62704

**STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2011**

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AGENCY OFFICIALS

GUARDIANSHIP AND ADVOCACY COMMISSION

Executive Director	Dr. Mary L. Milano
General Counsel	Mr. John Wank
Division Directors:	
Office of the State Guardian	Ms. Helen Godlewski Brownfield
Human Rights Authority	Ms. Teresa Parks
Legal Advocacy Service	Ms. Veronique Baker
Director of Fiscal Operations	Ms. Carol Tipsord (07/01/09-04/30/11)
	Ms. Gloria Lasley (07/12/11-present)

Commission Members

As of June 30, 2011, the Commission was comprised of:

Anthony E. Rothert, Chairman	Honorable Don Harmon, State Senator
Andrea M. Schleifer, Vice-Chairman	Honorable Angel Saviano, State Representative
Barbara Berry-Bailey	Honorable Ira Silverstein, State Senator
Dr. Seymour Bryson	Inez Torres Davis
Dr. Sharon Jenkins-Collins	

Director and Regional Offices

Satellite Offices

Office of the Director 521 Stratton Building 401 South Spring Street Springfield, IL 62706	North Suburban Reg. Office 9511 Harrison Street, W-300 Des Plaines, IL 60016-1565	Read Mental Health Center 4200 North Oak Park Ave. Building K, Room 36 Chicago, IL 60634-1417
Office of the Director 160 N. LaSalle, Suite S-500 Chicago, IL 60601-3115	Peoria Regional Office 401 Main Street, Suite 620 Peoria, IL 61602	Elgin Mental Health Center 750 S. State Street Elgin, IL 60123
East Central Regional Office 2125 South First Street Champaign, IL 61820	West Suburban Reg. Office P.O. Box 7009 Hines, IL 60141-7009	Jacksonville Dev. Center 1201 S. Main Jacksonville, IL 62650-3339
Egyptian Regional Office #7 Cottage Drive Anna, IL 62906-1669	Rockford Reg. Office 4302 North Main St. Suite 108 Rockford, IL 61103-5202	Tinley Park Mental Health Center 7400 West 183 <sup>rd</sup> Street Tinley Park, IL 60477
Metro East Regional Office 4500 College Ave, Suite 100 Alton, IL 62002-5051		



MANAGEMENT ASSERTION LETTER

Kyle E. McGinnis, CPA  
200 East Pine  
Springfield, Illinois 62704

February 10, 2012

Ladies and Gentlemen:

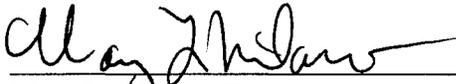
We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the Agency. We are responsible for and we have established and maintained an effective system of, internal controls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

- A. The agency 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 agency 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 agency has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the agency are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the agency on behalf of the State or held in trust by the agency have been properly and legally administered, and the accounting and recordkeeping relating thereto is proper, accurate and in accordance with law.



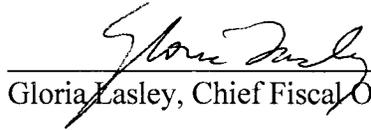
Yours very truly,

Illinois Guardianship and Advocacy Commission



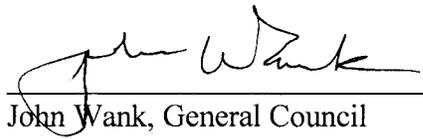
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Mary L. Milano, Director



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Gloria Lasley, Chief Fiscal Officer



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John Wank, General Council

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**COMPLIANCE EXAMINATION**  
 For the Two Years Ended June 30, 2011

**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' REPORT**

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 Report</u>	<u>Prior Report</u>
Findings	4	2
Repeated findings	2	1
Prior recommendations implemented or not repeated	0	5

**SCHEDULE OF FINDINGS**

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)			
11-01	9	Inadequate controls over employee attendance records	Noncompliance and Significant Deficiency
11-02	11	Commission not staffed as required	Noncompliance
11-03	12	Employee performance evaluation not completed timely	Noncompliance and Significant Deficiency
11-04	13	Bank reconciliations not performed	Noncompliance and Significant Deficiency

## **PRIOR FINDINGS NOT REPEATED**

None

### **EXIT CONFERENCE**

The findings and recommendations appearing in this report were discussed with Commission personnel at an exit conference on February 1, 2012. Attending were as follows:

- Mary Milano, Commission Executive Director;
- John Wank, Commission General Counsel;
- Gloria Lasley, Director of Fiscal Operations;
- Ann Fulkerson, Commission Information Technology Manager;
- Jeff Derrick, Fiduciary Operations;
- Bobby Fox, Director of Human Resources;
- Connie Umbles-Sailers, Assistant to the Director;
- Meredith Dean, Office of the Auditor General Audit Manager;
- Kyle E. McGinnis, Kyle E. McGinnis, CPA Principal; and
- Shelley A. Bussen, Kyle E. McGinnis, CPA Audit Manager

Responses to the recommendations were provided by Gloria Lasley in correspondence dated February 4, 2012.

