

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

COMPLIANCE EXAMINATION

For the Two Years Ended June 30, 2019

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2019

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STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2019

AGENCY OFFICIALS

Architect of the Capitol (10/15/19 – Present)	Andrea Aggertt
Interim Director* (07/01/17 – 10/14/19)	Mark Flowers
Senior Project Manager	Mark Flowers
Fiscal Officer	Sue Friedrich

*The Architect of the Capitol resigned during a previous examination period. The Senior Project Manager assumed the role of Interim Director.

GOVERNING BOARD MEMBERS

Co-Chair (11/13/18 – Present)	John Hollman, Clerk of the House of Representatives
Co-Chair (06/07/18 – 11/12/18)	John Hollman, Acting Clerk of the House of Representatives
Co-Chair (07/01/17 – 06/06/18)	Timothy Mapes, Clerk of the House of Representatives
Co-Chair	Tim Anderson, Secretary of the Senate
Member	Brad Bolin, Assistant Clerk of the House of Representatives
Member	Scott Kaiser, Assistant Secretary of the Senate

OFFICE

The Office's primary administrative office is located at:

William G. Stratton Building
401 S. Spring Street, Suite 602
Springfield, Illinois 62706



Andrea M. Aggert
AIA, NCARB
Architect of the Capitol

THE OFFICE OF THE ARCHITECT OF THE CAPITOL

401 S. Spring Street, Suite 602 Stratton Bldg., Springfield, Illinois 62706
Telephone: 217.782.7863 Facsimile: 217.524.1873

MANAGEMENT ASSERTION LETTER

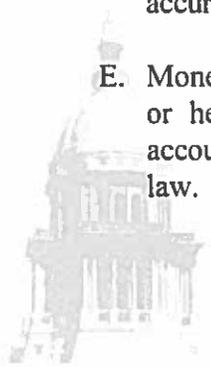
April 15, 2020

Honorable Frank J. Mautino
Auditor General
State of Illinois
740 East Ash Street
Springfield, Illinois 62703-3154

Auditor General Mautino:

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the Office of the Architect of the Capitol (Office). We are responsible for and we have established and maintained an effective system of internal controls over compliance requirements. We have performed an evaluation of the Office's compliance with the following specified requirements during the two-year period ended June 30, 2019. Based on this evaluation, we assert that during the years ended June 30, 2018, and June 30, 2019, the Office has materially complied with the specified requirements listed below.

- A. The Office has obligated, expended, received, and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The Office has obligated, expended, received, and used public funds of the State in accordance with any limitations, restrictions, conditions, or mandatory directions imposed by law upon such obligation, expenditure, receipt, or use.
- C. The Office has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the Office are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate, and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the Office on behalf of the State or held in trust by the Office have been properly and legally administered, and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.



Yours truly,

Office of the Architect of the Capitol

SIGNED ORIGINAL ON FILE

Andrea Aggertt, Architect of the Capitol

SIGNED ORIGINAL ON FILE

Sue Friedrich, Fiscal Officer

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
STATE COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2019

COMPLIANCE REPORT

SUMMARY

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

ACCOUNTANT’S REPORT

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

SUMMARY OF FINDINGS

<u>Number of</u>	<u>Current</u>	<u>Prior</u>
Findings	Report	Report
Findings	2	1
Repeated Findings	1	1
Prior Recommendations Implemented or Not Repeated	0	0

SCHEDULE OF FINDINGS

<u>Item No.</u>	<u>Page</u>	<u>Last Reported</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)				
2019-001	9	2017	Unimplemented Long-Range Master Plan	Significant Deficiency and Noncompliance
2019-002	10	New	Noncompliance with Interagency Agreement	Significant Deficiency and Noncompliance

EXIT CONFERENCE

The Office waived an exit conference in a correspondence from Sue Friedrich, Fiscal Officer, on April 1, 2020. The responses to the recommendations were provided by Sue Friedrich, Fiscal Officer, in a correspondence dated April 1, 2020.

