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STATE OF ILLINOIS

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OFFICE OF THE AUDITOR GENERAL

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MANAGEMENT AUDIT OF THE  
EXPENDITURES FROM THE  
GRADE CROSSING PROTECTION FUND

ILLINOIS COMMERCE COMMISSION  
ILLINOIS DEPARTMENT OF TRANSPORTATION

NOVEMBER 2003

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AUDITOR GENERAL

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*To the Legislative Audit Commission, the  
Speaker and Minority Leader of the House  
of Representatives, the President and  
Minority Leader of the Senate, the members  
of the General Assembly, and  
the Governor:*

This is our report of the Management Audit of the Expenditures from the Grade Crossing Protection Fund which is administered by the Illinois Commerce Commission but appropriated to the Illinois Department of Transportation.

The audit was conducted pursuant to Legislative Audit Commission Resolution Number 123. This audit was conducted in accordance with generally accepted government auditing standards and the audit standards promulgated by the Office of the Auditor General at 74 Ill. Adm. Code 420.310.

The audit report is transmitted in conformance with Section 3-14 of the Illinois State Auditing Act.

A handwritten signature in black ink, appearing to read "William G. Holland".

WILLIAM G. HOLLAND  
Auditor General

Springfield, Illinois  
November 2003

## REPORT DIGEST

MANAGEMENT AUDIT OF THE

### EXPENDITURES FROM THE GRADE CROSSING PROTECTION FUND

### ILLINOIS COMMERCE COMMISSION AND DEPARTMENT OF TRANSPORTATION

Released: November 2003



State of Illinois  
Office of the Auditor General

**WILLIAM G. HOLLAND**  
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## SYNOPSIS

Legislative Audit Commission Resolution 123 directed the Auditor General to conduct a management audit of expenditures from the Grade Crossing Protection Fund.

Money in the Grade Crossing Protection Fund is administered by the Illinois Commerce Commission (ICC) but appropriated to the Illinois Department of Transportation to assist local jurisdictions (counties, townships and municipalities) in paying for safety improvements at highway-rail grade crossings on local roads and streets. In carrying out its mandated responsibility, the ICC orders improvements at public highway-rail grade crossings and bridges that it determines to be in the interest of public safety. The audit concluded the following:

- The Department of Transportation and the Commerce Commission do not have an interagency agreement that clarifies each agency's management responsibilities.
- The Commerce Commission does not assure that prescribed project work is done, work is done on schedule, or that expenditures for the project are appropriate.
- The Illinois Commerce Commission's computer system does not capture certain date information that would allow for more effective analysis and management of Grade Crossing Protection Fund projects.
- The Department of Transportation and the Commerce Commission do not have clear standards for what expenditure documentation is required for projects.
- The Commerce Commission does not get copies of signal failure reports to help them to assure that adequate warning devices are in place, and which projects or types of projects should be funded.



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## REPORT CONCLUSIONS

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Money in the Grade Crossing Protection Fund is administered by the Illinois Commerce Commission (ICC) but appropriated to the Illinois Department of Transportation. The program was created by the General Assembly to assist local jurisdictions (counties, townships and municipalities) in paying for safety improvements at highway-rail grade crossings on local roads and streets. In carrying out its mandated responsibility, the ICC orders improvements at public highway-rail grade crossings and bridges that it determines to be in the interest of public safety. The cost of these ordered improvements is shared by the State, the railroads, and local governments. The majority of the cost of these improvements is funded through the Grade Crossing Protection Fund.

Money for the Grade Crossing Protection Fund (GCPF) comes from a portion of State motor fuel tax receipts. Each month since Fiscal Year 2000, \$2.25 million has been transferred from the Motor Fuel Tax Fund into the Grade Crossing Protection Fund. This amount provides the Fund with \$27 million annually to be used for safety improvements at highway-rail crossings on local roads and streets. Prior to Fiscal Year 2000, \$1.5 million was transferred monthly for a total of \$18 million per year for projects.

Total expenditures for Grade Crossing Protection Fund projects were \$25 million in Fiscal Year 2001 and \$34 million in Fiscal Year 2002. These expenditures were typically used for warning device upgrades; grade separations including construction, reconstruction, or repair of bridges over or under railroad tracks; interconnects where crossing signals are connected to the adjacent traffic signals so that the two systems operate in a synchronized manner; road work including approaches and connecting roads; remote monitoring devices which immediately alert the railroad to any problems in warning device operations; or low cost improvements at crossings not equipped with automatic warning devices.

The Motor Fuel Tax Law has required the Illinois Commerce Commission to develop, each year since Fiscal Year 2000, a one and five year Project Plan for rail crossing capital improvements that will be paid for with monies from the Grade Crossing Protection Fund. However, because of the significant amount of time between the initiation of a project and the expenditure of funds on a project, most projects with expenditures in Fiscal Year 2002 were initiated prior to the 2002 Plan. Only \$3,854 of the \$34 million in Fiscal Year 2002 expenditures were for projects from the Fiscal Year 2002 Project Plan.

Administration for Grade Crossing Protection Fund projects is shared between the Illinois Commerce Commission and the Illinois Department of Transportation. There is little written guidance available on which agency

has responsibility for the various required functions related to managing Grade Crossing Protection Fund projects. In addition, limited on-site construction management is currently done.

The majority of project milestones for the projects we reviewed in detail were not achieved in a timely manner. Railroads and local government agencies were not timely at supplying plans, submitting progress reports, and completing the project. None of ten projects for which we did detailed testing completed all project milestones in a timely manner.

The Illinois Commerce Commission's automated system does not capture certain date information that would allow for more effective analysis and management of Grade Crossing Protection Fund projects. Not having these dates captured may be due to a lack of active on-site construction management and because ICC staff are not routinely involved in the completion of projects.

The ICC is responsible for administering a rail safety program and expenditures for the program are paid for from the Transportation Regulatory Fund. Over the past years, the statutory transfer from the Grade Crossing Protection Fund to the Transportation Regulatory Fund to support the administration of rail safety at the ICC has increased. From Fiscal Years 1993 to 1996, the annual transfer was \$750,000; from Fiscal Years 1997 through 2000, the annual transfer was \$1,500,000; and from Fiscal Years 2001 through 2004, the transfer was \$2,250,000.

The Grade Crossing Protection Fund and the Transportation Regulatory Fund have both experienced high fund balances carried over from year to year. The Grade Crossing Protection Fund has had an average year end balance of over \$40 million over ten years and the Transportation Regulatory Fund averaged over \$5 million. These large fund balances have occurred during a time of increased transfers into the Funds to be used for grade crossing projects and rail safety administration. The Illinois Commerce Commission and the Illinois Department of Transportation should work to appropriately manage fund balances in the Grade Crossing Protection Fund.

Both the Illinois Commerce Commission and the Illinois Department of Transportation have some responsibilities for GCPF project expenditure review; however, neither agency adequately reviews actual expenditures to verify the validity of the materials, labor, or personnel expenses, as they relate to the scope of the project. In addition, there are no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects.

Expenditure documentation submitted for payment varied from projects where significant documentation was submitted, including items

which were unrelated to projects, to projects where little or no supporting documentation was submitted. Without consistent documentation and thorough review of expenditures it is difficult to know whether expenditures were appropriate or if all required elements of projects were done.

We did not identify any instances where the Illinois Commerce Commission did not comply with statutes guiding the Grade Crossing Protection Fund process. Most requirements related to the Fund are found in a section of the Motor Fuel Tax Law (35 ILCS 505/8(c)).

The Illinois Commerce Commission conducts investigations of all accidents at rail crossings that involve a fatality but does not investigate all accidents. The Commission staff should investigate rail accidents to help them in fulfilling their responsibility of assuring that adequate warning devices are in place at grade crossings.

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## **BACKGROUND**

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On July 12, 2002, the Legislative Audit Commission adopted Resolution 123. The Resolution directed the Auditor General to conduct a management audit of expenditures from the Grade Crossing Protection Fund. The Resolution asks us to include:

1. The amount and purpose of expenditures and transfers from the Grade Crossing Protection Fund in Fiscal Years 2001 and 2002, including administrative versus construction-related costs; and
2. Whether expenditures and transfers from the Grade Crossing Protection Fund made in Fiscal Years 2001 and 2002 appeared to be in conformity with applicable statutes. (page 3)

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## **GRADE CROSSING PROTECTION FUND PROGRAM**

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The Illinois Commerce Commission has the statutory responsibility to assure safety at all public highway-rail crossings in the State of Illinois. In January of 2003, there were 8,568 public grade level crossings in Illinois, of which 7,390 or 86 percent were on local roads and streets. Illinois also had 2,739 grade separated crossings (bridges), 276 pedestrian grade crossings, and 76 pedestrian grade separated crossings (bridges). At a “grade level crossing” or “at-grade crossing” both the road and the rail are on the same level. The Grade Crossing Protection Fund is used to help modify or upgrade crossings on local roads and streets. Upgrades on State roads are paid for with State Road Fund monies.

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**Illinois has 8,568 public grade level crossings.**

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**Annually, \$27 million is transferred from the Motor Fuel Tax Fund to the Grade Crossing Protection Fund for local crossing safety improvements.**

State financial support for crossing safety improvement projects on local roads comes from the Grade Crossing Protection Fund. The Motor Fuel Tax Law provides that each month \$2.25 million in State motor fuel tax receipts is transferred from the Motor Fuel Tax Fund to the Grade Crossing Protection Fund. This amount provides \$27 million annually to be used for local crossing safety improvements. Digest Exhibit 1 shows expenditures by type from the Grade Crossing Protection Fund for Fiscal Years 2001 and 2002. In Fiscal Year 2002 there were \$34 million in expenditures from the Fund and the year end fund balance was \$30 million. Fiscal Year 2002 had the highest expenditures and lowest fund balance in ten years.

Money in the Grade Crossing Protection Fund is administered by the Illinois Commerce Commission (ICC) but appropriated to the Illinois Department of Transportation (IDOT). The program was created by the General Assembly to assist local jurisdictions (counties, townships and municipalities) in paying for safety improvements at railroad crossings on local roads. (pages 3-4, 27-30)

Digest Exhibit 1 GRADE CROSSING PROTECTION FUND EXPENDITURES BY TYPE Fiscal Years 2001 and 2002 combined		
TYPE	Total	% of Total
Bridge	\$29,636,687	50%
Signals/Gates	\$8,493,339	14%
4-Quad Gates and Signals	\$5,539,514	9%
Interconnect Circuitry	\$4,809,592	8%
Signals/Gates/Roadwork	\$4,172,542	7%
Detection	\$4,142,869	7%
Bridge/Signals	\$1,468,608	2%
Signals	\$584,263	1%
Roadwork	\$487,810	1%
Gates	\$124,030	0%
Median	<u>\$78,158</u>	<u>0%</u>
Grand Total	<u>\$59,537,412</u>	<u>100%</u>
Note: Percentages do not add due to rounding. Source: ICC data analyzed by OAG.		

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## COORDINATION BETWEEN AGENCIES

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There is little written guidance available on which agency has responsibility for the various required functions related to managing Grade Crossing Protection Fund projects. In addition, limited project management is currently done. Administration for projects currently is shared between the Illinois Commerce Commission and the Illinois Department of Transportation. There is no interagency agreement, nor are there administrative rules or statutes in place to describe which agency is responsible for managing what aspect of the process. In addition, neither the ICC nor IDOT currently has written policies or procedures in place to direct and assist its employees with duties associated with Grade Crossing Protection Fund projects.

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**There is little written guidance available on which agency has responsibility for the various required functions related to managing Grade Crossing Protection Fund projects.**

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While there was some coordination between IDOT and ICC, adoption of an Interagency Agreement would document which agency was responsible for areas such as review of cost estimates and plans, review of expenditures, project management, and close-out inspections. Such an agreement would eliminate the possibility of duplication of efforts and oversight, as well as ensure that essential elements of project management were being achieved. We recommended that the Illinois Commerce Commission and the Illinois Department of Transportation develop written policies and procedures and adopt an Interagency Agreement that clarifies each agency's management responsibilities relating to Grade Crossing Protection Fund projects. (pages 16-17)

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## MANAGEMENT OF GCPF PROJECTS

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Before the beginning of the fiscal year, ICC staff create a Project Plan which is made up of two components. The first component lists projects expected to be undertaken in that given year and the second is a four-year outlook listing for future projects. Because of the significant amount of time between the initiation of a project and the expenditure of funds on a project, most projects with expenditures in Fiscal Year 2002 were initiated prior to the 2002 Plan. Only \$3,854 of the \$34 million of Fiscal Year 2002 expenditures were for projects from the Fiscal Year 2002 Project Plan.

Before an Order is issued, ICC staff are significantly involved in developing stipulated agreements and assuring that the work to be done will assure safety at the specified crossing or crossings. This involvement is particularly important because assuring crossing safety is ICC's statutory responsibility. However, ICC staff indicated to us that their primary administrative responsibility ends after an Order is issued and the

detailed engineering plans have been approved, unless the railroad or the local community asks for assistance or time to complete the project.

The ICC did not have adequate controls in place to track and monitor compliance with the requirements that it placed in Orders for GCPF projects. ICC Orders contain several completion dates with which the railroads and local governments are required to adhere. We found that detailed plans were missing from 1 of 10 projects sampled, and were submitted late for six of the other nine projects sampled where they were required by the ICC Order. In addition, for the nine projects sampled where progress reports were required by the Order, all were either missing the required reports or the reports were not timely. Late or missing plans and progress reports indicate that there is a lack of oversight or project management.

The ICC does not assure that prescribed work is done, work is done on schedule, or that expenditures for the project are appropriate. In addition to not reviewing work in progress, ICC employees also generally do not review the work when it is complete to assure that it was done appropriately. In some instances IDOT district engineers may do a post completion review but they do not have the same level of expertise about crossing safety device issues.

We recommended that the Illinois Commerce Commission assure that Grade Crossing Protection Fund projects are adequately managed. To do this, the expertise of ICC Railroad Safety Specialists should be utilized through on-site construction management to assure that the needed safety work is performed, that Order requirements are met, and that project expenditures are proper. (pages 13-14, 17-19)

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## TIMELINESS OF THE PROCESS

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**None of ten projects for which we did detailed testing completed all project milestones in a timely manner.**

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The majority of project milestones for the projects we reviewed in detail were not achieved in a timely manner. Railroads and local government agencies were not timely at supplying plans, submitting progress reports, and completing the project. None of ten projects for which we did detailed testing completed all project milestones in a timely manner.

The projects in our sample took an average of 3.8 years to complete from project initiation date to the completion date. Of that time, 1.7 years was from the date of the Order to the completion date. The project initiation date is the date of earliest documentation that identified the need for the project.

Seventy percent of projects from our sample (7 of 10) had pre-Order periods longer than the total project completion time from the Order

date. Some projects had pre-Order periods as high as four years or more. Sample projects which were on time or slightly over had some of the longest pre-Order periods.

For the 84 projects that had expenditures in Fiscal Years 2001 or 2002 and were completed in that period, the average project completion time was 2.6 years from the year of the Order. Because an exact end date is not captured by ICC's existing computer system, the elapsed time was calculated by subtracting the fiscal year of the Order from the fiscal year that the project was closed out.

### **Incomplete Data**

The Illinois Commerce Commission's automated system does not capture certain date information that would allow for more effective analysis and management of Grade Crossing Protection Fund projects. The ICC's computer system does not capture project initiation date or the date when all work required by the Order is completed. In addition to missing useful dates in its computer system, the inventory of rail crossings was incomplete, including not having data in all records that indicates whether or not a crossing was on a State road.

We recommended that the Illinois Commerce Commission assure that appropriate data is captured within computer systems to allow adequate management and timely completion of Grade Crossing Protection Fund projects. (pages 19-24)

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## **TRANSPORTATION REGULATORY FUND**

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The ICC is responsible for administering a rail safety program and expenditures for the program are paid from the Transportation Regulatory Fund (TRF). Annually, \$2.25 million is transferred from the Grade Crossing Protection Fund to the Transportation Regulatory Fund to pay the cost of administration of the Illinois Commerce Commission's railroad safety program as it relates to railroad crossings. In recent years, the statutory transfer from the Grade Crossing Protection Fund to the Transportation Regulatory Fund to support the administration of rail safety at the ICC has increased. From Fiscal Years 1993 to 1996, the annual transfer was \$750,000; from Fiscal Years 1997 through 2000, the annual transfer was \$1,500,000; and from Fiscal Years 2001 through 2004, the transfer was \$2,250,000.

ICC's Rail Safety Section (RSS) is responsible for identifying and prioritizing crossing safety improvements on an annual and five-year cycle in addition to other rail safety responsibilities. The RSS works with local government agencies and railroads to identify safety improvement projects

for the Commission’s Crossing Safety Improvement Program. The RSS is directly responsible for selecting projects authorized by the Commission to receive assistance from GCPF.

ICC railroad administrative expenditures consist of various categories including payroll, travel, and equipment. The total amount of Fiscal Year 2001 TRF expenditures was \$9.1 million and the railroad portion of the expenditures was \$4.9 million or 54 percent of the total TRF expenditures. Fiscal Year 2002 TRF expenditures were \$8.6 million and the railroad portion was \$4.3 million or 50 percent.

Direct expenditures for railroad are those that can be directly assigned either because of an employee’s position or because expenditures are directly for railroad. We reviewed the direct expenditures and found that they appear to be rail crossing safety related. The indirect expenses are allocated based on a required statutory system. Allocations of expenses are made from areas such as executive director, legislative affairs, administrative services, and the office of general counsel. Allocations are also made between rail and motor carrier. (pages 31-32, 42)

**FUND MANAGEMENT**

Both the Grade Crossing Protection Fund and the Transportation Regulatory Fund have experienced high fund balances carried over from year to year. The Grade Crossing Protection Fund has had an average year end balance of over \$40 million over ten years and the Transportation Regulatory Fund averaged over \$5 million. These large fund balances have occurred during a time when the transfers into the Funds to be used for grade crossing projects and rail safety administration have increased.

The OAG financial and compliance audits of the

Digest Exhibit 2 <b>TRANSPORTATION REGULATORY FUND AND GRADE CROSSING PROTECTION FUND BALANCES FOR FISCAL YEARS 1993 TO 2002</b> Dollars in Millions		
<u>Fiscal Year</u>	<u>TRF Balance</u>	<u>GCPF Balance</u>
1993	\$2.3	\$38.4
1994	\$1.7	\$45.8
1995	\$1.9	\$48.5
1996	\$4.4	\$45.8
1997	\$6.3	\$45.0
1998	\$7.4	\$41.3
1999	\$8.0	\$39.6
2000	\$6.8	\$39.7
2001	\$7.3	\$39.2
2002	\$6.5	\$29.9
Source: OAG financial/compliance audits, Comptroller, and Illinois CAFR data summarized by OAG.		

Illinois Commerce Commission have included a finding that the ICC carried a fund balance in the Transportation Regulatory Fund that exceeds the fund balance permitted by law. The finding has been repeated since 1997. The fund balance should not exceed \$2,898,185, the limit placed on the TRF in statute (625 ILCS 5/18c-1503). Digest Exhibit 2 shows that the Fund has consistently exceeded this amount since 1996. The exhibit shows fund balances for both the Transportation Regulatory and the Grade Crossing Protection Funds for ten years.

We recommended that the Illinois Commerce Commission continue to work to manage the fund balance in the Transportation Regulatory Fund to assure that it is maintained at a level that is in compliance with the statute (625 ILCS 5/18c-1503). We also recommended that the Commerce Commission and the Department of Transportation work to appropriately manage fund balances in the Grade Crossing Protection Fund. (pages 33-34)

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## PROJECT EXPENDITURE REVIEW

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Both the Illinois Commerce Commission and the Illinois Department of Transportation have some responsibilities for GCPF project expenditure review; however, neither agency is conducting adequate expenditure reviews. Given the lack of adequate expenditure reviews, the State may be overpaying for improvements to railroad crossings.

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**Neither ICC nor IDOT are conducting adequate expenditure reviews.**

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### Illinois Commerce Commission

ICC staff said that their role is to review the plans and costs of a project prior to the Order. They also intervene when a railroad or local government agency goes over either time or money as stated in the Order. Finally, they can help if the railroad or local government runs into a problem during the construction phase of a project. They said that they do not have the resources to check on all completed GCPF projects. ICC staff noted that they maintain a “level of trust” with the railroad companies that crossing projects are completed as required by the Order. In the same meeting, however, they noted some bills from railroads included additives and equipment rental that seemed unreasonably high. ICC does not review expenditures to approve them either before or after bills are paid by IDOT.

ICC exercises some control over costs through the Order process. Before an Order is entered, the ICC technical staff review preliminary plans and make a determination whether proposed costs are appropriate. That cost is then used to establish the maximum amount which can be paid under an Order. If there are cost overruns, a supplemental Order would be required to pay any additional expenses.

The limits in the Order can only be effective if detailed cost estimates are provided and reviewed before the Order is established. The ICC has no criteria established that could help them to set a cap on expenditures for certain types of projects. For example, standard lights and gates installed at a single track crossing might have an established dollar cap and exceptions to that cap would require justification. This could help to control costs among the various railroads and communities doing projects.

### **Department of Transportation**

The Department of Transportation initially sets up an obligation for a project when the ICC provides an Order to them. When bills are submitted for an Order, an IDOT employee verifies that an obligation has been set up and only allows expenditures up to that obligation amount.

IDOT does not review expenditures before payment. IDOT may, however, do an audit after the project is closed. During Fiscal Years 2001 and 2002, IDOT performed 65 audits for Grade Crossing Protection Fund projects regardless of expenditure year. Those audits included 11 with recoveries to the Fund that totaled \$65,551. This compares to total expenditures for the same time period of \$59.5 million. The audits with recoveries identified expenditures billed to the wrong project, over-billing for equipment, and billing for expenditures which were not allowable. The equipment issues in particular are the type of issues we identified in our expenditure reviews.

As of August 2003, 8 audits had been done from the 84 GCPF projects which had expenditures and were completed in Fiscal Year 2001 or 2002. IDOT officials noted that currently IDOT takes two or more years after project completion to conduct these audits. They noted that because of personnel losses they could get to be as much as five years behind.

Although audits do provide a level of control, there are some limitations about these audits. First, not all projects are audited. Second, the reviews are done by auditors and not specialists like ICC engineers who are familiar with the projects and what should be included. Third, some are done as desk audits. Desk audits note on their face that they are not detailed, are not done on site, and in some cases source documents are available only on a very limited basis.

### **Questionable Expenditures**

Expenditures for some projects that we reviewed seemed high based on documentation submitted. Furthermore, some projects submitted little or no documentation to support the expenditures claimed.

As an example of questionable expenditures, we reviewed two projects, both completed in Franklin County. The railroad had not prorated the use of equipment that they rented for the projects. These two projects were both relatively simple projects for standard lights and gates. The railroad submitted bills for five months usage of one trencher.

We asked the agencies whether five months of rental for such projects seemed excessive. The IDOT employee that reviews bills told us that he did not know exactly how long a trencher would be needed. An ICC employee who had technical expertise on the projects estimated that the project with the trencher that was rented for two months would probably have taken a week, and the project with the trencher that was rented for three months could have taken a month.

In our testing, we identified questionable expenditures but did not identify any clearly documented overpayments. ICC officials indicated that they believe that the State may sometimes be overcharged for projects by railroads. However, as noted, neither ICC nor IDOT does any on-site construction monitoring or any additional expenditure reviews to address this issue.

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**Neither ICC nor IDOT does any on-site construction monitoring.**

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### **Expenditure Documentation**

ICC and IDOT have no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects. Expenditure documentation submitted for payment varied from projects where significant documentation was submitted, including items which were unrelated to the projects, to projects where bills were submitted with little or no supporting documentation. Some items were difficult to trace back and sometimes could not be traced back to amounts paid.

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**ICC and IDOT have no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects.**

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In our detailed review of various files for ten projects, we found five projects with some supporting documentation. The remaining five projects had billings but did not include detail documentation. Without consistent documentation and thorough review of expenditures it is difficult to know whether expenditures were appropriate or if all required elements of projects were done.

We recommended that the Illinois Commerce Commission assure that all expenditures for Grade Crossing Protection Fund projects are reviewed in a timely manner to assure that they are appropriate and adequately supported. The Illinois Commerce Commission and the Illinois Department of Transportation should work together to develop standards on what documentation is required for Grade Crossing Protection Fund projects. (pages 18-19, 35-38)

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## **COMPLIANCE WITH STATUTORY PROVISIONS**

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Although we identified some issues related to the timeliness and management of projects, we did not identify any instances where the Illinois Commerce Commission did not comply with statutes guiding the Grade Crossing Protection Fund process. Most requirements related to the Fund are found in a section of the Motor Fuel Tax Law (35 ILCS 505/8(c)).

### **Investigations**

The Illinois Vehicle Code gives the Illinois Commerce Commission responsibility for several types of investigations. ICC staff could do more to assure investigations are done. The Commission has general power to administer and enforce provisions included in the applicable chapter of the Vehicle Code. Rail safety statutes require that rail carriers construct, maintain, and operate all of their equipment, track, and other property in Illinois in such a manner as to pose no undue risk to their employees or the person or property of any member of the public. The Commission's general authority includes inspections that Commission staff do related to such things as track safety and signal inspections (625 ILCS 5/18c-7401).

In addition, the ICC has the general authority to require installation of adequate equipment to safeguard the health and safety of the public based on its own information or based on a complaint, after proper investigation. This general authority is also specified for crossings where investigations which might lead to requiring installation of interconnects. They also have responsibility relating to hazardous materials and specific responsibility related to the investigation of accidents.

### **Investigation of Accidents**

The Illinois Vehicle Code requires rail carriers to report promptly to the Commission any accident involving their equipment, track, or other property which resulted in loss of life to any person. In addition, such carriers must file a written report with the Commission.

Statutes allow but do not require the Commission to investigate all railroad accidents involving fatalities reported by railroads. The Commission is also allowed to investigate other accidents about which it acquires knowledge independent of reports made by rail carriers (625 ILCS 5/18c-7402 (3)(b)). Based on those investigations the Commission can enter temporary Orders to minimize the risk of future accidents. The Commission staff generally investigate accidents involving fatalities but do not routinely investigate other accidents.

## Signal Failures

The Commerce Commission staff are not notified when signal failures occur. ICC staff told us that for 2002 Illinois ranked first in the nation in the number of railroad crossing signal failures reported to the Federal Railway Administration. Because Illinois has more at-grade crossings than all but one other state, it may not be an appropriate comparison. Currently the ICC does not get copies of these failure reports.

We recommended that the Illinois Commerce Commission assure that they receive reports on failures, accidents, and complaints and then investigate them appropriately. This should help them to fulfill their statutory responsibility of assuring that adequate warning devices are in place at grade crossings. (pages 39-45)

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## COLLISION AND FATALITY RATES

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In Fiscal Year 2002, there were a total of 183 collisions at public rail crossings in Illinois. Total fatalities resulting from collisions at highway-rail crossings in Illinois decreased from 28 in 2001 to 24 in 2002. According to ICC documents, however, fatality statistics are not a particularly good measure of safety threats or conditions. Collision related fatalities are a function of random events, such as the number of occupants riding in a vehicle involved in a collision, or multiple fatalities involved in a single incident. (page 46)

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## RECOMMENDATIONS

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The audit report contains seven recommendations, four were specifically related to the Illinois Commerce Commission, and three recommendations to both the Commerce Commission and the Illinois Department of Transportation. The ICC and IDOT generally agreed with the recommendations. Appendix H to the audit report contains the Commerce Commission's and the Department of Transportation's complete responses.



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WILLIAM G. HOLLAND  
Auditor General

WGH/EKW

November 2003



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**PHOTO GLOSSARY OF**

**Grade Crossing Types**

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Grade Separation (Bridge) Railroad Over -- Plummer Boulevard in Chatham



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Grade Separation (Bridge) Railroad Under -- Stanford Avenue in Springfield



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Flashing Light Signals and 4-Quadrant Gates -- Jefferson Street in Towanda



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Cantilevered Flashing Light Signals and Gates -- Ash Street in Springfield



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Standard Flashing Light Signals and Gates -- North Grand Avenue in Springfield



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Cantilevered Flashing Light Signals (No Gates) -- Ash Street in Springfield



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Standard Flashing Light Signals (No Gates) -- Ridgley Avenue in Springfield



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Crossbuck Sign with Stop Sign -- Truman Road in Springfield



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Standard Crossbuck Sign Only -- Yale Boulevard in Springfield



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Closed Crossing -- Iles Avenue in Springfield





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## Chapter One

# INTRODUCTION AND BACKGROUND

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## REPORT CONCLUSIONS

Money in the Grade Crossing Protection Fund is administered by the Illinois Commerce Commission (ICC) but appropriated to the Illinois Department of Transportation. The program was created by the General Assembly to assist local jurisdictions (counties, townships and municipalities) in paying for safety improvements at highway-rail grade crossings on local roads and streets. In carrying out its mandated responsibility, the ICC orders improvements at public highway-rail grade crossings and bridges that it determines to be in the interest of public safety. The cost of these ordered improvements is shared by the State, the railroads, and local governments. The majority of the cost of these improvements is funded through the Grade Crossing Protection Fund.