**KYLE E. McGINNIS**

Certified Public Accountant

**MEMBER OF:**

**AMERICAN INSTITUTE OF CERTIFIED PUBLIC ACCOUNTANTS**

**ILLINOIS SOCIETY OF CERTIFIED PUBLIC ACCOUNTANTS**

**200 EAST PINE \* SPRINGFIELD, ILLINOIS 62704**

**TELEPHONE: (217) 753-3377 FAX: (217) 753-8922**

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**

As Special Assistant Auditors for the Auditor General, we have examined the Illinois Guardianship and Advocacy Commission's 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 Illinois Guardianship and Advocacy Commission is responsible for compliance with these requirements. Our responsibility is to express an opinion on the Illinois Guardianship and Advocacy Commission's compliance based on our examination.

- A. The Illinois Guardianship and Advocacy Commission 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 Illinois Guardianship and Advocacy Commission 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 Illinois Guardianship and Advocacy Commission has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the Illinois Guardianship and Advocacy Commission are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the Illinois Guardianship and Advocacy Commission on behalf of the State or held in trust by the Illinois Guardianship and Advocacy Commission have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

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 Illinois Guardianship and Advocacy Commission'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 Illinois Guardianship and Advocacy Commission's compliance with specified requirements.

In our opinion, the Illinois Guardianship and Advocacy Commission 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 instances of noncompliance with the requirements, which are required to be reported in accordance with criteria established by the Audit Guide, issued by the Illinois Office of the Auditor General and which are described in the accompanying schedule of findings as items 11-01 through 11-04.

### **Internal Control**

Management of the Illinois Guardianship and Advocacy Commission 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 Illinois Guardianship and Advocacy Commission'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 Illinois Guardianship and Advocacy Commission'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 significant deficiencies as described in the accompanying schedule of findings as items 11-01, 11-03 and 11-04. *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.

Additionally, the results of our procedures disclosed other matters involving internal control over compliance, which are required to be reported in accordance with criteria established by the Audit Guide issued by the Illinois Office of the Auditor General and which are described in the accompanying schedule of findings as item 11-02.

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

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

### **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 2011 and 2010 Supplementary Information for State Compliance Purposes, except for 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, agency management, (include those charged with governance such as the governing board if applicable) and federal awarding agencies and pass through entities and is not intended to be and should not be used by anyone other than these specified parties.

  
Kyle E. McGinnis, CPA  
Springfield, Illinois

February 10, 2012

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2011

11-01 **FINDING** (Inadequate controls over employee attendance records)

The Guardianship and Advocacy Commission (Commission) did not exercise adequate controls over employee attendance records to ensure employees' benefit time was timely and properly recorded.

The Commission's Policies and Procedures Manual (Procedure 3.300) requires employees to document daily their hours worked and/or benefit time taken on the Pay Period Time Report (PPTR). After the PPTRs are approved by the employees' supervisors, the timekeepers enter employee leave time into the Central Time and Attendance System (CTAS).

During our testing of 11 employees' attendance records for six months during the examination period, we noted the following:

Six of 11 (55%) employees' timekeeping records did not agree when comparing the certified PPTR to the CTAS. We noted 8 discrepancies totaling 46 hours when comparing the PPTR and CTAS reports for the months tested. In addition during our review of the PPTR quarterly reports, 4 of 11 (36%) employees' accrued benefit balances did not agree to the corresponding CTAS balance. We noted 22 instances where leave time totaling 173 hours was not entered on the CTAS report timely. Adjustments were made to correct the CTAS balance; however, those adjustments were made from 13 to 413 days after the leave time was taken.

The Illinois Administrative Code (80 Ill. Adm. Code 303.340) implemented and authorized by the Personnel Code (20 ILCS 415/1 *et seq.*) states each operating agency shall maintain accurate, daily attendance records. In addition, good business practices require proper internal controls, such as reconciliation between time sheets and the Central Time and Attendance System, be performed to ensure the accuracy and reliability of data.

Commission management stated the problems were from lack of administrative staff dedicated to this task. Due to time constraints and workload, timekeepers have not consistently verified that all PPTRs (pay period time reports) are entered into the CTAS system on a timely basis.

Inadequate controls over timekeeping procedures could increase the risk of benefit time being used and not recorded. In addition, failure to maintain accurate attendance records increases the risk of the Commission paying for services not rendered by employees.

In addition, during the prior examination period, the Commission's timesheets did not document the number of hours worked each day on official State business to the nearest quarter hour.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2011

Further, employees did not have prior approval for using accrued compensatory time as required.