SPRINGFIELD OFFICE:

ILES PARK PLAZA
740 EAST ASH • 62703-3154
PHONE: 217/782-6046
FAX: 217/785-8222 • TTY: 888/261-2887
FRAUD HOTLINE: 1-855-217-1895



CHICAGO OFFICE:

MICHAEL A. BILANDIC BLDG. • SUITE S-900
160 NORTH LASALLE • 60601-3103
PHONE: 312/814-4000
FAX: 312/814-4006
FRAUD HOTLINE: 1-855-217-1895

OFFICE OF THE AUDITOR GENERAL
FRANK J. MAUTINO

**INDEPENDENT ACCOUNTANT'S REPORT
ON STATE COMPLIANCE, ON INTERNAL CONTROL OVER COMPLIANCE, AND
ON SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES**

Honorable Frank J. Mautino
Auditor General
State of Illinois

and

Governing Board
State of Illinois, Office of the Architect of the Capitol

Compliance

We have examined compliance by the State of Illinois, Office of the Architect of the Capitol (Office) with the specified requirements listed below, as more fully described in the *Audit Guide for Financial Audits and Compliance Attestation Engagements of Illinois State Agencies (Audit Guide)* as adopted by the Auditor General, during the two years ended June 30, 2019. Management of the Office is responsible for compliance with the specified requirements. Our responsibility is to express an opinion on the Office's compliance with the specified requirements based on our examination.

The specified requirements are:

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

- E. Money or negotiable securities or similar assets handled by the Office on behalf of the State or held in trust by the Office have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

Our examination was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants, the standards applicable to attestation engagements contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the Illinois State Auditing Act (Act), and the *Audit Guide*. Those standards, the Act, and the *Audit Guide* require that we plan and perform the examination to obtain reasonable assurance about whether the Office complied with the specified requirements in all material respects. An examination involves performing procedures to obtain evidence about whether the Office complied with the specified requirements. The nature, timing, and extent of the procedures selected depend on our judgement, including an assessment of the risks of material noncompliance with the specified requirements, whether due to fraud or error. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

Our examination does not provide a legal determination on the Office's compliance with the specified requirements.

In our opinion, the Office complied with the specified requirements during the two years ended June 30, 2019, in all material respects. However, the results of our procedures disclosed instances of noncompliance with the specified requirements, which are required to be reported in accordance with criteria established by the *Audit Guide* and are described in the accompanying Schedule of Findings as items 2019-001 and 2019-002.

The Office's responses to the compliance findings identified in our examination are described in the accompanying Schedule of Findings. The Office's responses were not subjected to the procedures applied in the examination and, accordingly, we express no opinion on them.

The purpose of this report is solely to describe the scope of our testing and the results of that testing in accordance with the requirements of the *Audit Guide*. Accordingly, this report is not suitable for any other purpose.

Internal Control Over Compliance

Management of the Office is responsible for establishing and maintaining effective internal control over compliance with the specified requirements (internal control).

In planning and performing our examination, we considered the Office's internal control to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the Office's compliance with the specified requirements and to test and report on the Office's internal control in accordance with the *Audit Guide*, but not for the purpose

of expressing an opinion on the effectiveness of the Office's internal control. Accordingly, we do not express an opinion on the effectiveness of the Office's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with the specified requirements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that material noncompliance with the specified requirements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that have not been identified. Given these limitations, during our examination, we did not identify any deficiencies in internal control that we consider to be material weaknesses. We did identify certain deficiencies in internal control, described in the accompanying Schedule of Findings as items 2019-001 and 2019-002, that we consider to be significant deficiencies.

As required by the *Audit Guide*, an immaterial finding excluded from this report has been reported in a separate letter.

The Office's responses to the internal control findings identified in our examination are described in the accompanying Schedule of Findings. The Office's responses were not subjected to the procedures applied in the examination and, accordingly, we express no opinion on them.

The purpose of this report is solely to describe the scope of our testing of internal control and the results of that testing based on the requirements of the *Audit Guide*. Accordingly, this report is not suitable for any other purpose.