Money for the Grade Crossing Protection Fund (GCPF) comes from a portion of State motor fuel tax receipts. Each month since Fiscal Year 2000, \$2.25 million has been transferred from the Motor Fuel Tax Fund into the Grade Crossing Protection Fund. This amount provides the Fund with \$27 million annually to be used for safety improvements at highway-rail crossings on local roads and streets. Prior to Fiscal Year 2000, \$1.5 million was transferred monthly for a total of \$18 million per year for projects.

Total expenditures for Grade Crossing Protection Fund projects were \$25 million in Fiscal Year 2001 and \$34 million in Fiscal Year 2002. These expenditures were typically used for warning device upgrades; grade separations including construction, reconstruction, or repair of bridges over or under railroad tracks; interconnects where crossing signals are connected to the adjacent traffic signals so that the two systems operate in a synchronized manner; road work including approaches and connecting roads; remote monitoring devices which immediately alert the railroad to any problems in warning device operations; or low cost improvements at crossings not equipped with automatic warning devices.

The Motor Fuel Tax Law has required the Illinois Commerce Commission to develop, each year since Fiscal Year 2000, a one and five year Project Plan for rail crossing capital improvements that will be paid for with monies from the Grade Crossing Protection Fund. However, because of the significant amount of time between the initiation of a project and the expenditure of funds on a project, most projects with expenditures in Fiscal Year 2002 were initiated prior to the 2002 Plan. Only \$3,854 of the \$34 million in Fiscal Year 2002 expenditures were for projects from the Fiscal Year 2002 Project Plan.

Administration for Grade Crossing Protection Fund projects is shared between the Illinois Commerce Commission and the Illinois Department of Transportation. There is little written guidance available on which agency has responsibility for the various required functions related to

managing Grade Crossing Protection Fund projects. In addition, limited on-site construction management is currently done.

The majority of project milestones for the projects we reviewed in detail were not achieved in a timely manner. Railroads and local government agencies were not timely at supplying plans, submitting progress reports, and completing the project. None of ten projects for which we did detailed testing completed all project milestones in a timely manner.

The Illinois Commerce Commission's automated system does not capture certain date information that would allow for more effective analysis and management of Grade Crossing Protection Fund projects. Not having these dates captured may be due to a lack of active on-site construction management and because ICC staff are not routinely involved in the completion of projects.

The ICC is responsible for administering a rail safety program and expenditures for the program are paid for from the Transportation Regulatory Fund. Over the past years, the statutory transfer from the Grade Crossing Protection Fund to the Transportation Regulatory Fund to support the administration of rail safety at the ICC has increased. From Fiscal Years 1993 to 1996, the annual transfer was \$750,000; from Fiscal Years 1997 through 2000, the annual transfer was \$1,500,000; and from Fiscal Years 2001 through 2004, the transfer was \$2,250,000.

The Grade Crossing Protection Fund and the Transportation Regulatory Fund have both experienced high fund balances carried over from year to year. The Grade Crossing Protection Fund has had an average year end balance of over \$40 million over ten years and the Transportation Regulatory Fund averaged over \$5 million. These large fund balances have occurred during a time of increased transfers into the Funds to be used for grade crossing projects and rail safety administration. The Illinois Commerce Commission and the Illinois Department of Transportation should work to appropriately manage fund balances in the Grade Crossing Protection Fund.

Both the Illinois Commerce Commission and the Illinois Department of Transportation have some responsibilities for GCPF project expenditure review; however, neither agency adequately reviews actual expenditures to verify the validity of the materials, labor, or personnel expenses, as they relate to the scope of the project. In addition, there are no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects.

Expenditure documentation submitted for payment varied from projects where significant documentation was submitted, including items which were unrelated to projects, to projects where little or no supporting documentation was submitted. Without consistent documentation and thorough review of expenditures it is difficult to know whether expenditures were appropriate or if all required elements of projects were done.

We did not identify any instances where the Illinois Commerce Commission did not comply with statutes guiding the Grade Crossing Protection Fund process. Most requirements related to the Fund are found in a section of the Motor Fuel Tax Law (35 ILCS 505/8(c)).

The Illinois Commerce Commission conducts investigations of all accidents at rail crossings that involve a fatality but does not investigate all accidents. The Commission staff should

investigate rail accidents to help them in fulfilling their responsibility of assuring that adequate warning devices are in place at grade crossings.

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## BACKGROUND

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On July 12, 2002, the Legislative Audit Commission adopted Resolution 123. A copy of the Resolution is included as Appendix A of this report. The Resolution directed the Auditor General to conduct a management audit of expenditures from the Grade Crossing Protection Fund. The Resolution asks us to include:

1. The amount and purpose of expenditures and transfers from the Grade Crossing Protection Fund in Fiscal Years 2001 and 2002, including administrative versus construction-related costs; and
2. Whether expenditures and transfers from the Grade Crossing Protection Fund made in Fiscal Years 2001 and 2002 appeared to be in conformity with applicable statutes.

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## THE GRADE CROSSING PROTECTION FUND PROGRAM

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The Illinois Commerce Commission has the statutory responsibility to assure safety at all public highway-rail grade crossings in the State of Illinois. In January of 2003, there were 8,568 public grade level crossings in Illinois, of which 7,390 or 86 percent were on local roads and streets. The top right photo shows a grade level crossing equipped with standard automatic flashing light signals. At a “grade level crossing” or “at-grade crossing” both the roadway and the railroad track(s) intersect on the same level. The Grade Crossing Protection Fund (GCPF) is used to help modify or upgrade crossings on local roads and streets. Upgrades on State roads are paid for with State Road Fund monies.

Illinois also had 2,739 grade separated crossings (bridges). The lower right photo shows a railroad over bridge which was constructed with GCPF assistance. There were also 276 pedestrian grade crossings and 76 pedestrian grade separated crossings (bridges) in Illinois.



Grade Level Crossing in Springfield.



Bridge – Railroad Over Grade Separation in Chatham.

Nationally, Illinois ranks second only to Texas in the total number of highway-rail crossings. In addition to State and local crossings, another 4,766 at-grade crossings are located on private property, and thus are not under the jurisdiction of the State. Also located on private roads are 138 private bridge structures. Exhibit 1-1 summarizes the distribution of grade crossings by type. Because ICC’s inventory of crossings is not complete, whether a crossing is on a State or local road is not available for some crossing types. Chapter Two examines the adequacy of data captured within ICC computer systems.

Exhibit 1-1 NUMBER AND TYPE OF RAILROAD CROSSINGS – JANUARY 2003					
Crossing Type	Crossing Position	State	Local	n/a	Total
Public Roadway	At-grade Crossing	853	7,390	325	8,568
	Bridge – Railroad Over	n/a	n/a		1,825
	Bridge – Railroad Under	n/a	n/a		914
Pedestrian Pathway	At-grade Crossing	n/a	n/a		276
	Bridges	n/a	n/a		76

Note: n/a means data was not available from ICC.

Source: ICC Inventories of Public Rail and Pedestrian Crossings.

Money in the Grade Crossing Protection Fund is administered by the Illinois Commerce Commission (ICC) but appropriated to the Illinois Department of Transportation. The program was created by the General Assembly to assist local jurisdictions (counties, townships and municipalities) in paying for safety improvements at highway-rail grade crossings on local roads and streets. Assistance from the Grade Crossing Protection Fund cannot be used for crossing safety improvements on State roads. Those improvements are funded directly by the Illinois Department of Transportation.

The source of funding for the Grade Crossing Protection Fund is a portion of State motor fuel tax receipts. Each month since Fiscal Year 2000, \$2.25 million has been transferred from the Motor Fuel Tax Fund into the Grade Crossing Protection Fund. This amount provides \$27 million annually to be used for safety improvements at highway/rail crossings on local roads and streets. The GCPF is typically used to help pay for the following types of projects:

- **Warning device upgrades:** Installation of automatic flashing light signals and gates at public grade crossings currently not equipped with automatic warning devices; installation of automatic flashing light signals and gates at public grade crossings currently equipped only with automatic flashing light signals; and signal control circuitry improvements at public grade crossings currently equipped with automatic warning devices. Signal control circuitry is the method by which an approaching train is detected and the warning device is initiated.
- **Grade separations - new and reconstructed:** Construction, reconstruction, or repair of bridges carrying a local road or street over railroad tracks; construction, reconstruction, or repair of bridges carrying railroad tracks over a local road or street.

- **Grade separations - vertical clearance improvements:** Lowering the existing highway pavement surface under a railroad bridge to improve vertical clearance for motor vehicles.
- **Pedestrian grade separations:** Construction of a bridge to carry pedestrian/bicycle traffic over or under railroad tracks.
- **Interconnects:** Upgrading the circuitry at grade crossings where warning signals are connected to the adjacent traffic signals so that the two systems operate in a synchronized manner.
- **Approaches:** Improvements to the portion of the road directly adjacent to the crossing surface.
- **Connecting roads:** Construction of a roadway between a closed crossing and an adjacent open, improved crossing.
- **Remote monitoring devices:** Sensor devices in the circuitry of grade crossing warning devices which immediately alert the railroad to any failures in warning device operations.
- **Low cost improvements at unsignalized crossings:** Installation of new, more reflective crossbuck warning signs and yield signs at crossings that do not require automatic warning devices.



**Crossbuck**

In carrying out its mandated responsibility, the Commission orders improvements on public highway/rail crossings that it determines to be in the interest of public safety. The costs of these ordered improvements are borne by the State, the railroads, and local governments. On State roads, the Illinois Department of Transportation pays the majority of the costs through the State Road Fund. For local roads, the majority of the improvement costs are funded through the Grade Crossing Protection Fund. The standard share of expenditures between the Grade Crossing Protection Fund, the local government, and the railroad is shown in Exhibit 1-2.

**Five-Year Project Plan**

The Motor Fuel Tax Law has required the Illinois Commerce Commission to develop, each year since Fiscal Year 2000, a one and five year Project Plan for rail crossing capital improvements that will be paid for with monies from the Grade Crossing Protection Fund. The current portion of the Plan identifies projects for the next fiscal year and the outlook portion of the Plan identifies projects for the five directly succeeding fiscal years.

Exhibit 1-2 <b>FUNDING SHARE FOR SELECT GRADE CROSSING PROTECTION FUND PROJECTS</b>		
	<u>Bridge</u>	<u>AFLSG*</u>
GCPF share	60%	85%
Local share	35%	10%
Railroad share	5%	5%
Note: * Automatic Flashing Light Signals & Gates		
Source: ICC information summarized by OAG.		

## **TYPES OF WARNING DEVICES AND UPGRADES**

**GATES/SIGNALS** Automatic flashing light signals with gates that lower across a roadway lane to discourage vehicles from entering a crossing when a train is approaching. Also called standard gates or 2-quadrant gates.

**4-Quadrant Gates:** Warning system in which four gates (one for each traffic lane) are activated, preventing vehicles from going around lowered crossing gate arms. Currently used along the high speed rail corridor.

**Traffic Loops:** Vehicle detection system to prevent vehicles from being trapped in a crossing by gates. Used particularly with 4-Quadrant Gates. If vehicles are caught inside of the gates traffic loops sense them and open exit gates so that the vehicle will not be trapped.

**Median Barriers:** These barriers prevent vehicles from going around standard 2-quadrant gates.

**Raised Medians:** Same as median barriers.

**Radar Detection System:** An alternate to an in-pavement vehicle detection system for detecting vehicles trapped on crossings. The technology is new and is still in the developmental stage.

**Remote Monitor Device:** Timer that monitors the length of an operating power failure at a crossing. The device sends a signal upon detection of a problem.

**Automated Horn System:** Less expensive system for quiet zone (less expensive than 4-quadrant gates). The horn would sound just at the railroad crossing.

**LIGHTS (AFLS):** Automatic Flashing Light Signals.

**LED:** Light Emitting Diodes which are used to replace incandescent bulbs in flashing warning signals. The LED costs more, but may last longer.

**Cantilever:** Holds warning lights above the road so they are more easily visible to oncoming traffic.

**Interconnect:** Allows traffic signals to be coordinated with grade crossing signals.

**CIRCUITRY** The system that is used to sense the train's approach and activate the warning device. Several types of circuitry are noted in this list.

**DC Circuitry:** Detects a train approaching a grade crossing based on DC current in the track. The simplest form of circuitry.

**MS:** Motion Sensor Circuitry is train sensing circuitry. Is better than DC, which is often used in rural areas.

**CWT:** Constant Warning Time Circuitry detects speed and motion of oncoming train. A type of circuitry upgrade that allows the warning device to initiate at the most appropriate time. A more advanced type of circuitry.

**Circuitry Upgrade:** Upgrading to a newer or more appropriate type of circuitry.

**BRIDGES G/S or Grade Separation:** A bridge where vehicles go over trains or trains over vehicles.

**LP or Lower Pavement:** To lower the pavement at a grade separation (bridge) to allow higher clearance.

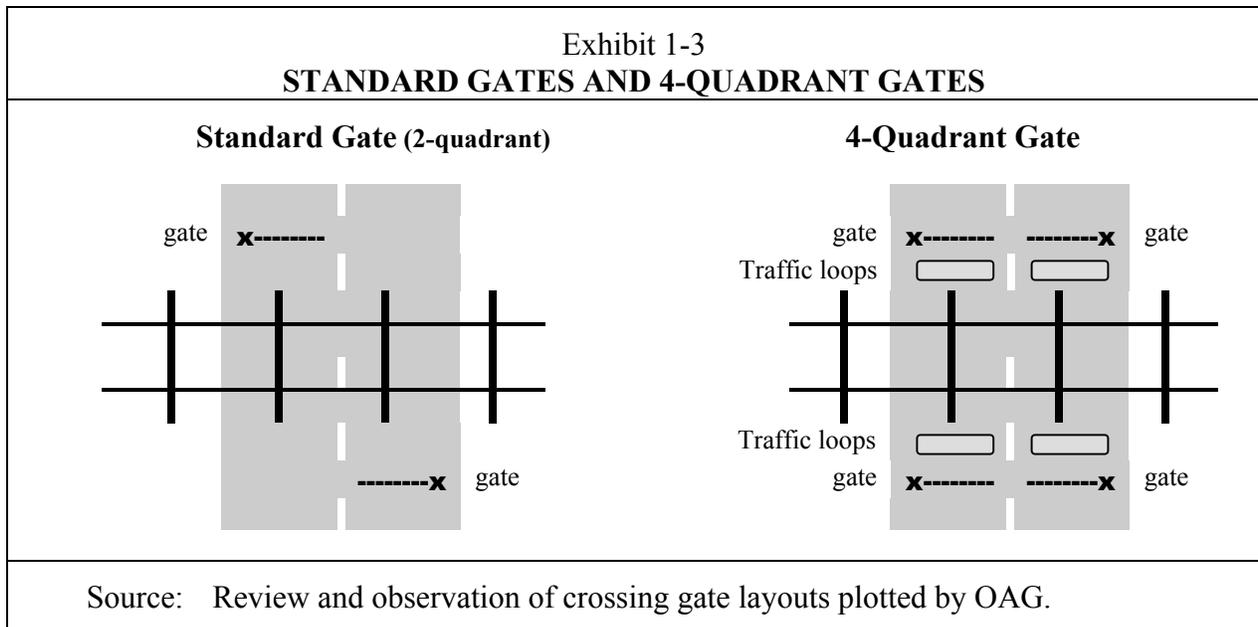
**ROADWORK Approach Work:** Repairs to the road that approaches the track.

**Connecting Road:** Particularly related to relocation or reconfiguration of a grade crossing. A connecting road may be required if a crossing is closed.

**Surface Work:** Repairs or construction of a new grade crossing surface.

Projects included in these required Plans are accumulated from applications that are submitted by local governmental units or railroads. Projects can also be initiated by ICC staff if they have concerns about safety at a crossing. The Commerce Commission approves the Plan and then Commerce Commission staff work with the local governments and railroads to get projects started. The process is discussed in more detail in Chapter Two of this report.

A more detailed list of types of warning devices and upgrades that may be included in Plans and for which the GCPF has expenditures is shown on the facing page. One of the newer types of warning devices which is included in that listing is a 4-quadrant gate. Exhibit 1-3 below shows the layout for a standard gate and a 4-quadrant gate to show more clearly how the two differ. In addition to the listing of types of devices and upgrades, a Photo Glossary at the beginning of this report shows photographs of some different types of crossings and warning devices.



## GRADE CROSSING PROJECT EXPENDITURES

In Fiscal Years 2001 and 2002 the Grade Crossing Protection Fund spent \$59.5 million on grade crossing improvement projects. A summary of those expenditures by type is shown in Exhibit 1-4 below. This report contains a glossary which includes photographs of many of the types of crossing devices. Chapter Two includes further discussion and analysis of project expenditures and types.

Exhibit 1-4 <b>GRADE CROSSING PROTECTION FUND EXPENDITURES</b> By Type for Fiscal Years 2001 and 2002						
<b>TYPE</b>	<b>FY 2001</b>	<b>% of Total</b>	<b>FY 2002</b>	<b>% of Total</b>	<b>Grand Total</b>	<b>% of Total</b>
Bridge	\$14,287,050	56%	\$15,349,637	45%	\$29,636,687	50%
Bridge/Signals	\$883,514	3%	\$585,094	2%	\$1,468,608	2%
Detection	\$1,727,496	7%	\$2,415,373	7%	\$4,142,869	7%
Gates	\$124,030	0%	\$0	0%	\$124,030	0%
Interconnect	\$1,382,772	5%	\$3,426,820	10%	\$4,809,592	8%
Median	\$27,522	0%	\$50,636	0%	\$78,158	0%
Roadwork	\$14,609	0%	\$473,201	1%	\$487,810	1%
Signals	\$148,680	1%	\$435,583	1%	\$584,263	1%
4-Quad Gates and Signals	\$0	0%	\$5,539,514	16%	\$5,539,514	9%
Signals/Gates	\$4,563,654	18%	\$3,929,685	12%	\$8,493,339	14%
Signals/Gates/Roadwork	\$2,223,893	9%	\$1,948,649	6%	\$4,172,542	7%
<b>Grand Total</b>	<b><u>\$25,383,220</u></b>	<b><u>100%</u></b>	<b><u>\$34,154,192</u></b>	<b><u>100%</u></b>	<b><u>\$59,537,412</u></b>	<b><u>100%</u></b>
Note: Percentages do not add due to rounding. Source: ICC data analyzed by OAG.						

## AUDIT SCOPE AND METHODOLOGY

This audit was conducted in accordance with generally accepted government auditing standards and the audit standards promulgated by the Office of the Auditor General at 74 Ill. Adm. Code 420.310.

Fieldwork for this audit was conducted from April to July 2003. We interviewed representatives of the Illinois Commerce Commission and the Department of Transportation. We reviewed documents at both agencies and examined draft ICC policies and procedures, along with published Plans, ICC Orders, project files, expenditure files, and audits. We also examined the processes used to select projects and to reimburse expenditures for projects. We reviewed internal controls over the selection and expenditure processes. We tested a sample of projects from Fiscal Year 2002 and analyzed electronic data from Fiscal Years 2001 and 2002. A more complete description of our testing and analyses are in Appendix B of this report.

We reviewed the previous financial and compliance audits released by the Office of the Auditor General for the Illinois Commerce Commission and the Department of Transportation for issues relating to the Grade Crossing Protection Fund. We assessed risk and management

controls by reviewing Commerce Commission and Department of Transportation internal documents, and processes. We reviewed management controls relating to the audit's objectives established in Legislative Audit Commission Resolution 123 (see Appendix A). This audit identified some weaknesses in those controls, which are included as recommendations in this report.

In conducting the audit, we reviewed applicable State and federal statutes and rules. We reviewed compliance with applicable laws as directed by the resolution. Any instances of non-compliance we identified are noted in this report.

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## **REPORT ORGANIZATION**

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The remainder of this report is organized into the following chapters:

- **Chapter Two** reviews the process for Grade Crossing projects.
- **Chapter Three** looks at expenditures made from the Grade Crossing Protection Fund.
- **Chapter Four** discusses conformity with applicable statutes.



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## Chapter Two

# GRADE CROSSING PROJECT PROCESS

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## CHAPTER CONCLUSIONS

Because of the significant amount of time between the initiation of a project and the expenditure of funds on a project, most projects with expenditures in Fiscal Year 2002 were initiated prior to the 2002 Plan. Only \$3,854 of the \$34 million of Fiscal Year 2002 expenditures were for projects from the Fiscal Year 2002 Project Plan.

There is little written guidance available on which agency has responsibility for the various required functions related to managing Grade Crossing Protection Fund (GCPF) projects. In addition, limited on-site construction management is currently done. Administration for projects currently is shared between the Illinois Commerce Commission (ICC) and the Illinois Department of Transportation (IDOT).

The majority of project milestones for the projects we reviewed in detail were not achieved in a timely manner. Railroads and local government agencies were not timely at supplying plans, submitting progress reports, and completing the project. None of ten projects for which we did detailed testing completed all project milestones in a timely manner.

The Illinois Commerce Commission's automated system does not capture certain date information that would allow for more effective analysis and management of GCPF projects. Not having these dates captured may be due to a lack of active on-site construction management and because ICC staff are not routinely involved in the completion of projects.

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## PROJECT APPLICATION AND SELECTION PROCESS

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Since the statutory planning process began for Fiscal Year 2000, the Illinois Commerce Commission's Rail Safety Section (RSS) has used a process to identify and prioritize projects in the Crossing Safety Improvement Program. Recently the RSS developed a draft Rail Safety Section Policy Manual which describes that process. The draft manual was prepared in 2002 and no formal policy manual existed before then. In Fiscal Year 2002, the Rail Safety Section was made up of 26 staff in eight different areas. Exhibit 2-1 shows the number of staff in those areas.

Although the application process is laid out in draft policies and procedures, it is not the process that was used for most of the projects we reviewed. Although projects were initiated through ICC Orders, they were not selected using the application process, and had not been included in Plans that have been required since Fiscal Year 2000. This was because projects often take so long that most had been initiated before the planning process was started. We reviewed detailed records for a random sample of ten projects. None of those projects had been

Exhibit 2-1 <b>RAIL SAFETY STAFFING</b> Fiscal Year 2002	
Administration	3
Grade Crossings	9
Traffic Signal Interconnects and 4-Quadrant Gates	3
Railroad Signal Inspectors	3
Hazardous Materials	2
Track Safety	3
Operation Lifesaver	2
Operating Practices	1
Total	<u>26</u>
Source: ICC data summarized by OAG.	

initiated with an application. In fact, all of them were initiated before the required planning process was begun for Fiscal Year 2000. Five of the ten randomly selected projects that we reviewed were done at crossings where an accident at the crossing resulted in a death. Timeliness of the process is discussed in more detail later in this chapter.

However, the application process is in place for projects that begin now. The process is generally started by the submission of an application. There are three types of applications that can be filed: public highway-rail grade crossing, public highway bridge crossing, or pedestrian bridge projects. Applications can be submitted by railroads or local government authorities (counties, townships and municipalities) for safety improvement projects.

Other projects can result from complaints being filed. When the Rail Safety Section staff investigate a complaint, they could then initiate a project. These projects may come from crossings

with collisions or problems identified during track or signal inspections. Other complaints can be initiated by RSS staff who are doing routine investigations and become aware of issues needing to be addressed. Finally, a project can also be initiated by the submission of a formal petition to the Commission from either a railroad or local government agency.

Once applications are received, the RSS uses a Federal Railroad Administration Crash Prediction Value (CPV) to provide a comparative hazard exposure for rail crossing projects. The CPV is derived based on data from the Crossing Inventory and Statistical Information System (CRISIS), and the Railroad Information and Location System (RAILS).

The CPV formula includes, among other items, traffic volume, collision history, and train traffic. Exhibit 2-2 shows the factors that are considered. The higher the CPV, the more dangerous the crossing is rated which may move it up on the list of projects being prioritized for funding. The CPV provides the RSS with objective criteria that help them in the selection process, but other issues come into making the final decision.

Exhibit 2-2 <b>FACTORS INCLUDED IN THE CRASH PREDICTION VALUE (CPV)</b>
<ul style="list-style-type: none"> <li>• Previous Crash History</li> <li>• Type of Existing Warning Devices</li> <li>• Train Volume (# of trains per day)</li> <li>• Highway Traffic Volume (Average Annual Daily Traffic)</li> <li>• Maximum Train Speed</li> <li>• Number of Tracks through the Crossing</li> <li>• Number of Highway Traffic Lanes</li> </ul>
Source: ICC data.

An ICC official stated that the goal of the project selection process is to create a balance, equally serving all areas of the State, and attempt to be equitable among the railroads. He explained that if the selection process were only based on the CPV, the projects would be mostly in larger metropolitan areas because of higher motor vehicle and rail traffic.

If a highway/rail or pedestrian/rail bridge project is being reviewed, the local authorities are required to submit a feasibility study or preliminary engineering report. Without the report, the RSS will not consider the project application.

### **Five-Year Project Plan**

After applications have been selected for the year they are listed in the Plan. In 1999, the General Assembly required the ICC to create five-year Project Plans that identify and prioritize the crossing safety improvement projects. The first Plan was for Fiscal Year 2000. When the ICC approves the Plan, it becomes an official document and is required to be sent to the Governor and other legislative leaders by the first Wednesday of April each year. The Fiscal Year 2003 Plan was not completed by that statutory deadline, but the Fiscal Year 2004 Plan was.

Each year ICC staff create a Project Plan before the beginning of the fiscal year which is made up of two components. The first lists projects expected to be undertaken in that given year and the second is a four-year outlook listing for future projects. Outlook projects are grouped together to allow flexibility within the plan but do not show which should be done first.

When the next year's planning cycle begins, the pool of projects that are considered includes projects from the prior cycle's outlook projects, applications submitted in the previous five years not included in the program, plus new applications and RSS recommendations. ICC classifies that pool into current and outlook projects and those lists are prepared and published as part of the new five-year Project Plan. The project list in the Plan includes the railroad, county, city, location, description of improvement, and total cost. Appendix G includes the Fiscal Year 2004 ICC Plan which lists 2004 planned projects.

ICC staff take applications that meet the program criteria but are not selected and place them on a non-programmed list. These applications are kept for five years and each year they are reviewed to determine whether the project should be included in the new program. If after five years the project is never selected, the railroad or local authority will be notified and the project will no longer be considered for the program. A new application would need to be submitted for the project to be considered.

An application that lacks pertinent information or is not eligible is included in the non-qualified list. The sponsoring local government agency or railroad is to be notified that it does not qualify and are provided with a written explanation. Applicants can review their applications and submit revised documents that include additional information.

### **Geographical Distribution of Projects**

To see the geographic distribution of projects around the State, Exhibit 2-3 has a map of Illinois which shows the counties where there were projects planned in the Fiscal Year 2002

Project Plan and the counties where projects had expenditures in Fiscal Year 2002. The map shows counties where a grade crossing project was included on the current portion of the 2002 five-year Project Plan. It shows that a focus for Fiscal Year 2002 was projects along the high speed rail corridor from Springfield going North and East toward Chicago. The map also shows the counties where there were projects with expenditures during Fiscal Year 2002. More detailed maps showing planned projects and projects with expenditures in both Fiscal Year 2001 and 2002 are included in Appendix E and Appendix F of the report. A more detailed breakout of projects and expenditures by county for Fiscal Years 2001 and 2002 is included as Appendix C.

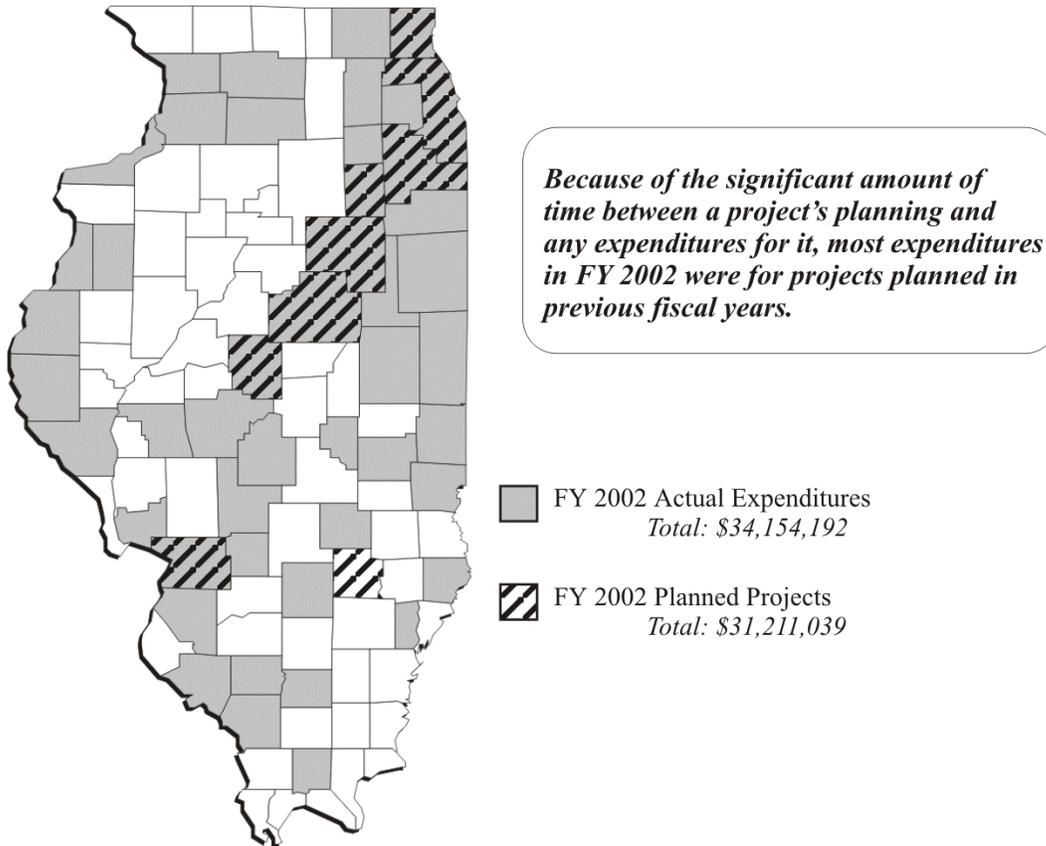
Because of the significant amount of time between the initiation of a project and the expenditure of funds on a project, most projects with expenditures in Fiscal Year 2002 were initiated prior to the 2002 Plan. As a result, counties with planned project maps have almost no relationship to counties with expenditures. The exhibit shows that only \$3,854 of the \$34 million of Fiscal Year 2002 expenditures were for projects from the Fiscal Year 2002 Project Plan. The bar chart in the exhibit shows the breakout of Fiscal Year 2002 expenditures by the Project Plan year including the projects that were started before the planning process began for Fiscal Year 2000.