During the current examination period, the Commission implemented new procedures that require employees to certify the number of hours worked each day on official State business to the nearest quarter hour and we did not note any instances of employees failing to obtain prior approval for the use of compensatory time during our sample testing. (Finding Code No. 11-01, 09-01, 07-01)

**RECOMMENDATION**

We recommend the Commission implement procedures to ensure accurate and timely entry of employee work hours and benefit time. We further recommend that the Commission ensures its PPTR and CTAS systems are accurate and reconcile.

**COMMISSION RESPONSE**

Commission agrees with the finding. The agency will implement procedures to require timekeepers to verify that all PPTRs are received in a timely fashion and entered into CTAS on time.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2011

11-02 **FINDING** (Commission not staffed as required)

The Guardianship and Advocacy Commission (Commission) did not consist of the 11 members as required by Guardianship and Advocacy Act (Act).

During the examination period, the Commission operated with only 9 members. Each member was appointed by the Governor for three-year terms during FY10 and FY11.

The Act (20 ILCS 3955/4) requires the Commission to consist of 11 members appointed by the Governor. Members of the Commission serve for a term ending on June 30 and until his or her successor is appointed and qualified.

Commission management stated that they have submitted numerous candidates to the Governor's office and to Boards and Commissions. The agency has corresponded regularly in writing and by telephone to request appointments be made, but the timing of the appointments is not under their control.

Failure of the Commission to be comprised of 11 active members is noncompliance with a statutory mandate. (Finding code No. 11-02, 09-02)

**RECOMMENDATION**

We recommend the Commission work with the Governor's Office to fill the vacancies.

**COMMISSION RESPONSE**

Commission agrees with the finding. Commission will continue to find, vet and submit qualified candidates to the Governor's office as it is a priority for the continued operation of the agency to have a fully staffed Commission.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2011

11-03. **FINDING** (Employee performance evaluations not completed timely)

The Guardianship and Advocacy Commission (Commission) did not conduct employee performance evaluations timely.

During testing of personnel files, we noted 37 of 48 (77%) employee personnel files did not contain timely performance evaluations. The employee performance evaluations were completed 2 to 539 days late.

The Illinois Administrative Code (80 Ill. Admin. Code 302.270(d)) requires that, for each certified employee, each agency shall prepare an employee performance evaluation not less often than annually. In addition, the Illinois Administrative Code (80 Ill. Admin. Code 310.450(c)) requires that evaluations be completed prior to when annual merit increases are awarded. Further, the Illinois Administrative Code (80 Ill. Admin. Code 302.270 (b)) requires the Commission to prepare two evaluations for employees serving a six-month probationary period, one at the end of the third month and one fifteen days before the conclusion of the employee's six-month probationary period.

Commission management stated that staff shortages have required supervisors and management to spend more time on operational functions and mandated ward visits. As a result, performance evaluations were often late.

Performance evaluations are a systematic and uniform approach used for the development of employees and communication of performance expectations to employees. Performance evaluations should serve as a foundation for salary adjustments, promotions, demotions, discharge, layoff, recall and reinstatement decisions. (Finding Code No. 11-03)

**RECOMMENDATION**

We recommend the Commission comply with the Illinois Administrative Code and take appropriate measures to ensure performance evaluations are conducted annually and in a timely manner.

**COMMISSION RESPONSE**

Commission agrees with the finding. Commission management will strive to complete evaluations in a more timely manner.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2011

11-04. **FINDING** (Bank reconciliations not performed)

The Guardianship and Advocacy Commission (Commission) did not prepare bank reconciliations for all months during the audit period.

The Commission was unable to provide documentation that 22 of 24 (92%) of the bank reconciliations were performed. We noted there were no bank reconciliations performed after August 31, 2009.

A good system of internal controls requires that the Commission books and records be reconciled to bank statements monthly.

Commission personnel stated reconciliations were not adequately performed or documented due to oversight. Commission personnel indicated they were under the impression that a previous Commission employee was performing back reconciliations on a timely basis; however, reconciliations from that period of time could not be located. Commission personnel also believe that when that person left employment with the Commission, the responsibility for performing reconciliations was not properly reassigned due to staff shortages.

A lack of timely and accurate bank reconciliations increases the likelihood that an improper expenditure or misappropriation of funds could occur and would not be found in the normal course of business. The auditors did not detect any loss of funds in their sample testing. (Finding Code No. 11-04)

**RECOMMENDATION**

We recommend the Commission prepare monthly bank reconciliations and take greater care to ensure they are prepared timely.