Supplementary Information for State Compliance Purposes

Our examination was conducted for the purpose of forming an opinion on the Office's compliance with the specified requirements. The accompanying supplementary information for the years ended June 30, 2018, and June 30, 2019, in Schedules 1 through 5 and the Analysis of Operations Section are presented for purposes of additional analysis. Such information is the responsibility of Office management. We have applied certain limited procedures as prescribed by the *Audit Guide* to the accompanying supplementary information for the years ended June 30, 2018, and June 30, 2019, in Schedules 1 through 5. We have not applied procedures to the accompanying supplementary information for the year ended June 30, 2017, in Schedules 3 through 5 and in the Analysis of Operations Section. We do not express an opinion, a conclusion, nor provide any assurance on the accompanying supplementary information in Schedules 1 through 5 or the Analysis of Operations Section.

SIGNED ORIGINAL ON FILE

JANE CLARK, CPA
Director of Financial and Compliance Audits

Springfield, Illinois
April 15, 2020

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
SCHEDULE OF FINDINGS – STATE COMPLIANCE
For the Two Years Ended June 30, 2019

2019-001. **FINDING** (Unimplemented Long-Range Master Plan)

The Office of the Architect of the Capitol (Office) has not completed or implemented a long-range master plan of development for the State’s Capitol Building and legislative complex.

During testing, we noted the Office has not completed or implemented a long-range master plan of development for the State Capitol Building and the remaining portions of the legislative complex that addresses the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs of the State Capitol Building and the remaining portions of the legislative complex.

The Legislative Commission Reorganization Act of 1984 (Act) (25 ILCS 130/8A-15(b)) requires the Office to implement a long-range master plan of development that addresses the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs of the State Capitol Building and legislative complex. The Office is also required to submit the long-range master plan to the Capitol Historic Preservation Board (Board) for its review and comment.

During the prior examination, Office officials indicated they had met with the Board and requested capital appropriations to complete the long-range master plan, but no funds had been appropriated. During the current examination, Office officials indicated the Office did not receive any Capital Development Fund appropriations in Fiscal Year 2018 to finish the master plan. They further indicated the Office did receive appropriations in Fiscal Year 2019 and currently has a contract in place to resume work on the master plan.

Failure to implement a long-range master plan represents noncompliance with the Act and could result in unforeseen problems relating to the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs of the State Capitol Building and the legislative complex. (Finding Code No. 2019-001, 2017-001, 2015-001, 2013-001, 11-1, 09-2)

RECOMMENDATION

We recommend the Office complete the long-range master plan and then take appropriate action to implement the plan.

OFFICE RESPONSE

The Office currently has a contract in place to complete the long-range master plan for the State’s Capitol building and legislative complex. When completed, the Office will take action to implement the plan.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
SCHEDULE OF FINDINGS – STATE COMPLIANCE
For the Two Years Ended June 30, 2019

2019-002. **FINDING** (Noncompliance with Interagency Agreement)

The Office of the Architect of the Capitol (Office) did not comply with its interagency agreement with the Capital Development Board (CDB).

Per the interagency agreement signed on November 9, 2018, the Office was required to comply with the Illinois Procurement Code (Code) on all projects related to renovations of the North Wing of the State Capitol Building and the master plan for the legislative complex on which the CDB provided assistance. One contract was executed during the examination period related to the agreement.

We noted the following:

- Documentation of the Office’s vendor decisions and conclusions was not maintained, including the decision to award a contract without performing qualifications-based selection procedures during the examination period. Office personnel indicated they determined, in consultation with the CDB, it was in the best interest of the State to use the same vendor for this architectural and engineering contract as was used in prior renovations of the South and West Wings of the State Capitol Building, instead of reopening the project to prospective bidders and awarding the contract pursuant to qualifications-based selection procedures. However, these conclusions were neither contemporaneously documented, nor were the cost factors or other information used in making this determination.

The Code (30 ILCS 500/30-15(c)) requires all construction-related professional services contracts to be awarded in accordance with the provisions of the Architectural, Engineering, and Land Surveying Qualifications Based Selection Act (Act). The Act (30 ILCS 535/25) requires no less than a 14-day advance notice to be published in a professional services bulletin or advertised within the official State newspaper setting forth the projects and services to be procured for all project proposals requiring architectural, engineering, or land surveying services for a State agency.

