

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION**

**COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**PERFORMED AS SPECIAL ASSISTANT AUDITORS  
FOR THE AUDITOR GENERAL, STATE OF ILLINOIS**



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**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

TABLE OF CONTENTS

	<u>SCHEDULE</u>	<u>PAGE</u>
AGENCY OFFICIALS.....		1-2
MANAGEMENT ASSERTION LETTER.....		3-4
COMPLIANCE REPORT:		
SUMMARY.....		5-7
INDEPENDENT ACCOUNTANTS' REPORT ON STATE COMPLIANCE, INTERNAL CONTROL OVER COMPLIANCE, AND ON SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES.....		8-11
INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH <i>GOVERNMENT AUDITING STANDARDS</i> .....		12-13
SCHEDULE OF FINDINGS:		
CURRENT FINDINGS – <i>GOVERNMENT AUDITING STANDARDS</i> .....		14-15
CURRENT FINDINGS – STATE COMPLIANCE.....		16-38
PRIOR FINDINGS NOT REPEATED.....		39
STATUS OF MANAGEMENT AUDITS.....		40-41
SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES:		
FISCAL SCHEDULES AND ANALYSIS:		
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES FISCAL YEAR 2020.....	1	42-45
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES FISCAL YEAR 2019.....	2	46-49
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES.....	3	50-58
COMPARATIVE SCHEDULE OF NET EXPENDITURES BY MAJOR ACTIVITY.....	4	59
COMPARATIVE SCHEDULE OF CASH RECEIPTS AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER.....	5	60-68
SCHEDULE OF LOCALLY HELD FUND RECEIPTS AND DISBURSEMENTS.....	6	69
SCHEDULE OF CHANGES IN STATE PROPERTY.....	7	70-71

(Continued)

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

PAGE

SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES (CONTINUED):

ANALYSIS OF OPERATIONS (UNAUDITED):	
AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED).....	72-82
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES (UNAUDITED).....	83-84
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS (UNAUDITED).....	85-87
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING (UNAUDITED).....	88
AVERAGE NUMBER OF FULL TIME EMPLOYEES (UNAUDITED).....	89
EMERGENCY PURCHASES (UNAUDITED).....	90-94
ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED).....	95-100
ASSAULTS ON STAFF (UNAUDITED).....	101
DISCLOSURE OF EMERGENCY PURCHASES UNDER THE GUBERNATORIAL COVID-19 DISASTER PROCLAMATIONS (UNAUDITED).....	
SUMMARY OF MAJOR PROJECTS (UNAUDITED).....	102-103
	104-110

OTHER REPORTS ISSUED UNDER A SEPARATE COVER

THE DEPARTMENT'S FINANCIAL STATEMENTS AS OF AND FOR THE YEAR ENDED JUNE 30, 2020, HAVE BEEN ISSUED UNDER A SEPARATE COVER. ADDITIONALLY, IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS*, WE HAVE ISSUED THE REPORT REQUIRED UNDER GOVERNMENT AUDITING STANDARDS FOR THE YEAR ENDED JUNE 30, 2020, ON OUR CONSIDERATION OF THE DEPARTMENT'S INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON OUR TESTS OF ITS COMPLIANCE WITH CERTAIN PROVISIONS OF LAWS, REGULATIONS, CONTRACTS, GRANT AGREEMENTS, AND OTHER MATTERS, UNDER A SEPARATE COVER. THE PURPOSE OF THIS REPORT IS SOLELY TO DESCRIBE THE SCOPE OF OUR TESTING OF INTERNAL CONTROL OVER FINANCIAL REPORTING AND COMPLIANCE AND THE RESULTS OF THAT TESTING, AND NOT TO PROVIDE AN OPINION ON THE EFFECTIVENESS OF THE DEPARTMENT'S INTERNAL CONTROL OVER FINANCIAL REPORTING OR ON COMPLIANCE. THAT REPORT IS AN INTEGRAL PART OF AN AUDIT PERFORMED IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS* AND SHOULD BE CONSIDERED IN ASSESSING THE RESULTS OF THE AUDIT.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
AGENCY OFFICIALS  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**AGENCY OFFICIALS**

Secretary	Omer Osman (6/1/2021 to present) Omer Osman (Acting) (2/25/2019 through 5/31/2021) Matt Magalis (Acting) (1/1/2019 through 2/24/2019) Randall S. Blankenhorn (through 12/31/2018)
Assistant Secretary	Vacant
Chief of Staff	Georgina (Syas) White (11/16/2019 to present) Matt Magalis (through 11/15/2019)
Deputy Chief of Staff	Becky Locker (3/16/2020 to present) Vacant (through 3/15/2020)
Chief Operating Officer	Sheleda Doss (10/1/2019 to present) Vacant (through 9/30/2019)
Deputy Secretary of Program Development and External Affairs	Douglas House (4/17/2019 to present) Vacant (1/20/2019 through 4/16/2019) Justine Sydello (through 1/19/2019)
Deputy Secretary of Administration, Diversity and Legal Affairs	Margaret vanDijk (3/16/2021 to present) Vacant (through 3/15/2021)
Deputy Secretary of Project Implementation	Vacant (11/16/2019 to present) Paul Loete (9/1/2019 through 11/15/2019) Vacant (2/25/2019 through 8/31/2019) Omer Osman (through 2/24/2019)
Chief Fiscal Officer	Joanne Woodworth (Acting) (1/1/2019 to present) Matt Magalis (Acting) (through 12/31/2018)
Director, Office of Planning and Programming	Holly (Ostdick) Bieneman (9/16/2020 to present) Vacant (1/1/2019 through 9/15/2020) Erin Aleman (through 12/31/2018)
Director, Office of Highways Project Implementation	Stephen Travia (7/1/2021 to present) Vacant (9/1/2019 through 6/30/2021) Paul Loete (through 8/31/2019)
Director, Office of Intermodal Project Implementation	Vacant (2/20/2019 to present) Beth McCluskey (through 2/19/2019)

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
AGENCY OFFICIALS  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