**COMMISSION RESPONSE**

Commission agrees with the finding. Commission hired a new CFO in July of 2011 who is in the process of completing all bank reconciliations not completed during examination period. Reconciliations for current fiscal year and future will be completed in a timely fashion. GAC is striving to fill at least one vacancy in the fiscal area so that the agency will not be as vulnerable during periods of turnover as has been the case in the previous 2 years. In addition, the agency will be looking into the options for upgrading the software to a product that includes reconciliation functionality that will make the process more manageable.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**PRIOR FINDINGS NOT REPEATED (STATE COMPLIANCE)**  
For the Two Years Ended June 30, 2011

None.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**COMPLIANCE EXAMINATION**  
For the Two Years Ended June 30, 2011

**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
- Comparative Schedule of Receipts, Disbursements and Fund Balance (Cash Basis) – Locally Held Funds
- Schedule of Changes in State Property
- Comparative Schedule of Cash Receipts
- Reconciliation Schedule of Cash Receipts to Deposits Remitted to the State Comptroller
- Analysis of Significant Variations in Expenditures
- Analysis of Significant Variations in Receipts
- Analysis of Significant Lapse Period Spending
- Analysis of Accounts Receivable

- 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 Annual Cost Statistics and 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  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2011

P.A. 96-0956 Fiscal Year 2011	Appropriations (Net of Transfers)	Expenditures Through June 30	Approximate Lapse Period Expenditures July 1 to August 31	Approximate Total Expenditures 14 Months Ended August 31	Approximate Balances Lapsed August 31
<b>General Revenue Fund - 001</b>					
Operational Expenses	\$ 8,429,600	\$ 8,137,897	\$ 180,896	\$ 8,318,793	\$ 110,807
Governors Discretionary Appropriation	1,200,000	340,089	340,926	681,015	518,985
Subtotal Fund - 001	<u>\$ 9,629,600</u>	<u>\$ 8,477,986</u>	<u>\$ 521,822</u>	<u>\$ 8,999,808</u>	<u>\$ 629,792</u>
<b>Guardianship and Advocacy Fund - 297</b>					
Services pursuant to Section 5 of Guardianship and Advocacy Act	\$ 187,700	\$ 26,465	\$ 5,281	\$ 31,746	\$ 155,954
Subtotal Fund - 297	<u>\$ 187,700</u>	<u>\$ 26,465</u>	<u>\$ 5,281</u>	<u>\$ 31,746</u>	<u>\$ 155,954</u>
Total - All Funds	<u>\$ 9,817,300</u>	<u>\$ 8,504,451</u>	<u>\$ 527,103</u>	<u>\$ 9,031,554</u>	<u>\$ 785,746</u>

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

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

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
 For the Fiscal Year Ended June 30, 2010

P.A. 96-0042 Fiscal Year 2010	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>General Revenue Fund - 001</b>					
Personal Services - Non-Bargaining Unit Employee	\$ 1,152,534	\$ 1,010,375	\$ 42,849	\$ 1,053,224	\$ 99,310
Personal Services - Bargaining Unit Employee	6,237,616	6,090,270	147,335	6,237,605	11
State Contributions to Social Security - Non-Bargaining Unit Employee	100,700	71,974	3,078	75,052	25,648
State Contributions to Social Security - Bargaining Unit Employee	464,450	451,503	10,912	462,415	2,035
Operational Expenses	918,000	687,388	229,211	916,599	1,401
Subtotal Fund - 001	<u>\$ 8,873,300</u>	<u>\$ 8,311,510</u>	<u>\$ 433,385</u>	<u>\$ 8,744,895</u>	<u>\$ 128,405</u>
<b>Guardianship and Advocacy Fund - 297</b>					
Services pursuant to Section 5 of Guardianship and Advocacy Act	\$ 187,700	\$ 65,772	\$ 13,755	\$ 79,527	\$ 108,173
Subtotal Fund - 297	<u>\$ 187,700</u>	<u>\$ 65,772</u>	<u>\$ 13,755</u>	<u>\$ 79,527</u>	<u>\$ 108,173</u>
Total - All Funds	<u>\$ 9,061,000</u>	<u>\$ 8,377,282</u>	<u>\$ 447,140</u>	<u>\$ 8,824,422</u>	<u>\$ 236,578</u>