Office officials indicated their decision to continue working with the vendor who had completed previous renovations within the State Capitol Building was in the best interest of the State, but documentation to this effect was not prepared and maintained due to oversight.

- The Office did not report any communications relating to this contract to the Procurement Policy Board (PPB).

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
SCHEDULE OF FINDINGS – STATE COMPLIANCE
For the Two Years Ended June 30, 2019

The Code (30 ILCS 500/50-39(a)) requires any written or oral communication received by a State employee who, by the nature of their duties, has the authority to participate personally and substantially in the decision to award a State contract and that imparts or requests material information or makes a material argument regarding potential action concerning an active procurement matter, shall be reported to the PPB.

Office officials indicated their activities are typically exempt from the Code, which contributed to employee error and oversight when they failed to report procurement-related communications to the PPB.

Failure to contemporaneously document procurement-related decisions and conclusions limits the Office's ability to substantiate compliance with the Code. In addition, failure to document and report written and oral communications received regarding an active procurement matter represents noncompliance with the Code. (Finding Code No. 2019-002)

RECOMMENDATION

We recommend the Office contemporaneously document all procurement-related decisions and conclusions drawn. We also recommend the Office document and report all written and oral communications received regarding an active procurement matter to the PPB.

OFFICE RESPONSE

The Office will document all future procurement-related decisions regarding an active procurement matter.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
Appropriations for Fiscal Year 2019

Fifteen Months Ended September 30, 2019

Public Act 100-0586 FISCAL YEAR 2019	Appropriations (Net of Transfers)	Lapse Period		Total Expenditures 15 Months Ended September 30	Balance Reappropriated July 1	Balances Lapsed September 30
		Expenditures Through June 30	Expenditures July 1 to September 30			
<u>APPROPRIATED FUNDS</u>						
General Revenue Fund - 001						
Operational Expenses	\$ 1,669,500	\$ 929,709	\$ 429,450	\$ 1,359,159	\$ -	\$ 310,341
Subtotal - Fund 001	\$ 1,669,500	\$ 929,709	\$ 429,450	\$ 1,359,159	\$ -	\$ 310,341
Capital Development Fund - 141						
Permanent Improvements	\$ 20,000,000	\$ 721,848	\$ -	\$ 721,848	\$ 19,278,152	\$ -
Subtotal - Fund 141	\$ 20,000,000	\$ 721,848	\$ -	\$ 721,848	\$ 19,278,152	\$ -
GRAND TOTAL - ALL FUNDS	\$ 21,669,500	\$ 1,651,557	\$ 429,450	\$ 2,081,007	\$ 19,278,152	\$ 310,341

Note 1: Appropriations, expenditures, reappropriated balances, and lapsed balances in this schedule were prepared by the Office and have been reconciled to the State Comptroller's records as of September 30, 2019.

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

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
Appropriations for Fiscal Year 2018

Fifteen Months Ended September 30, 2018

	Appropriations (Net of Transfers)	Lapse Period		Total Expenditures 15 Months Ended September 30	Balances Lapsed September 30
		Expenditures Through June 30	Expenditures July 1 to September 30		
Public Act 100-0021					
FISCAL YEAR 2018	\$ 1,669,500	\$ 703,877	\$ 564,847	\$ 1,268,724	\$ 400,776
APPROPRIATED FUNDS	<u>\$ 1,669,500</u>	<u>\$ 703,877</u>	<u>\$ 564,847</u>	<u>\$ 1,268,724</u>	<u>\$ 400,776</u>
General Revenue Fund - 001					
Operational Expenses	\$ 1,669,500	\$ 703,877	\$ 564,847	\$ 1,268,724	\$ 400,776
GRAND TOTAL	<u>\$ 1,669,500</u>	<u>\$ 703,877</u>	<u>\$ 564,847</u>	<u>\$ 1,268,724</u>	<u>\$ 400,776</u>

Note 1: Appropriations, expenditures, and lapsed balances in this schedule were prepared by the Office and have been reconciled to the State Comptroller's records as of September 30, 2018.