Deputy Director, Rail, Office of Intermodal Project Implementation	John Oimoen
Deputy Director, Transit, Office of Intermodal Project Implementation	Ashounta Reese (6/1/2021 to present) John Oimoen (Acting) (5/1/2020 through 5/31/2021) Carrie Cooper (through 4/30/2020)
Deputy Director, Aeronautics, Office Of Intermodal Project Implementation	Clayton Stambaugh (4/16/2020 to present) Vacant (1/1/2019 through 4/15/2020) Ken Martin (through 12/31/2018)
Director, Office of Communications	Guy Tridgell
Director, Office of Legislative Affairs	Nicola Cortez-Hun
Director, Office of Finance and Administration	Vacant
Deputy Director, Office of Finance And Administration	Matt Magalis (11/16/2019 to present) Vacant (through 11/15/2019)
Director, Office of Business and Workforce Diversity	Pamela Simon
Director, Office of Chief Counsel	Yangsung Kim (6/1/2021 to present) Margaret vanDijk (Acting) (5/1/2021 through 5/31/2021) Phil Kaufmann (through 4/30/2021)
Director, Office of Internal Audit	Stephen Kirk

**Agency's main offices are located at:**

2300 S. Dirksen Parkway  
Springfield, IL 62764

69 W. Washington Street  
Chicago, IL 60602



# Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois 62764

September 27, 2021

CliftonLarsonAllen LLP  
301 S.W. Adams Street, Suite 1000  
Peoria, IL 61602

Ladies and Gentlemen:

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the State of Illinois, Illinois Department of Transportation (Department). 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 Department's compliance with the following specified requirements during the two-year period ended June 30, 2020. Based on this evaluation, we assert that during the years ended June 30, 2019, and June 30, 2020, the Department has materially complied with the specified requirements listed below.

- A. The Department 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 Department 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 Department 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 Department 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 Department on behalf of the State or held in trust by the Department have been properly and legally administered, and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

Yours truly,

Illinois Department of Transportation

**SIGNED ORIGINAL ON FILE**

*Secretary of Transportation*

**SIGNED ORIGINAL ON FILE**

Joanne Woodworth  
*Chief Fiscal Officer*

**SIGNED ORIGINAL ON FILE**

Yongsu Kim  
*Chief Legal Counsel*

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**COMPLIANCE REPORT**

**SUMMARY**

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

**Accountants' Reports**

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

**Summary of Findings**

Number of:	<u>Current Report</u>	<u>Prior Report</u>
Findings	12	10
Repeated findings	7	5
Prior recommendations implemented or not repeated	3	4

**Schedule of Findings**

**Findings (Government Auditing Standards)**

Item No.	Page	Last/First Reported	Description	Finding Type
2020-001	14	New	Lack of Census Data Reconciliations	Significant Deficiency

**Findings (State Compliance)**

Item No.	Page	Last/First Reported	Description	Finding Type
2020-002	16	2018/2014	Failure to Maintain Timely and Accurate Information on Bridge Inspections	Significant Deficiency and noncompliance
2020-003	20	2018/2007	Inadequate Controls over Employee Overtime	Significant Deficiency and noncompliance
2020-004	22	New	Inadequate Controls over Employee Statements of Economic Interest	Significant Deficiency and noncompliance
2020-005	23	New	Inadequate Controls over Personal Services	Significant Deficiency and noncompliance

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**Findings (State Compliance) (Continued)**

<b>Item No.</b>	<b>Page</b>	<b>Last/First Reported</b>	<b>Description</b>	<b>Finding Type</b>
2020-006	25	2018/2007	Inadequate Controls over the Administration of State Vehicles	Significant Deficiency and noncompliance
2020-007	28	2018/2008	Inadequate Controls over Accounts Receivable	Significant Deficiency and noncompliance
2020-008	30	2018/2016	Failure to Control Outdoor Advertising	Significant Deficiency and noncompliance
2020-009	32	2018/2018	Noncompliance with Reporting Requirements	Significant Deficiency and noncompliance
2020-010	34	New	Adoption of H+T Affordability Index at Metropolitan Planning Organizations	Significant Deficiency and noncompliance
2020-011	35	2018/2018	Weaknesses Regarding Change Management Process	Significant Deficiency and noncompliance
2020-012	37	New	Weaknesses in Cybersecurity Programs and Practices	Significant Deficiency and noncompliance

In addition, the following findings which are reported as current findings relating to *Government Auditing Standards* also meet the reporting requirements for State Compliance.

<b>Item No.</b>	<b>Page</b>	<b>Last/First Reported</b>	<b>Description</b>	<b>Finding Type</b>
2020-001	14	New	Lack of Census Data Reconciliations	Significant Deficiency and noncompliance

**Prior Year Findings Not Repeated**

<b>Item No.</b>	<b>Page</b>	<b>Last/First Reported</b>	<b>Description</b>
A	39	2019/2018	Inadequate Controls over Financial Reporting
B	39	2018/2018	Inadequate Controls over Locally Held Funds
C	39	2018/2018	Weaknesses with Payment Card Industry Data Security Standards

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**Exit Conference**

The Department waived its option to hold an exit conference through correspondence from Stephen Kirk, Chief Internal Auditor, dated September 8, 2021. The Department's responses to the recommendations were provided by Stephen Kirk, Chief Internal Auditor, in correspondence dated September 9, 2021.



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

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

**Compliance**

As Special Assistant Auditors for the Auditor General, we have examined compliance by the State of Illinois, Department of Transportation (Department) 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, 2020. Management of the Department is responsible for compliance with these specified requirements. Our responsibility is to express an opinion on the Department's compliance with the specified requirements based on our examination.

The specified requirements are:

- A. The Department 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 Department 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 Department 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 Department 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 Department on behalf of the State or held in trust by the Department have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

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 Department complied with the specified requirements in all material respects. An examination involves performing procedures to obtain evidence about whether the Department 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 Department's compliance with specified requirements.

In our opinion, the Department complied with the specified requirements during the two years ended June 30, 2020, 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 2020-001 through 2020-012.

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

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 Department 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 Department's internal control to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the Department's compliance with the specified requirements and to test and report on the Department's internal control in accordance with the Audit Guide, but not for the purpose of expressing an opinion on the effectiveness of the Department's internal control. Accordingly, we do not express an opinion on the effectiveness of the Department'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 in internal control 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 in internal control 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.

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

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. We did not identify any deficiencies in internal control that we consider to be material weaknesses. However, we did identify certain deficiencies in internal control, described in the accompanying Schedule of Findings as items 2020-001 through 2020-012 to be significant deficiencies.