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

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED  
 BALANCES**

For the Fiscal Years Ended June 30,

	2011	Fiscal Year 2010	2009
	P.A. 96-0956	P.A. 96-0042	P.A. 95-0731
<b>General Revenue Fund - 001</b>			
Governor's Discretionary			
Appropriations (Net of Transfers)	\$ 9,629,600	\$ 8,873,300	\$ 10,552,000
<b>Expenditures</b>			
Personal Services	\$ -	\$ -	\$ 6,911,526
State Contribution to			
State Employees' Retirement System	-	-	1,333,730
Pension Continuing Appropriation	-	-	122,913
State Contributions to Social Security	-	-	510,806
Personal Service for Bargaining Unit			
Employees	-	6,237,605	-
State Contributions to Social Security for			
Bargaining Unit Employees	-	462,415	-
Personal Services for Non-Bargaining			
Unit Employees	-	1,053,224	-
State Contributions to Social Security for			
Non-Bargaining Unit Employees	-	75,052	-
Operational Expenses	8,318,793	916,599	-
Governors Discretionary Appropriation	681,015	-	-
Contractual Services	-	-	341,359
Travel	-	-	176,963
Commodities	-	-	8,755
Printing	-	-	9,684
Equipment	-	-	32,439
Electronic Data Processing	-	-	54,469
Telecommunications Services	-	-	266,853
Operation of Automotive Equipment	-	-	13,057
Social Services Shared Services Center	-	-	134,860
Total Expenditures - Fund 001	\$ 8,999,808	\$ 8,744,895	\$ 9,917,414
Lapsed Balances	\$ 629,792	\$ 128,405	\$ 634,586

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED  
 BALANCES**

For the Fiscal Years Ended June 30,

	2011 <u>P.A. 96-0956</u>	Fiscal Year 2010 <u>P.A. 96-0042</u>	2009 <u>P.A. 95-0731</u>
<b>Guardianship and Advocacy Fund - 297</b>			
Appropriations (Net of Transfers)	\$ 187,700	\$ 187,700	\$ 187,700
Expenditures			
Services pursuant to Section 5 of Guardianship and Advocacy Act	\$ 31,746	\$ 79,527	\$ 23,658
Total Expenditures - Fund 297	<u>\$ 31,746</u>	<u>\$ 79,527</u>	<u>\$ 23,658</u>
Lapsed Balances	<u>\$ 155,954</u>	<u>\$ 108,173</u>	<u>\$ 164,042</u>
<b>Grand Total - All Appropriated Funds</b>			
Appropriations (Net of Transfers)	\$ 9,817,300	\$ 9,061,000	\$ 10,739,700
Total Expenditures	<u>\$ 9,031,554</u>	<u>\$ 8,824,422</u>	<u>\$ 9,941,072</u>
Lapsed Balances	<u>\$ 785,746</u>	<u>\$ 236,578</u>	<u>\$ 798,628</u>

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**COMPARATIVE SCHEDULE OF RECEIPTS, DISBURSEMENTS AND FUND  
 BALANCE (CASH BASIS) - LOCALLY HELD FUNDS**  
 For the Two Years Ended June 30, 2011

	Wards' Trust Fund 1162
Cash Balance at July 1, 2009	\$ 2,055,643
Receipts:	2,878,002
Disbursements:	3,487,899
Cash Balance at June 30, 2010	\$ 1,445,746
Cash Balance at July 1, 2010	\$ 1,445,746
Receipts:	3,177,409
Disbursements:	2,853,412
Cash Balance at June 30, 2011	\$ 1,769,743

Note: Amounts have been obtained from Reports of Receipts and Disbursements for Locally Held Funds prepared by the Commission and submitted to the Office of the Comptroller.

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
 For the Two Years Ended June 30, 2011

Beginning Balance, July 1, 2009	\$	829,891
Additions		50,636
Deletions		-
Net Transfers		<u>(105,855)</u>
Ending Balance, June 30, 2010	\$	<u><u>774,672</u></u>
Beginning Balance, July 1, 2010	\$	774,672
Additions		1,037
Deletions		-
Net Transfers		<u>(40,408)</u>
Ending Balance, June 30, 2011	\$	<u><u>735,301</u></u>

Note: This schedule was prepared from Agency Report of Fixed Assets Quarterly Reports submitted to the Office of the Comptroller and reconciled to the Commission's records.

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
 For the Fiscal Year Ended June 30,

	Fiscal Year		
	2011	2010	2009
<u>General Revenue Fund - 001</u>			
Jury Duty and Recoveries	\$ 216	\$ 134	\$ 716
Prior Year Refunds	-	-	-
 <u>Guardianship and Advocacy Fund - 297</u>			
Fee Assessments	\$ 72,225	\$ 67,720	\$ 71,925
Total Receipts - All Funds	<u>\$ 72,441</u>	<u>\$ 67,854</u>	<u>\$ 72,641</u>