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

Note 3: Notwithstanding anything in Public Act 100-0021 to the contrary, Public Act 100-0021 authorized the Office to pay for all costs incurred prior to July 1, 2018, using either its Fiscal Year 2017 or Fiscal Year 2018 appropriations for non-payroll expenditures. The Analysis of Operations Section of this report includes information from Office management about the number of invoices and total dollar amount of invoices from Fiscal Year 2016 and Fiscal Year 2017 held by the Office submitted against its Fiscal Year 2018 appropriations.

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

	Fiscal Year		
	2019	2018	2017
	Public Act 100-0586	Public Act 100-0021	Continuing Appropriations
GENERAL REVENUE FUND - 001			
Appropriations	\$ 1,669,500	\$ 1,669,500	\$ 1,669,500
<u>Expenditures</u>			
Operational Expenses	\$ 1,359,159	\$ 1,268,724	\$ 1,360,240
Total Expenditures	\$ 1,359,159	\$ 1,268,724	\$ 1,360,240
Lapsed Balances	<u>\$ 310,341</u>	<u>\$ 400,776</u>	<u>\$ 309,260</u>
CAPITAL DEVELOPMENT FUND - 141			
Appropriations	\$ 20,000,000	\$ -	\$ -
<u>Expenditures</u>			
Permanent Improvements	\$ 721,848	\$ -	\$ -
Total Expenditures	\$ 721,848	\$ -	\$ -
Reappropriated Balances	\$ 19,278,152	\$ -	\$ -
Lapsed Balances	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
<u>GRAND TOTAL - ALL APPROPRIATED FUNDS</u>			
Appropriations	\$ 21,669,500	\$ 1,669,500	\$ 1,669,500
Total Expenditures and Reappropriated Balances	\$ 21,359,159	\$ 1,268,724	\$ 1,360,240
Lapsed Balances	<u>\$ 310,341</u>	<u>\$ 400,776</u>	<u>\$ 309,260</u>

Note 1: Appropriations, expenditures, reappropriated balances, and lapsed balances in this schedule were prepared by the Office and have been reconciled to the State Comptroller's records as of September 30, 2019, and September 30, 2018.

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

Note 3: Notwithstanding anything in Public Act 100-0021 to the contrary, Public Act 100-0021 authorized the Office to pay for all costs incurred prior to July 1, 2018, using either its Fiscal Year 2017 or Fiscal Year 2018 appropriations for non-payroll expenditures. The Analysis of Operations Section of this report includes information from Office management about the number of invoices and total dollar amount of invoices from Fiscal Year 2016 and Fiscal Year 2017 held by the Office submitted against its Fiscal Year 2018 appropriations.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
**COMPARATIVE SCHEDULE OF CASH RECEIPTS AND RECONCILIATION OF
CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**
For the Fiscal Years Ended June 30,

	2019	Fiscal Year 2018	2017
General Revenue Fund - 001			
Miscellaneous	\$ -	\$ -	\$ 75
Total Cash Receipts per Office	-	-	75
Less - In Transit at End of Year	-	-	-
Plus - In Transit at Beginning of Year	-	-	-
Total Cash Receipts per State Comptroller's Records	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 75</u>
Capitol Restoration Trust Fund - 149			
Construction Administration/Private & Public	\$ -	\$ 126	\$ -
Total Cash Receipts per Office	-	126	-
Less - In Transit at End of Year	-	-	-
Plus - In Transit at Beginning of Year	-	-	-
Total Cash Receipts per State Comptroller's Records	<u>\$ -</u>	<u>\$ 126</u>	<u>\$ -</u>
GRAND TOTAL - ALL FUNDS			
Total Cash Receipts per Office	\$ -	\$ 126	\$ 75
Less - In Transit at End of Year	-	-	-
Plus - In Transit at Beginning of Year	-	-	-
Total Cash Receipts per State Comptroller's Records - All Funds	<u>\$ -</u>	<u>\$ 126</u>	<u>\$ 75</u>

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
SCHEDULE OF CHANGES IN STATE PROPERTY
For the Two Years Ended June 30, 2019