### **Stipulated Agreements**

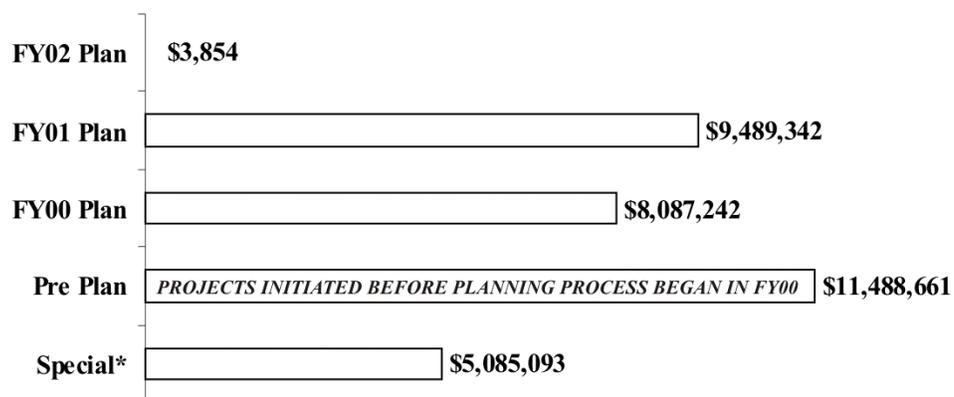
Once a project is selected for the program, RSS staff work to prepare a stipulated agreement to get authorization and approval from the Commission, or they notify the railroad and local government agency when a petition should be filed with the Commission. The stipulated agreement is a document which covers standard elements and is used for projects where all involved parties agree on the type of improvement and division of cost to cover the work. The early phases of a project can be a time consuming portion of the process. Getting the various parties to agree to the details of what should be done, who should be responsible for doing the work, and who will be paying for the work can take years. Later in this chapter we discuss timeliness before an ICC Order is issued.

Following receipt of a signed Agreement from all parties, the RSS prepares an Order and submits it to the Commission for approval. The Commission issues an Order based on the Agreement. The railroad is required to file detailed engineering plans with the ICC for approval before commencing the installation. Within 30 days of receipt of the roadway plans and cost information, the Illinois Department of Transportation is to provide the ICC with a statement of its approval or disapproval. The railroad(s) or local government agency is required to submit a written report to the ICC within six months from the date an Order is issued. The report is to state the progress made toward the accomplishment of the work required of it by the Order. Additional progress reports may be required each calendar quarter, stating the percentage of completion, until the project is completed. Orders typically require signal projects to be completed within 12-24 months and bridge projects to be completed within 2-3 years from the Order date.

Exhibit 2-3  
**COUNTIES WITH PLANNED PROJECTS AND EXPENDITURES**  
 Fiscal Year 2002



**FY 2002 Actual Expenditures by Plan Year**



**Total Expenditures: \$34,154,192**

*\*Special projects include: Wayside Monitors Experimental Projects, and High Speed Rail Projects.*

Source: ICC data summarized by OAG.

ICC Orders specify the total approved dollar amount for a project and the percentage of the project that GCPF and other parties will pay. If a project costs less than the Order amount, GCPF pays its percentage of the actual project cost. If a project exceeds the Order amount, no more than the amount specified in the Order can be paid without obtaining a supplemental Order. Twenty-nine of 84 completed projects with expenditures in 2001 or 2002 had funds deobligated because the projects cost less than the amount specified in the Order.

### **Petition and Public Hearings**

Although the stipulated agreement process is most commonly utilized when all parties are in agreement with the scope of work and division of cost, the petition and hearing process can be used when one or more of the parties participating does not agree with the recommended project or division of cost. State law requires the petition process to be used in cases involving construction of new public grade crossings or closure of an existing public highway/rail grade crossing. Also, when the Grade Crossing Protection Fund's portion of the project cost exceeds \$1 million dollars (primarily bridge projects), the petition and hearing process is normally used. All parties (local government agency, railroad or Illinois Department of Transportation) are permitted to utilize the petition process at any time. Once a petition is received, an evidentiary hearing is scheduled before an Administrative Law Judge and through testimony each party attempts to justify its support or opposition for the petition. At the conclusion of the hearing process, the following events normally occur:

- 1) For cases where all parties are in agreement, the Commission issues an Order based on findings made from evidence presented at the hearing(s). The Order will include a description of the improvement(s) to be completed at the subject crossing(s), the obligation (s) of the parties involved in the matter, a division of cost to pay for the proposed improvement(s), and a completion date of the work outlined in the petition.
- 2) For cases where parties are not in agreement (i.e., "contested" cases), the Commission issues a Proposed Order where all parties are given an opportunity to submit comments within a specific period of time. Following receipt and review of any comments submitted by any of the parties, a Final Order including contents noted above, is issued.

### **After the Order**

In the Order, a number of milestones and requirements are generally prescribed that are to take place. These include receiving detailed plans, receiving various progress reports, issuing an authorization to proceed with the work, completing work by specified dates, and submitting bills by specified dates.

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## **MANAGEMENT OF GCPF PROJECTS**

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There is little written guidance available on which agency has responsibility for the various required functions related to managing Grade Crossing Protection Fund (GCPF) projects. In addition, limited on-site construction management is currently done. Administration for projects currently is shared between the Illinois Commerce Commission and the Illinois Department of Transportation. There is no interagency agreement, nor are there administrative

rules or statutes in place to describe which agency is responsible for managing what aspect of the process. In addition, neither the ICC nor IDOT currently has written policies or procedures in place to direct and assist its employees with duties associated with Grade Crossing Protection Fund projects.

Based on our review of GCPF project files as well as interviews with ICC and IDOT personnel, IDOT appears to be responsible for reviewing general site plans and for paying the bills. ICC appears to be responsible for the selection and planning of the projects, which includes the creation of an annual five-year Project Plan. Neither agency provides on-site construction management for railroad crossing projects on local roads and streets. Instead, projects are run by a railroad, or in some cases by a local government, but are paid for by the State through the Grade Crossing Protection Fund.

While there was some coordination between IDOT and ICC, adoption of an Interagency Agreement would document which agency was responsible for areas such as review of cost estimates and plans, review of expenditures, project management and close-out inspections. Such an agreement would eliminate the possibility of duplication of efforts and oversight, as well as ensure that essential elements of project management were being achieved.

<b>INTERAGENCY AGREEMENT / POLICIES AND PROCEDURES</b>	
<b>RECOMMENDATION</b>  <b>1</b>	<i>The Illinois Commerce Commission and the Illinois Department of Transportation should develop written policies and procedures and adopt an Interagency Agreement that clarifies each agency’s management responsibilities relating to Grade Crossing Protection Fund projects.</i>
<b>ICC RESPONSE</b>	The ICC agrees with the recommendation. The ICC is preparing a policy and procedures document for, among other things, management of Grade Crossing Protection Fund projects. The document is currently in the review process, which will include comments from IDOT, the rail industry, local communities, and other interested parties. The ICC also plans to pursue an interagency agreement with IDOT to document each agency’s management responsibilities relating to Grade Crossing Protection Fund projects.
<b>IDOT RESPONSE</b>	The Illinois Department of Transportation agrees with the above recommendation.

### **Pre-Order Project Management**

Before an Order is issued, ICC staff are significantly involved in developing stipulated agreements and assuring that the work to be done will assure safety at the specified crossing or crossings. This involvement is particularly important because assuring crossing safety is ICC’s

statutory responsibility, as discussed in Chapter Four. ICC staff include individuals with expertise in rail safety, crossing safety, and specialized components of safety such as railroad signal systems and traffic signal interconnect systems. This expertise allows them to assure the crossing improvements provide safety to the public. However, ICC staff indicated to us that their primary administrative responsibility ends after an Order is issued and the detailed engineering plans have been approved, unless the railroad or the local community requests additional assistance or time to complete the project.

### **Project Management Review**

ICC staff indicated that their oversight role is limited during the construction phase of a project. They do not assure that prescribed work is done, work is done on schedule, or that expenditures for the project are appropriate. In addition to not reviewing work in progress, ICC employees also generally do not review the work when it is complete to assure that it was done appropriately. In some instances IDOT district engineers may do a post completion review but they do not have the same level of expertise about crossing safety device issues. ICC indicated that they only normally perform on-site inspections to verify that the prescribed work is done appropriately for interconnect and 4-quadrant gate projects.

During the two year period for Fiscal Years 2001 and 2002, 117 GCPF projects were completed. ICC employed nine Railroad Safety Specialists, who work primarily on Grade Crossing projects and also may assist in other duties such as accident investigations and the statewide enforcement of highway-rail crossing safety regulations. ICC Railroad Safety Specialists are the most qualified to review project expenditures and to inspect crossings to assure that grade crossing improvements are complete and are working properly. The ICC and its Railroad Safety Specialists should review and inspect completed GCPF projects to assure the work was done satisfactorily.

### **Project Expenditure Reviews**

Both the Illinois Commerce Commission and the Illinois Department of Transportation have some responsibilities for GCPF project expenditure review; however, neither agency is conducting adequate expenditure reviews.

Expenditures submitted by railroads and local governments are reviewed by IDOT personnel but not by ICC staff. IDOT staff initially review to assure that sufficient funds have been obligated based on an ICC Order. However, little review is performed by engineers at either IDOT or ICC to verify that the expenditures for grade crossing improvements are necessary for the project. The only detailed review IDOT would perform would be during a close-out audit that may not be done for several years after the project is complete.

In our testing, we identified questionable expenditures but did not identify any clearly documented overpayments. Further discussion of expenditure review and questionable expenditures is included in Chapter Three. ICC officials indicated that they believe that the State may sometimes be overcharged for projects by railroads. However, as noted, neither ICC nor IDOT does any on-site construction monitoring or any additional expenditure reviews to address this issue.

### ICC Order Requirement Reviews

In addition to the issues relating to project and expenditure reviews, the ICC did not have adequate controls in place to track and monitor compliance with the requirements that it placed in Orders for GCPF projects. ICC Orders contain several completion dates that the railroads and local governments are required to adhere to. We found that detailed plans were missing from 1 of 10 projects sampled, and were submitted late for six of the other nine projects sampled where they were required by the ICC Order. In addition, for the nine projects sampled where progress reports were required by the Order, all were either missing the required reports or the reports were not timely. Late or missing plans and progress reports indicate that there is a lack of oversight or project management.

ICC officials indicated that they have recently implemented a system that notifies them when estimates, plans, progress reports, and completion dates are approaching for railroads and local governments that are spelled out in the Order. The ICC has had statutory authority to impose penalties for not complying with an ICC Order for several years, and in 2002 staff began inserting the clause in their Orders that requires each person to comply with every regulation or Order of the ICC. Some ICC Orders state that any person who fails to comply with ICC Orders or regulations shall forfeit to the State not more than \$1,000 for each such failure with each day's continuance of the violation being considered a separate offense. According to ICC officials, to date, they have not imposed any penalties for violations.

<b>PROJECT MANAGEMENT</b>	
<b>RECOMMENDATION</b>  <b>2</b>	<i>The Illinois Commerce Commission should assure that Grade Crossing Protection Fund projects are adequately managed. To do this, the expertise of ICC Railroad Safety Specialists should be utilized through on-site construction management to assure that the needed safety work is performed, that Order requirements are met, and that project expenditures are proper.</i>
<b>ICC RESPONSE</b>	ICC agrees in principle with the recommendation however the ICC has inadequate funding to perform on-site construction management. ICC staff certainly has the expertise to conduct on-site management of highway-rail grade crossing improvement projects but funding and headcount restrictions generally limit our project management to off-site management.

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### TIMELINESS OF THE PROCESS

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The majority of project milestones for the projects we reviewed in detail were not achieved in a timely manner. None of ten projects for which we did detailed testing completed

Exhibit 2-4  
**EXAMPLE PROJECT TIMELINE**

**Project Description:** Remove automatic lights and install new automatic flashing lights and gates controlled by constant warning time circuitry, reconstruct crossing surface and roadwork in Cass County near Arenzville. The total project cost was \$128,806 with a cost of \$109,485 paid by the Grade Crossing Protection Fund.

<u>Date</u>	<u>Action</u>	<u>Accumulated Years</u>
3/3/98	Complaint Received by ICC from Local Official	0
3/13/99	Stipulated Agreement Signed by all Parties	1.0
4/21/99	Order Signed by ICC	1.1
<b>8/19/99</b>	<b><i>Detailed Plans due to ICC from RR</i></b>	
10/21/99	PROGRESS REPORTS DUE TO ICC FROM RR AND COUNTY BUT NEVER RECEIVED	
<b>1/27/00</b>	<b><i>Detailed Plans Received by ICC from RR</i></b>	
2/25/00	Authorization to Proceed with Project Granted by ICC	2.0
<b>4/14/00</b>	<b><i>SIGNAL WORK COMPLETED BY RR</i></b>	2.1
<b>4/21/00</b>	<b><i>REQUIRED SIGNAL WORK COMPLETION DATE FOR RR</i></b>	
<b>10/21/00</b>	<b><i>REQUIRED COMPLETION DATE FOR COUNTY</i></b>	
11/21/00	Supplemental Order for County Time Extension Approved by ICC	2.7
<b>10/21/01</b>	<b><i>2<sup>ND</sup> REQUIRED COMPLETION DATE FOR COUNTY</i></b>	
1/24/02	Supplemental Order for County Time Extension Approved by ICC	3.9
<b>10/16/02</b>	<b><i>ROADWORK COMPLETED BY COUNTY</i></b>	4.6
<b>11/01/02</b>	<b><i>3<sup>RD</sup> REQUIRED COMPLETION DATE FOR COUNTY</i></b>	

Note: The ICC file did not contain Progress Reports from either the Railroad or the County.

Source: ICC data summarized by the OAG.

all components in a timely manner. Exceptions included railroads and local government agencies not being timely at supplying plans, submitting progress reports, and completing the project. Timely completion of projects is very important as crossing equipment upgrades may

Exhibit 2-5 TIMELINESS FOR SAMPLE GCPF PROJECTS			
<u>Project Milestones from ICC Orders</u>	<u>Yes</u>	<u>No</u>	<u>N/A</u>
• Plans From Railroad Received Timely by ICC as Required by Order?	3	6	1
• Plans From Local Agency Received Timely by ICC as Required by Order?	0	1	9
• Progress Reports From Railroad Received Timely by ICC as Required by Order?	2	6	2
• Progress Reports From Local Agency Received Timely by ICC as Required by Order?	0	7	3
• Project Completed Timely by Railroad as Required by Original Order?	5	4	1
• Project Completed Timely by Local Agency as Required by Original Order?	3	4	3
• Supplemental Order Filed with ICC to Request Additional Time for Completion of Project?	2	5	3
• Project Completed Timely by Railroad as Required by Supplemental Order?	0	1	9
• Project Completed Timely by Local Agency as Required by Supplemental Order?	1	1	8
Note: N/A - Not Applicable because element was not required.			
Source: ICC data analyzed by the OAG.			

significantly improve the safety of a crossing. As an example, five of the ten randomly selected projects that we reviewed were done at crossings where an accident at the crossing had resulted in a death.

To judge what were required elements, we reviewed the ICC’s stipulated agreements and Orders for the projects. To help understand where project milestones are in the process, Exhibit 2-4 shows a case example with a timeline highlighting the completion dates for one of the projects we tested. The project took 4.6 years to complete from the date ICC received the complaint. In this case, the railroad did not meet the deadline from the Order for submitting plans and neither the railroad nor the local government submitted the required progress reports. The local government received two supplemental Orders for time extensions and met the deadline required in the second supplemental Order. The railroad met the completion date required in the original Order.

Reviewing the timeliness milestones for GCPF projects from our sample, we found several examples of requirements either not being met or being met late. Exhibit 2-5 shows the

milestones that we reviewed and the results. Detailed plans were not received timely from the railroad in six of the nine projects (67%).

A detailed plan from the local government agency was required in one sample project, but was not in the file. Progress reports from the railroad company were required in eight sample projects, but were not received timely or not in the file reviewed for 75 percent of the projects (6 of 8). Progress reports from the local government agency were either not received timely or missing from the file for each of the seven sample projects that required them. In four of nine projects (44%), the completion date for work required by the railroad company in the original Order was not met. In four of seven projects (57%), the completion date for work required by the local government agency in the original Order was not met. The completion date required in the original Order was not met by either the railroad company, the local government agency, or both in 7 of 10 projects (70%) from the sample.

If the railroad or local government agency believes it will not complete the project by the required date in the Order, it is required to submit a request for extension of time and if ICC approves the request, a supplemental Order granting an extension would be issued. For the seven projects which did not meet the required completion date in the original Order, in five instances (71%) no request for extension of time was made and no supplemental Order was issued. For the two projects in which an extension of time was requested and a supplemental Order was issued, one project was completed on time and one project was not. For the one project that was not completed on time, both the railroad company and the local government agency failed to meet the extended completion date in the supplemental Order.

### **Project Completion Time for Sample Cases**

The projects in our sample took an average of 3.8 years to complete from project initiation date to the completion date. Of that time, 1.7 years was from the date of the Order to the completion date. The project initiation date is the date of earliest documentation that identified the need for the project. For example, the first meeting that was held with local government and railroad representatives to discuss the need for a project. Projects fell into two categories for timeliness of completion from Order date:

1. Four projects were completed on time as required by original Order or a supplemental Order.
2. Six projects were completed less than one year after the date required by the original Order or a supplemental Order.

Seventy percent of projects from our sample (7 of 10) had pre-Order periods longer than the total project completion time from the Order date. Some projects had pre-Order periods as high as four years or more. ICC staff indicated that it often takes several months for the railroad or local government agency to perform preliminary engineering and prepare cost estimates for a project. Sample projects which were on time or slightly over had some of the longest pre-Order periods.

The delay during the pre-Order period for our sample projects occurred between the initiated date and the stipulated agreement signed date. Stipulated agreements were signed anywhere from one to four years from the initiated date. All Orders were signed within 30-40 days from the stipulated agreement date. Exhibit 2-6 summarizes project completion timeliness results from our sample.

Exhibit 2-6 <b>PROJECT COMPLETION TIME FROM INITIATION AND FROM ICC ORDER                      TIME IN YEARS – RANKED LONGEST TO SHORTEST</b> Sampled Projects from Fiscal Years 2001 or 2002						
<u>Project Type</u>	<u>Years from Initiation to Order Date</u>	<u>% of Time Before Order</u>	<u>Years from Order to Completion</u>	<u>Met Original Order Date?</u>	<u>Met Supplemental Order?</u>	<u>Years from Initiation Date to Completion</u>
AFLS/Gates, CWT	4.14	69%	1.88	No	None	6.03
AFLS/Gates, CWT	4.22	85%	0.73	Yes	None	4.95
Cantilever AFLS/Gates	1.90	39%	2.99	No	No	4.89
AFLS/Gates, CWT, Surface	1.13	25%	3.49	No	Yes	4.62
AFLS/Gates, Surface	2.92	80%	0.75	Yes	None	3.67
AFLS/Gates, CWT	2.52	70%	1.07	No	None	3.59
AFLS/Gates, CWT	1.82	57%	1.37	No	None	3.19
Inter-connect	0.50	19%	2.18	No	None	2.68
AFLS/Gates, CWT	1.12	51%	1.08	No	None	2.20
Grade Separation	1.13	53%	1.02	Yes	None	2.15
<i>Averages</i>	<i>2.14</i>	<i>56%</i>	<i>1.66</i>			<i>3.80</i>
Notes: 1. Project Type Abbreviations: AFLS=Automatic Flashing Light Signals; CWT=Constant Warning Time Circuitry; Surface=Surface Work. 2. Initiation is the date of earliest documentation that identified the need for the project. 3. None means that there was not a supplemental Order. Source: Summary of OAG testing and analysis of ICC data.						

### Incomplete Data

The Illinois Commerce Commission’s automated system does not capture certain date information that would allow for more effective analysis and management of Grade Crossing Protection Fund projects. The ICC’s computer system does not capture project initiation date or the date when all work required by the Order is completed. Our analysis captured both the dates from our review of project files. These files contained correspondence and documentation for a particular railroad crossing. As is noted earlier, project initiation date is the date of earliest documentation that identified the need for the project.

The second date that is not available is the date when all work components required by the Order are completed. The ICC has available two dates in a computer system that relate to completion but neither captures when all required work agreed to in the Order is complete. The first available date is called the project completion date but is actually the date the crossing is open. This date may be earlier than the actual date when all required work is complete. The second available date is the IDOT completion date. This date measures when the last bill is processed and the project is closed out by IDOT. This date may be much later than the actual date when all required work is complete. On some projects, railroads and local government agencies may have two years to submit all bills. This date could also be misleading if the project was considered closed because the Order sunset date had passed and the funds were deobligated. In that case the system might show a closed date for an open project. Not capturing an actual completion date may be due to a lack of active on-site construction management and because ICC staff are not routinely involved in the completion of projects.

In addition to missing useful dates in the ICC computer system, as we have already noted in Chapter One, the inventory of rail crossings is incomplete, including not having data in all records that indicates whether or not a crossing is on a State road.

#### Timeliness for All Cases

For the 84 projects that had expenditures in Fiscal Years 2001 or 2002 and were completed in that period, the average project completion time was 2.6 years from the year of the Order. Because an exact end date is not captured by ICC’s existing computer system, the elapsed time is calculated by subtracting the fiscal year of the Order from the fiscal year that the project was closed out. Exhibit 2-7 shows the breakdown of data from this analysis.

Exhibit 2-7 TIMELINESS FOR ALL GCPF PROJECTS BASED ON YEARS				
Years To Complete	FY 2001	FY 2002	Total FY 01-02	% of Total
1 Year	6	5	11	13%
2 Years	12	21	33	39%
3 Years	16	11	27	32%
4 Years	1	8	9	11%
5 Years	0	2	2	2%
6 Years	0	1	1	1%
7 Years	0	1	1	1%
Total	<u>35</u>	<u>49</u>	<u>84</u>	<u>100%*</u>
Notes: Average time was 2.6 years * Percentage does not add due to rounding.				
Source: ICC data analyzed by OAG.				

As noted earlier in this chapter, there are limitations related to the usefulness of the IDOT completion date. For example, if a project is completed and the sponsor sends in a final bill but does not indicate it is final, the project would remain open until sometime when it is noted. Having useful dates captured in ICC computer systems could assist in management of projects.

<b>COMPUTER DATA FOR PROJECT MANAGEMENT</b>	
<b>RECOMMENDATION</b>  <b>3</b>	<i>The Illinois Commerce Commission should assure that appropriate data is captured within computer systems to allow adequate management and timely completion of Grade Crossing Protection Fund Projects.</i>
<b>ICC RESPONSE</b>	ICC agrees with the recommendation. The ICC had been working on the development of an enhanced computer system, called “Railroad Information and Location System (RAILS)”, that would have allowed for more comprehensive data input and project management, however funding shortfalls have stalled the project.



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## Chapter Three

# AMOUNT AND PURPOSE OF EXPENDITURES AND TRANSFERS

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## CHAPTER CONCLUSIONS

State financial support for crossing safety improvement projects on local roads comes from the Grade Crossing Protection Fund. Statutes provide that each month \$2.25 million in State motor fuel tax receipts is transferred from the Motor Fuel Tax Fund to the Grade Crossing Protection Fund. This amount provides \$27 million annually to be used for local crossing safety improvements.

The Grade Crossing Protection Fund and the Transportation Regulatory Fund have both experienced high fund balances carried over from year to year. This has happened during a time when the Funds have had increased transfers to be used for grade crossing projects and rail safety administration. The Illinois Commerce Commission and the Illinois Department of Transportation should work to appropriately manage fund balances in the Grade Crossing Protection Fund.

Both the Illinois Commerce Commission and the Illinois Department of Transportation have some responsibilities for GCPF project expenditure review. However, neither agency adequately reviews actual expenditures to verify the validity of the materials, labor, or personnel expenses, as they relate to the scope of the project. There are no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects.

Expenditure documentation submitted for payment varied from projects where significant documentation was submitted, including items which were unrelated to projects, to projects where little or no supporting documentation was submitted. Without consistent documentation and thorough review of expenditures it is difficult to know whether expenditures were appropriate or if all required elements of projects were done.

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## GRADE CROSSING PROTECTION FUND TRANSFERS

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State financial support for crossing safety improvement projects on local roads comes from the Grade Crossing Protection Fund. The Motor Fuel Tax Law provides that each month \$2.25 million in State motor fuel tax receipts is transferred from the Motor Fuel Tax Fund to the Grade Crossing Protection Fund. This amount provides \$27 million annually to be used for local crossing safety improvements. In Fiscal Year 2002 there were \$34 million in expenditures from the Fund and the year end fund balance was \$30 million. Fiscal Year 2002 had the highest expenditures and lowest fund balance in ten years. Exhibit 3-1 shows the transfers, expenditures and balances for ten years for the Grade Crossing Protection Fund.

Exhibit 3-1 <b>TEN YEAR HISTORY OF THE GRADE CROSSING PROTECTION FUND</b> <b>FISCAL YEARS 1993 TO 2002</b> (Expressed in Thousands)						
		<b>.Increases<sup>1</sup>.</b>	<b>.....Reductions.....</b>			
<b>Fiscal Year</b>	<b>Beginning Balance</b>	<b>Transfers In</b>	<b>Expenditures<sup>2</sup></b>	<b>TRF Transfer Out</b>	<b>Other Transfers Out</b>	<b>Ending Balance</b>
FY93	\$30,849	\$18,000	\$9,661	\$750	\$21	\$38,417
FY94	\$38,417	\$18,000	\$9,923	\$750	\$0	\$45,841
FY95	\$45,841	\$18,000	\$14,613	\$750	\$1	\$48,477
FY96	\$48,477	\$18,000	\$19,948	\$750	\$0	\$45,779
FY97	\$45,779	\$18,000	\$17,267	\$1,500	\$1	\$45,011
FY98	\$45,011	\$18,000	\$20,257	\$1,500	\$1	\$41,253
FY99	\$41,253	\$18,000	\$18,176	\$1,500	\$1	\$39,576
FY00	\$39,576	\$27,000	\$25,365	\$1,500	\$1	\$39,710
FY01	\$39,710	\$27,000	\$25,278	\$2,250	\$2	\$39,180
FY02	\$39,180	\$27,000	\$34,075	\$2,250	\$2	\$29,854

Notes: 1. Two years had other revenues that are not shown in this column. FY 1994 had \$97 thousand and FY 2002 had \$1 thousand.  
 2. GCPF expenditures shown in this exhibit have been adjusted for prior year refunds that are not reflected in project expenditure data shown in other locations in this report.

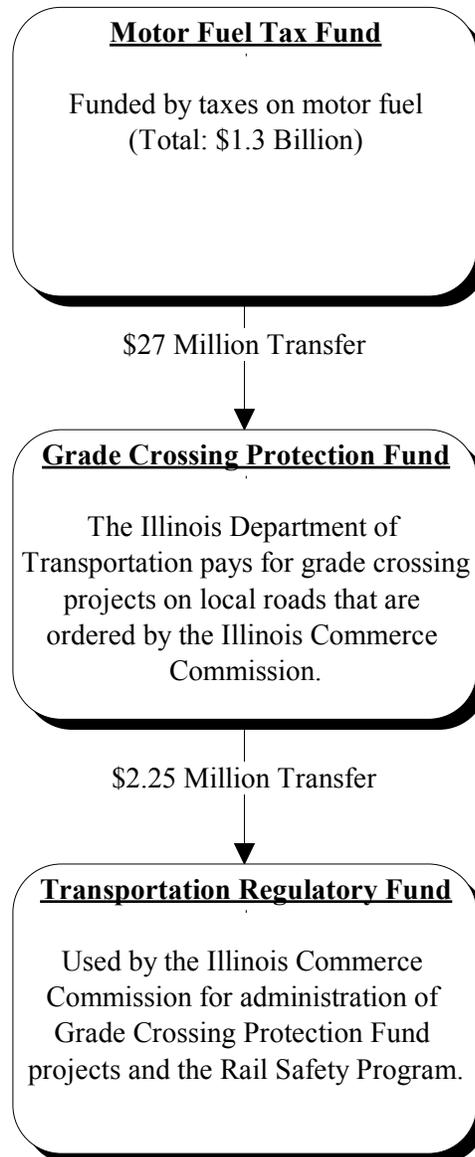
Source: Illinois CAFR data 1993 to 2002 summarized by OAG.