**RECONCILIATION SCHEDULE OF CASH RECEIPTS TO DEPOSITS REMITTED  
 TO THE STATE COMPTROLLER**

For the Fiscal Year Ended June 30,

	Fiscal Year		
	2011	2010	2009
<u>General Revenue Fund - 001</u>			
Receipts per Commission Records	\$ 216	\$ 134	\$ 716
Add: Deposits in Transit, Beginning of Year	-	-	-
Less: Deposits in Transit, End of Year	-	-	-
Deposits Recorded by the Comptroller	<u>\$ 216</u>	<u>\$ 134</u>	<u>\$ 716</u>
 <u>Guardianship and Advocacy Fund - 297</u>			
Receipts per Commission Records	\$ 72,225	\$ 67,720	\$ 71,925
Add: Deposits in Transit, Beginning of Year	3,200	1,100	1,195
Less: Deposits in Transit, End of Year	-	3,200	1,100
Deposits Recorded by the Comptroller	<u>\$ 75,425</u>	<u>\$ 65,620</u>	<u>\$ 72,020</u>

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES  
BETWEEN FISCAL YEARS 2011 AND 2010**  
For the Two Years Ended June 30, 2011

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

**General Revenue Fund (001)**

Commodities

The decrease in commodities expenditures of \$3,678 was caused by the need to replenish low commodities supplies in fiscal year 2010.

Printing

The increase in printing expenditures of \$3,947 was due to the purchase of additional paper stock during fiscal year 2011.

Electronic Data Processing

The increase in electronic data processing expenditures of \$13,408 was caused by an increased need in this line item. The Commission purchased new computers and upgraded their software during fiscal year 2011.

**Guardianship and Advocacy Fund (297)**

Services Pursuant to Section 5 of the Guardianship and Advocacy Act

The decrease in fiscal year 2011 of \$47,781 was due to the Commission's ability to utilize its line item appropriations for the majority of operating expenses.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES  
BETWEEN FISCAL YEARS 2010 AND 2009**  
For the Two Years Ended June 30, 2011

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

**General Revenue Fund (001)**

State Employee Retirement

The state employee retirement expenditures decreased \$1,478,728 in fiscal year 2010. This decrease is the result of the elimination of the employee matching policy previously followed by the Commission.

Commodities

The increase in commodities expenditures of \$2,151 was caused by the need to replenish low commodities supplies in fiscal year 2010 to cover the imposed reserves by the Governor's Office of Management and Budget (GOMB)

Printing

The decrease in printing expenditures of \$7,038 was due to the purchase of additional paper stock late in fiscal year 2009, this stock of paper provided for the Commission during fiscal year 2010 as well. In addition the Commission printed annual reports in fiscal year 2009, but did not send out annual reports in fiscal year 2010.

Equipment

The decrease in equipment expenditures of \$30,196 was caused by the purchase of two vehicles made in fiscal year 2009 and a decreased need for equipment in fiscal year 2010.

Electronic Data Processing

The decrease in electronic data processing expenditures of \$20,217 was caused by an increased need in this line item during the previous fiscal year. The Commission purchased new computers during fiscal year 2009.

**Guardianship and Advocacy Fund (297)**

Services Pursuant to Section 5 of the Guardianship and Advocacy Act

The increase in fiscal year 2010 of \$55,869 was due to the Commission attending the National Guardianship Association Continuing Education Conference and payment of their recertification fees, which are paid every other fiscal year.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS**  
For the Two Years Ended June 30, 2011

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

There were no significant variations in receipts between fiscal year 2011 and fiscal year 2010.

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

There were no significant variations in receipts between fiscal year 2010 and fiscal year 2009.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING**  
For the Two Years Ended June 30, 2011

**Fiscal Year 2011**

**General Revenue Fund (001)**

Contractual Services

The Commission paid four months (March through June) of rental expense during the lapse period.

Printing

Copy paper and computer papers for several offices were purchased late in the fiscal year and the invoice was received and paid in the lapse period.

Equipment

The Commission purchased a desk chair late in the fiscal year and received the invoice during the lapse period.

Electronic Data Processing

The Commission purchased computer upgrades for three offices late in the fiscal year and received the invoice during the lapse period.

Telecommunications

The Commission made payments to the communications revolving fund during the lapse period for invoices incurred before the fiscal year end.

Operation of Automotive Equipment

The Commission paid for fuel purchases made in May and June during the lapse period.

Guardianship and Advocacy Fund (297)

Lump Sum and Other Purposes

The Commission paid interest to a vendor near the fiscal yearend, the payment was processed during the lapse period.

**Fiscal Year 2010**

**Guardianship and Advocacy Fund (297)**

Lump Sum and Other Purposes

The Commission paid interest to a vendor near the fiscal yearend, the payment was processed during the lapse period.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF ACCOUNTS RECEIVABLE**  
For the Two Years Ended June 30, 2011

**Guardianship and Advocacy Fund – 297**

The Commission had accounts receivable balances of \$1,650 and \$6,500 respectively at June 30, 2010 and June 30, 2011. These amounts represent receivables related to Guardianship and Advocacy Commission fee payments from the wards. All accounts receivable are considered current.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF OPERATIONS**  
For the Two Years Ended June 30, 2011

**Agency Functions and Planning Program**

Functions

The Guardianship and Advocacy Commission (Commission) was created in 1979 by enactment of the Guardianship and Advocacy Act (20 ILCS 3955/1 et seq.) to safeguard the rights of persons with disabilities. This Act mandated the Commission to establish three divisions:

1. Legal Advocacy Service – to provide legal consultation and representation to disabled people in a variety of settings: mental health facilities, residential programs, community placements and nursing homes.
2. Human Rights Authority – to investigate rights violations of disabled people residing in public or private facilities.
3. Office of State Guardian – handles the personal, financial, and legal affairs of developmentally disabled, mentally ill and elderly persons with disabilities.