	<u>Equipment</u>
Balance at July 1, 2017	\$ 257,629
Additions	11,195
Deletions	-
Net Transfers	<u>(1,595)</u>
Balance at June 30, 2018	<u>\$ 267,229</u>
Balance at July 1, 2018	\$ 267,229
Additions	11,584
Deletions	(123,585)
Net Transfers	<u>(7,513)</u>
Balance at June 30, 2019	<u>\$ 147,715</u>

Note: Amounts in this schedule were prepared by the Office and have been reconciled to property reports submitted to the State Comptroller.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
AGENCY FUNCTIONS AND PLANNING PROGRAM
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

The Office of the Architect of the Capitol (Office) was established as the successor agency to the Legislative Space Needs Commission, effective February 1, 2004.

The Office is mandated by statute:

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

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

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

The Capitol Historic Preservation Board was established to serve as an advisory body to the Office. As of the end of 2019 Lapse Period, ten of the ten members have been appointed. The Capitol Historic Preservation Board held no meetings during Fiscal Year 2018 or Fiscal Year 2019.

Planning Program

The Capitol Master Plan contract was executed by the Capital Development Board (CDB) for a complete assessment of the Stratton Building in conjunction with preparation of a comprehensive long-range plan for the entire Capitol Complex. The assessment of the Stratton Building has

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
AGENCY FUNCTIONS AND PLANNING PROGRAM
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

been completed by the contractors and a draft report was submitted for review. The master planning effort has concluded an extensive data gathering phase and is currently 75% complete. The schedule for completion of the final draft of the Capitol Master Plan is June 30, 2020. Once complete, the Capitol Master Plan will set long-term goals for the improvement, construction, capital repairs, and landscaping needs within the Capitol Complex.

The Office's Board met periodically to consider proposed and ongoing projects.

The Office worked in conjunction with CDB and the Secretary of State's Office (SOS) to develop projects necessary to maintain the State buildings in the legislative complex. The planning process began with building surveys, architect and engineer (A/E) studies, facility analysis, and proposed costs. The Office, CDB, and SOS scheduled planning meetings and discussed bid proposals. The Office is required to approve all contracts for the legislative complex.

Fiscal Year 2018

During Fiscal Year 2018, the following projects were completed or continued:

- Spring Street Parking Lot Pavement Replacement
- Repair of the Lincoln/Douglas Statues on the Capitol Lawn
- Provide design of IT electrical grounding system in the House and Senate Chambers at the Capitol Building
- Touch-up and repair the woodwork in the Senate and House Chambers and the West Wing of the State Capitol Building
- Removal and disposal of Asbestos Containing Material (ACM) in Room 058 of the State Capitol Building
- A/E Basic services (design, construction documents, bidding, and construction admin & close-out) for the Print Shop 057 Renovations Phase 1 & 2 at the State Capitol Building
- Demolition of plaster and wall furring over masonry surfaces, removal of paint from masonry surfaces, interior masonry restoration and demolition of electrical and mechanical equipment in Print Shop 057 at the Capitol Building
- A/E Basic Services and construction of new Stratton Lower Level West Paper Storage enclosure in underground parking ramp

Fiscal Year 2019

During Fiscal Year 2019, the following projects were completed or continued:

- Removal and disposal of asbestos containing material (ACM) on the 8th floor of the Stratton Building

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
AGENCY FUNCTIONS AND PLANNING PROGRAM
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

- Hone and highly polish the Capitol Building's marble floors on the 1st, 2nd and 3rd floors South Wing, North Wing, East Wing and center rotunda on all floors, and West Wing basement level
- Replace a portion of the concrete parking area between the Stratton Building and Capitol Building – Spring Street Pavement Replacement – Phase II
- Clean Lincoln, Douglas, and Menard Statues on the State Capitol lawn
- A/E services to investigate the existing railings on the 4th level of the Capitol Building
- A/E services for hardware modifications for the West Wing doors
- Professional services to remove and dispose of asbestos containing material (ACM) floor tile and mastic in Room 057 of the Capitol Building
- Remove and install fin tube for two windows in Hearing Room 122, Capitol Building
- Install, terminate, and test one 24 strand OS2 light-armored fiber optic cable from Blue Room to Senate/House Gallery and Governor's office in the State Capitol Building
- Relocation of fiber optic cabling around 222 S. College Street Building and provide new conduits
- Cleaning of Lincoln, Douglas, and Dirksen statues on the State Capitol Building lawn
- Touch-up and repair woodwork at the State Capitol Building in the House and Senate Chambers and the West Wing
- North Wing Renovation in the State Capitol Building