Other than expenditures for projects, the only other money that goes out from the Grade Crossing Protection Fund are transfers. Two statutorily mandated annual transfers occur. The first annual transfer is \$2,250,000 which goes to the Transportation Regulatory Fund (TRF) to pay the cost of administration of the Illinois Commerce Commission's railroad safety program as it relates to railroad crossings.

The second regular transfer is to the Audit Expense Fund which is used to pay the Grade Crossing Protection Fund part of the audit costs related to the Auditor General's regular financial and compliance audit of the Department of Transportation. In Fiscal Year 2002, the Audit Expense Fund transfer was \$1,579. In Exhibit 3-1, the column "Other Transfers Out" shows Audit Expense Fund transfers and transfers for other purposes. Exhibit 3-2 shows the flow of

funding from the Motor Fuel Tax Fund into the Grade Crossing Protection Fund and out into the Transportation Regulatory Fund.

Exhibit 3-2  
**TRANSFERS FOR THE GRADE CROSSING PROTECTION FUND**  
Fiscal Year 2002



Source: Illinois statutory requirements summarized by the OAG.

### Grade Crossing Protection Fund Expenditures

Grade Crossing Protection Fund expenditures are paid by the Department of Transportation (IDOT) based on Illinois Commerce Commission (ICC) Orders. The Commission’s Order approving a project specifies both the percentage of the actual cost of the project to be paid and the maximum dollar amount that may be spent on the project from the Fund. Throughout the project, local agencies and railroads can submit bills to the Illinois Department of Transportation for reimbursement. In some cases, ICC may split a project into more than one phase and do an Order for each phase. However, if a project costs more than what was ordered by ICC, the local agency or railroad must request additional funds through a supplemental Order.

The actual amount of payment from the Fund for each project is not determined until all requirements of the Order are accomplished and final bills are submitted. To be reimbursed, final bills generally are to be submitted within 12 months after the project completion date specified in the Order.

There are no IDOT employees who are assigned only to Grade Crossing Protection Fund activities. IDOT administrative costs related to GCPF are covered by IDOT funds and not charged to the Fund. However, IDOT officials estimated their costs for Grade Crossing Protection Fund projects in Fiscal Year 2002 were approximately \$278,000.

Total expenditures for Grade Crossing Protection Fund projects were \$25 million in Fiscal Year 2001 and \$34 million in Fiscal Year 2002. Exhibit 3-3 summarizes expenditures by type for Fiscal Years 2001 and 2002 combined.

Total expenditures for the Fund for the past ten years are shown in Exhibit 3-1, earlier in this chapter. In addition, Appendix C of this report shows these same expenditures with more detailed project and expenditure data for the Grade Crossing Protection Fund projects which had expenditures during FY 2001 and FY 2002 broken down by County.

Exhibit 3-3 <b>GRADE CROSSING PROTECTION FUND EXPENDITURES BY TYPE</b> Fiscal Years 2001 and 2002 combined		
<b>TYPE</b>	<b>Total</b>	<b>% of Total</b>
Bridge	\$29,636,687	50%
Bridge/Signals	\$1,468,608	2%
Detection	\$4,142,869	7%
Gates	\$124,030	0%
Interconnect Circuitry	\$4,809,592	8%
Median	\$78,158	0%
Roadwork	\$487,810	1%
Signals	\$584,263	1%
4-Quad Gates and Signals	\$5,539,514	9%
Signals/Gates	\$8,493,339	14%
Signals/Gates/Roadwork	\$4,172,542	7%
<b>Grand Total</b>	<b><u>\$59,537,412</u></b>	<b><u>100%</u></b>
Note: Percentages do not add due to rounding. Source: ICC data analyzed by OAG.		

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## TRANSPORTATION REGULATORY FUND

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Since Fiscal Year 2001, the Illinois Commerce Commission has received \$2.25 million annually from the Grade Crossing Protection Fund for administration. Statutes provide that this money shall be used to pay the cost of administration of the Illinois Commerce Commission's railroad safety program for railroad crossings. To understand the GCPF transfer's significance to the Transportation Regulatory Fund (TRF) it is helpful to see the various sources and uses of the TRF. Exhibit 3-4 shows income and expenditures for the TRF. Sources of income include various application, license and other fees, and a railroad gross revenue tax.

Exhibit 3-4 <b>TRANSPORTATION REGULATORY FUND INCOME AND EXPENDITURES</b> Fiscal Year 2002					
	Income	% of Total	Expenditures	% of Total	
Motor Carrier Taxes, Fees, Etc.	\$5,156,926	62%	\$4,284,671	50%	Motor Carrier
Railroad GCPF Transfer	\$2,250,000	27%			
Railroad Taxes and Fees	\$975,476	12%	\$4,268,095	50%	Railroad
Total	<u>\$8,382,402</u>	100%*	<u>\$8,552,766</u>	100%	

Note: \* Percentage total does not add due to rounding.  
Source: ICC data summarized by OAG.

ICC's Rail Safety Section (RSS) is responsible for identifying and prioritizing crossing safety improvements on an annual and five-year cycle in addition to other rail safety responsibilities. The RSS works with local government agencies and railroads to identify safety improvement projects for the Commission's Crossing Safety Improvement Program. The RSS is directly responsible for selecting projects authorized by the Commission to receive assistance from GCPF.

ICC railroad administrative expenditures consist of various categories including payroll, travel, and equipment. Rail Safety also has a motor pool consisting of 17 vehicles of which 12 were assigned to individuals and the remaining five are in a car pool for all ICC employees to use when needed. The total amount of FY 2001 TRF expenditures was \$9.1 million and the railroad portion of the expenditures was \$4.9 million or 54 percent of the total TRF expenditures. Fiscal Year 2002 TRF expenditures were \$8.6 million and the railroad portion was \$4.3 million or 50 percent. Exhibit 3-5 below shows the breakdown of TRF expenditures by type and broken into direct and indirect costs for Fiscal Years 2001 and 2002.

Exhibit 3-5 <b>ICC'S TRANSPORTATION REGULATORY FUND RAIL EXPENDITURES BY TYPE</b> <b>DIRECT AND ALLOCATED</b> Fiscal Years 2001 and 2002						
Line Item	FY 2001			FY 2002		
	Direct	Indirect	Total	Direct	Indirect	Total
Personnel	\$1,884,700	\$1,238,029	\$3,122,729	\$2,212,256	\$985,722	\$3,197,978
Contractual Services	\$90,928	\$129,310	\$220,238	\$120,841	\$84,669	\$205,510
Travel	\$77,716	\$13,448	\$91,164	\$78,084	\$7,612	\$85,696
Commodities	\$6,184	\$8,262	\$14,446	\$4,677	\$3,265	\$7,942
Printing	\$0	\$9,206	\$9,206	\$0	\$7,135	\$7,135
Equipment	\$203,598	\$29,932	\$233,530	\$16,142	\$3,824	\$19,966
EDP	\$172,217	\$265,952	\$438,169	\$21,058	\$121,023	\$142,081
Telecommunications	\$50,821	\$36,590	\$87,411	\$57,171	\$26,518	\$83,689
Operation of Auto	\$31,661	\$4,083	\$35,744	\$39,806	\$2,345	\$42,151
Professional	\$664,123	\$0	\$664,123	\$475,209	\$0	\$475,209
Refunds	<u>\$0</u>	<u>\$11,937</u>	<u>\$11,937</u>	<u>\$0</u>	<u>\$738</u>	<u>\$738</u>
<b>Total</b>	<u>\$3,181,946</u>	<u>\$1,746,751</u>	<u>\$4,928,697</u>	<u>\$3,025,245</u>	<u>\$1,242,851</u>	<u>\$4,268,095</u>
Note: Some totals do not add due to rounding. Source: ICC data summarized by OAG.						

Direct expenditures for railroad are those that can be directly assigned either because of an employee's position or because expenditures are directly for railroad. We reviewed the direct expenditures and found that they appear to be rail crossing safety related. The indirect expenses are allocated based on a required statutory system. Allocations of expenses are made from areas like executive director, legislative affairs, administrative services, and the office of general counsel. Allocations are also made between rail and motor carrier. A discussion of ICC's compliance with applicable statutory requirements for the Transportation Regulatory Fund is included in Chapter Four of this report.

**FUND MANAGEMENT**

Both the Grade Crossing Protection Fund and the Transportation Regulatory Fund have experienced high fund balances carried over from year to year. The Grade Crossing Protection Fund has had an average year end balance of over \$40 million over ten years and the Transportation Regulatory Fund averaged over \$5 million. These large fund balances have occurred during a time of increased transfers into the Funds to be used for grade crossing projects and rail crossing safety administration. Exhibit 3-1, included earlier in this chapter, shows the fund balance that was carried over for the past 10 years for the Grade Crossing Protection Fund.

The Transportation Regulatory Fund also has maintained a large fund balance over the last 10 years (Exhibit 3-6). The OAG financial and compliance audits of the Illinois Commerce Commission have included a finding that the ICC carried a fund balance in the Transportation Regulatory Fund that exceeds the fund balance permitted by law. The finding has been repeated since 1997. The fund balance should not exceed \$2,898,185, the limit placed on the TRF in statute (625 ILCS 5/18c-1503). Exhibit 3-6 shows that the fund has consistently exceeded this amount since 1996.

Exhibit 3-6 <b>TRANSPORTATION REGULATORY FUND BALANCES FOR FISCAL YEARS 1993 to 2002</b> Dollars in Millions	
<u>Fiscal Year</u>	<u>Fund Balance</u>
1993	\$2.295
1994	\$1.668
1995	\$1.917
1996	\$4.387
1997	\$6.291
1998	\$7.413
1999	\$8.026
2000	\$6.832
2001	\$7.277
2002	\$6.465
Source: OAG financial/compliance audits and Comptroller data.	

Although both Funds have maintained large balances, both Funds have recently lost money to the General Revenue Fund. In July 2002, the Grade Crossing Protection Fund had \$9 million transferred to the General Revenue Fund. In July 2003, the Grade Crossing Protection Fund had \$6.5 million transferred and the Transportation Regulatory Fund had \$2 million transferred. These transfers were authorized in statute to address the fiscal emergency resulting from shortfalls in revenue.

<b>TRANSPORTATION REGULATORY FUND BALANCE</b>	
<b>RECOMMENDATION 4</b>	<i>The Illinois Commerce Commission should continue to work to manage the fund balance in the Transportation Regulatory Fund to assure that it is maintained at a level that is in compliance with the statute (625 ILCS 5/18c-1503).</i>
<b>ICC RESPONSE</b>	ICC agrees with the recommendation. The Transportation Regulatory Fund (TRF) balance is currently in compliance with the statute. The ICC believes the appropriate processes are in place to prevent the accumulation of any excessive fund balance in the future.

### Shared Responsibility for Grade Crossing Protection Fund

Although Grade Crossing Protection Fund monies are maintained at the Department of Transportation, the Commerce Commission orders what grade crossing work is to be done and has the authority to split expenditures, through Orders, over several fiscal years. This can allow for more careful fund management. As a result, both agencies are involved in assuring that fund balances in the Grade Crossing Protection Fund are reasonable. As is discussed in Chapter Two of this report, more coordination is needed between the agencies for management of responsibilities. This is another example of the need for clear delineation of each agency's responsibilities.

<b>GRADE CROSSING PROTECTION FUND BALANCE</b>	
<b>RECOMMENDATION 5</b>	<i>The Illinois Commerce Commission and the Illinois Department of Transportation should work to appropriately manage fund balances in the Grade Crossing Protection Fund.</i>
<b>IDOT RESPONSE</b>	The Illinois Department of Transportation agrees to continue to provide assistance to the Illinois Commerce Commission (ICC) with information beneficial in the management of fund balances in the Grade Crossing Protection Fund. Under the existing arrangement, the management of fund balances is primarily a function of the Illinois Commerce Commission, since the Illinois Department of Transportation does not have control over the number of ICC orders that are issued. By statute, the ICC has the sole authority for that function.
<b>ICC RESPONSE</b>	ICC agrees with the recommendation. The ICC will help the Illinois Department of Transportation (IDOT) develop new procedures that will improve IDOT's ability to more quickly authorize disbursements from the fund.

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## **GRADE CROSSING PROJECT EXPENDITURE REVIEW**

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Both the Illinois Commerce Commission and the Illinois Department of Transportation have some responsibilities for GCPF project expenditure review; however, neither agency is conducting adequate expenditure reviews. Given the lack of adequate expenditure reviews, the State may be overpaying for improvements to railroad crossings.

### **Illinois Commerce Commission**

ICC staff said that their role is to review the plans and costs of a project prior to the Order. They also intervene when a railroad or local government agency goes over either time or money as stated in the Order. Finally, they are there to help if the railroad or local government runs into a problem during the construction phase of a project. They said that they do not have the resources to check on all completed GCPF projects. ICC staff noted that they maintain a “level of trust” with the railroad companies that crossing projects are completed as required by the Order. In the same meeting, however, they noted some bills from railroads included additives and equipment rental that seemed unreasonably high. ICC does not review expenditures to approve them either before or after bills are paid by IDOT.

ICC exercises some control over costs through the Order process. Before an Order is entered, the ICC technical staff review preliminary plans and make a determination whether proposed costs are appropriate. That cost is then used to establish the maximum amount which can be paid under an Order. If there are cost overruns, a supplemental Order would be required to pay any additional expenses. During the audit, we attended a hearing where a railroad was requesting additional payments in excess of the Order more than two years after a project was complete. An IDOT official testified against providing those additional payments.

The limits in the Order can only be effective if detailed cost estimates are provided and reviewed before the Order is established. ICC has no criteria established that could help them to set a cap on expenditures for certain types of projects. For example, standard lights and gates installed at a single track crossing might have an established dollar cap and exceptions to that cap would require justification. This could help to control costs among the various railroads and communities doing projects.

### **Department of Transportation**

The Department of Transportation initially sets up an obligation for a project when the ICC provides an Order to them. Multiple obligations may be required if the Fund will reimburse both a railroad and a local community for their applicable shares. When bills are submitted for an Order, an IDOT employee verifies that an obligation has been set up and only allows expenditures up to that obligation amount.

IDOT does not review expenditures before payment, however, they may do an audit after the project is closed. As of August 2003, 8 audits had been done from the 84 GCPF projects which had expenditures and were completed in Fiscal Year 2001 or 2002. IDOT officials noted that currently IDOT takes two or more years after project completion to conduct these audits. They noted that because of personnel losses they could get to be as much as five years behind.

During Fiscal Years 2001 and 2002, there were 117 total GCPF projects closed by IDOT. During the same time period, IDOT performed 65 audits for Grade Crossing Protection Fund projects. Those audits included 11 with recoveries to the Fund that totaled \$65,551. This compares to total expenditures for the same time period of \$59.5 million. The audits with recoveries identified expenditures billed to the wrong project, over-billing for equipment, billings with the wrong additive, and billing for expenditures which were not allowable. The equipment issues in particular are the type of issues we identified in our expenditure reviews.

Although audits do provide a level of control, there are some limitations about these audits. First, not all projects are audited. Second, the reviews are done by auditors and not specialists like ICC engineers who are familiar with the projects and what should be included. Third, some are done as desk audits. Desk audits note on their face that they are not detailed, are not done on site, and in some cases source documents are available only on a very limited basis. Transportation staff noted that they are understaffed and that limits the amount of review that can be done.

### **Expenditure Review with Two Agencies**

Divided authority and responsibility in a project management and expenditure review process can result in incomplete oversight or in duplication of activities without each agency's responsibilities being defined. This is true with the expenditure review process for the Grade Crossing Protection Fund. ICC approves projects and proposed spending but does not review actual expenditures after the fact. Neither agency adequately reviews actual expenditures to verify the validity of the materials, labor, or personnel expenses, as they relate to the scope of the project.

IDOT and ICC should work together to assure the management of projects and expenditure review is complete and appropriate. As noted in Recommendation 1 in Chapter Two, this should include developing written policies and procedures and adopting an Interagency Agreement that clarifies each agency's management responsibilities related to appropriate expenditure review.

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## **QUESTIONABLE EXPENDITURES**

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Expenditures for some projects that we reviewed seemed high based on documentation submitted. Furthermore, some projects submitted little or no documentation to support the expenditures claimed.

As an example of questionable expenditures, we found two projects, both completed in Franklin County. The railroad had not prorated the use of equipment that it rented for the projects. These two projects were both relatively simple projects for standard lights and gates. The railroad submitted bills for five months usage of one trencher. Exhibit 3-7 shows the time periods and costs billed. This equipment had been rented in Kansas City, Missouri.

We asked the agencies whether five months of rental for such projects seemed excessive. The IDOT employee that reviews bills told us that he did not know exactly how long a trencher would be needed. When we spoke to ICC employees, the employee who had technical expertise on the projects estimated that the project at Ina would probably take a week and the Zeigler project could take a month. He noted that they could have used them for other project related purposes but noted that they should not have needed the trenchers for that length of time.

ICC staff noted that railroads have been renting most equipment for Grade Crossing Protection Fund projects for 8 to 10 years. Equipment rentals costs can be significant on projects. Equipment rented may include such items as trucks, trenchers, trailers, backhoes, cranes, and air compressors.

Exhibit 3-7 TRENCHER RENTAL COST FOR TWO PROJECTS		
<u>Dates</u>	<u>Cost</u>	<u>Location</u>
4/18/00 to 5/18/00	\$1,901	Zeigler
6/17/00 to 7/17/00	\$1,901	Zeigler
7/17/00 to 8/16/00	\$1,901	Zeigler
8/16/00 to 9/15/00	\$1,810	Ina
9/15/00 to 10/15/00	\$1,910	Ina
Source: ICC and IDOT data summarized by OAG.		

### Expenditure Documentation

ICC and IDOT have no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects. Expenditure documentation submitted for payment varied from projects where significant documentation was submitted, including items which were unrelated to the projects, to projects where bills were submitted with little or no supporting documentation. We reviewed available billing information and found that it included documentation for expenditures that were unrelated to the specific project. These items were difficult to trace back and sometimes could not be traced back to amounts paid. The expenses were related to rail projects in Illinois and in other states. Supporting documentation was submitted that included hotels, meals, and entertainment expenses in Arkansas, Oklahoma, and Missouri, as well as some in Illinois.

Our sample also included projects with bills but little or no supporting documentation. In our detailed review of various files for ten projects, we found five projects with some supporting documentation. The remaining five projects had billings but did not include detail documentation. Without consistent documentation and thorough review of expenditures it is difficult to know whether expenditures were appropriate or if all required elements of projects were done.

<b>BILLING STANDARDS / EXPENDITURE REVIEW</b>	
<b>RECOMMENDATION</b>  <b>6</b>	<i>The Illinois Commerce Commission should assure that all expenditures for Grade Crossing Protection Fund projects are reviewed in a timely manner to assure that they are appropriate and adequately supported. The Illinois Commerce Commission and the Illinois Department of Transportation should work together to develop standards on what documentation is required for Grade Crossing Protection Fund projects.</i>
<b>ICC RESPONSE</b>	ICC agrees with the recommendation. ICC currently reviews estimates of cost submitted by railroads and local governmental agencies for proposed projects. ICC also reviews project expenditures by railroads and local governmental agencies whenever parties submit requests for additional assistance from the Grade Crossing Protection Fund (GCPF) for an ongoing project. Currently IDOT reviews bills submitted by railroads and local governmental agencies requesting payment from the GCPF. The ICC plans to work with IDOT to develop standards on what billing documentation is required for Grade Crossing Protection Fund projects and will provide technical support to IDOT personnel responsible for reviewing bills submitted for payment.
<b>IDOT RESPONSE</b>	Railroad bills are paid and audited by the Illinois Department of Transportation in accordance with Federal-Aid Policy Guide (FAPG) rules. The Illinois Department of Transportation agrees to work with the Illinois Commerce Commission to develop written standards on what documentation is required for Grade Crossing Protection Fund projects.
<b>AUDITOR COMMENTS</b>	<i>Many Grade Crossing Protection Fund projects do not involve any federal funds. The Illinois Department of Transportation did not provide documentation in policy that these federal rules apply to State GCPF funds and ICC Orders do not incorporate the rules by reference.</i>

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## Chapter Four

# CONFORMITY WITH APPLICABLE STATUTES

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## CHAPTER CONCLUSIONS

We did not identify any instances where the Illinois Commerce Commission did not comply with statutes guiding the Grade Crossing Protection Fund process. Most requirements related to the Fund are found in a section of the Motor Fuel Tax Law (35 ILCS 505/8(c)).

The Illinois Commerce Commission conducts investigations of all accidents at rail crossings that involve a fatality but does not investigate all accidents. The Commission staff should investigate rail accidents to help them in fulfilling their responsibility of assuring that adequate warning devices are in place at grade crossings.

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## COMPLIANCE WITH STATUTORY PROVISIONS

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Although we identified some issues related to the timeliness and management of projects, we did not identify any instances where the Illinois Commerce Commission did not comply with statutes guiding the Grade Crossing Protection Fund process. Most requirements related to the Fund are found in a section of the Motor Fuel Tax Law (35 ILCS 505/8(c)). The requirements fall into four general categories:

1. Transfers into and out of the Grade Crossing Protection Fund.
2. Planning as mandated in the form of annual and five-year Project Plans.
3. Types of projects that can be funded and limits for projects, both a minimum and a maximum dollar limit for certain types of projects.
4. Accounting issues, related to tracking project and administrative expenditures.

As discussed earlier in this report, all required transfers have been made and required five-year Project Plans have been prepared. Also as was noted earlier, the Plan for Fiscal Year 2003 was prepared but was not submitted on time as required. Whether the Plans provide useful information to the public or to communities who hope to get a project done is more difficult to assess. For example, once a project is placed on a Plan, it still may not begin for years.

### **Types of Projects**

The Motor Fuel Tax Law specifies that transferred Grade Crossing Protection Fund money be used by the Department of Transportation upon order of the Illinois Commerce Commission, to pay that part of the cost apportioned by the Commission to cover the interest of

the public in the use of highways, roads, streets, or pedestrian walkways in the county highway system, township and district road system, or municipal street system as defined in the Illinois Highway Code, as the same may from time to time be amended:

1. for separation of grades,
2. for installation, construction or reconstruction of crossing protection or reconstruction, alteration, relocation including construction or improvement of any existing highway necessary for access to property or improvement of any grade crossing including the necessary highway approaches thereto of any railroad across the highway or public road, or
3. for the installation, construction, reconstruction, or maintenance of a pedestrian walkway over or under a railroad right-of-way, as provided for in and in accordance with Section 18c-7401 of the Illinois Vehicle Code.  
(35 ILCS 505/8(c)).

Exhibit 4-1 <b>PROJECT EXPENDITURES BY STATUTORY TYPE</b> Fiscal Years 2001 and 2002 in millions		
	<u>FY01</u>	<u>FY02</u>
1. Separation of grades	\$15	\$16
2. Crossing Protection etc.	\$10	\$18
3. Pedestrian Walkways	<u>\$0</u>	<u>\$0</u>
Total	<u>\$25</u>	<u>\$34</u>
Source: ICC data summarized by OAG.		

Limits established are that not less than \$6 million shall be used for the construction or reconstruction of rail highway grade separation structures and not more than \$2 million per year can be ordered for pedestrian walkways. As Exhibit 4-1 shows, both of these limits were satisfied. There were no pedestrian walkway projects ordered or money expended during the time period we reviewed.

### Accounting Issues

The Motor Fuel Tax Law (35 ILCS 505/8(c)) also includes three accounting or bookkeeping compliance issues. The first relates to accounting for the transfers, the second relates to tracking project expenditures, and the third relates to use of the administrative transfer for rail safety administration. The first issue comes from the statutory provision that requires funds:

...shall be transferred to the Transportation Regulatory Fund and shall be accounted for as part of the rail carrier portion of such funds...(35 ILCS 505/8(c))

The requirement that transfers be accounted for as part of the rail carrier portion of funds arises from the fact that the Illinois Vehicle Code section, which guides the Transportation Regulatory Fund, specifies that receipts and expenditures from the Fund be tracked separately for motor carriers and for rail carriers (625 ILCS 5/18c-1601(2)). Statutes also require a complex allocation process to distribute expenditures between the classes. The Commerce Commission is required to produce an annual report which reports revenues and direct and allocated expenditures, all by class (625 ILCS 5/18c-1604). The Commission has produced

these reports and they show that the transfer is accounted for as part of the rail carrier portion of funds.

### **Cash Basis Accounting**

The second accounting issue comes from the statutory provision which states: “In entering orders for projects for which payments from the Grade Crossing Protection Fund will be made, the Commission shall account for expenditures authorized by the orders on a cash rather than an accrual basis.” It goes on to define that:

For purposes of this requirement an "accrual basis" assumes that the total cost of the project is expended in the fiscal year in which the order is entered, while a "cash basis" allocates the cost of the project among fiscal years as expenditures are actually made (35 ILCS 505/8(c)).

This provision was an attempt to resolve a problem that the Commission had experienced. Prior to Fiscal Year 1997, for large projects that could take several years to complete, the total dollar amount would be obligated when the Order was entered. This could result in large dollar amounts being obligated years before the money was actually needed and could have contributed to the large fund balances in the GCPF. In the 2000 Crossing Safety Improvement Program, the ICC refers to this “cash basis” requirement as managing the Grade Crossing Protection Fund on a cash flow basis. The Program notes that this enables the Commission to increase the number of projects it orders and better match cash inflows with expenditures.

Currently the Commission splits some projects into phases, with each phase being initiated by a separate Order. In some Orders, it has been noted that the Commission intends to fund the full project but that only this portion is being ordered at this time.

### **Cost of Rail Safety Administration**

Although statutes create a complex flow of funding for Grade Crossing Protection Fund administrative expenditures, the ICC appears to be in compliance with the third statutory provision related to accounting issues. Administrative expenditures for the Grade Crossing Protection Fund Program are paid from the Transportation Regulatory Fund. The applicable section of the Motor Fuel Tax Law (35 ILCS 505/8(c)), describes how administrative expenditures will be paid. It states that amounts:

...shall be transferred to the Transportation Regulatory Fund and shall be accounted for as part of the rail carrier portion of such funds and shall be used to pay the cost of administration of the Illinois Commerce Commission's railroad safety program in connection with its duties under subsection (3) of Section 18c-7401 of the Illinois Vehicle Code.

The ICC is responsible for administering a rail safety program. Over the years the amount transferred to support the administration of rail safety at the ICC has increased. From Fiscal Years 1993 to 1996, the annual transfer was \$750,000; from Fiscal Years 1997 through 2000, the annual transfer was

Exhibit 4-2 <b>GRADE CROSSING PROTECTION FUND TRANSFERS TO THE TRANSPORTATION REGULATORY FUND</b>	
Fiscal Years 1993 through 1996	\$ 750,000
Fiscal Years 1997 through 2000	\$1,500,000
Fiscal Years 2001 through 2004	\$2,250,000
Source: Motor Fuel Tax Law (35 ILCS 505/8(c)).	

\$1,500,000; and from Fiscal Years 2001 through 2004, the transfer was \$2,250,000. These amounts are shown in Exhibit 4-2. The statute that guides the revenues and expenditures within the Transportation Regulatory Fund is the Illinois Vehicle Code (625 ILCS 5/18c-1601 and 1603).

Other revenues going into the TRF are from taxes and fees levied against rail or motor carriers. Expenditures are to be tracked separately by class which allows for direct expenditures plus allocation of expenditures within the TRF between rail and motor carrier, plus allocation of expenditures from outside of the Fund to rail and motor carrier functions. (625 ILCS 5/18c-1603). These allocations are tested on a sample basis during regular OAG financial and compliance audits of the Illinois Commerce Commission. The transfer from the Grade Crossing Protection Fund is to be used to pay the cost of administration of the Illinois Commerce Commission's railroad safety program and cites a specific section of the Vehicle Code. That section (subsection (3) of Section 18c-7401) describes the Commerce Commission's responsibilities related to railroad crossings and their safety. So the transfer is for the rail crossing portion of the rail safety program.

Although the Vehicle Code specifies tracking revenues as well as tracking and allocating expenditures into rail and motor carrier, it does not require tracking related to rail crossings. However, rail crossings involve both rail and motor carrier. Therefore a determination that expenditures are for specified purposes is somewhat difficult.

To review compliance with the Motor Fuel Tax Law requirement that the transfer be used for rail safety related to rail crossings, we analyzed expenditures from the Transportation Regulatory Fund. We looked at the estimated proportion of time rail safety staff worked on grade crossing functions to total rail safety employees (59.7% in 2002) and we looked at the estimated proportion of time rail safety staff worked on grade crossing functions to total transportation employees (22.5% in 2002). We used those proportions to estimate the portion of direct rail expenditures that were grade crossing and the proportion of allocated rail expenditures that were grade crossing. For both Fiscal Years 2001 and 2002, the amount of apportioned grade crossing expenditures was more than the \$2.25 million transfer for rail safety which is required to be used for grade crossing safety. Although this is an estimated amount, it shows that the transfer is used for rail safety expenditures related to rail crossings as required by statute.