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

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

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**

As Special Assistant Auditors for the Auditor General, we have audited the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of the Department as of and for the year ended June 30, 2020, and have issued our report thereon dated May 21, 2021, which contained unmodified opinions on those financial statements. Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the Department's basic financial statements. We have not performed any procedures with respect to the audited financial statements subsequent to May 21, 2021. The accompanying supplementary information for the year ended June 30, 2020 in Schedules 1 through 7 is presented for the purposes of additional analysis and is not a required part of the basic financial statements of the Department. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The accompanying supplementary information for the year ended June 30, 2020 in Schedules 1 through 7 has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the accompanying supplementary information for the year ended June 30, 2020 in Schedules 1 through 7 is fairly stated in all material respects in relation to the basic financial statements as a whole for the year ended June 30, 2020.

We also previously audited, in accordance with auditing standards generally accepted in the United States of America, the Department's basic financial statements as of and for the years ended June 30, 2018 and 2019 (not presented herein), and have issued our reports thereon dated February 28, 2019 and February 27, 2020, which contained unmodified opinions on the respective financial statements of the governmental activities, each major fund, and the aggregate remaining fund information. The accompanying supplementary information for the year ended June 30, 2018 in

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

Schedules 3 through 6 is the responsibility of Department management and was derived from and relates directly to the underlying accounting and other records used to prepare the June 30, 2018 financial statements. The accompanying supplementary information for the year ended June 30, 2019 in Schedules 2 through 7 is the responsibility of Department management and was derived from and relates directly to the underlying accounting and other records used to prepare the June 30, 2019 financial statements.

The accompanying supplementary information in the Analysis of Operations Section is presented for the purposes of additional analysis and is not a required part of the basic financial statements. Such information has not been subjected to the auditing procedures applied in the audit of the basic financial statements and, accordingly, we do not express an opinion or provide any assurance on it.

**SIGNED ORIGINAL ON FILE**

**CliftonLarsonAllen LLP**

Peoria, Illinois  
September 27, 2021



**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER  
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS  
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED  
IN ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

**Report on the Financial Statements**

As Special Assistant Auditors for the Auditor General, we have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of the State of Illinois, Department of Transportation (Department) as of and for the year ended June 30, 2020, and the related notes to the financial statements, which collectively comprise the Department's basic financial statements, and have issued our report thereon dated May 21, 2021.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the Department's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

**Internal Control Over Financial Reporting**

Management of the Department is responsible for establishing and maintaining effective internal control over financial reporting (internal control).

In planning and performing our audit of the financial statements, we considered the Department's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Department's internal control. Accordingly, we do not express an opinion on the effectiveness of the Department's internal control.

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

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, misstatements 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 a material misstatement of the entity's financial statements 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 audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. We did identify a certain deficiency in internal control, described in the accompanying schedule of findings as item 2020-001 that we consider to be a significant deficiency.

#### **The Department's Response to Finding**

The Department's response to the finding identified in our audit is described in the accompanying schedule of findings. The Department's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on the response.

#### **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Department's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Department's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

**SIGNED ORIGINAL ON FILE**

**CliftonLarsonAllen LLP**

Peoria, Illinois  
May 21, 2021

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**CURRENT FINDINGS – GOVERNMENT AUDITING STANDARDS**

**Finding 2020-001 – Lack of Census Data Reconciliations**

The Department of Transportation (Department) did not have a reconciliation process to provide assurance census data submitted to its pension and other postemployment benefits (OPEB) plans was complete and accurate.

Census data is demographic data (date of birth, gender, years of service, etc.) of the active, inactive, or retired members of a pension or OPEB plan. The accumulation of inactive or retired members' census data occurs before the current accumulation period of census data used in the plan's actuarial valuation (which eventually flows into each employer's financial statements), meaning the plan is solely responsible for establishing internal controls over these records and transmitting this data to the plan's actuary. In contrast, responsibility for active members' census data during the current accumulation period is split among the plan and each member's current employer(s). Initially, employers must accurately transmit census data elements of their employees to the plan. Then, the plan must record and retain these records for active employees and then transmit this census data to the plan's actuary.

We noted the Department's employees are members of both the State Employees' Retirement System of Illinois (SERS) for their pensions and the State Employees Group Insurance Program sponsored by the State of Illinois, Department of Central Management Services (CMS) for their OPEB. In addition, we noted these plans have characteristics of different types of pension and OPEB plans, including single employer plans and cost-sharing multiple-employer plans.

During testing, we noted the following:

1. The Department had not performed an initial complete reconciliation of its census data recorded by SERS and CMS to its internal records to establish a base year of complete and accurate census data.
2. After establishing a base year, the Department had not developed a process to annually obtain from SERS and CMS the incremental changes recorded by SERS and CMS in their census data records and reconcile these changes back to the Department's internal supporting records.

For employers where their employees participate in plans with multiple-employer and cost-sharing features, the American Institute of Certified Public Accountants' Audit and Accounting Guide: State and Local Governments (AAG-SLG) (§ 13.177 for pensions and § 14.184 for OPEB) notes the determination of net pension/OPEB liability, pension/OPEB expense, and the associated deferred inflows and deferred outflows of resources depends on employer-provided census data reported to the plan being complete and accurate along with the accumulation and maintenance of this data by the plan being complete and accurate. To help mitigate against the risk of a plan's actuary using incomplete or inaccurate census data within similar agent multiple-employer plans, the AAG-SLG (§ 13.181 (A-27) for pensions and § 14.141 for OPEB) recommends an employer annually reconcile its active members' census data to a report from the plan of census data submitted to the plan's actuary, by comparing the current year's census data file to both the prior year's census data file and its underlying records for changes occurring during the current year.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**CURRENT FINDINGS – GOVERNMENT AUDITING STANDARDS**

Further, the Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Department establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance funds applicable to operations are properly recorded and accounted for to permit the preparation of reliable financial and statistical reports.

Department officials indicated that CMS and SERS direct the Department on what they are to do as far as retirement coding, so if there was an error from an employee record transmitted to CMS and SERS, they notify the Department to correct it. That is currently how the reconciliation process works as directed by SERS. SERS determines the Tier and retirement codes not the Agency. As for CMS, benefit changes are driven by the employee with their elections on the website. Those are sent to the Department on a file created from Department of Innovation and Technology (DoIT) and loaded to the payroll system. There are times the Department does not agree with the changes and they are sent to CMS for correction.