The Commission is bi-partisan and is comprised of nine private citizens and two legislators appointed by the Governor and confirmed by the Illinois Senate for three-year terms. These Commissioners serve in a voluntary capacity to govern the agency and are chosen for a particular area of expertise.

The Commission meets at least quarterly to perform its mandated duties through the following functions:

- Establish policy guidelines for the operation of the Agency.
- Review actions taken by regional authorities.
- Establish rules and regulations for the conduct of work of the three divisions.
- Review and evaluate the operations of the divisions.
- Approve and evaluate the Agency Director.
- Approve the budget and an annual report on its operations for submission to the Governor and General Assembly.

Monthly statistical reports are prepared on the ACCESS case management software system to present to management and the Commission. In the fiscal area, a spreadsheet is updated monthly showing the current status of the budgetary line items.

The Director is mandated to organize and administer programs to provide the above services. The Commission's central office is located in Springfield and a general office is located in Chicago. The field offices are located in Champaign, Anna, Alton, Des Plaines, Peoria, Rockford and Hines.

STATE OF ILLINOIS  
GUARDIANSHIP AND ADVOCACY COMMISSION  
**ANALYSIS OF OPERATIONS**  
For the Two Years Ended June 30, 2011

Planning Program

The Commission has developed a plan that incorporates the areas of: programs, policy, public relations, human resources, technology and financial development. Outcomes have been developed in each of these areas. Indicators for each outcome further focus the work of the Commission and makes programs more measurable.

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**AVERAGE NUMBER OF EMPLOYEES**  
 For the Fiscal Years Ended June 30,

The following table, prepared from Agency records, presents the average number of employees, for the fiscal years ended June 30,

<u>Division</u>	<u>2011</u>	<u>2010</u>	<u>2009</u>
General Office/Clerical	13	15	16
Office of the State Guardian	74	77	75
Legal Advocacy Service	12	12	12
Human Rights Authority	10	9	9
Total average full-time employees	<u>109</u>	<u>113</u>	<u>112</u>

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**SERVICE EFFORTS AND ACCOMPLISHMENTS**  
**(NOT EXAMINED)**

For the Two Years Ended June 30, 2011

The Agency's management provided the following information consisting of statistical and programmatic data for the two years ended June 30, 2011.

Office of the State Guardian

The Office of the State Guardian (OSG) is statutorily mandated to serve as the guardian of last resort of adults with disabilities. The OSG is the appointed guardian by the courts when these adults are not able to make or communicate decisions concerning their welfare, care or estate. When a family member or friend is willing and able to serve as the guardian, the OSG is not appointed.

The OSG is required by law to procure and monitor services provided to its wards and to visit each ward a minimum of four times a year. Additional visits may be required to ensure the wards are not harmed or exploited. When named as the guardian of a person and/or estate, the OSG must inventory and manage the property, invest funds, pay bills and prepare tax returns.

Activity Measures

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Number of medical consents given in response to request from service providers	13,427	12,869	10,818
Number of total Illinois Guardianship and Advocacy Commission intakes	4,923	5,007	4,846
Number of inquiries specifically about guardianship	2,846	2,952	2,965
Number of pending guardianship cases	1,517	1,491	1,446
Number of care plans reviewed in response to service provider requests	6,407	6,736	5,570
Number of new temporary appointments-petitions filed by outside attorneys appointing the OSG	285	252	210
Number of new plenary appointments-petitions filed by outside attorneys appointing the OSG	407	365	298
Number of after hours on call consents, inquiries and referrals	12,005	8,386	7,518
Number of placement changes in response to ward needs	1,157	1,085	971

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
 SERVICE EFFORTS AND ACCOMPLISHMENTS  
 (NOT EXAMINED)

For the Two Years Ended June 30, 2011

Office of the State Guardian (continued)

Activity Measures (continued)