Exhibit 4-3 shows a calculation of estimated expenditures which can be compared to the administrative transfer.

Exhibit 4-3 <b>TOTAL ESTIMATED GRADE CROSSING SAFETY EXPENDITURES</b> Dollars in Millions		
	FY2001	FY2002
ICC Direct Rail Expenditures	\$3.2	\$3.0
Times Ratio of Grade Crossing Proportional Staff to Rail Staff	$(14.7 / 25) = 59.0\%$	$(15.5 / 26) = 59.7\%$
<b>Equals Grade Crossing Safety Portion of Direct Rail</b>	<b><u>\$1.9</u></b>	<b><u>\$1.8</u></b>
Allocated Transportation Expenditures	\$6.0	\$5.5
Times Ratio of Grade Crossing Proportional Staff to Transportation Staff	$(14.7 / 50) = 29.5\%$	$(15.5 / 69) = 22.5\%$
<b>Equals Grade Crossing Safety Portion of Allocated Transportation</b>	<b><u>\$1.8</u></b>	<b><u>\$1.2</u></b>
<b>Total Estimated Grade Crossing Safety Expenditures</b>	<b><u>\$3.6</u></b>	<b><u>\$3.0</u></b>
Note: Some calculation results are off due to rounding.		
Source: ICC data analyzed by OAG.		

## REGULATION OF RAIL AND RAIL CROSSINGS

The Illinois Commerce Commission also has clear statutory responsibility for regulation of rail safety and rail crossings (625 ILCS 5/18c-7401). This includes a number of important functions that help to ensure rail safety. One area with important grade crossing safety functions is the project engineering review and approval process that is part of doing grade improvement projects. A second area with important functions relates to responsibility to investigate rail crossings before or after safety problems occur. The investigation responsibility is discussed in the following section.

The ICC's project engineering review and approval process establishes that the warning device is adequate. Statutes state that:

Luminous flashing signal or crossing gate devices installed at grade crossings, which have been approved by the Commission, shall be deemed adequate and appropriate (625 ILCS 5/18c-7401 (3)).

In the case of a grade crossing accident, this could insulate a railroad from liability for damage. A United States Supreme Court decision established that a more extensive immunity is

available if federal funds are involved in approved crossing devices (*Norfolk Southern R. Co. v. Shanklin*, 529 U. S. 344 (2000)). This makes it even more important that the ICC staff assure that crossings device upgrades are appropriate.

### **Project Specification Review**

In the course of approving a grade crossing project, the Commerce Commission staff have opportunities to review project plans to assure that they are adequate to protect the public safety and to assure that costs and terms of the project are reasonable and necessary. Because of the citation noted above, it is important that ICC staff assure that the crossing safety devices are adequate to protect the public.

ICC review can also result in cost savings for the State from the Grade Crossing Protection Fund. In an example provided by ICC staff, a project specification review resulted in a cost savings of \$2.7 million. The savings resulted because initial plans included upgrades for more crossings that ICC staff determined were not reasonable and necessary to protect the public safety.

As noted in Chapter Two, ICC staff could do more to assure that the rail crossing safety technical staff, who do the initial review, also assure that completed projects have been done according to those specifications and are operating properly.

### **Investigations**

The Illinois Vehicle Code also gives the Illinois Commerce Commission responsibility for several types of investigations but the ICC could do more to assure investigations are done. The Commission has general power to administer and enforce provisions included in the applicable chapter of the Vehicle Code. Rail safety statutes require that rail carriers construct, maintain, and operate all of their equipment, track, and other property in Illinois in such a manner as to pose no undue risk to their employees or the person or property of any member of the public. The Commission's general authority includes inspections that Commission staff do related to such things as track safety and signal inspections. (625 ILCS 5/18c-7401)

In addition, the ICC has the general authority to require installation of adequate equipment to safeguard the health and safety of the public based on its own information or based on a complaint, after proper investigation. This general authority is also specified for crossings where investigations which might lead to requiring installation of interconnects. It also has responsibility relating to hazardous materials and specific responsibility related to the investigation of accidents.

### **Investigation of Accidents**

The Illinois Vehicle Code requires rail carriers to report promptly to the Commission any accident involving their equipment, track, or other property which resulted in loss of life to any person. In addition, such carriers must file a written report with the Commission. The Vehicle Code requires strict control over these reports, requiring that:

Reports submitted under this paragraph shall be strictly confidential, shall be specifically prohibited from disclosure, and shall not be admissible in any administrative or judicial proceeding relating to the accidents reported (625 ILCS 5/18c-7402 (3)(a)).

Statutes allow but do not require the Commission to investigate all railroad accidents involving fatalities reported by railroads. In the same section they allow the Commission to investigate other accidents about which it acquires knowledge independent of reports made by rail carriers (625 ILCS 5/18c-7402 (3)(b)). Based on those investigations the Commission can enter temporary Orders to minimize the risk of future accidents. The Commission staff generally investigate accidents involving fatalities but do not routinely investigate other accidents.

**Signal Failures**

The Commerce Commission staff are not notified when signal failures occur. During the course of our audit, ICC staff told us that for 2002 Illinois ranked first in the nation in the number of railroad crossing signal failures reported to the Federal Railway Administration. We obtained that data but because Illinois has more at-grade crossings than all but one other state, it may not be an appropriate comparison. However, it does raise great concern. Currently the ICC does not get copies of these failure reports. ICC should work to try to make sure that the reports are received. Proper investigations of accidents, failures, and complaints are an important way that the ICC Rail Safety Section staff can assure that they meet their responsibility for assuring that adequate warning devices are in place, and which projects or types of projects should be funded.

<b>INVESTIGATE RAIL ACCIDENTS</b>	
<b>RECOMMENDATION</b>  <b>7</b>	<i>The Illinois Commerce Commission staff should assure that they receive reports on failures, accidents, and complaints and then investigate them appropriately. This should help them to fulfill their statutory responsibility of assuring that adequate warning devices are in place at grade crossings.</i>
<b>ILLINOIS COMMERCE COMMISSION RESPONSE</b>	ICC agrees with the recommendation. The ICC now receives this information from the Federal Railroad Administration concerning grade crossing signal failure incidents that occur in Illinois. The ICC investigates all grade crossing complaints received and all train/vehicle grade crossing collisions that result in loss of life. ICC investigations of fatal grade crossing collisions include a thorough review of the adequacy of the existing warning devices, and whether existing conditions at the crossings are in compliance with state and federal rail safety rules and regulations. Inadequate funding prevents the ICC from investigating all grade-crossing collisions.

**COLLISION AND FATALITY RATES**

In Fiscal Year 2002, there were a total of 183 collisions at public rail crossings in Illinois. ICC collects collision data on a calendar year basis and its data show that in calendar year 2002, there were a total of 155 accidents at public rail crossings in Illinois. This was the lowest number of accidents that had been recorded in Illinois. Exhibit 4-4 shows ICC's data on highway-rail accidents for ten years. The majority of grade crossing collisions involve trains hitting vehicles at a crossing. However, each year a substantial number of collisions involve motor vehicles driving into the sides of moving trains or train and pedestrian accidents. In Fiscal Year 2001, 26 percent and in Fiscal Year 2002, 24 percent of collisions involved a vehicle hitting a train.

Total fatalities resulting from collisions at highway-rail crossings in Illinois decreased from 28 in 2001 to 24 in 2002. According to ICC documents, however, fatality statistics are not a particularly good measure of safety threats or conditions. Collision related fatalities are a function of random events, such as the number of occupants riding in a vehicle involved in a collision, or multiple fatalities involved in a single incident. Exhibit 4-5 shows the distribution of fatalities by collision type in 2001 and 2002. Exhibit 4-6 shows a map with the counties which had collisions and fatalities for Fiscal Years 2001 and 2002 combined. In addition, Appendix D includes crossing data by county, including collisions and fatalities.

Exhibit 4-4 <b>ILLINOIS HIGHWAY-RAIL CROSSING ACCIDENTS</b> 1993 to 2002	
<u>Year</u>	<u>Accidents</u>
1993	272
1994	286
1995	263
1996	203
1997	189
1998	178
1999	176
2000	195
2001	188
2002	155

Source: ICC data.

Exhibit 4-5 <b>HIGHWAY-RAIL COLLISIONS AND FATALITIES BY TYPE</b> Fiscal Years 2001 and 2002						
Collision Type	2001			2002		
	Total Collisions	Total Injuries	Total Fatalities	Total Collisions	Total Injuries	Total Fatalities
Train Hits Vehicle	132	48	18	123	54	8
Vehicle Hits Train	52	17	4	44	21	4
Pedestrian	<u>14</u>	<u>6</u>	<u>6</u>	<u>16</u>	<u>4</u>	<u>12</u>
<b>Total</b>	<u>198</u>	<u>71</u>	<u>28</u>	<u>183</u>	<u>79</u>	<u>24</u>

Source: ICC data summarized by OAG.



A collision may be an indication that warning devices at a crossing need to be upgraded. However, analysis of collision data show that of the collisions reported in Fiscal Years 2001 and 2002, the majority (73%) occurred at signalized crossings. This demonstrates that additional safety improvements may be required at crossings equipped with automatic warning devices even though only 36 percent of Illinois public at-grade crossings have only a crossbuck sign as the warning device. Motor vehicle and train traffic, along with collision statistics, are among the important criteria that need to be considered when selecting which crossings to upgrade warning devices.



**Crossbuck**

# APPENDICES



APPENDIX A  
LAC Resolution Number 123



## Legislative Audit Commission

### RESOLUTION NO. 123

Presented by Representative Curry

WHEREAS, the Grade Crossing Protection Fund has been established by statute to be used for specified purposes;

WHEREAS, authorized uses of the Grade Crossing Protection Fund include the construction or reconstruction of rail highway grade separation structures, statutory transfers to pay the Illinois Commerce Commission's costs in administering its railroad safety program, and payment of costs apportioned by the Illinois Commerce Commission to the Illinois Department of Transportation for expenses related to the separation, installation, construction, reconstruction or relocation of grade crossings used in highways, roads or streets in the county highway system, township and district road system or municipal street system;

WHEREAS, the essential purpose of such expenditures is to protect the public safety;

WHEREAS, according to Comptroller's records, over \$27 million was expended from the Grade Crossing Protections Fund in Fiscal Year 2001:

WHEREAS, those records also show over \$33 million has been expended to date from the Grade Crossing Protection Fund in Fiscal Year 2002; therefore be it

RESOLVED, BY THE LEGISLATIVE AUDIT COMMISSION that the Auditor General is directed to conduct a management audit of expenditures from the Grade Crossing Protection Fund; and be it further

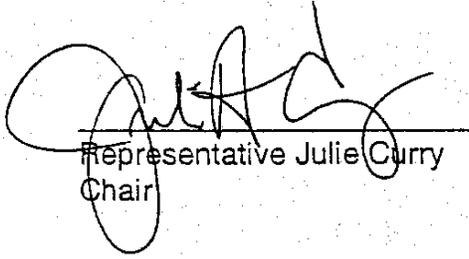
RESOLVED, that the audit include but not be limited to, the following determinations:

- The amount and purpose of expenditures and transfers from the Grade Crossing Protection Fund in Fiscal Years 2001 and 2002, including administrative versus construction-related costs; and
- Whether expenditures and transfers from the Grade Protection Fund made in Fiscal Years 2001 and 2002 appeared to be in conformity with applicable statutes;

BE IT FURTHER RESOLVED, that the Illinois Commerce Commission, the Illinois Department of Transportation and any other entity that may have relevant information pertaining to this audit cooperate fully and promptly with the Auditor General's Office in the conduct of this audit; and be it further

RESOLVED, that the Auditor General commence this audit as soon as possible and report his findings and recommendations upon completion in accordance with the provisions of Section 3-14 of the Illinois State Auditing Act.

Adopted this 12<sup>th</sup> day of July, 2002.



Representative Julie Curry  
Chair

# APPENDIX B

## Audit Sampling and Methodology



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# APPENDIX B

## AUDIT SAMPLING AND METHODOLOGY

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This audit was conducted in accordance with generally accepted government auditing standards and the audit standards promulgated by the Office of the Auditor General at 74 Ill. Adm. Code 420.310.

Initial work began on this audit in 2002 and fieldwork was conducted from April to July 2003. We interviewed representatives of the Illinois Commerce Commission (ICC) and the Department of Transportation (IDOT). We reviewed documents at both agencies and examined draft ICC policies and procedures, along with published plans, ICC orders, project files, expenditure files, and audits. We also examined the processes used to select projects and to reimburse expenditures for projects. We also reviewed internal controls over the selection and expenditure processes. We tested a sample of cases from Fiscal Year 2002 and analyzed electronic data from Fiscal Years 2001 and 2002.

We reviewed the previous financial and compliance audits released by the Office of the Auditor General for the Illinois Commerce Commission and the Department of Transportation for issues relating to the Grade Crossing Protection Fund. We assessed risk and management controls by reviewing ICC and Transportation internal documents and processes. We reviewed management controls relating to the audits objectives established in Legislative Audit Commission Resolution 123 (see Appendix A). This audit identified some weaknesses in those controls which are included as recommendations in this report.

In conducting the audit, we reviewed applicable State and federal statutes and draft policies and procedures. We reviewed compliance with applicable laws as directed by the resolution. Any instances of non-compliance we identified are noted as recommendations in this report.

### **TESTING AND ANALYTICAL PROCEDURES**

We randomly selected 15 projects from the 191 projects that had expenditures in either FY 2001 or FY 2002 to review. From those 15, we tested 10 where the project contained only one crossing and was closed. We tested the files at both IDOT and ICC. As a part of testing, we reviewed the file contents and the appropriateness of the expenditures. In addition, we tested compliance with the ICC Order in regard to the receipt of progress reports, cost estimates, plans, and time requirements for project completion.



APPENDIX C  
Grade Crossing Projects with Expenditures  
During Fiscal Year 2001 or 2002  
by County

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Adams	Quincy	Grade Separation	97-0090	1999		
Adams	Quincy	Grade Separation	97-0090	1999		
Adams	Quincy	Grade Separation	97-0090	1999		
Adams	Quincy	Grade Separation	97-0090	1999	\$2,278,037	\$99,819
Alexander	Gale (Near)	AFLS/G, CWT, Sur	99-0103	2000	\$121,719	
Bond	Smithboro (Near)	AFLS/Gates, CWT	98-0052	1998	\$255,423	\$189,709
Bond	Hookdale/Tamalco	AFLS/G, CWT,CnRd	T01-0028	2002	\$381,967	
Carroll	Thomson	AFLS/G, CWT, App	99-0088	2000		
Carroll	Thomson	AFLS/G, CWT, App	99-0088	2000	\$150,145	\$62,986
Cass	Beardstown	AFLS/Gates, CWT	98-0097	1999	\$364,941	\$254,561
Cass	Arenzville	AFLS/G, CWT, Sur	99-0024	1999	\$109,485	\$56,141
Champaign	Sidney (Near)	AFLS/Gates, CWT	98-0045	1999	\$283,018	\$259,320
Champaign	St. Joseph (Near)	AFLS/Gates, App	99-0012	1999		
Champaign	St. Joseph (Near)	AFLS/Gates, App	99-0012	1999	\$225,137	\$17,340
Champaign	Sidney (Near)	AFLS/Gates, CWT	99-0031	1999	\$117,388	\$92,560
Champaign	Homer (Near)	AFLS/G, CWT, App	99-0104	2000		
Champaign	Homer (Near)	AFLS/G, CWT, App	99-0104	2000	\$113,720	\$56,532
Champaign	Homer/Sidney RD	AFLS/G, CWT, App	99-0124	2000		
Champaign	Homer/Sidney RD	AFLS/G, CWT, App	99-0124	2000		
Champaign	Homer/Sidney RD	AFLS/G, CWT, App	99-0124	2000		
Champaign	Homer/Sidney RD	AFLS/G, CWT, App	99-0124	2000	\$136,071	
Champaign	Sidney (Near)	AFLS/G, CWT, App	T01-0041	2001	\$113,810	
Christian	Pana	AFLS/Gates, CWT	T00-0065	2001		
Christian	Pana	AFLS/Gates, CWT	T00-0065	2001	\$494,263	
Clark	McKeen (Near)	AFLS/Gates, CWT	97-0012	1998		
Clark	McKeen (Near)	AFLS/Gates, CWT	97-0012	1998	\$356,818	\$115,774

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Sparks & Wiewel Const Co	\$200,633	2001	NO	pre plan	1/4	97-0090
City of Quincy	\$480,112	2001	NO	pre plan	2/4	97-0090
Sparks & Wiewel Const Co	\$1,159,207	2002	NO	pre plan	3/4	97-0090
City of Quincy	\$17,654	2002	NO	pre plan	4/4	97-0090
Union Pacific Railroad Co	\$121,719	2001	2001	2000	1/1	99-0103
Burlington Northern & Santa Fe	\$215	2001	2001	pre plan	1/1	98-0052
Burlington Northern & Santa Fe	\$57,379	2002	NO	pre plan	1/1	T01-0028
Burlington Northern & Santa Fe	\$44,761	2001	NO	2000	1/2	99-0088
Village of Thomson	\$20,400	2002	NO	2000	2/2	99-0088
Burlington Northern & Santa Fe	\$2,814	2001	2001	pre plan	1/1	98-0097
Burlington Northern & Santa Fe	\$24,663	2001	NO	pre plan	1/1	99-0024
Union Pacific Railroad Co	\$12,283	2001	NO	pre plan	1/1	98-0045
Union Pacific Railroad Co	\$159,273	2001	NO	2000	1/2	99-0012
Champaign County Treasurer	\$2,741	2001	NO	2000	2/2	99-0012
Union Pacific Railroad Co	\$10,893	2001	NO	pre plan	1/1	99-0031
Norfolk Southern Railway Co	\$20,920	2001	NO	2000	1/2	99-0104
S Homer Township Road District	\$18,720	2001	NO	2000	2/2	99-0104
Norfolk Southern Railway Co	\$112,706	2001	NO	pre plan	1/4	99-0124
S Homer Township Road District	\$6,286	2001	NO	pre plan	2/4	99-0124
Sidney Road District	\$6,285	2001	NO	pre plan	3/4	99-0124
Norfolk Southern Railway Co	\$3,383	2002	2002	pre plan	4/4	99-0124
Norfolk Southern Railway Co	\$104,151	2002	NO	special	1/1	T01-0041
Union Pacific Railroad Co	\$18,248	2001	NO	2000	1/2	T00-0065
Union Pacific Railroad Co	\$476,015	2002	2002	2000	2/2	T00-0065
CSX Transportation Inc	\$80,081	2001	NO	pre plan	1/2	97-0012
CSX Transportation Inc	\$46,436	2002	2002	pre plan	2/2	97-0012

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Clark	Martinsville	Add Gates	98-0022	1998	\$5,360	\$788
Clark	McKeen (Near)	AFLS/Gates, CWT	99-0027	1999	\$134,805	
Clinton	Germantown (Near)	AFLS/Gates, CWT	99-0095	2000	\$27,039	
Coles	Mattoon	CWT Circuitry	98-0091	1999	\$40,980	
Coles	Mattoon	Grade Separation	T00-0056	2001		
Coles	Mattoon	Grade Separation	T00-0056	2001	\$1,284,042	
Cook	Chicago	AFLS & Gates	96-0081	1997	\$60,350	\$33,235
Cook	Chicago	Grade Separation LP	98-0058	1998		
Cook	Chicago	Grade Separation LP	98-0058	1998	\$1,023,688	\$960,232
Cook	Chicago	Grade Separation	98-0061	1999		
Cook	Chicago	Grade Separation	98-0061	1999	\$662,788	\$392,987
Cook	Chicago	Grade Separation	98-0104	1999		
Cook	Chicago	Grade Separation	98-0104	1999	\$976,845	
Cook	Chicago	Grade Separation LP	99-0090	2000	\$594,345	
Cook	Chicago	Grade Separation LP	99-0106	2000	\$939,000	
Cook	Chicago	Grade Separation LP	T00-0058	2001	\$744,454	
Cook	Chicago	Grade Separation LP	T00-0064	2001		
Cook	Chicago	Grade Separation LP	T00-0064	2001	\$1,176,914	
Cook	Chicago	Grade Separation LP	T00-0081	2001	\$1,017,662	
Cook	Chicago	Grade Separation LP	T00-0094	2001	\$870,915	
Cook	Cicero	Grade Separation	97-0056	1998		
Cook	Cicero	Grade Separation	97-0056	1998		
Cook	Cicero	Grade Separation	97-0056	1998		
Cook	Cicero	Grade Separation	97-0056	1998	\$4,531,008	\$3,145,446
Cook	Des Plaines	Interconnects	98-0068	1999	\$262,493	\$180,557
Cook	Glencoe	Interconnect	99-0118	2000		

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
CSX Transportation Inc	\$2,585	2001	2001	pre plan	1/1	98-0022
CSX Transportation Inc	\$66,503	2002	2002	pre plan	1/1	99-0027
Norfolk Southern Railway Co	\$21,101	2001	2002	2000	1/1	99-0095
Illinois Central Railroad Co	\$27,092	2001	2001	pre plan	1/1	98-0091
A J Walker Construction Co	\$101,590	2001	NO	2001	1/2	T00-0056
A J Walker Construction Co	\$932,452	2002	NO	2001	2/2	T00-0056
Norfolk Southern Railway Co	\$23,481	2002	2002	pre plan	1/1	96-0081
City of Chicago Dept of Revenue	\$33,950	2001	NO	pre plan	1/2	98-0058
City of Chicago Dept of Revenue	\$29,506	2002	2002	pre plan	2/2	98-0058
City of Chicago Dept of Revenue	\$29,910	2001	NO	pre plan	1/2	98-0061
City of Chicago Dept of Revenue	\$31,796	2002	NO	pre plan	2/2	98-0061
City of Chicago Dept of Revenue	\$943,811	2001	NO	pre plan	1/2	98-0104
City of Chicago Dept of Revenue	\$3,426	2002	2002	pre plan	2/2	98-0104
City of Chicago Dept of Revenue	\$502,496	2002	NO	pre plan	1/1	99-0090
City of Chicago Dept of Revenue	\$939,000	2001	2001	pre plan	1/1	99-0106
City of Chicago Dept of Revenue	\$740,937	2002	NO	pre plan	1/1	T00-0058
City of Chicago Dept of Revenue	\$255,042	2001	NO	2001	1/2	T00-0064
City of Chicago Dept of Revenue	\$139,306	2002	NO	2001	2/2	T00-0064
City of Chicago Dept of Revenue	\$591,000	2002	NO	2001	1/1	T00-0081
City of Chicago Dept of Revenue	\$616,562	2002	NO	pre plan	1/1	T00-0094
Dunnet Bay Construction Co	\$121,343	2001	NO	pre plan	1/4	97-0056
Town of Cicero	\$10,449	2001	NO	pre plan	2/4	97-0056
Dunnet Bay Construction Co	\$223,918	2002	2002	pre plan	3/4	97-0056
Town of Cicero	\$10,463	2002	2002	pre plan	4/4	97-0056
Union Pacific Railroad Co	\$20,014	2001	2002	pre plan	1/1	98-0068
Union Pacific Railroad Co	\$40,885	2001	2002	2000	1/3	99-0118

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Cook	Glencoe	Interconnect	99-0118	2000		
Cook	Glencoe	Interconnect	99-0118	2000	\$1,310,367	
Cook	Glenwood	Interconnect	99-0117	2000		
Cook	Glenwood	Interconnect	99-0117	2000	\$252,440	
Cook	Lemont	Interconnect	T00-0018	2000	\$26,970	
Cook	Maywood	Radar Detection Sys	T01-0054	2002	\$341,881	
Cook	Mt. Prospect	CWT, Interconnect	99-0006	1999	\$962,765	\$665,738
Cook	North Chicago	Cant AFLS/G, Intrc	98-0092	1999	\$151,744	\$143,766
Cumberland	Neoga (Near)	AFLS/Gates, CWT	98-0039	1998	\$62,562	\$54,514
De Kalb	Kingston	Repl Drainage Str	99-0022	1999	\$546,985	\$454,020
De Kalb	Cortland	Median Barriers	T00-0005	2000	\$27,522	
Du Page	Bloomingtondale	AFLS/Gates, CWT	98-0044	1999		
Du Page	Bloomingtondale	AFLS/Gates, CWT	98-0044	1999	\$83,925	
Du Page	Woodridge	Cant AFLS, CWT	98-0064	1999	\$140,797	\$112,555
Du Page	Elmhurst	AFLS/Gates, CWT	98-0082	1999	\$518,382	\$435,959
Du Page	West Chicago	AFLS/Gates, Sur	99-0028	2000	\$55,884	
Du Page	Bensenville	Interconnect	99-0039	2000		
Du Page	Bensenville	Interconnect	99-0039	2000	\$142,445	
Du Page	Naperville	Video Detection Sys	99-0067	2000	\$296,200	
Du Page	Hanover Park	Rel AFLS/G, Add G	99-0094	2000		
Du Page	Hanover Park	Rel AFLS/G, Add G	99-0094	2000	\$91,420	\$26,605
Du Page	Downers Grove	Interconnect	99-0112	2000		
Du Page	Downers Grove	Interconnect	99-0112	2000		
Du Page	Downers Grove	Interconnect	99-0112	2000		
Du Page	Downers Grove	Interconnect	99-0112	2000	\$829,018	
Du Page	Addison	Interconnect	99-0115	2000		

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Village of Glencoe	\$8,864	2002	2002	2000	2/3	99-0118
Union Pacific Railroad Co	\$1,255,982	2002	2002	2000	3/3	99-0118
Union Pacific Railroad Co	\$122,941	2001	NO	pre plan	1/2	99-0117
Union Pacific Railroad Co	\$6,575	2002	NO	pre plan	2/2	99-0117
Illinois Central Railroad Co	\$8,607	2002	NO	2000	1/1	T00-0018
Union Pacific Railroad Co	\$191,746	2002	NO	special	1/1	T01-0054
Union Pacific Railroad Co	\$30,710	2001	NO	pre plan	1/1	99-0006
Union Pacific Railroad Co	\$7,979	2001	2001	pre plan	1/1	98-0092
Illinois Central Railroad Co	\$3,833	2001	2001	pre plan	1/1	98-0039
Chicago Central & Pacific RR	\$14,609	2001	2002	pre plan	1/1	99-0022
Town of Cortland	\$27,522	2001	2001	special	1/1	T00-0005
Chicago Central & Pacific RR	\$51,128	2001	NO	pre plan	1/2	98-0044
Chicago Central & Pacific RR	\$7,081	2002	NO	pre plan	2/2	98-0044
Burlington Northern & Santa Fe	-\$46	2001	2001	pre plan	1/1	98-0064
Chicago Central & Pacific RR	\$373	2001	2001	pre plan	1/1	98-0082
Union Pacific Railroad Co	\$26,539	2001	2002	pre plan	1/1	99-0028
C P Rail System	\$132,117	2001	NO	pre plan	1/2	99-0039
C P Rail System	\$10,328	2002	2002	pre plan	2/2	99-0039
Burlington Northern & Santa Fe	\$277,000	2001	NO	pre plan	1/1	99-0067
Chicago Central & Pacific RR	\$21,516	2001	NO	pre plan	1/2	99-0094
Chicago Central & Pacific RR	\$62,759	2002	2002	pre plan	2/2	99-0094
Burlington Northern & Santa Fe	\$441,487	2001	NO	2000	1/4	99-0112
Burlington Northern & Santa Fe	\$40,916	2001	NO	2000	2/4	99-0112
Burlington Northern & Santa Fe	\$137,193	2002	NO	2000	3/4	99-0112
Burlington Northern & Santa Fe	\$15,808	2002	NO	2000	4/4	99-0112
Village of Addison	\$6,898	2001	NO	pre plan	1/2	99-0115

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Du Page	Addison	Interconnect	99-0115	2000	\$34,870	
Du Page	Wheaton/Winfield	Interconnect	99-0119	2000		
Du Page	Wheaton/Winfield	Interconnect	99-0119	2000	\$1,413,175	
Du Page	Winfield (Near)	Video Detection Sys	99-0121	2000	\$344,116	
Du Page	Addison	AFLS/Gates, CWT	T00-0016	2000		
Du Page	Addison	AFLS/Gates, CWT	T00-0016	2000	\$46,028	
Du Page	Wheaton	Grade Separation	T00-0038	2001		
Du Page	Wheaton	Grade Separation	T00-0038	2001		
Du Page	Wheaton	Grade Separation	T00-0038	2001	\$9,000,000	
Edgar	Paris	Grade Separation	98-0077	2001		
Edgar	Paris	Grade Separation	98-0077	2001	\$1,666,595	
Edwards	Browns (Near)	AFLS/Gates, CWT	99-0096	2000	\$32,091	\$25,864
Edwards	Ellery (Near)	AFLS/G, CnRd, App	T00-0015	2001		
Edwards	Ellery (Near)	AFLS/G, CnRd, App	T00-0015	2001	\$396,450	
Effingham	Effingham	Grade Separation	97-0028	1998		
Effingham	Effingham	Grade Separation	97-0028	1998		
Effingham	Effingham	Grade Separation	97-0028	1998		
Effingham	Effingham	Grade Separation	97-0028	1998		
Effingham	Effingham	Grade Separation	97-0028	1998	\$5,364,600	\$961,791
Effingham	Effingham	AFLS/Gates, CWT	98-0049	1998		
Effingham	Effingham	AFLS/Gates, CWT	98-0049	1998	\$176,439	
Effingham	Effingham	Interconnect	99-0077	2000		
Effingham	Effingham	Interconnect	99-0077	2000		
Effingham	Effingham	Interconnect	99-0077	2000	\$332,833	
Effingham	Teutopolis (Near)	AFLS/G, CWT, App	T00-0010	2000		
Effingham	Teutopolis (Near)	AFLS/G, CWT, App	T00-0010	2000	\$73,674	