Failure to reconcile active members' census data reported to and held by SERS and CMS to the Department's records could result in each plan's actuary relying on incomplete or inaccurate census data in the calculation of the Department's pension and OPEB balances, which may result in a misstatement of these amounts. (Finding Code No. 2020-001)

**Recommendation:**

We recommend the Department work with SERS and CMS to develop an annual reconciliation process of its active members' census data from its underlying records to a report from each plan of census data submitted to the plan's actuary. After completing an initial full reconciliation, the Department may limit the annual reconciliations to focus on the incremental changes to the census data file from the prior actuarial valuation, provided no risks are identified that incomplete or inaccurate reporting of census data may have occurred during prior periods.

**Department Response:**

The Department agrees with the finding and will work with SERS and CMS to develop an annual reconciliation process. Department officials further stated the Department currently audits the incoming OPEB files from the Benefits Administrator each pay period against the Department payroll system data to ensure employee deductions are accurate and investigate any discrepancies between the data and that of the Benefits Administrator.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-002      Failure to Maintain Timely and Accurate Information on Bridge Inspections**

The Illinois Department of Transportation (Department) did not maintain documentation to substantiate the timely inspections of bridges in its database.

The National Bridge Inspection Standards (NBIS), contained in the Federal Regulations (23 CFR 650 Subpart C), establish requirements for bridge inspections. NBIS requires that all bridges more than 20 feet in length located on public roads be inspected in accordance with the federal standards.

The Department is responsible for ensuring that all highway bridges on public roads in the State are inspected. We obtained an inventory as of July 1, 2020, of Illinois bridges fitting the criteria of the NBIS as requiring an inspection, which showed the respective inspection dates for each bridge. The bridge inventory data included a total of 26,816 bridges, 26,669 of which are open to the public. Of these open bridges, 7,825 are State of Illinois (State) bridges and are the responsibility of the Department to maintain. The remaining 18,844 are the responsibility of local public agencies or other entities, such as adjacent states, for which the State is only required to monitor to ensure inspections are occurring.

Federal Regulations (23 CFR 650.315(b)) allow a period of time after an inspection is conducted for entry into the Illinois Structure Information System (ISIS). Federal Regulations require inspection data be entered within 90 days of the date of the inspection for state or federal bridges. According to the Department's Structural Services Manual, the 90 day rule only applies to entry of the inspection data and shall not be used to extend the inspection intervals.

**Inspection Timeliness**

The Department conducts or monitors other entities to ensure various types of bridge inspections are performed depending on the type, location, and other factors. We examined the timeliness of routine, special, underwater, and fracture critical member inspections.

Many of the overdue inspections in all types of inspections are noted as "adjacent state." When a bridge is bordering another state (adjacent state bridge), according to the Department, the "lead" state (or state with maintenance responsibility) is responsible for ensuring the bridge is inspected within the appropriate timeframe and for reporting the results to the Federal Highway Administration (FHWA). While the non-lead state typically receives a copy of the inspection reports, it does not always occur in a timely fashion. Also, all maintenance and inspection activities are discussed between the states and all future maintenance and inspection costs are discussed and agreed upon once a year, at a Border Bridge Meeting with other states.

When the Department does not receive an inspection report from the adjacent state with the inspection/maintenance responsibility, it is not known whether a report was simply never sent or the inspection is delinquent. According to the Department, the monitoring of inspection delinquencies of bridges where an adjacent state has the primary or sole maintenance responsibility is under the purview of the adjacent state's FHWA Division Office.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Routine Inspections**

Federal Regulations (23 CFR 650.305) define a routine inspection as a regularly scheduled inspection consisting of observation and/or measurements needed to determine the physical and functional condition of the bridge, to identify any changes from initial or previously recorded conditions, and to ensure that the structure continues to satisfy present service requirements.

Using the intervals established by the Department and allowing for the data entry period, according to the Department's Illinois Structure Information System data, as of July 1, 2020, 152 bridges were potentially overdue for a routine inspection (up from 28 as of July 1, 2018). Of the 152 inspections:

- 18 bridges (12%) were listed as the maintenance responsibility of an adjacent state.
- 20 bridges (13%) were rated structurally deficient.
- Inspections were 91 to 213 days overdue.

In discussing this condition with Department officials, they stated a majority of the inspections that appeared to be overdue were performed on time, but entities responsible for performing the inspection did not provide a copy of the inspection information to the Department within the specified time frame for entry into the Illinois Structure Information System database. Also, Department officials stated they were late in entering the results of bridge inspections into the database resulting in a tracking mechanism for monitoring overdue bridge inspection that was inaccurate.

**Special Inspections**

Federal Regulations (23 CFR 650.305) define a special inspection as an inspection scheduled at the discretion of the bridge owner used to monitor a particular known or suspected deficiency. Special inspections may be prompted by structural damage or deterioration, conditions affecting the stability of the structure, or for other reasons. Some examples of conditions that might warrant a special inspection are damage/deterioration to main load-carrying members, settlement/ movement of substructure units or adjacent embankment, and structural details with histories of poor performance. The Department's Structural Services manual lists 20 different special inspection code types. Some bridges have more than one type of special inspection conducted.

Of the total 26,669 open bridges that the Department is required to inspect or cause to be inspected (i.e. locals), 1,073 bridges were slated for a special inspection totaling 1,133 special inspections during the period of July 1, 2018 to June 30, 2020. Using the intervals established by the Department and allowing for the data entry period, according to the Department's Illinois Structure Information System data, as of July 1, 2020, 14 bridges were potentially overdue for a special inspection (down from 27 bridges as of July 1, 2018). Of these 14 bridges with overdue special inspections:

- 1 bridge (7%) was listed as the maintenance responsibility of an adjacent state.
- 12 bridges (86%) were rated as structurally deficient.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

In discussing this condition with Department officials, they stated local agencies could not perform the special inspections timely due to other resource needs taking precedence.