The Office's operational challenges in the past three years have been the completion of the long-range master plan. In 2016, the Governor vetoed the Office's Capital Development Fund appropriations. Currently, the Office has a contract with an architectural firm to complete the long-range master plan.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2019 AND 2018

Capital Development Fund – 141

Permanent Improvements

The significant variance in expenditures was due to the Office receiving Capital Development Fund appropriations during Fiscal Year 2019 and carrying out a number of repair and improvement projects in the legislative complex. The Office did not receive appropriations of this type in Fiscal Year 2018.

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2018 AND 2017

There were no significant variations in expenditures between Fiscal Year 2018 and Fiscal Year 2017.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

The Office receives minimal receipts. During Fiscal Year 2019, the Office did not receive any receipts. During Fiscal Year 2018, the Office received one miscellaneous receipt in the amount of \$126 from monies retrieved while cleaning fountains on the Capitol lawn. Receipts are expected to fluctuate between fiscal years due to the nature of receipts processed.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

FISCAL YEAR 2019

Operational Expenses

The significant spending during the Lapse Period was due to payments for projects in process at the end of the fiscal year. The Office has to work their projects around the legislative session schedule and other activities taking place at the Capitol Building. This caused projects to be completed late in the fiscal year, which resulted in billings being received and payments processed during the Lapse Period.

FISCAL YEAR 2018

Operational Expenses

The significant spending during the Lapse Period was due to payments for projects in process at the end of the fiscal year. The Office has to work their projects around the legislative session schedule and other activities taking place at the Capitol Building. This caused projects to be completed late in the fiscal year, which resulted in billings being received and payments processed during the Lapse Period.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
BUDGET IMPASSE DISCLOSURES
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

Payment of Prior Year Costs in Future Fiscal Years

All of the Office's Fiscal Year 2016 and Fiscal Year 2017 costs were paid pursuant to continuing appropriations. The Office did not have any outstanding unpaid invoices from either Fiscal Year 2016 or Fiscal Year 2017 after the closure of the Fiscal Year 2016 Lapse Period on August 31, 2016, and the closure of the Fiscal Year 2017 Lapse Period on September 30, 2017, respectively.

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
AVERAGE NUMBER OF EMPLOYEES
For the Years Ended June 30,
(NOT EXAMINED)

The following table, prepared by the Office, presents the average number of employees, by function, for the Fiscal Years Ended June 30,

<u>Position</u>	<u>2019</u>	<u>2018</u>	<u>2017</u>
Architect of the Capitol	0	0	0
Senior Project Manager/Interim Director	1	1	1
Administrative Assistant/Fiscal Officer	1	1	1
Total Average Full-Time Employees	<u>2</u>	<u>2</u>	<u>2</u>

STATE OF ILLINOIS
OFFICE OF THE ARCHITECT OF THE CAPITOL
MEMORANDUM OF UNDERSTANDING
For the Two Years Ended June 30, 2019
(NOT EXAMINED)

During the examination period, the Office had a Memorandum of Understanding (MOU) with the Office of the State Comptroller (Comptroller) for the purpose of defining roles and responsibilities between the Office and the Comptroller for directly inputting obligations, purchase orders, and master contracts (collectively, obligation activity) into the Statewide Accounting Management System (SAMS). The Office's responsibilities are to enter obligation activity into SAMS; apply the first level approval on all Office obligation activity; identify rejected obligation activity and take necessary corrective action within five working days; designate a representative to coordinate all security issues with the Comptroller Security Administrator; and, ensure proper fiscal and internal controls associated with this program are implemented within the Office.