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Village of Addison	\$20,102	2002	2002	pre plan	2/2	99-0115
Union Pacific Railroad Co	\$13,624	2001	NO	2000	1/2	99-0119
Union Pacific Railroad Co	\$1,167,360	2002	2002	2000	2/2	99-0119
Du Page County Treasurer	\$320,116	2002	NO	pre plan	1/1	99-0121
Chicago Central & Pacific RR	\$23,390	2001	NO	pre plan	1/2	T00-0016
Chicago Central & Pacific RR	\$22,638	2002	2002	pre plan	2/2	T00-0016
Union Pacific Railroad Co	\$37,828	2001	NO	2001	1/3	T00-0038
Du Page County Treasurer	\$3,020,000	2002	NO	2001	2/3	T00-0038
Union Pacific Railroad Co	\$820,931	2002	NO	2001	3/3	T00-0038
City of Paris	\$27,859	2001	NO	pre plan	1/2	98-0077
City of Paris	\$28,545	2002	NO	pre plan	2/2	98-0077
Norfolk Southern Railway Co	\$152	2001	2002	2000	1/1	99-0096
Norfolk Southern Railway Co	\$168,838	2002	NO	special	1/2	T00-0015
Edwards County Treasurer	\$152,918	2002	NO	special	2/2	T00-0015
Freesen Inc	\$2,988,291	2001	NO	pre plan	1/5	97-0028
Freesen Inc	\$150,000	2001	NO	pre plan	2/5	97-0028
City of Effingham	\$501,931	2001	NO	pre plan	3/5	97-0028
CSX Transportation Inc	\$54,600	2002	NO	pre plan	4/5	97-0028
City of Effingham	\$247,822	2002	NO	pre plan	5/5	97-0028
CSX Transportation Inc	\$168,635	2001	NO	pre plan	1/2	98-0049
CSX Transportation Inc	\$582	2002	2002	pre plan	2/2	98-0049
City of Effingham	\$120,901	2001	NO	pre plan	1/3	99-0077
Illinois Central Railroad Co	\$149,324	2002	NO	pre plan	2/3	99-0077
City of Effingham	\$15,468	2002	NO	pre plan	3/3	99-0077
CSX Transportation Inc	\$36,820	2001	NO	2000	1/2	T00-0010
St. Francis Township	\$20,648	2001	NO	2000	2/2	T00-0010

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Effingham	Teutopolis (Near)	AFLS/G, CWT, App	T00-0011	2000		
Effingham	Teutopolis (Near)	AFLS/G, CWT, App	T00-0011	2000	\$65,081	
Effingham	Holland (Near)	AFLS/G, CWT, App	T01-0046	2002	\$175,750	
Fayette	St. Elmo	AFLS/Gates, CWT	99-0016	1999	\$129,712	\$50,721
Ford	Paxton	Grade Separation	98-0059	1999	\$767,581	\$741,942
Ford	Paxton (Near)	AFLS/Gates, CWT	T00-0052	2001	\$34,355	
Franklin	Boothby (Near)	Grade Separation	98-0116	1999		
Franklin	Boothby (Near)	Grade Separation	98-0116	1999		
Franklin	Boothby (Near)	Grade Separation	98-0116	1999	\$323,907	
Franklin	Benton	AFLS/Gates, CWT	99-0079	2000		
Franklin	Benton	AFLS/Gates, CWT	99-0079	2000	\$32,925	
Franklin	Ina (Near)	AFLS/Gates, CWT	99-0097	2000	\$94,685	
Franklin	Zeigler	AFLS/G, CWT, App	99-0128	2000		
Franklin	Zeigler	AFLS/G, CWT, App	99-0128	2000		
Franklin	Zeigler	AFLS/G, CWT, App	99-0128	2000	\$246,854	
Grundy	Verona (Near)	AFLS/G, Sur, CnRd	99-0109	2000		
Grundy	Verona (Near)	AFLS/G, Sur, CnRd	99-0109	2000	\$279,417	\$11,832
Grundy	Kinsman (Near)	AFLS/Gates, CWT	T00-0059	2001		
Grundy	Kinsman (Near)	AFLS/Gates, CWT	T00-0059	2001	\$178,478	
Grundy	Kinsman (Near)	AFLS/Gates, CWT	T00-0061	2001		
Grundy	Kinsman (Near)	AFLS/Gates, CWT	T00-0061	2001	\$141,209	
Grundy	Gardner	Approaches	T01-0062	2002	\$160,218	
Hancock	Dallas City	AFLS/Gates, CWT	T00-0057	2001		
Hancock	Dallas City	AFLS/Gates, CWT	T00-0057	2001	\$213,928	
Hancock	Pontoosuc	AFLS/Gates, CWT	T00-0060	2001		
Hancock	Pontoosuc	AFLS/Gates, CWT	T00-0060	2001	\$75,452	

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<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
CSX Transportation Inc	\$22,138	2001	NO	2000	1/2	T00-0011
Jackson Township	\$24,250	2002	NO	2000	2/2	T00-0011
Union Pacific Railroad Co	\$128,531	2002	NO	special	1/1	T01-0046
Union Pacific Railroad Co	\$78,991	2001	2001	pre plan	1/1	99-0016
City of Paxton	\$31,765	2001	NO	pre plan	1/1	98-0059
Illinois Central Railroad Co	\$27,410	2002	NO	2001	1/1	T00-0052
Perry County Construction Co	\$254,163	2001	NO	pre plan	1/3	98-0116
Perry County Construction Co	\$704	2002	NO	pre plan	2/3	98-0116
Franklin County Treasurer	\$23,280	2002	NO	pre plan	3/3	98-0116
Union Pacific Railroad Co	\$20,090	2001	NO	2001	1/2	99-0079
Union Pacific Railroad Co	\$12,835	2002	2002	2001	2/2	99-0079
Union Pacific Railroad Co	\$94,684	2001	2001	2000	1/1	99-0097
City of Zeigler	\$6,909	2001	NO	pre plan	1/3	99-0128
Union Pacific Railroad Co	\$180,132	2001	NO	pre plan	2/3	99-0128
Union Pacific Railroad Co	\$10,306	2002	2002	pre plan	3/3	99-0128
Mazon Township	\$11,039	2001	NO	2000	1/2	99-0109
Burlington Northern & Santa Fe	\$42,480	2001	NO	2000	2/2	99-0109
Burlington Northern & Santa Fe	\$6,094	2001	NO	pre plan	1/2	T00-0059
Burlington Northern & Santa Fe	\$157,448	2002	NO	pre plan	2/2	T00-0059
Burlington Northern & Santa Fe	\$72,600	2001	NO	pre plan	1/2	T00-0061
Burlington Northern & Santa Fe	\$39,048	2002	NO	pre plan	2/2	T00-0061
Village of Gardner	\$3,854	2002	NO	2002	1/1	T01-0062
Burlington Northern & Santa Fe	\$57,878	2001	NO	2001	1/2	T00-0057
Burlington Northern & Santa Fe	\$144,116	2002	NO	2001	2/2	T00-0057
Burlington Northern & Santa Fe	\$39,169	2001	NO	pre plan	1/2	T00-0060
Burlington Northern & Santa Fe	\$15,061	2002	NO	pre plan	2/2	T00-0060

**Appendix C**  
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**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Hancock	Niota (Near)	AFLS/Gates, CWT	T01-0006	2001	\$119,210	
Henderson	Stronghurst (Near)	AFLS/G, CWT, GS	97-0072	1998		
Henderson	Stronghurst (Near)	AFLS/G, CWT, GS	97-0072	1998	\$735,835	\$518,992
Henderson	Lomax	CWT, Surface	T00-0114	2001	\$83,102	
Henderson	Stronghurst (In/Near)	AFLS/Gates, CWT	T01-0007	2001	\$301,207	
Iroquois	Buckley to Loda	AFLS/Gates, CWT	99-0084	2000		
Iroquois	Buckley to Loda	AFLS/Gates, CWT	99-0084	2000	\$515,619	\$1,481
Iroquois	Watseka	Interconnect	T00-0025	2001	\$34,991	
Jackson	Carbondale	Grade Separation	96-0020	1998		
Jackson	Carbondale	Grade Separation	96-0020	1998		
Jackson	Carbondale	Grade Separation	96-0020	1998	\$4,815,304	\$3,315,768
Jefferson	Mt. Vernon	AFLS/Gates, CWT	96-0017	1997	\$186,834	\$152,466
Jersey	Brighton (Near)	AFLS/G, CWT, App	T00-0007	2000	\$125,068	
Jo Daviess	Galena	Grade Separation	95-0110	1997	\$3,317,094	\$2,203,772
Johnson	Reevesville	AFLS/G, Sur, App	T00-0090	2001	\$39,066	
Kane	Geneva (Near)	Grade Separation	95-0108	1996	\$5,214,604	\$2,943,122
Kane	South Elgin (Near)	AFLS/Gates, CWT	99-0087	2000	\$148,887	
Kane	Aurora	Grade Separation	99-0093	2000	\$4,437,000	
Kankakee	Grant Park	AFLS/Gates, CWT	97-0036	1998	\$53,611	\$35,164
Kankakee	St. Anne	AFLS/Gates, CWT	97-0060	1998	\$126,773	\$93,182
Kankakee	Bourbonnais	Raised Medians, Sur	T00-0096	2001		
Kankakee	Bourbonnais	Raised Medians, Sur	T00-0096	2001	\$50,636	
Kankakee	Bourbonnais (Near)	Cant AFLS/G, Surfaces	T01-0047	2002	\$215,738	
Kendall	Plano (Near)	AFLS/Gates, CWT	99-0078	2000		
Kendall	Plano (Near)	AFLS/Gates, CWT	99-0078	2000	\$1,217,508	\$10,126
Kendall	Oswego (Near)	Grade Separation	99-0122	2000	\$3,080,000	\$528,212

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<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Burlington Northern & Santa Fe	\$94,063	2002	NO	2001	1/1	T01-0006
Burlington Northern & Santa Fe	\$58	2001	NO	pre plan	1/2	97-0072
Henderson County Treasurer	\$3,253	2001	NO	pre plan	2/2	97-0072
Burlington Northern & Santa Fe	\$66,559	2002	NO	2001	1/1	T00-0114
Burlington Northern & Santa Fe	\$212,201	2002	NO	2001	1/1	T01-0007
Illinois Central Railroad Co	\$450,375	2001	NO	2000	1/2	99-0084
Illinois Central Railroad Co	\$20,629	2002	NO	2000	2/2	99-0084
Toledo Peoria & Western Ry	\$34,991	2002	2002	pre plan	1/1	T00-0025
E T Simonds Construction Co	\$519,460	2001	NO	pre plan	1/3	96-0020
City of Carbondale	\$125,915	2001	NO	pre plan	2/3	96-0020
City of Carbondale	\$164,669	2002	NO	pre plan	3/3	96-0020
Norfolk Southern Railway Co	\$13,435	2001	2002	pre plan	1/1	96-0017
Union Pacific Railroad Co	\$125,068	2002	2002	special	1/1	T00-0007
Jo Daviess County Treasurer	\$34,647	2001	NO	pre plan	1/1	95-0110
Illinois Central Railroad Co	\$35,974	2002	NO	2001	1/1	T00-0090
Kane County Treasurer	\$2,271,482	2002	2002	pre plan	1/1	95-0108
Chicago Central & Pacific RR	\$122,021	2001	2002	pre plan	1/1	99-0087
Burlington Northern & Santa Fe	\$45,001	2001	NO	pre plan	1/1	99-0093
Village of Grant Park	\$5,578	2001	2002	pre plan	1/1	97-0036
Union Pacific Railroad Co	\$16,214	2001	2001	pre plan	1/1	97-0060
Illinois Central Railroad Co	\$7,435	2002	2002	special	1/2	T00-0096
Village of Bourbonnais	\$43,201	2002	2002	special	2/2	T00-0096
Illinois Central Railroad Co	\$40,771	2002	NO	special	1/1	T01-0047
Burlington Northern & Santa Fe	\$674,599	2001	NO	2000	1/2	99-0078
Burlington Northern & Santa Fe	\$401,277	2002	NO	2000	2/2	99-0078
Herlihy Mid-Continent Company	\$1,721,787	2001	NO	pre plan	1/1	99-0122

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<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Kendall	Bristol (Near)	AFLS/Gates, CWT	99-0123	2000		
Kendall	Bristol (Near)	AFLS/Gates, CWT	99-0123	2000	\$297,234	
Knox	Williamsfield (Near)	AFLS/Gates, CWT	98-0115	1999	\$138,052	\$129,821
Lake	Waukegan	AFLS/Gates, CWT	98-0025	1998	\$40,526	
Lake	Elgin/Huntley	Interconnects	98-0066	1999		
Lake	Elgin/Huntley	Interconnects	98-0066	1999	\$1,368,686	\$701,452
Lake	Wadsworth	AFLS/Gates, CWT	98-0070	1999	\$131,968	\$110,270
Lake	Barrington	AFLS/Gates, CWT	98-0085	1999		
Lake	Barrington	AFLS/Gates, CWT	98-0085	1999	\$122,057	\$3,948
Lake	North Chicago	AFLS/Gates, CWT	T00-0075	2001		
Lake	North Chicago	AFLS/Gates, CWT	T00-0075	2001		
Lake	North Chicago	AFLS/Gates, CWT	T00-0075	2001		
Lake	North Chicago	AFLS/Gates, CWT	T00-0075	2001	\$99,943	
Lake	Mettawa	AFLS/Gates, CWT	T00-0091	2001		
Lake	Mettawa	AFLS/Gates, CWT	T00-0091	2001	\$100,338	
Lake	Mundelein (In/Near)	Automated Horn Sys	T01-0029	2001	\$393,399	
Lawrence	Lawrenceville (Near)	AFLS/Gates, CWT	T00-0029	2000		
Lawrence	Lawrenceville (Near)	AFLS/Gates, CWT	T00-0029	2000	\$95,650	
Lee	Franklin Grove (Near)	CWT, Rel Bungalow	T01-0003	2001	\$85,293	
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996		
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996		
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996		
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996		
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996		
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996		
Livingston	Streator (Near)	G/S, AFLS	95-0024	1996	\$3,188,850	\$1,191,327

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Burlington Northern & Santa Fe	\$178,368	2001	NO	2000	1/2	99-0123
Burlington Northern & Santa Fe	\$103,588	2002	NO	2000	2/2	99-0123
Burlington Northern & Santa Fe	\$388	2001	2001	pre plan	1/1	98-0115
Elgin Joliet & Eastern Rwy Co	\$20,914	2001	2001	pre plan	1/1	98-0025
Union Pacific Railroad Co	\$432,993	2001	NO	pre plan	1/2	98-0066
Union Pacific Railroad Co	\$186,952	2002	NO	pre plan	2/2	98-0066
C P Rail System	\$21,698	2001	2001	pre plan	1/1	98-0070
Elgin Joliet & Eastern Rwy Co	\$66,479	2001	NO	pre plan	1/2	98-0085
Elgin Joliet & Eastern Rwy Co	\$10,264	2002	2002	pre plan	2/2	98-0085
Elgin Joliet & Eastern Rwy Co	\$40,646	2001	NO	2001	1/4	T00-0075
Elgin Joliet & Eastern Rwy Co	\$35,230	2001	NO	2001	2/4	T00-0075
Elgin Joliet & Eastern Rwy Co	\$2,538	2002	NO	2001	3/4	T00-0075
Elgin Joliet & Eastern Rwy Co	\$363	2002	NO	2001	4/4	T00-0075
Elgin Joliet & Eastern Rwy Co	\$74,423	2001	NO	2001	1/2	T00-0091
Elgin Joliet & Eastern Rwy Co	\$4,884	2002	NO	2001	2/2	T00-0091
Wisconsin Central LTD	\$393,399	2002	2002	2000	1/1	T01-0029
CSX Transportation Inc	\$94,393	2001	NO	2000	1/2	T00-0029
CSX Transportation Inc	\$1,257	2002	2002	2000	2/2	T00-0029
Union Pacific Railroad Co	\$70,197	2002	NO	2001	1/1	T01-0003
Central IL Contracting Corp	\$199,754	2001	NO	pre plan	1/7	95-0024
Burlington Northern & Santa Fe	\$136,071	2001	NO	pre plan	2/7	95-0024
Norfolk Southern Railway Co	\$239,602	2001	NO	pre plan	3/7	95-0024
Livingston County Treasurer	\$187,682	2001	NO	pre plan	4/7	95-0024
Central IL Contracting Corp	\$401,806	2002	NO	pre plan	5/7	95-0024
Norfolk Southern Railway Co	\$15,368	2002	NO	pre plan	6/7	95-0024
Livingston County Treasurer	\$49,589	2002	NO	pre plan	7/7	95-0024

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<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Logan	Lincoln (Near)	AFLS/Gates, CWT	99-0105	2000	\$91,461	
Logan	Mt. Pulaski	AFLS/Gates, CWT	T00-0086	2001	\$77,170	
Macoupin	Carlinville (Near)	AFLS/Gates, CWT	99-0066	2000	\$189,694	
Macoupin	Sawyerville (Near)	AFLS/G, CWT, Sur	T00-0008	2000	\$102,786	
Madison	Alton	Grade Separation	97-0050	1998	\$4,583,569	
Madison	Edwardsville (Near)	AFLS/G, App, CnRd	99-0042	2000		
Madison	Edwardsville (Near)	AFLS/G, App, CnRd	99-0042	2000	\$541,987	
Madison	Hamel	AFLS/Gates, Sur	T00-0046	2000	\$123,250	
Marion	Luka (Near)	Grade Separation	98-0016	1998	\$317,206	\$238,437
Marion	Salem	AFLS/Gates, CWT	99-0013	1999		
Marion	Salem	AFLS/Gates, CWT	99-0013	1999		
Marion	Salem	AFLS/Gates, CWT	99-0013	1999		
Marion	Salem	AFLS/Gates, CWT	99-0013	1999	\$238,540	
Marshall	Washburn (Near)	Grade Separation	98-0051	1998	\$276,000	\$239,659
McDonough	Adair (Near)	AFLS/G, CWT, App	98-0105	1999	\$144,224	\$118,409
McHenry	Harvard	AFLS & Gates, Close	98-0112	2002	\$188,642	
McHenry	Union (Near)	AFLS/Gates, CWT	99-0045	1999	\$112,892	\$88,499
McHenry	Garden Prairie (Near)	AFLS/Gates, CWT	T01-0005	2001	\$117,221	
McLean	Holder	Add Gates	98-0114	1999	\$104,975	
McLean	Bloomington	Cant AFLS/G, CWT	99-0015	1999	\$129,795	\$9,040
McLean	Bloomington	Grade Separation	99-0100	2001	\$2,087,475	
McLean	Normal	Interconnect	99-0113	2000		
McLean	Normal	Interconnect	99-0113	2000		
McLean	Normal	Interconnect	99-0113	2000	\$178,826	
McLean	Normal	Interconnect	99-0114	2000		
McLean	Normal	Interconnect	99-0114	2000	\$140,010	

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Illinois Central Railroad Co	\$71,198	2002	2002	2000	1/1	99-0105
Illinois Central Railroad Co	\$35,322	2002	NO	2001	1/1	T00-0086
Union Pacific Railroad Co	\$165,350	2001	2002	2000	1/1	99-0066
Norfolk Southern Railway Co	\$79,117	2001	NO	2000	1/1	T00-0008
City of Alton	\$182,024	2001	NO	pre plan	1/1	97-0050
Union Pacific Railroad Co	\$127,907	2001	NO	2000	1/2	99-0042
Union Pacific Railroad Co	\$9,249	2002	NO	2000	2/2	99-0042
Norfolk Southern Railway Co	\$91,387	2002	NO	special	1/1	T00-0046
Marion County Treasurer	\$47,980	2001	2001	pre plan	1/1	98-0016
CSX Transportation Inc	\$101,772	2001	NO	pre plan	1/4	99-0013
City of Salem	\$94,929	2001	NO	pre plan	2/4	99-0013
CSX Transportation Inc	\$8,973	2002	2002	pre plan	3/4	99-0013
City of Salem	\$32,866	2002	2002	pre plan	4/4	99-0013
Len Trovero Construction	\$23,403	2001	2001	pre plan	1/1	98-0051
Burlington Northern & Santa Fe	\$895	2001	2001	pre plan	1/1	98-0105
Union Pacific Railroad Co	\$39,635	2002	NO	2000	1/1	98-0112
Union Pacific Railroad Co	\$1,883	2001	2002	2000	1/1	99-0045
Union Pacific Railroad Co	\$75,060	2002	NO	special	1/1	T01-0005
Norfolk Southern Railway Co	\$57,759	2001	2002	pre plan	1/1	98-0114
Norfolk Southern Railway Co	\$120,755	2002	2002	pre plan	1/1	99-0015
City of Bloomington	\$1,469,814	2002	NO	2000	1/1	99-0100
Union Pacific Railroad Co	\$9,996	2001	NO	pre plan	1/3	99-0113
Union Pacific Railroad Co	\$1,773	2002	NO	pre plan	2/3	99-0113
Town of Normal	\$30,707	2002	NO	pre plan	3/3	99-0113
Norfolk Southern Railway Co	\$107,458	2002	NO	pre plan	1/2	99-0114
City of Normal	\$25,887	2002	NO	pre plan	2/2	99-0114

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<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
McLean	Chenoa to Towanda	AFLS & 4-Quad Gates	T01-0025	2001	\$2,657,534	
McLean	Towanda	Reconstruct Hwy App	T01-0053	2002	\$546,900	
Montgomery	Walshville (Near)	AFLS/Gates, CWT	99-0007	1999		
Montgomery	Walshville (Near)	AFLS/Gates, CWT	99-0007	1999	\$240,283	
Morgan	Road District #8	AFLS/G, CWT, Sur	99-0037	2000		
Morgan	Road District #8	AFLS/G, CWT, Sur	99-0037	2000		
Morgan	Road District #8	AFLS/G, CWT, Sur	99-0037	2000	\$357,591	
Morgan	Chapin	AFLS/G, Sur, App	99-0111	2000		
Morgan	Chapin	AFLS/G, Sur, App	99-0111	2000		
Morgan	Chapin	AFLS/G, Sur, App	99-0111	2000	\$1,478,310	
Moultrie	Allenville	AFLS/Gates, CWT	98-0090	1999	\$187,797	\$179,090
Moultrie	Bethany (Near)	AFLS/G, CWT,CnRd	T00-0037	2000		
Moultrie	Bethany (Near)	AFLS/G, CWT,CnRd	T00-0037	2000		
Moultrie	Bethany (Near)	AFLS/G, CWT,CnRd	T00-0037	2000	\$417,433	
Moultrie	Bethany (Near)	AFLS/Gates, CWT	T00-0055	2001	\$94,509	
Moultrie	Sullivan (Near)	AFLS & Gates, CWT	T02-0006	2002	\$96,018	
Ogle	Rochelle	Grade Separation	97-0058	1998		
Ogle	Rochelle	Grade Separation	97-0058	1998	\$2,659,906	\$276,759
Ogle	Polo (Near)	Grade Separation	98-0041	1998	\$998,580	\$631,936
Ogle	Rochelle	AFLS/Gates, CWT	T01-0022	2001	\$843,314	
Peoria	Princeville (Near)	AFLS/Gates, CWT	98-0110	1999	\$274,747	\$220,064
Perry	DuQuoin	AFLS/Gates, CWT	T00-0014	2000	\$257,607	
Perry	Pinckneyville	AFLS/Gates, CWT	T00-0105	2001	\$37,725	
Perry	DuQuoin (Near)	AFLS/G, CWT, Sur	T01-0033	2001	\$143,010	
Piatt	Galesville (Near)	AFLS/Gates, CWT	97-0095	1998	\$152,810	\$123,825
Piatt	Mansfield	AFLS & Gates	98-0013	1998	\$244,055	\$190,313

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Union Pacific Railroad Co	\$2,511,205	2002	NO	special	1/1	T01-0025
McLean County Treasurer	\$469,347	2002	NO	2000	1/1	T01-0053
Union Pacific Railroad Co	\$239,711	2001	NO	pre plan	1/2	99-0007
Union Pacific Railroad Co	\$572	2002	2002	pre plan	2/2	99-0007
Norfolk Southern Railway Co	\$14,999	2001	NO	pre plan	1/3	99-0037
Norfolk Southern Railway Co	\$134,277	2002	NO	pre plan	2/3	99-0037
Morgan County Road District 8	\$98,480	2002	NO	pre plan	3/3	99-0037
Norfolk Southern Railway Co	\$960,675	2001	NO	pre plan	1/3	99-0111
Norfolk Southern Railway Co	\$97,479	2002	NO	pre plan	2/3	99-0111
Treasurer of Morgan County	\$12,303	2002	NO	pre plan	3/3	99-0111
Illinois Central Railroad Co	\$6,507	2001	2001	pre plan	1/1	98-0090
Moultrie County Treasurer	\$247,776	2001	NO	pre plan	1/3	T00-0037
Moultrie County Treasurer	\$25,478	2002	NO	pre plan	2/3	T00-0037
Illinois Central Railroad Co	\$16,374	2002	NO	pre plan	3/3	T00-0037
Illinois Central Railroad Co	\$78,331	2002	NO	pre plan	1/1	T00-0055
Union Pacific Railroad Co	\$3,476	2002	NO	special	1/1	T02-0006
City of Rochelle	\$988,039	2001	NO	pre plan	1/2	97-0058
City of Rochelle	\$974,758	2002	NO	pre plan	2/2	97-0058
Ogle County Treasurer	\$270,439	2001	2002	pre plan	1/1	98-0041
Union Pacific Railroad Co	\$541,521	2002	NO	pre plan	1/1	T01-0022
Burlington Northern & Santa Fe	\$1,108	2001	2002	pre plan	1/1	98-0110
Illinois Central Railroad Co	\$256,193	2002	NO	special	1/1	T00-0014
Illinois Central Railroad Co	\$30,299	2002	NO	special	1/1	T00-0105
Illinois Central Railroad Co	\$133,008	2002	NO	special	1/1	T01-0033
Piatt County Treasurer	\$11,550	2001	2001	pre plan	1/1	97-0095
Norfolk Southern Railway Co	\$1,829	2001	2002	pre plan	1/1	98-0013

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Pike	Barry (Near)	AFLS/Gates, Sur	T00-0047	2000		
Pike	Barry (Near)	AFLS/Gates, Sur	T00-0047	2000	\$102,125	
Pike	Griggsville (Near)	AFLS/Gates, Sur	T00-0048	2000	\$154,185	
Randolph	Sparta	Circuitry Upgrade	97-0047	1998	\$245,041	\$180,927
Randolph	Sparta (Near)	Relocate AFLS/G	T00-0080	2001	\$7,850	
Randolph	Sparta	Rel AFLS, Add G, Sur	T00-0100	2001	\$23,090	
Rock Island	Moline/Silvis	Interconnect	99-0055	2000	\$243,441	
Sangamon	Springfield	Grade Separation	91-0040	1992		
Sangamon	Springfield	Grade Separation	91-0040	1992	\$4,080,095	\$2,530,836
Sangamon	Chatham	Grade Separation	95-0004	1997		
Sangamon	Chatham	Grade Separation	95-0004	1997		
Sangamon	Chatham	Grade Separation	95-0004	1997		
Sangamon	Chatham	Grade Separation	95-0004	1997	\$2,047,204	\$137,902
Sangamon	Springfield	AFLS & Gates	95-0087	1998	\$62,250	\$52,327
Sangamon	Spaulding	AFLS/G, New Xing	97-0010	1998	\$287,910	
Sangamon	New Berlin	AFLS/Gates, CWT	97-0093	1998	\$388,155	\$302,279
Shelby	Sigal (Near)	AFLS/Gates, CWT	98-0036	1998	\$28,755	\$23,299
Shelby	Sigel (Near)	AFLS/Gates, CWT	98-0040	1998	\$128,540	\$109,839
St. Clair	East St. Louis	Grade Separation	94-0097	1996	\$503,505	\$424,095
St. Clair	Cahokia	AFLS/Gates, CWT	99-0068	2000	\$322,681	\$277,342
St. Clair	Fairview Heights	AFLS/Gates, CWT	99-0069	2000	\$85,372	\$74,092
St. Clair	Belleville	Add Gates	99-0102	2000	\$101,314	
St. Clair	Alorton	AFLS/G, Sur, App	99-0110	2000		
St. Clair	Alorton	AFLS/G, Sur, App	99-0110	2000		
St. Clair	Alorton	AFLS/G, Sur, App	99-0110	2000	\$223,654	
St. Clair	Caseyville	AFLS/Gates, CWT	T00-0009	2000	\$159,686	