**Underwater Inspections**

Federal Regulations (23 CFR 650.305) define an underwater inspection as an inspection of the underwater portion of a bridge substructure and the surrounding channel that cannot be inspected visually at low water by wading or probing, generally requiring diving or other appropriate techniques. The Department's Structural Services Manual states that generally bridges in water deeper than four feet require underwater inspections.

Of the total 26,669 open bridges that the Department is required to inspect or cause to be inspected, 516 (2%) were slated for an underwater inspection during the period of July 1, 2018 to June 30, 2020. Using the intervals established by the Department and allowing for the data entry period, according to the Department's Illinois Structure Information System data, as of July 1, 2020, 4 bridges (1%) were potentially overdue for an underwater inspection (down from 7 as of July 1, 2018), all of which were local and, specifically, the maintenance responsibility of an adjacent state. The Department has not received inspection reports from the responsible adjacent states indicating the last inspection date.

According to Department officials, the inspection reports have not been received from the adjoining state and, therefore, have not been entered into the Department's Illinois Structure Information System.

**Fracture Critical Inspections**

Federal Regulations (23 CFR 650.305) define a fracture critical member inspection as a hands-on inspection of a fracture critical member or multiple member components that may include visual and other nondestructive evaluation. These inspections are performed on steel bridge tension members and tension components of members whose failure could be expected to result in the collapse of the bridge or a portion of the bridge.

Of the total 26,669 open bridges that the Department is required to inspect or cause to be inspected, 471 (2%) were slated for a fracture critical member inspection during the period of July 1, 2018 to June 30, 2020.

Using the intervals established by the Department and allowing for the data entry period, according to the Department's Illinois Structure Information System data, as of July 1, 2020, 9 bridges (2%) were potentially overdue for a fracture critical inspection (decrease from 11 as of July 1, 2018), consisting of 11 total components. Of these 9 bridges with overdue fracture critical inspections:

- 7 bridges (78%) were listed as the maintenance responsibility of an adjacent state.
- 2 bridges (22%) were rated as structurally deficient.

According to Department officials, a majority of these inspections that appeared to be overdue were performed on time, but the entities responsible for performing the inspections, such as adjacent states or local public agencies did not submit the inspection data within the specified timeframe for entry into the Illinois Structure Information System.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

This finding was first reported during the period ended June 30, 2014. In the subsequent years, the Department has been unsuccessful in fully implementing appropriate corrective action or procedures.

The Department's failure to comply with federal regulations regarding bridge inspections and maintain an appropriate database of bridge inspections could result in a public safety risk. (Finding Code No. 2020-002, 2018-002, 2016-002, 2014-008)

**Recommendation:**

We recommend the Department ensure bridge inspections are conducted and documentation is maintained to substantiate the inspections are completed within allowable intervals established by Federal Regulations and Department policy. We also recommend the Department follow-up with adjoining states where they have not received reports to determine why an inspection has not been completed or obtain the reports and ensure the Illinois Structure Information System data is updated.

**Department Response:**

It is important to note the majority of the bridge inspections discussed in the audit were actually performed on time. It may have appeared those identified were not performed on time according to extraction of data from the database at a given point in time. However, a review of the actual inspection information contained in the official inspection reports revealed the majority of those inspections in question were performed and performed on time. This points more to an issue with the process of entering the data rather than a failure to perform inspections in a timely manner. It should also be noted the time it takes to perform the data entry after the inspection is completed is being measured against Illinois policy which states data entry should be performed within 90 days of inspection for all bridges, which is more stringent than federal policy which allows 180 days for data entry for any bridges that are not maintained by the Department. It should also be noted some of the bridges in question are border bridges that are the inspection responsibility of an adjacent state and were only appearing to be delinquent due to insufficient data in the database, but were actually inspected on time.

The Department's plans to address the issues noted include:

- Develop a web-based bridge inspection entry system to allow direct entry of inspections by non-Department personnel for non-Department maintained bridges in a timelier manner. Onboarding of more agencies and their inspectors in the use of the new system will continue.
- Begin providing monthly inspection due reports and monthly inspection delinquency reports to bridge owners and inspection Program Managers of non-Department maintained bridges.
- To further minimize the length of any delinquencies, the Department has implemented a process for inspection of local public agency bridges by Department staff or a Department consultant if a bridge becomes delinquent for inspection.
- Although the FHWA has oversight and enforcement responsibility and authority over inspections that are the responsibility of adjacent states, the Department has begun consistent tracking and monitoring of the inspection due dates of border bridges for which the adjacent state is responsible for inspecting. The Department will also consistently request inspection data for any adjacent state inspected border bridge appearing to be delinquent.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-003 Inadequate Controls over Employee Overtime**

The Illinois Department of Transportation (Department) did not maintain controls to ensure employees' overtime hours were appropriately documented.

According to Department records, the Department expended \$29,496,727 and \$38,920,293 on overtime during fiscal years 2020 and 2019, respectively.

	Fiscal Year 2020 Overtime Paid	Fiscal Year 2019 Overtime Paid
District 1	\$ 13,374,846	\$ 16,882,273
District 2	1,856,794	3,149,914
District 3	2,612,185	3,688,350
District 4	2,599,862	3,517,918
District 5	1,358,029	1,975,548
District 6	2,430,297	2,951,046
District 7	1,258,743	1,410,507
District 8	1,806,755	2,274,254
District 9	688,716	1,298,398
Central Office/Other	1,510,500	1,772,085
Total	<u>\$ 29,496,727</u>	<u>\$ 38,920,293</u>

We tested a sample of 20 employees, who received between \$40,201 and \$96,804 in overtime pay during fiscal years 2020 and 2019, and reviewed six pay periods of their respective sign out sheets, overtime cards, when applicable, and the timekeeping system (TKS) balances (for a total of 120 sample items). We noted the following during our review:

- 22 of 120 (18%) employee overtime cards tested, pertaining to 13 of 20 (65%) employees, were found to either not be signed by the employee or were not signed by the supervisor in place of the employee attesting to the accuracy of the hours worked.
- 1 of 120 (1%) employee overtime cards tested, was not dated by the approving supervisor, and as such, we could not determine whether the employee's overtime was approved in a timely manner.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires State agencies to establish and maintain a system, or systems, of internal and administrative controls to provide assurance that funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use, and misappropriation.