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Amount of IGAC fee collections (thousands)	\$ 72.0	\$ 68.0	\$ 71.9
Percentage of wards who are Medicaid recipients	98%	97%	97%
Number of visits to wards completed on a quarterly basis	18,030	18,114	17,284
Total number of wards served	4,927	4,863	4,861
Total number of clients served (guardianship intakes, pending cases and OSG wards)	9,290	9,306	9,272
Closed cases	439	420	451
Number of supplemental contacts with OSG wards	1,475	1,776	2,529
Number of contacts with wards' families	653	549	648
Number of fiduciary transactions performed on behalf of wards' estates	12,587	12,846	15,089
Total dollar amount of ward transactions (receipts and disbursements) (in thousands)	6,026	6,358	7,193
Percentage of staff who are certified as Registered Guardians through the National Guardianship Foundation	95%	95%	89%
Average caseload per worker	144	127	117

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**SERVICE EFFORTS AND ACCOMPLISHMENTS**  
**(NOT EXAMINED)**

For the Two Years Ended June 30, 2011

Office of the State Guardian (continued)

Customer Service Based Performance Measures

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Percentage of cases in which the OSG was appointed legal guardian	11%	12%	10%
Percentage of cases in which alternatives to OSG Guardianship were located	89%	88%	90%

Efficiency Indicators

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Cost per client served	\$ 808	\$ 787	\$ 890

Legal Advocacy Service

The Legal Advocacy Service (LAS) was created to provide a necessary due process component to the judicial system by protecting and enforcing the legal rights of individuals in mental health treatment proceedings and, where alternative legal counsel is unavailable, providing legal counsel and representation to individuals with disabilities to protect and enforce rights as guaranteed by related state, local and federal laws.

LAS clients include minors and adults, whether residing in their community or in treatment and/or habilitation facilities.

In general, LAS services can be divided into three categories; (1) responding to individual requests for information regarding legal rights of persons with disabilities; (2) investigating alleged violations of the mental health laws and providing advocacy assistance to remedy substantiated violations, and; (3) serving as legal counsel, in the trial and reviewing courts, in proceedings related to admission to, retention in, enforced treatment while admitted (psychotropic medication and/or electroconvulsive therapy) and release from public and private facilities.

The activities of the LAS are statutorily mandated by Illinois law. Litigation is pursued on the rare occasion when an appropriate remedy cannot be achieved by notification, education and negotiation. LAS staff also provide technical assistance to the Agency's HRA and OSG divisions and maintain a reviewing court decision outline on the Agency's homepage on the internet.

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**SERVICE EFFORTS AND ACCOMPLISHMENTS**  
**(NOT EXAMINED)**

For the Two Years Ended June 30, 2011

Legal Advocacy Service (continued)

Activity Measures

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Requests for information, referral, or assistance	1,697	1,620	2,127
Cases handled	5,292	5,286	8,666
Total Clients served	9,333	9,241	8,401

Customer Service Based Performance Measures

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Percentage of cases referred to higher courts	82%	86%	87%

Efficiency Indicators - Internal Process

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Average cost per client	\$ 97	\$ 95	\$ 118
Average cost per case handled	\$ 171	\$ 167	\$ 115

Efficiency Indicators - External Benchmarks

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Private sector cost for equivalent staff hours (in thousands)	\$ 4,680	\$ 3,510	\$ 3,510
Percentage that program costs the State when compared to private sector rates	19%	25%	28%

Human Rights Authority

The Human Rights Authority (HRA) investigates complaints of alleged rights violations committed by private and public providers that serve persons with disabilities. Regional authorities, staffed largely by volunteers appointed by the Commissioners, comprise the entire division.

STATE OF ILLINOIS  
 GUARDIANSHIP AND ADVOCACY COMMISSION  
**SERVICE EFFORTS AND ACCOMPLISHMENTS**  
**(NOT EXAMINED)**

For the Two Years Ended June 30, 2011

Human Rights Authority (continued)

The Authority's investigations offer a mechanism for non-adversarial negotiations with service providers when complaints can be substantiated. The HRA makes recommendations for corrective action. Recipients benefiting from investigations are those persons with disabilities affected by HRA recommendations that were adopted by service providers.

Activity Measures

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Number of information and referral inquiries	211	248	285
Number of HRA cases handled	327	337	338
Number of recommendations for improvement issued to service providers for substantiated findings	158	139	155
Number of recommendations accepted and implemented by service providers	134	136	146
Percentage of cases referred for enforcement action	2%	1%	1%
Number of persons with disabilities benefiting from HRA recommendations	32,932	15,925	13,370
Number of volunteer hours HRA members contribute to the HRA	28	5,368	2,950

Customer Service Based Performance Measures

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Percentage of recommendations accepted and implemented by service providers	85%	98%	94%

Efficiency Indicators - Internal Process

	<u>FY 2011</u>	<u>FY 2010</u>	<u>FY 2009</u>
Cost per recipient benefited	\$ 19	\$ 39	\$ 52
Cost per case handled	\$ 1,935	\$ 1,833	\$ 2,059