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Norfolk Southern Railway Co	\$77,492	2001	NO	special	1/2	T00-0047
Norfolk Southern Railway Co	\$8,848	2002	NO	special	2/2	T00-0047
Norfolk Southern Railway Co	\$142,809	2002	NO	special	1/1	T00-0048
Illinois Central Railroad Co	\$64,114	2001	2001	pre plan	1/1	97-0047
Illinois Central Railroad Co	\$4,095	2002	NO	special	1/1	T00-0080
Illinois Central Railroad Co	\$20,541	2002	NO	special	1/1	T00-0100
Iowa Interstate Railroad Co	\$243,441	2002	2002	pre plan	1/1	99-0055
City of Springfield	\$818,180	2001	NO	pre plan	1/2	91-0040
City of Springfield	\$322,976	2002	NO	pre plan	2/2	91-0040
Sangamo Construction Co	\$1,127,886	2001	NO	pre plan	1/4	95-0004
Union Pacific Railroad Co	\$8,121	2001	NO	pre plan	2/4	95-0004
Reyhan Bros Inc	\$275,579	2002	NO	pre plan	3/4	95-0004
Sangamon County Treasurer	\$93,829	2002	NO	pre plan	4/4	95-0004
Illinois Central Railroad Co	\$9,737	2002	2002	pre plan	1/1	95-0087
Williams Township	\$93,055	2001	2001	pre plan	1/1	97-0010
Norfolk Southern Railway Co	\$72,353	2001	2001	pre plan	1/1	97-0093
Illinois Central Railroad Co	\$3,821	2001	2001	pre plan	1/1	98-0036
Illinois Central Railroad Co	\$18,701	2001	2001	pre plan	1/1	98-0040
Alton & Southern Railway Co	\$78,085	2002	NO	pre plan	1/1	94-0097
Union Pacific Railroad Co	\$45,339	2001	2001	2000	1/1	99-0068
CSX Transportation Inc	\$11,280	2002	2002	pre plan	1/1	99-0069
Norfolk Southern Railway Co	\$63,686	2001	2002	pre plan	1/1	99-0102
Norfolk Southern Railway Co	\$98,029	2001	NO	pre plan	1/3	99-0110
Norfolk Southern Railway Co	\$25,731	2002	NO	pre plan	2/3	99-0110
St. Clair County Treasurer	\$82,804	2002	2002	pre plan	3/3	99-0110
CSX Transportation Inc	\$158,230	2001	NO	special	1/1	T00-0009

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
St. Clair	Belleville	AFLS/Gates, CWT	T00-0023	2000	\$99,110	
St. Clair	Caseyville	AFLS/Gates	T01-0023	2001	\$69,236	
Vermilion	Tilton	AFLS/Gates, CWT	99-0059	1999	\$52,060	
Vermilion	Tilton	Grade Separation	T00-0103	2002	\$901,900	
Warren	Ellison	AFLS/Gates, CWT	T00-0066	2001	\$146,286	
Warren	Monmouth (Near)	AFLS/G, CWT, App	T01-0015	2001	\$121,381	
Washington	Richview	AFLS/Gates, CWT	98-0062	1999	\$75,990	\$60,328
Whiteside	Morrison	AFLS/Gates, CWT	98-0001	1998	\$223,472	\$203,427
Whiteside	Erie	AFLS/Gates, CWT	T00-0039	2000		
Whiteside	Erie	AFLS/Gates, CWT	T00-0039	2000	\$192,764	
Will	Elwood	G/S, AFLS, CWT	94-0068	1995		
Will	Elwood	G/S, AFLS, CWT	94-0068	1995		
Will	Elwood	G/S, AFLS, CWT	94-0068	1995		
Will	Elwood	G/S, AFLS, CWT	94-0068	1995	\$461,743	\$142,577
Will	Romeoville	Cant AFLS	96-0077	1997		
Will	Romeoville	Cant AFLS	96-0077	1997		
Will	Romeoville	Cant AFLS	96-0077	1997	\$214,796	\$66,024
Will	University Park	Cant AFLS/Gates	97-0054	1998	\$49,620	\$38,563
Will	Plainfield	Cant AFLS, LED, CWT	97-0083	1998	\$186,326	\$90,358
Will	Wilmington (Near)	AFLS/G, CWT, App	T00-0062	2001	\$222,472	
Will	Elwood (Near)	AFLS/Gates, CWT	T00-0063	2001		
Will	Elwood (Near)	AFLS/Gates, CWT	T00-0063	2001	\$230,013	
Will	Plainfield (Near)	AFLS/G, LED, CWT	T00-0071	2001		
Will	Plainfield (Near)	AFLS/G, LED, CWT	T00-0071	2001	\$141,037	
Will	Crest Hill/Plainfield	AFLS/Gates, CWT	T00-0074	2001		
Will	Crest Hill/Plainfield	AFLS/Gates, CWT	T00-0074	2001	\$129,271	

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>Vendor</i>	<i>Expenditures</i>	<i>Expenditure FY</i>	<i>Complete in FY?</i>	<i>Year on Plan (See Note Two)</i>	<i>Project Components</i>	<i>ICC Docket</i>
Illinois Central Railroad Co	\$79,047	2002	NO	2000	1/1	T00-0023
CSX Transportation Inc	\$68,019	2002	NO	2000	1/1	T01-0023
CSX Transportation Inc	\$52,060	2001	2001	2000	1/1	99-0059
Village of Tilton	\$503,840	2002	NO	special	1/1	T00-0103
Burlington Northern & Santa Fe	\$95,171	2002	NO	special	1/1	T00-0066
Burlington Northern & Santa Fe	\$85,397	2002	NO	2001	1/1	T01-0015
Illinois Central Railroad Co	\$13,950	2001	2001	pre plan	1/1	98-0062
Union Pacific Railroad Co	\$4,957	2001	2001	pre plan	1/1	98-0001
Burlington Northern & Santa Fe	\$145,924	2001	NO	pre plan	1/2	T00-0039
Burlington Northern & Santa Fe	\$16,637	2002	NO	pre plan	2/2	T00-0039
Jackson Township	\$117,094	2001	NO	pre plan	1/4	94-0068
D Construction Co	\$77,000	2002	2002	pre plan	2/4	94-0068
Jackson Township	\$24,965	2002	2002	pre plan	3/4	94-0068
Jackson Township	\$16,366	2002	2002	pre plan	4/4	94-0068
K-Five Construction Corp	\$25,000	2001	2001	pre plan	1/3	96-0077
Illinois Central Railroad Co	\$88,300	2001	2001	pre plan	2/3	96-0077
Illinois Central Railroad Co	\$35,426	2001	2001	pre plan	3/3	96-0077
Illinois Central Railroad Co	\$11,057	2001	2001	pre plan	1/1	97-0054
Elgin Joliet & Eastern Rwy Co	\$42,184	2002	NO	pre plan	1/1	97-0083
Union Pacific Railroad Co	\$190,135	2002	NO	2000	1/1	T00-0062
Union Pacific Railroad Co	\$185,323	2001	NO	2001	1/2	T00-0063
Union Pacific Railroad Co	\$44,690	2002	2002	2001	2/2	T00-0063
Elgin Joliet & Eastern Rwy Co	\$93,549	2001	NO	2001	1/2	T00-0071
Elgin Joliet & Eastern Rwy Co	\$3,700	2002	NO	2001	2/2	T00-0071
Elgin Joliet & Eastern Rwy Co	\$78,895	2001	NO	2001	1/2	T00-0074
Elgin Joliet & Eastern Rwy Co	\$6,509	2002	NO	2001	2/2	T00-0074

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

<i>County</i>	<i>Location</i>	<i>Type (See Note One)</i>	<i>ICC Docket</i>	<i>Order FY</i>	<i>GCPF Amount</i>	<i>Pre 2001 Spending/Deobligation</i>
Will	Aurora	AFLS/Gates, CWT	T00-0077	2001		
Will	Aurora	AFLS/Gates, CWT	T00-0077	2001	\$44,089	
Will	Plainfield	AFLS/G, CWT, LED	T00-0078	2001		
Will	Plainfield	AFLS/G, CWT, LED	T00-0078	2001	\$253,752	
Will	Plainfield (Near)	AFLS & Gates, CWT	T01-0055	2002	\$102,120	
Will	Joliet	Cant AFLS/G, Sur, App	T02-0003	2002	\$170,609	
Williamson	Spillertown	AFLS/Gates, CWT	98-0050	1998	\$110,164	\$73,476
Winnebago	Rockford (Near)	Grade Separation	99-0131	2000	\$1,266,492	
Statewide	Statewide	Rem Monitor Device	99-0108	2000		
Statewide	Statewide	Rem Monitor Device	99-0108	2000	\$1,427,004	
Statewide	Statewide	Rem Monitor Device	T00-0072	2001	\$129,537	
Statewide	Statewide	Rem Monitor Device	T00-0095	2001	\$2,298,203	
Various	Spfld to Gardner	AFLS & 4-Quad Gates	T01-0038	2001	\$13,335,706	

**Note One:** AFLS=Automatic Flashing Light Signals; G=Gates; CWT=Constant Warning Time Circuitry; CnRd=Connecting Road; Cant=Cantilever; G/S=Grade Separation; LED=Light Emitting Diode; LP=Lower Pavement; Sur=Surface Work; App=Approach Work

**Source: ICC data summarized by OAG.**

**Appendix C**  
**GRADE CROSSING PROTECTION FUND PROJECTS BY COUNTY**  
**With Expenditures During Fiscal Year 2001 or 2002**

Vendor	Expenditures	Expenditure FY	Complete in FY?	Year on Plan (See Note Two)	Project Components	ICC Docket
Elgin Joliet & Eastern Rwy Co	\$28,468	2001	NO	special	1/2	T00-0077
Elgin Joliet & Eastern Rwy Co	\$2,360	2002	NO	special	2/2	T00-0077
Elgin Joliet & Eastern Rwy Co	\$41,961	2001	NO	special	1/2	T00-0078
Elgin Joliet & Eastern Rwy Co	\$162,507	2002	NO	special	2/2	T00-0078
Elgin Joliet & Eastern Rwy Co	\$80,024	2002	NO	special	1/1	T01-0055
Elgin Joliet & Eastern Rwy Co	\$1,611	2002	NO	special	1/1	T02-0003
Union Pacific Railroad Co	\$36,688	2001	2001	pre plan	1/1	98-0050
Rockford Blacktop Constr Co	\$1,266,491	2001	2001	pre plan	1/1	99-0131
Burlington Northern & Santa Fe	\$1,328,580	2001	NO	2000	1/2	99-0108
Burlington Northern & Santa Fe	\$27,531	2002	NO	2000	2/2	99-0108
Wisconsin Central LTD	\$110,586	2002	NO	2001	1/1	T00-0072
Union Pacific Railroad Co	\$1,628,638	2002	NO	2000	1/1	T00-0095
Union Pacific Railroad Co	\$3,028,309	2002	NO	2001	1/1	T01-0038

**Total FY2001 and 2002 Expenditures    \$59,537,412**

**Note Two:** Special projects in the Year on the Plan column include Remote Crossing Signal System Monitors, Experimental Projects, and High Speed Rail Grade Crossing Safety Improvement Projects.

**Source: ICC data summarized by OAG.**



APPENDIX D  
Railroad Crossing Data by County

**Appendix D  
GRADE CROSSING DATA BY COUNTY**

Public Grade Crossing, Collision and Complaint Statistics for Illinois.....

County	Crossings			Collisions		Fatalities		Injuries		Complaints	
	At Grade	Bridges	Total	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002
<b>Adams</b>	58	12	70	2	2	1	0	1	2	0	0
<b>Alexander</b>	13	6	19	1	0	0	0	2	0	0	0
<b>Bond</b>	56	12	68	0	0	0	0	0	0	2	0
<b>Boone</b>	21	8	29	1	0	0	0	0	0	1	0
<b>Brown</b>	-	-	-	-	-	-	-	-	-	-	-
<b>Bureau</b>	97	22	119	1	2	0	0	0	0	1	2
<b>Calhoun</b>	-	-	-	-	-	-	-	-	-	-	-
<b>Carroll</b>	53	21	74	2	0	1	0	0	0	1	1
<b>Cass</b>	11	2	13	0	0	0	0	0	0	0	1
<b>Champaign</b>	205	23	228	6	4	0	0	2	1	7	2
<b>Christian</b>	85	4	89	1	3	0	0	0	1	0	7
<b>Clark</b>	34	3	37	0	0	0	0	0	0	0	0
<b>Clay</b>	29	17	46	0	2	0	0	0	2	0	4
<b>Clinton</b>	69	2	71	3	2	0	1	2	1	7	7
<b>Coles</b>	89	14	103	3	0	0	0	2	0	6	6
<b>Cook</b>	997	1,373	2,370	49	54	6	9	10	19	32	28
<b>Crawford</b>	36	0	36	1	0	0	0	0	0	0	1
<b>Cumberland</b>	40	4	44	1	0	0	0	0	0	6	3
<b>De Kalb</b>	110	12	122	4	2	1	0	1	0	5	2
<b>De Witt</b>	70	10	80	1	0	0	0	0	0	4	0
<b>Douglas</b>	82	6	88	0	0	0	0	0	0	2	1
<b>Du Page</b>	178	42	220	8	9	1	2	10	3	13	4
<b>Edgar</b>	85	3	88	1	0	0	0	0	0	0	3
<b>Edwards</b>	10	1	11	0	0	0	0	0	0	0	0
<b>Effingham</b>	86	11	97	0	1	0	0	0	3	3	0
<b>Fayette</b>	49	12	61	1	1	0	1	0	0	0	0
<b>Ford</b>	85	5	90	1	1	1	0	0	0	1	1

**Appendix D**  
**GRADE CROSSING DATA BY COUNTY**

.....GCPF Projects by County

<i>Spending in 2001/2002</i>	<i>Projects with 2001/2002 Spending</i>	<i>Planned in 2001</i>	<i>Planned in 2002</i>	<i>County</i>
<b>Dollars</b>	<b>Projects</b>	<b>Projects</b>	<b>Projects</b>	<b>County</b>
\$1,857,606	1			<b>Adams</b>
\$121,719	1			<b>Alexander</b>
\$57,594	2	1		<b>Bond</b>
				<b>Boone</b>
				Brown
				<b>Bureau</b>
				Calhoun
\$65,161	1			<b>Carroll</b>
\$27,477	2			<b>Cass</b>
\$457,641	6			<b>Champaign</b>
\$494,263	1	1		<b>Christian</b>
\$195,605	3			<b>Clark</b>
			3	<b>Clay</b>
\$21,101	1	3		<b>Clinton</b>
\$1,061,134	2	7		<b>Coles</b>
\$6,940,699	18	6	3	<b>Cook</b>
				<b>Crawford</b>
\$3,833	1			<b>Cumberland</b>
\$42,131	2	1		<b>De Kalb</b>
		1		<b>De Witt</b>
				<b>Douglas</b>
\$6,677,086	13	3		<b>Du Page</b>
\$56,404	1			<b>Edgar</b>
\$321,908	2			<b>Edwards</b>
\$4,629,941	6	1		<b>Effingham</b>
\$78,991	1			<b>Fayette</b>
\$59,175	2	1		<b>Ford</b>

**Appendix D  
GRADE CROSSING DATA BY COUNTY**

Public Grade Crossing, Collision and Complaint Statistics for Illinois.....

County	Crossings			Collisions		Fatalities		Injuries		Complaints	
	At Grade	Bridges	Total	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002
<b>Franklin</b>	102	30	132	4	0	1	0	4	0	6	1
<b>Fulton</b>	116	11	127	1	0	0	0	0	0	0	0
Gallatin	-	-	-	-	-	-	-	-	-	-	-
<b>Greene</b>	36	5	41	0	0	0	0	0	0	1	0
<b>Grundy</b>	73	9	82	3	2	0	0	0	3	9	1
<b>Hamilton</b>	27	0	27	0	0	0	0	0	0	0	0
<b>Hancock</b>	64	2	66	1	0	0	0	0	0	3	2
Hardin	-	-	-	-	-	-	-	-	-	-	-
<b>Henderson</b>	20	11	31	1	0	0	0	0	0	2	2
<b>Henry</b>	80	13	93	0	0	0	0	0	0	5	0
<b>Iroquois</b>	236	6	242	4	7	0	2	4	1	3	8
<b>Jackson</b>	56	11	67	1	2	0	0	0	0	1	2
<b>Jasper</b>	58	0	58	0	0	0	0	0	0	1	0
<b>Jefferson</b>	161	40	201	1	1	0	1	1	0	0	3
<b>Jersey</b>	21	0	21	1	0	1	0	0	0	0	1
<b>Jo Daviess</b>	27	13	40	0	0	0	0	0	0	1	0
<b>Johnson</b>	12	6	18	0	0	0	0	0	0	0	1
<b>Kane</b>	141	51	192	7	2	0	0	4	2	3	2
<b>Kankakee</b>	143	16	159	4	3	2	0	1	2	3	2
<b>Kendall</b>	37	8	45	1	0	0	0	1	0	0	0
<b>Knox</b>	125	31	156	4	3	0	0	0	3	0	0
<b>La Salle</b>	204	20	224	2	0	1	0	0	0	4	3
<b>Lake</b>	159	51	210	5	8	1	2	2	2	1	5
<b>Lawrence</b>	18	4	22	1	0	0	0	2	0	0	0
<b>Lee</b>	50	6	56	1	1	0	0	1	1	1	2
<b>Livingston</b>	151	7	158	3	1	3	0	0	1	3	3
<b>Logan</b>	95	11	106	1	0	0	0	1	0	1	2

**Appendix D**  
**GRADE CROSSING DATA BY COUNTY**

.....GCPF Projects by County

<i>Spending in 2001/2002</i>	<i>Projects with 2001/2002 Spending</i>	<i>Planned in 2001</i>	<i>Planned in 2002</i>	<i>County</i>
<b>Dollars</b>	<b>Projects</b>	<b>Projects</b>	<b>Projects</b>	<b>County</b>
\$603,103	4	2		<b>Franklin</b>
				<b>Fulton</b>
				Gallatin
				<b>Greene</b>
\$332,563	4		13	<b>Grundy</b>
				<b>Hamilton</b>
\$350,287	3	5		<b>Hancock</b>
				Hardin
\$282,071	3	4		<b>Henderson</b>
				<b>Henry</b>
\$505,995	2			<b>Iroquois</b>
\$810,044	1			<b>Jackson</b>
				<b>Jasper</b>
\$13,435	1	2		<b>Jefferson</b>
\$125,068	1			<b>Jersey</b>
\$34,647	1			<b>Jo Daviess</b>
\$35,974	1	1		<b>Johnson</b>
\$2,438,504	3	1		<b>Kane</b>
\$113,199	4	7		<b>Kankakee</b>
\$3,079,619	3			<b>Kendall</b>
\$388	1			<b>Knox</b>
				<b>La Salle</b>
\$1,290,783	7	7	2	<b>Lake</b>
\$95,650	1	1		<b>Lawrence</b>
\$70,197	1	1		<b>Lee</b>
\$1,229,872	1		20	<b>Livingston</b>
\$106,520	2	1	7	<b>Logan</b>

**Appendix D  
GRADE CROSSING DATA BY COUNTY**

Public Grade Crossing, Collision and Complaint Statistics for Illinois.....

County	Crossings			Collisions		Fatalities		Injuries		Complaints	
	At Grade	Bridges	Total	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002
<b>Macon</b>	146	36	182	9	6	2	0	3	0	9	16
<b>Macoupin</b>	104	11	115	0	0	0	0	0	0	3	5
<b>Madison</b>	174	63	237	3	7	1	1	0	3	6	4
<b>Marion</b>	104	21	125	1	0	0	0	0	0	1	6
<b>Marshall</b>	32	5	37	1	0	0	0	1	0	0	7
<b>Mason</b>	44	3	47	1	2	0	2	1	0	0	0
<b>Massac</b>	20	20	40	0	0	0	0	0	0	0	0
<b>McDonough</b>	102	4	106	0	6	0	1	0	1	5	1
<b>McHenry</b>	91	11	102	1	5	0	0	0	4	2	0
<b>McLean</b>	190	26	216	1	2	0	0	0	3	13	3
<b>Menard</b>	31	2	33	1	0	0	0	1	0	4	1
<b>Mercer</b>	-	-	-	-	-	-	-	-	-	-	-
<b>Monroe</b>	27	1	28	0	0	0	0	0	0	0	0
<b>Montgomery</b>	111	9	120	1	1	0	0	1	2	7	12
<b>Morgan</b>	98	29	127	2	1	0	0	2	0	0	5
<b>Moultrie</b>	62	0	62	0	0	0	0	0	0	2	1
<b>Ogle</b>	110	17	127	2	0	0	0	1	0	0	1
<b>Peoria</b>	186	42	228	1	2	0	1	0	1	12	8
<b>Perry</b>	92	6	98	0	1	0	0	0	1	3	3
<b>Piatt</b>	94	6	100	0	0	0	0	0	0	0	1
<b>Pike</b>	43	14	57	0	0	0	0	0	0	1	0
<b>Pope</b>	0	2	2	0	0	0	0	0	0	0	0
<b>Pulaski</b>	22	1	23	0	0	0	0	0	0	0	4
<b>Putnam</b>	24	1	25	2	0	0	0	0	0	0	0
<b>Randolph</b>	91	14	105	1	0	0	0	0	0	1	5
<b>Richland</b>	32	5	37	1	0	0	0	0	0	0	0
<b>Rock Island</b>	100	13	113	3	0	0	0	1	0	0	3

**Appendix D**  
**GRADE CROSSING DATA BY COUNTY**

.....GCPF Projects by County

<i>Spending in 2001/2002</i>	<i>Projects with 2001/2002 Spending</i>	<i>Planned in 2001</i>	<i>Planned in 2002</i>	<i>County</i>
Dollars	Projects	Projects	Projects	County
		1		<b>Macon</b>
\$244,467	2			<b>Macoupin</b>
\$410,567	3	2	1	<b>Madison</b>
\$286,520	2	1		<b>Marion</b>
\$23,403	1			<b>Marshall</b>
				<b>Mason</b>
				<b>Massac</b>
\$895	1			<b>McDonough</b>
\$116,578	3	1		<b>McHenry</b>
\$4,804,701	7		7	<b>McLean</b>
				<b>Menard</b>
				<b>Mercer</b>
				<b>Monroe</b>
\$240,283	1			<b>Montgomery</b>
\$1,318,213	2			<b>Morgan</b>
\$377,942	4			<b>Moultrie</b>
\$2,774,757	3	1		<b>Ogle</b>
\$1,108	1			<b>Peoria</b>
\$419,500	3			<b>Perry</b>
\$13,379	2			<b>Piatt</b>
\$229,149	2			<b>Pike</b>
				<b>Pope</b>
				<b>Pulaski</b>
				<b>Putnam</b>
\$88,750	3			<b>Randolph</b>
				<b>Richland</b>
\$243,441	1			<b>Rock Island</b>

**Appendix D**  
**GRADE CROSSING DATA BY COUNTY**

Public Grade Crossing, Collision and Complaint Statistics for Illinois.....

County	Crossings			Collisions		Fatalities		Injuries		Complaints	
	At Grade	Bridges	Total	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002	FY 2001	FY 2002
Saline	27	2	29	0	3	0	0	0	3	0	0
Sangamon	203	54	257	3	5	1	0	2	4	20	19
Schuyler	2	8	10	0	0	0	0	0	0	0	0
Scott	14	1	15	0	0	0	0	0	0	0	0
Shelby	70	4	74	1	4	0	0	0	0	1	0
St. Clair	236	113	349	8	8	2	0	2	5	11	14
Stark	6	0	6	0	0	0	0	0	0	0	0
Stephenson	25	13	38	0	0	0	0	0	0	0	0
Tazewell	113	16	129	4	1	0	0	0	0	5	5
Union	31	1	32	2	1	1	0	0	1	2	0
Vermilion	160	32	192	3	5	0	1	1	2	5	2
Wabash	26	2	28	0	0	0	0	0	0	0	0
Warren	49	7	56	2	1	0	0	1	0	1	2
Washington	65	3	68	0	0	0	0	0	0	1	6
Wayne	32	0	32	0	1	0	0	0	0	0	0
White	30	1	31	0	1	0	0	0	1	0	0
Whiteside	53	13	66	1	0	0	0	0	0	1	5
Will	172	71	243	6	5	1	0	3	1	3	2
Williamson	97	12	109	1	1	0	0	0	0	2	0
Winnebago	137	36	173	3	1	0	0	0	0	0	2
Woodford	30	1	31	0	0	0	0	0	0	0	0
Statewide or Various	-	-	-	-	-	-	-	-	-	-	-
<b>Grand Total</b>	<b>8,568</b>	<b>2,739</b>	<b>11,307</b>	<b>198</b>	<b>183</b>	<b>28</b>	<b>24</b>	<b>71</b>	<b>79</b>	<b>260</b>	<b>256</b>

Source: ICC data summarized by OAG.

**Appendix D**  
**GRADE CROSSING DATA BY COUNTY**

.....GCPF Projects by County

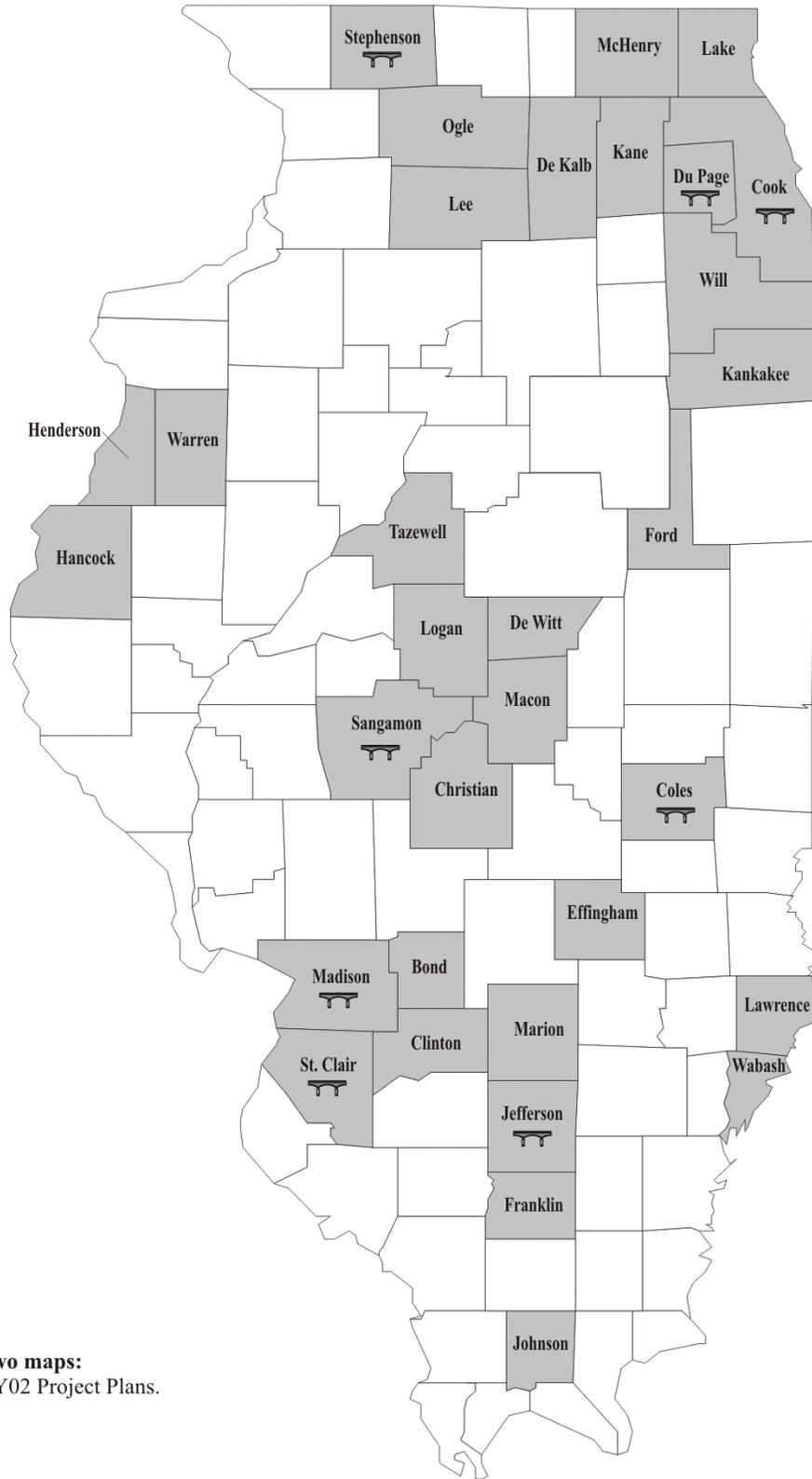
<i>Spending in 2001/2002</i>	<i>Projects with 2001/2002 Spending</i>	<i>Planned in 2001</i>	<i>Planned in 2002</i>	<i>County</i>
Dollars	Projects	Projects	Projects	County
				Saline
\$2,821,716	5	2		Sangamon
				Schuyler
				Scott
\$22,522	2			Shelby
\$710,250	8	1		St. Clair
				Stark
		8		Stephenson
		1		Tazewell
				Union
\$555,900	2			Vermilion
		1		Wabash
\$180,568	2	3		Warren
\$13,950	1			Washington
				Wayne
				White
\$167,518	2			Whiteside
\$1,357,124	12	5	1	Will
\$36,688	1			Williamson
\$1,266,491	1			Winnebago
				Woodford
\$6,123,644	4	4	1	Statewide or Various
<b>\$59,537,412</b>	<b>191</b>	<b>88</b>	<b>58</b>	<b>Grand Total</b>

Source: ICC data summarized by OAG.