The Department's Personnel Policies Manual (Manual) (Section 7-2A) requires all employees to accurately document their time worked. The Manual (Section 7-2B) further requires Department supervisors to take necessary measures to ensure leave and overtime is properly accounted for on the employee's time and attendance records.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
  
CURRENT FINDINGS – STATE COMPLIANCE**

Department officials stated all these exceptions were from areas which operate 24 hours each day, and in the past it has proven difficult to timely obtain original, signed (by employees) timecards, since all timecards must be in the District office 1.5 days after the end of the pay period and these employees are not always available at the end of the pay period to sign their timecards. Department officials further stated the missing date was due to an inadvertent oversight.

This finding was first reported during the period ended June 30, 2007. In subsequent years, the Department has been unsuccessful in fully implementing appropriate corrective action or procedures.

Failure to implement adequate controls over employee overtime increases the risk the Department will pay for services not rendered by the employees or will pay overtime when it was not earned. (Finding Code No. 2020-003, 2018-003, 2016-003, 2014-009, 12-9, 10-7, 09-5, 08-24, 07-18)

**Recommendation:**

We recommend the Department implement controls to ensure employee overtime is accurately documented and overtime is appropriately reviewed by an employees' supervisor(s).

**Department Response:**

The Department agrees with the finding and has issued a reminder to all Central Office and District Personnel Timekeeping Staff regarding the importance of verifying employee signatures, supervisor signatures, and dates on all timecards.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-004 Inadequate Controls over Employee Statements of Economic Interest**

The Illinois Department of Transportation (Department) did not review all of its employees' economic interest statements (statements) as required. In addition, the Department did not timely certify the fiscal year 2020 list of employees required to file statements.

During testing, we noted the following:

- 11 of 94 (12%) employee statements of economic interest tested were not reviewed by the Department's Ethics Officer as required.
- During fiscal year 2020, the Department submitted the annual listing of individuals required to file statements of economic interest 24 days late.

The State Officials and Employees Ethics Act (5 ILCS 430/20-23) requires the Department's Ethics Officer to review employee statements of economic interest before they are filed with the Secretary of State. The Illinois Governmental Ethics Act (5 ILCS 420/4A-106) requires the Department to certify annually, by February 1, a listing of all personnel required to file a statement.

Department officials stated employees are instructed to submit their statements of economic interest to the agency ethics officer prior to filing it with the Secretary of State; however, some employees disregarded the filing instructions. Department officials further stated the fiscal year 2020 listing of employees was not timely submitted to the Secretary of State due to competing priorities and a lack of workforce resources.

Failure to maintain adequate controls over employee statements of economic interest increases the risk of employees having a conflict of interest in decision making for which the Department is not aware. In addition, the untimely submission of the annual list of employees required to file is noncompliance with a statutory mandate and could result in procedural delays. (Finding Code No. 2020-004)

**Recommendation:**

We recommend the Department implement controls to ensure employee statements of economic interest are appropriately reviewed prior to filing with the Secretary of State. We further recommend the Department timely certify the list of employees required to file a statement of economic interest.

**Department Response:**

The Department agrees with the finding and is in the process of hiring an Ethics Officer and support staff to assist in reviewing economic statements, certifying the list of employees required to file statements, and providing additional guidance on review processes.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-005    Inadequate Controls over Personal Services**

The Illinois Department of Transportation (Department) did not maintain adequate controls over personal services.

During testing, we noted the following:

- 4 of 40 (10%) employees tested completed the ethics training program from 5 to 79 days after their hire date. The State Officials and Employees Ethics Act (5 ILCS 430/5-10) requires each officer, member, and employee to complete an ethics training program within thirty days of being hired.
- 1 of 40 (8%) employees tested did not complete the cybersecurity training program during fiscal year 2019. The Data Security on State Computers Act (20 ILCS 450/25) requires all State employees to annually undergo training by the Department of Innovation and Technology concerning cybersecurity.
- For 13 of 40 (33%) employees tested, the Form I-9s were unavailable for review. Federal Immigration Law (8 USC § 1324a) requires an employer to complete and maintain a Form I-9 to verify an individual's eligibility for employment in the United States. The employer is required to examine evidence of identity and employment authorization of each new employee no later than three business days after the employee's first day of employment. The employer is required to document the hire date, their signature, and the date of review of the Form I-9.
- For 6 of 40 (15%) employees tested, the *Federal/Illinois W-4 Employee's Withholding Allowance Certificate* (Form C-25) was not properly dated. The Statewide Accounting Management System (SAMS) (Procedure 23.20.05) requires the Department to have a properly completed Form C-25 for all employees.

Department officials stated the late completion of the ethics training program and the failure to complete cybersecurity training were due to administrative oversight by its personnel to properly track and monitor that all new hire processes were completed on time. Department officials also stated the missing Form I-9s were most likely due to the transition of the Form I-9s from hard copy to electronic files which occurred during the last 24 months. Department officials further stated the missing dates on the Form C-25s noted were due to inadequate administrative oversight by the personnel representative.

Failure to implement adequate controls over employee training increases the risk the Department's employees are unaware of ethical and cybersecurity requirements. Failure to properly complete and maintain I-9 forms is noncompliance with the Code of Federal Regulations, and improperly completed Form C-25s is noncompliance with SAMS requirements. (Finding Code No. 2020-005)

**Recommendation:**

We recommend the Department implement controls to ensure employees receive all required training. We further recommend the Department ensure Form I-9s and Form C-25s are properly completed and maintained as required.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
  
CURRENT FINDINGS – STATE COMPLIANCE**

**Department Response:**

The Department agrees with the recommendations and has taken action to expand access to computers and the State network to better allow employees to receive trainings in a timely manner. The Department will also review its internal processes to ensure employment forms are completed properly.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-006    Inadequate Controls over the Administration of State Vehicles**

The Illinois Department of Transportation (Department) did not have adequate controls ensuring the proper completion of motor vehicle trip tickets, the reporting of vehicle accidents to the Department of Central Management Services (CMS), the maintenance of State vehicles, calculating the fringe benefits to employees for personal use of assigned State vehicles, and ensuring all employees assigned a State-owned vehicle were duly licensed and insured.

During testing of vehicles and motor vehicle trip tickets, we noted the following exceptions:

- 10 of 60 (17%) vehicles tested had trip tickets that did not contain a supervisory approval.
- 3 of 60 (5%) vehicles tested were missing vehicle trip tickets.

