



STATE OF ILLINOIS
**OFFICE OF THE
 AUDITOR GENERAL**

William G. Holland, Auditor General

SUMMARY REPORT DIGEST

ILLINOIS GUARDIANSHIP AND ADVOCACY COMMISSION

Compliance Examination
 For the Two Years Ended June 30, 2015

Release Date: December 17, 2015

FINDINGS THIS AUDIT: 4	New	Repeat	Total	AGING SCHEDULE OF REPEATED FINDINGS			
				Repeated Since	Category 1	Category 2	Category 3
Category 1:	0	0	0	2011		15-3	
Category 2:	1	2	3	2009			15-2
Category 3:	<u>0</u>	<u>1</u>	<u>1</u>	2007		15-1	
TOTAL	1	3	4				
FINDINGS LAST AUDIT: 3							

SYNOPSIS

- (15-2) The Commission was not in compliance with the Guardianship and Advocacy Act.
- (15-3) The Commission failed to conduct employee performance evaluations timely.

Category 1: Findings that are **material weaknesses** in internal control and/or a **qualification** on compliance with State laws and regulations (material noncompliance).

Category 2: Findings that are **significant deficiencies** in internal control and **noncompliance** with State laws and regulations.

Category 3: Findings that have **no internal control issues but are in noncompliance** with State laws and regulations.

{Expenditures and Activity Measures are summarized on next page.}

ILLINOIS GUARDIANSHIP AND ADVOCACY COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2015

EXPENDITURE STATISTICS	2015	2014	2013
Total Operating Expenditures.....	\$ 10,555,111	\$ 9,932,501	\$ 9,442,256
Total Receipts.....	\$ 1,342,531	\$ 1,300,908	\$ 80,721
Average Number of Employees (Not Examined).....	105	106	103

SELECTED ACTIVITY MEASURES (Not Examined)	2015	2014	2013
Office of State Guardian			
Number of wards served.....	5,108	5,073	5,021
Average caseload per worker.....	135	123	140
Legal Advocacy Service			
Cases handled.....	6,767	5,455	5,534
Human Rights Authority			
Cases handled.....	284	265	285

EXECUTIVE DIRECTOR	
During Examination Period:	Dr. Mary L. Milano
Currently:	Dr. Mary L. Milano

FINDINGS, CONCLUSIONS, AND
RECOMMENDATIONS

**NONCOMPLIANCE WITH THE GUARDIANSHIP AND
ADVOCACY ACT**

The Illinois Guardianship and Advocacy Commission (Commission) did not comply with provisions of the Guardianship and Advocacy Act (Act). We noted the following:

Commission did not meet as required

- The Commission operated with only 10 of the 11 required members throughout the examination period.
- The Commission did not meet with a quorum present during Fiscal Year 2015 and only met twice during Fiscal Year 2014. (Finding 2, page 9) **This finding was first reported in 2009.**

We recommended the Commission continue to work with the Governor's Office to fill the vacancies and hold meetings at least once every three months as required.

Commission agrees with auditors

The Commission agreed with the facts of the finding and stated quarterly meetings were scheduled but were cancelled when a quorum was not met and the Commission staff are working with the Governor's Office to try and ensure a full complement of Commissioners. (*For the previous Commission response, see Digest Footnote #1.*)

**EMPLOYEE PERFORMANCE EVALUATIONS NOT
COMPLETED TIMELY**

The Commission did not conduct employee performance evaluations timely.

**Performance evaluations completed
48 to 82 days late**

The Commission did not timely complete performance evaluations for 7 of 11 (64%) employee personnel files tested. The employee performance evaluations were completed 48 to 82 days late. In addition, one of the employees tested did not receive evaluations during Fiscal Years 2014 and 2015 and one of the employees tested did not receive an evaluation during Fiscal Year 2015. (Finding 3, page 10)

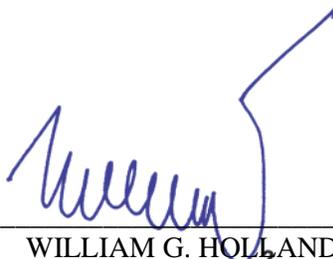
We recommended the Commission comply with the Illinois Administrative Code and take appropriate measures to ensure performance evaluations are conducted annually and in a timely manner.

Commission agrees with auditors

The Commission agreed with the finding and stated they will strive to complete evaluations in a more timely manner.

ACCOUNTANT'S OPINION

We conducted a compliance examination of the Commission, for the two years ended June 30, 2015, as required by the Illinois State Auditing Act. The accountants stated the Commission complied, in all material respects, with the requirements described in the report.

A handwritten signature in blue ink, appearing to read 'William G. Holland', is written above a horizontal line.

WILLIAM G. HOLLAND
Auditor General

WGH:skm

AUDITORS ASSIGNED

This examination was performed by the Office of the Auditor General's staff.

DIGEST FOOTNOTES

#1 – NONCOMPLIANCE WITH THE GUARDIANSHIP AND ADVOCACY ACT – Previous Commission Response

2013: Commission agrees with the finding and strives to obtain a fully staffed Commission. Two new Commissioners were appointed during the audit period. Several additional candidates have been submitted to the Governor's Office of Executive Appointments. The Commission will continue to find, vet and submit qualified candidates to the Governor's Office as it is a priority for the continued operation of the agency to have a fully staffed Commission.