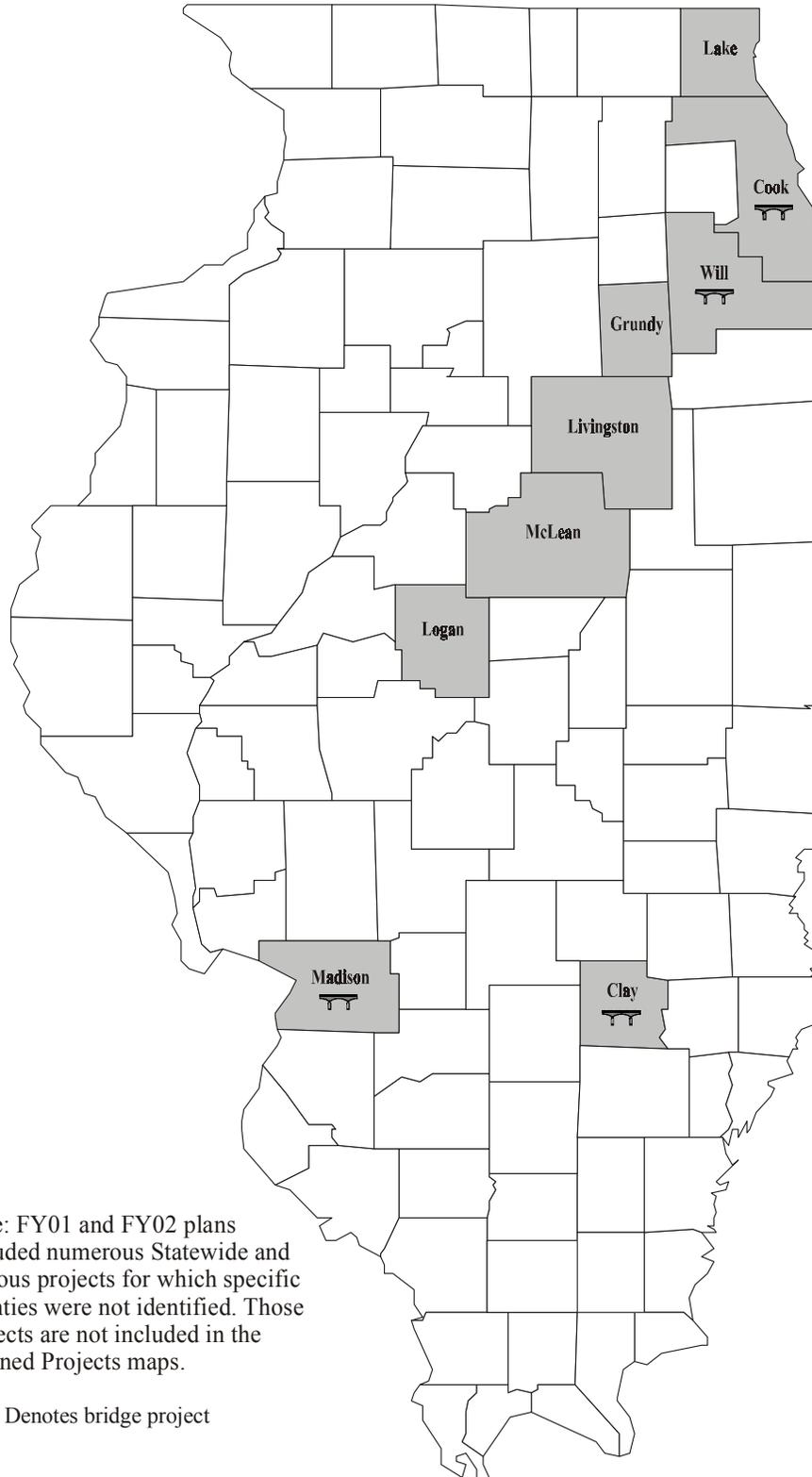
APPENDIX E  
Maps of Counties with Planned Grade  
Crossing Protection Fund Projects  
Fiscal Years 2001 and 2002

Appendix E  
ICC PLANNED PROJECTS  
FY 2001



Source for the two maps:  
ICC FY01 and FY02 Project Plans.

Appendix E  
**ICC PLANNED PROJECTS**  
FY 2002



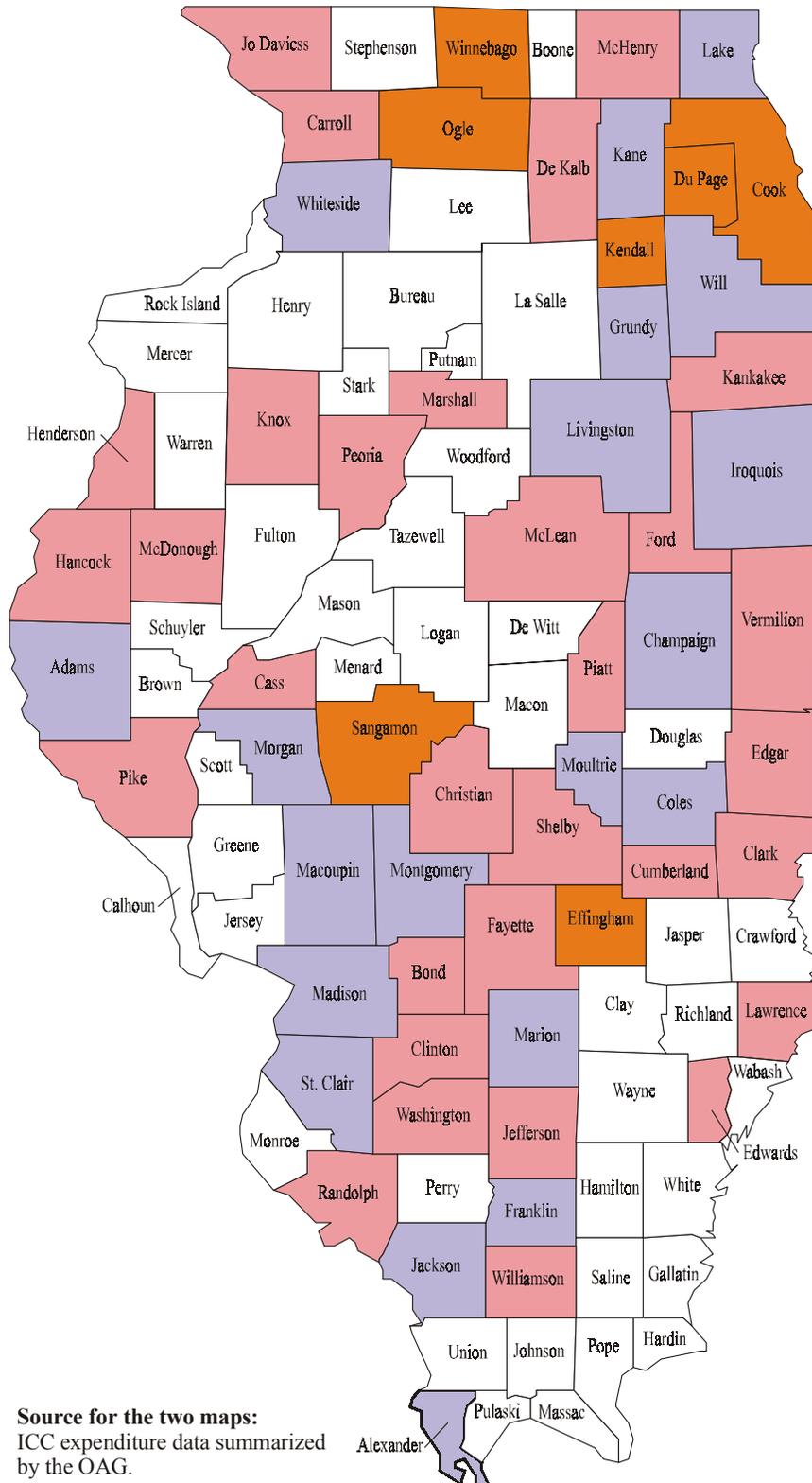
Note: FY01 and FY02 plans included numerous Statewide and Various projects for which specific counties were not identified. Those projects are not included in the Planned Projects maps.

 Denotes bridge project



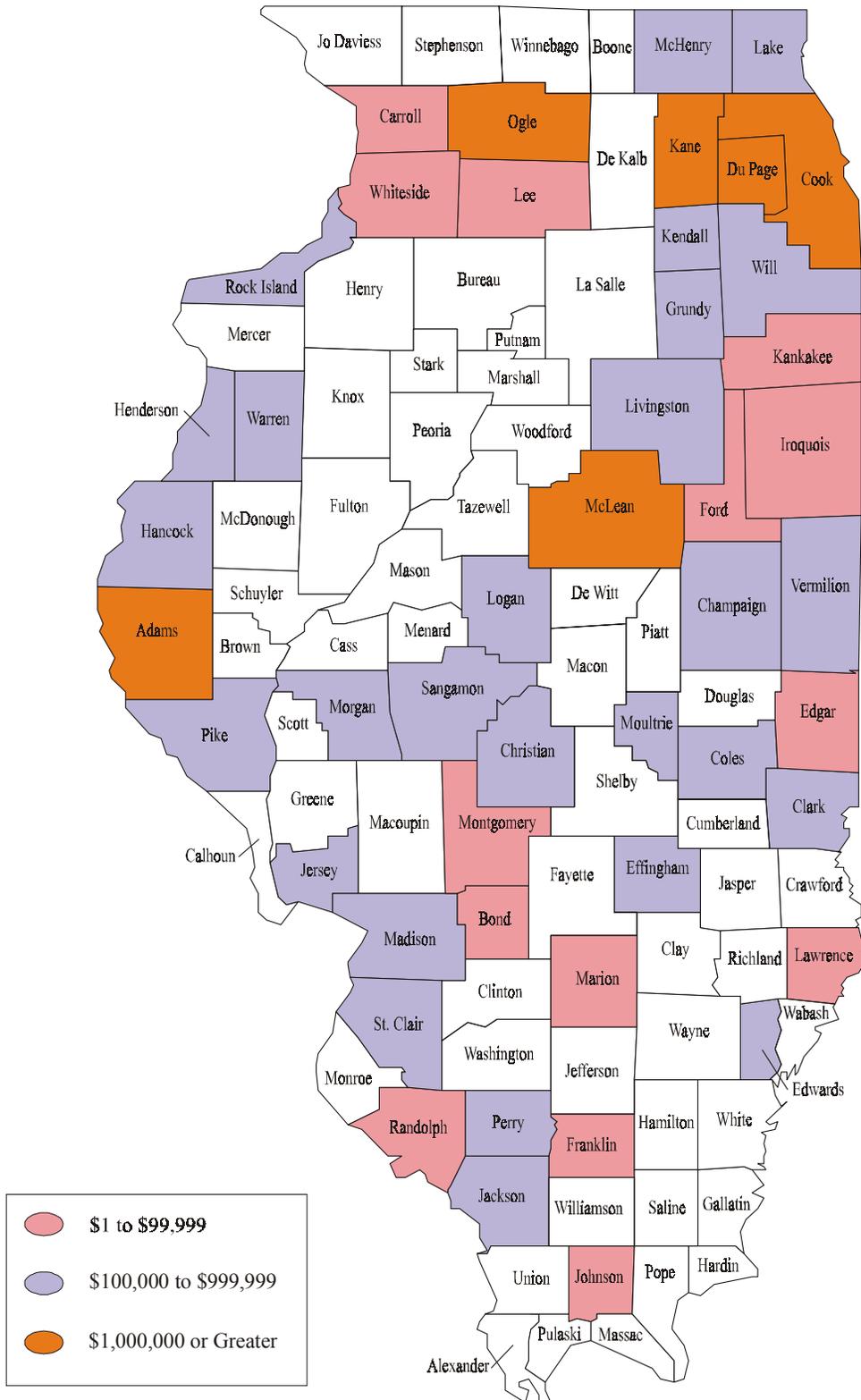
APPENDIX F  
Maps of Counties with Expenditures for  
Grade Crossing Protection Fund Projects  
Fiscal Years 2001 and 2002

Appendix F  
**GRADE CROSSING PROTECTION FUND EXPENDITURES**  
 FY 2001



**Source for the two maps:**  
 ICC expenditure data summarized  
 by the OAG.

Appendix F  
**GRADE CROSSING PROTECTION FUND EXPENDITURES**  
 FY 2002





APPENDIX G  
Illinois Commerce Commission  
Planned Projects for Fiscal Year 2004



Appendix G  
**ILLINOIS COMMERCE COMMISSION**  
**PLANNED PROJECTS FOR FISCAL YEAR 2004**

County	City	Location	Description of Improvement	Total Cost
Bureau	Mendota	2500N	Automatic Flashing Light Signals and Gates --Install	\$180,000
Bureau	Arlington	TR 390	Close Crossing Construct Access Road	\$96,000
Bureau	Princeton	TR 286	Close Crossing Construct Access Road	\$175,000
Champaign	Pesotum	MUN1000	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$180,000
Clay	Louisville	TR 219	Grade Separation: Reconstruct	\$550,000
Coles	Dorans	1300 N	Automatic Flashing Light Signals and Gates -- Install Close Crossing	\$190,000
Coles	Dorans	Dorans Road (1200 N)	Modification of Track Circuits	\$100,000
Cook	Chicago	15th at Campbell	Grade Separation: Vertical Clearance	\$1,410,000
Cook	Chicago	Damen at 400 North	Grade Separation: Vertical Clearance	\$1,009,809
Cook	Chicago	87th at Holland	Grade Separation: Vertical Clearance	\$2,500,000
Cumberland	Woodbury	950E (TR 104A)	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$185,000
Edgar	Paris	N. High St	Automatic Flashing Light Signals and Gates -- Upgrade	\$160,000
Franklin	Christopher	Fairview Rd (TR 50)	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$180,000
Grundy	Mazon	Reed Rd	Automatic Flashing Light Signals and Gates -- Install	\$180,000
Kendall	Montgomery	Light Rd	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$200,000
Lake	Wadsworth	Russell Rd	Automatic Flashing Light Signals and Gates -- Renew	\$180,000
Marion	Centralia	Broadway	Modification of Track Circuits	\$100,000
Marion	Centralia	S. Cherry	Modification of Track Circuits	\$100,000
Marion	Junction City	TR 301A	Modification of Track Circuits	\$100,000
Marion	Centralia	Calumet	Modification of Track Circuits	\$100,000

Appendix G  
**ILLINOIS COMMERCE COMMISSION**  
**PLANNED PROJECTS FOR FISCAL YEAR 2004**

<b>County</b>	<b>City</b>	<b>Location</b>	<b>Description of Improvement</b>	<b>Total Cost</b>
Marion	Walnut Hill	Schwartz Road	Automatic Flashing Light Signals and Gates -- Upgrade	\$160,000
McLean	Normal	University St	Interconnect Warn Device & Highway Signal Install Supervised Interconn. Circ	\$180,000
Montgomery	Nokomis	E 23rd Road	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$240,000
Montgomery	Nokomis	Maple	Automatic Flashing Light Signals and Gates -- Upgrade	\$170,000
Montgomery	Nokomis	Spruce	Automatic Flashing Light Signals and Gates -- Upgrade	\$170,000
Montgomery	Nokomis	Pine	Automatic Flashing Light Signals and Gates -- Upgrade	\$270,000
Montgomery	Nokomis	Cedar	Automatic Flashing Light Signals and Gates -- Upgrade	\$170,000
Montgomery	Nokomis	N 20th Avenue	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$180,000
Morgan	Jacksonville	LaFayette Avenue	Automatic Flashing Light Signals and Gates -- Upgrade	\$175,000
Ogle	Rochelle	Thorpe Road	Grade Separation: Construct	\$4,000,000
Ogle	Davis Junction	Maple Street	Automatic Flashing Light Signals and Gates -- Renew	\$195,000
Piatt	Bement	TR 60	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$190,000
Piatt	Milmine	400E	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$190,000
Piatt	Cerro Gordo	300E	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$180,000
Piatt	Cerro Gordo	200E	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$185,000
Sangamon	Auburn	Divernon Rd	Automatic Flashing Light Signals and Gates -- Upgrade	\$200,000

Appendix G  
**ILLINOIS COMMERCE COMMISSION**  
**PLANNED PROJECTS FOR FISCAL YEAR 2004**

County	City	Location	Description of Improvement	Total Cost
St. Clair	Freeburg	Hill Mine Rd	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$185,000
Statewide	Statewide		Emergency Projects Experimental Projects	\$1,764,750
Statewide	Statewide	Various	Remote Monitors	\$1,111,100
Tazewell	South Pekin	Townline Road	Automatic Flashing Light Signals and Gates -- Upgrade	\$320,000
Tazewell	East Peoria	Farmdale Rd	Close Crossing Construct Access Road	\$190,000
Tazewell	East Peoria	Farmdale Rd	Close Crossing Construct Access Road	\$190,000
Union	Dongola	Cheshire Rd	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$175,000
Warren	Cameron	TR 206	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$200,000
Warren	Cameron	TR 142	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches	\$185,000
Wayne	Goldengate	TR 548	Automatic Flashing Light Signals and Gates -- Install Reconstruct Approaches Reconstruct Crossing	\$180,000
Will	Joliet	Caton Farm Rd	Cantilever Automatic Flashing Light Signals and Gates Upgrade	\$220,000
Winnebago	Rockford	2nd Street	Grade Separation: Reconstruct	\$1,817,650

Total Cost      \$21,269,309

Source: ICC data from its Crossing Safety Improvement Program 2004-2008 Plan.



# APPENDIX H

## Agency Responses

**Note:** This Appendix contains the complete written responses of the Illinois Commerce Commission and the Illinois Department of Transportation. Following the Agency Responses are five numbered Auditor Comments. The numbers for the comments appear in the margin of the Agency Response.





STATE OF ILLINOIS

## Illinois Commerce Commission

Scott Wiseman  
Executive Director

527 East Capitol Avenue  
Springfield, Illinois 62701

November 3, 2003

William G. Holland  
Illinois Auditor General  
Hes Park Plaza  
740 E. Ash Street  
Springfield, IL 62703-3154

Dear Mr. Holland:

This letter refers to the management audit of expenditures from the Grade Crossing Protection Fund conducted by your office, pursuant to Legislative Audit Commission Resolution No. 123. We are pleased your findings indicate no instances where the Illinois Commerce Commission did not comply with the statutes guiding the Grade Crossing Protection Fund (GCPF) process. We also appreciate the time your staff took to conduct the audit, and the professionalism they demonstrated to gain a thorough understanding of the issue.

We view the GCPF audit as an opportunity for an unbiased review of the Commission's Rail Safety Program. Our Rail Safety Section is very committed to public safety, and is always looking for ways to improve the process. Their efforts over the last 5 years have helped reduce the number of highway-rail grade crossing collisions in Illinois by 26%.

Attached is a document that lists the seven OAG audit recommendations and the Commission's response. We agree with all of the recommendations and have either taken action or plan to take action to address each recommendation. However, it will be a challenge to take immediate action on those recommendations where additional ICC personnel are required, given the State's current financial status.

Thank you again for the consideration your office provided our staff during the audit process. If you have any questions, or need additional information, please contact Jane Hughes-Jackson, the Commission's Internal Auditor, at 782-9943.

Sincerely,

A handwritten signature in cursive script that reads "Scott Wiseman".

Scott Wiseman

- ICC Response to OAG Audit Recommendations -

Number	Recommendation	ICC Response
1	The Illinois Department of Transportation and the Illinois Commerce Commission should develop written policies and procedures and adopt an Interagency Agreement that clarifies each agency's management responsibilities relating to Grade Crossing Protection Fund projects.	The ICC agrees with the recommendation. The ICC is preparing a policy and procedures document for, among other things, management of Grade Crossing Protection Fund projects. The document is currently in the review process, which will include comments from IDOT, the rail industry, local communities, and other interested parties. The ICC also plans to pursue an interagency agreement with IDOT to document each agency's management responsibilities relating to Grade Crossing Protection Fund projects.
2	The Illinois Commerce Commission should assure that Grade Crossing Protection Fund projects are adequately managed. To do this, the expertise of ICC Railroad Safety Specialists should be utilized through on-site construction management to assure that the needed safety work is performed, that Order requirements are met, and that project expenditures are proper.	ICC agrees in principle with the recommendation however the ICC has inadequate funding to perform on-site construction management. ICC staff certainly has the expertise to conduct on-site management of highway-rail grade crossing improvement projects but funding and headcount restrictions generally limit our project management to off-site management.
3	The Illinois Commerce Commission should assure that appropriate data is captured within computer systems to improve its ability to manage Grade Crossing Protection Fund projects.	ICC agrees with the recommendation. The ICC has been working on the development of an enhanced computer system, called "Railroad Information and Location System (RAILS)", that would have allowed for more comprehensive data input and project management, however funding shortfalls have stalled the project.
4	The Illinois Commerce Commission should continue to work to manage the balance in the Transportation Regulatory Fund to assure that it is maintained at a level that is in compliance with the statute (625 ILCS 5/18c-1503).	ICC agrees with the recommendation. The Transportation Regulatory Fund (TRF) balance is currently in compliance with the statute. The ICC believes the appropriate processes are in place to prevent the accumulation of any excessive fund balance in the future.

5	<p>The Illinois Department of Transportation and the Illinois Commerce Commission should work to appropriately manage fund balances in the Grade Crossing Protection Fund.</p>	<p>ICC agrees with the recommendation. The ICC will help the Illinois Department of Transportation (IDOT) develop new procedures that will improve IDOT's ability to more quickly authorize disbursements from the fund.</p>
6	<p>The Illinois Commerce Commission should assure that all expenditures for Grade Crossing Protection Fund projects are reviewed in a timely manner to assure that they are appropriate and adequately supported. The Illinois Department of Transportation and the Illinois Commerce Commission should work together to develop standards on what documentation is required for Grade Crossing Protection Fund projects.</p>	<p>ICC agrees with the recommendation. ICC currently reviews estimates of cost submitted by railroads and local governmental agencies for proposed projects. ICC also reviews project expenditures by railroads and local governmental agencies whenever parties submit requests for additional assistance from the Grade Crossing Protection Fund (GCPF) for an ongoing project. Currently IDOT reviews bills submitted by railroads and local governmental agencies requesting payment from the GCPF. The ICC plans to work with IDOT to develop standards on what billing documentation is required for Grade Crossing Protection Fund projects and will provide technical support to IDOT personnel responsible for reviewing bills submitted for payment.</p>
7	<p>The Illinois Commerce Commission should assure that they receive reports on failures, accidents, and complaints and then investigate them appropriately. This should help them to fulfill their statutory responsibility of assuring that adequate warning devices are in place at grade crossings.</p>	<p>ICC agrees with the recommendation. The ICC now receives this information from the Federal Railroad Administration concerning grade crossing signal failure incidents that occur in Illinois. The ICC investigates all grade crossing complaints received and all train/vehicle grade crossing collisions that result in loss of life. ICC investigations of fatal grade crossing collisions include a thorough review of the adequacy of the existing warning devices, and whether existing conditions at the crossings are in compliance with state and federal rail safety rules and regulations. Inadequate funding prevents the ICC from investigating all grade-crossing collisions.</p>





# Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

November 3, 2003

Mr. William G. Holland  
Attn: Ed Wittrock  
Office of the Auditor General  
740 East Ash Street  
Springfield, IL. 62703-3154

Dear Mr. Wittrock:

We have received the draft report on the audit of the Grade Crossing Protection Fund. We are always open to suggestions of ways that we can improve our functions as they relate to the Grade Crossing Protection Fund projects. We would like to make some additional comments regarding the findings in your report. Also attached is our department's response to the recommendations.

On page one of the report, it is stated that "*There is little written guidance available on which agency has responsibility for the various required functions related to managing Grade Crossing Protection Fund projects*".

Page 8 of "The Illinois Grade Crossing Protection Fund – Use... Operation... Administration " guide dated November of 1992, details the responsibilities for the duties of general layout plan and estimate review/approval, submission of billing, inspection and audits of the projects. Also, each agency's job descriptions clearly define the duties and expectations in writing. We believe that both agencies provide their employees with the proper guidance regarding their duties and responsibilities as they relate to the administration of the Grade Crossing Protection Fund. However, we acknowledge that there is no inter-agency agreement in place between the ICC and IDOT that defines these responsibilities in writing.

Paragraph 5 on page two of the draft report states that "*Neither agency adequately reviews actual expenditures to verify the validity of the materials, labor, or personal expenses, as they relate to the scope of the project. In addition, there are no clear standards on what documentation is to be included with billings for Grade Crossing Protection Fund projects*". The validity of the materials is verified during detailed inspections by IDOT, which is typically done on a random sample basis. Our department's Local Rail Safety Unit's ability to perform these detailed inspections has been adversely impacted due to a vacancy in the position responsible for this function. As of October 2003, approval was granted to fill this vacancy, which will allow the inspections to resume. Currently, our department is conducting audits and paying bills for Grade Crossing Protection Fund Projects using standards set forth in the Federal Aid Procedures Guide (FAPG). These standards are being followed, however we agree that they are not currently incorporated in ICC orders. The labor and personal expenses are reviewed and verified by auditors within our department in accordance with governmental auditing standards.

1

2

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Paragraph 1, under Project Expenditure Reviews states that "*neither agency is conducting adequate expenditure reviews*". Audits of the expenditures are being conducted in accordance with Federal Aid Policy Guide procedures.

4

Paragraph 1 on page 36 states: "*Neither agency reviews actual expenditures to verify the validity of the materials, labor, personal expenses, as they relate to scope of the project*". As previously stated, the validity of the materials are verified during the inspections by IDOT and the labor, and the personal expenses are reviewed and verified by auditors within our department.

Following are our responses to specific recommendations:

## **Response to Recommendations**

### **Recommendation 1**

*The Illinois Department of Transportation and the Illinois Commerce Commission should develop policies and procedures and adopt an Interagency Agreement that clarifies each agency's management responsibilities relating to the Grade Crossing Protection Fund projects.*

The Illinois Department of Transportation agrees with the above recommendation.

### **Recommendation 5**

*The Illinois Department of Transportation and the Illinois Commerce Commission should work to appropriately manage fund balances in the Grade Crossing Protection Fund.*

The Illinois Department of Transportation agrees to continue to provide assistance to the Illinois Commerce Commission (ICC) with information beneficial in the management of fund balances in the Grade Crossing Protection Fund. Under the existing arrangement, the management of fund balances is primarily a function of the Illinois Commerce Commission, since the Illinois Department of Transportation does not have control over the number of ICC orders that are issued. By statute, the ICC has the sole authority for that function.

## Recommendation 6

*The Illinois Commerce Commission should assure that all expenditures for Grade Crossing Protection Fund projects are reviewed in a timely manner to assure that they are appropriate and adequately supported. The Illinois Department of Transportation and the Illinois Commerce Commission should work together to develop standards on what documentation is required for Grade Crossing Protection Fund projects.*

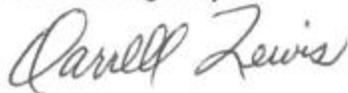
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Railroad bills are paid and audited by the Illinois Department of Transportation in accordance with Federal-Aid Policy Guide (FAPG) rules. The Illinois Department of Transportation agrees to work with the Illinois Commerce Commission to develop written standards that outline documentation required for Grade Crossing Protection Fund projects.

Thank you for giving us the opportunity to comment on this report.

Sincerely,

Victor A. Modeer, P. E.  
Director of Highways



By: Darrell W. Lewis, P. E.  
Acting Engineer of Local Roads and Streets

## AUDITOR COMMENTS

- 1** Although we had asked for policies and procedures earlier in the audit, this 1992 guide was provided by Illinois Department of Transportation during the exit process. The guide included only general descriptions and was from before the current GCPF planning and approval process began for Fiscal Year 2000.
- 2** As IDOT notes in its response, the Department has not been doing these inspections.
- 3** As is noted in Chapter 3 of the report, audits do provide a level of control, but there are some limitations for these audits. First, not all projects are audited. Second, the reviews are done by auditors and not specialists like ICC engineers who are familiar with the projects and what should be included. Third, some are done as desk audits. Desk audits note on their face that they are not detailed, are not done on site, and in some cases source documents are available only on a very limited basis. In addition, currently IDOT takes two or more years after project completion to conduct these audits. Officials noted that because of personnel losses they could get to be as much as five years behind.
- 4** IDOT noted that they have not been doing inspections. Also see Auditor Comment 3.
- 5** Many Grade Crossing Protection Fund projects do not involve any federal funds. The Illinois Department of Transportation did not provide documentation that this federal guidance applies to State GCPF monies and ICC Orders do not incorporate the guidance by reference.