Department officials stated the missing supervisor approvals were due to either system or user error. Department officials further stated the missing trip tickets were lost on the trip and were not reproduced properly.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls, to provide assurance that funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use, and misappropriation.

We also noted 18 of 40 (45%) vehicles tested did not have routine oil changes performed on a timely basis. These vehicles were driven from 84 to 5,154 miles after an oil change was required. One of the vehicles had no record of any oil changes being performed in one of the fiscal years tested.

Department officials stated it is the responsibility of each Bureau/District Vehicle Coordinator to ensure that such services are performed timely; however, in the instances noted, employee work demands and the unavailability of the CMS garage (due to CMS staff and garage scheduling conflicts) led to the instances of overdue vehicle maintenance.

The criteria for an oil change were based on schedules provided by CMS as well as the Department's internal vehicle policies. The Illinois Administrative Code (44 Ill. Adm. Code 5040.410) requires agencies to have vehicles inspected by CMS or an authorized vendor at least once per year or as required by law and to maintain vehicles in accordance with schedules provided by CMS or with other schedules acceptable to CMS that provide for proper care and maintenance of special use vehicles. Failure to adequately maintain vehicles can cost the State significant amounts in future years through additional repair bills and shortened useful lives for vehicles.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

During testing of 40 reported accidents involving State-owned vehicles, we noted the following exceptions:

<b>Exception Noted on Tested Accident</b>	<b>Quantity</b>	<b>Days Late</b>
Accident not reported to CMS on Form SR-1 on a timely basis	4	3 to 8
Form SR-1 not completed in a timely manner	14	1 to 15
Form SR-1 was not appropriately dated; thus, we could not verify form was completed within 3 days as required	7	N/A
Form SR-1 not signed by driver	5	N/A

Department officials stated employees and supervisors were late to provide the completed SR-1 forms to district claims offices due to various factors including employee unfamiliarity with the claims process, absence of the employee driver, unavailability of supervisory personnel for sign-off on an additional reporting form and inclement weather.

The Illinois Administrative Code (44 Ill. Adm. Code 5040.520) requires the Motorist’s Report of Illinois Motor Vehicle Accident Form (SR-1) to be completed as soon as possible and submitted to the office of the current insurance carrier. In no case is this report to be completed later than three days following an accident. In all cases, the completed SR-1 must be received by the Auto Liability Unit within seven days to ensure coverage under the State’s auto liability plan.

During our testing, we noted for 3 of 40 (8%) employees assigned a State vehicle tested, the Department had incorrectly calculated employee fringe benefits. The Department overcharged one employee a total of \$1.50 and undercharged the other employees a total of \$6. The Internal Revenue Service (IRS) Employer’s Tax Guide to Fringe Benefits (Publication 15-B) requires employers to determine the value of a vehicle provided to an employee for commuting use by multiplying each one-way commute by \$1.50. This amount must be included in the employee’s wages or reimbursed by the employee.

Department officials stated the incorrect fringe benefits were due to errors between the driver and supervisor when reviewing the mileage log and timecards.

Five of 40 (13%) employees assigned a State vehicle tested, failed to submit the annual liability and licensure certification. Additionally, we noted 3 of 40 (8%) employees tested submitted the certification from 35 to 178 days late. The Illinois Vehicle Code (625 ILCS 5/7-601(c)) requires employees assigned a specific State-owned vehicle on an ongoing basis to provide annual certification to the Chief Executive Officer affirming the employee is duly licensed to drive the assigned vehicle and that the employee has liability insurance coverage extending to the employee when the assigned vehicle is used for other than official State business. The certification shall be provided during the period July 1 through July 31 of each calendar year or within 30 days of any new assignment of a vehicle, whichever is later.

Department officials stated that the conditions noted with regard to the annual liability and licensure certification occurred due to inadvertent oversight by various vehicle coordinators and Bureau of Personnel Management staff.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
  
CURRENT FINDINGS – STATE COMPLIANCE**

This finding was first reported during the period ended June 30, 2007. In subsequent years, the Department has been unsuccessful in fully implementing appropriate corrective action or procedures.

Failure to adequately maintain controls over the administration of State vehicles represents noncompliance with State and Department vehicle requirements and could increase the State's potential liability and risk of loss. (Finding Code No. 2020-006, 2018-004, 2016-005, 2014-013, 12-12, 10-11, 09-8, 08-8, 07-12)

**Recommendation:**

We recommend the Department continue to develop and implement procedures which create stronger controls over its vehicles. We recommend the procedures encompass the responsibilities incumbent upon employees at both the District and Central Office levels if they utilize Department vehicles and address compliance, recordkeeping, maintenance, and accountability. We further recommend the Department ensure employees and individuals utilizing State vehicles are properly trained on the related procedures, rules, and regulations.

**Department Response:**

The Department agrees with the finding to develop stronger controls over its vehicles and will work with CMS, and District and Central Office employees to develop those procedures and to provide training to its employees to address compliance, recordkeeping, maintenance, and accountability.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-007    Inadequate Controls over Accounts Receivable**

The Illinois Department of Transportation (Department) did not have adequate controls over the recording of accounts receivable and their collectability in its accounting records. We also noted weaknesses in the Department's required reporting of accounts receivable to the Office of Comptroller (Comptroller).

During our testing of the Department's delinquent accounts receivable, we noted the Department did not send demand letters for 6 of 40 (15%) delinquent invoices tested, totaling \$218,719. Additionally, the Department sent demand letters for 4 of 40 (10%) delinquent invoices tested, totaling \$4,636, from 1 to 2,144 days late.

During our testing of the Department's reporting of accounts receivable to the Comptroller, we noted the following:

- At June 30, 2019, we noted a difference of \$73,000 between the Quarterly Summary of Accounts Receivable, Aging of Total Gross Receivables (Form C-98) and the Quarterly Summary of Accounts Receivable, External Collections Activity for Accounts for Accounts Over 180 Days Past Due (Form C-99).
- At June 30, 2020, we noted a difference of \$295,000 between the Quarterly Summary of Accounts Receivable, Aging of Total Gross Receivables (Form C-98) and the Quarterly Summary of Accounts Receivable, External Collections Activity for Accounts for Accounts Over 180 Days Past Due (Form C-99).

The Statewide Accounting Management System Manual (SAMS) (Procedure 26.40.10) requires the Department to individually pursue all reasonable and appropriate procedures available to the Department to effectuate collection of past-due accounts. The Department's Revenue Account Procedures Manual (RAP) (Chapter 7) provides the example of sending three demand letters at 30-day intervals. SAMS (Procedures 26.30.10 through 26.30.50) requires the Department to file quarterly accounts receivable reports with the Comptroller. These reports consist of agency reports to the Comptroller summarizing receivable activity, aging of receivables and estimating of uncollectible, and collections activity on quarterly basis.

Additionally, the Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires State agencies to establish and maintain a system or systems of internal fiscal and administrative controls to provide assurance funds, property, and other assets and resources are safeguarded against waste, loss, and unauthorized use.

Department officials stated past due notices do not always get sent timely by the Department due to staff shortages and the prioritization of duties as many customers are repeat customers and are historically slow to pay. Department officials also stated a uniform expectation regarding past due notices has not been clearly defined, disbursed, and monitored within the Department. In addition, Department officials stated the process for compiling the data for the quarterly accounts receivable reports during this time frame was manual and gathered from three different systems, and the errors noted were due to an inadequate review process of the aging of the receivables.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
  
CURRENT FINDINGS – STATE COMPLIANCE**

This finding was first reported during the period ended June 30, 2008. In the subsequent years, the Department has been unsuccessful in fully implementing appropriate corrective action or procedures.

Failure to properly prepare accounts receivable reports leads to inconsistent financial records and noncompliance with SAMS. Failure to follow-up on delinquent accounts in a timely manner may result in the delay or loss of revenue to the State. (Finding Code No. 2020-007, 2018-005, 2016-006, 2014-016, 12-16, 10-19, 09-16, 08-16)

**Recommendation:**

We recommend the Department develop and implement procedures to accurately report accounts receivable to the Comptroller. In addition, we recommend the Department develop and implement procedures to ensure delinquent accounts are collected and monitored uniformly throughout the Department and in accordance with SAMS. We further recommend the Department ensures its employees, including District personnel, are properly trained on the accounts receivable processes.

**Department Response:**

The Department agrees with the finding and is developing and implementing procedures and uniform guidance to ensure accurate reporting of accounts receivable and to ensure proper collection efforts. The Department also agrees with the recommendation to provide employees with training on the accounts receivable and collection process.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-008 Failure to Control Outdoor Advertising**

The Illinois Department of Transportation (Department) did not comply with State laws or its own written procedures that control the outdoor advertising adjacent to the primary and interstate highways during the engagement period.

We noted the Department had developed a process to inventory outdoor advertising and identify potentially illegal signs. The Department's inventory of all active signs as of December 12, 2020 totaled 13,197 signs. Of the total active signs, 6,065 were determined to be potentially illegal.

We selected a sample of 60 potentially illegal signs for further testing and noted the Department could not provide evidence they notified the sign owners of noncompliance, by certified mail, for 55 of 60 (92%) items tested.

The Highway Advertising Control Act of 1971 (Act) (225 ILCS 440/10 et seq.) requires the Department to regulate outdoor advertising, signs, displays, and devices in areas adjacent to highways. The Act (225 ILCS 440/10) requires signs declared to be unlawful and a public nuisance to be removed or brought into compliance by the owner within 30 days after receipt of notice by certified mail by the Department. It further requires the Department to remove and dispose of illegal signs. The Illinois Administrative Code (Code) (92 Ill. Adm. Code 522) establishes rules concerning the control of outdoor advertising adjacent to primary and interstate highways. The Code (92 Ill. Adm. Code 522.140) requires the Department, when a sign has been found to be unlawful and not brought into compliance as required within 30 days, to sell, remove, or paint all unlawful signs, or seek a court order to force abatement by the sign owner. The sign owners are then required to reimburse the Department for all costs incurred.

Department officials stated, as they did during the prior engagement, inefficient oversight and implementation of the Outdoor Advertising Control Program over the 20 plus years prior to program centralization (2011) led to a proliferation of illegal advertising signs throughout the State. Department officials further stated the more efficient processes enacted subsequent to the centralization of the program during 2011 has led to the identification of a few thousand illegal signs Statewide so the quantity and breadth of diversity of the illegal signs has led to a delay of sending notices to their owners.

This finding was first reported during the period ended June 30, 2016. In subsequent years, the Department has been unsuccessful in fully implementing appropriate corrective action or procedures.

Failure to ensure highway signs are legal and obtain the proper ownership documentation resulted in noncompliance with State statutes and regulations. (Finding Code No. 2020-008, 2018-006, 2016-008)

**Recommendation:**

We recommend the Department notify the sign owners of the signs determined to be illegal based upon current statutory guidance as required or seek appropriate legislative remedy.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
  
CURRENT FINDINGS – STATE COMPLIANCE**

**Department Response:**

The Department agrees with the finding. The Department is continuing to identify illegal signs and notify sign owners of non-compliance. Types of illegal signs inventoried range from very large billboards, as large as over 5,000 square feet, to small service club or religious signs, typically 8 square feet or less. The future of Outdoor Advertising regulation may be affected by Supreme Court of the United States Case No. 20-1029, City of Austin v. Reagan National Advertising of Austin, Inc, et al (Austin) (“SCOTUS Austin case”). Depending on how the Supreme Court rules, state law may be affected which will require legislation to update. Arguments have been set for November 10, 2021 with an opinion likely to come in the spring of 2022. In addition, the Outdoor Advertising Unit recently lost two staff members due to transfers.

Regarding the removal of illegal signs, the Department has focused on the removal of the signs that will not be affected by proposed legislation and administrative rule changes that may be required due to the SCOTUS ruling in the Spring. Regarding signs that may be affected by legislation and administration rule changes (whereby a potentially illegal sign may be legal after regulation updates) the Department has decided not to pursue removal at this time. The Department, through the Office of Highways Project Implementation, Bureau of Land Acquisition, is striving to improve the Outdoor Advertising Control Program by procuring new web-based software, streamlining processes, updating regulations, and hiring additional staff which will help to reduce the number of illegal signs and obtain the proper ownership documentation as statutorily mandated. The Department's goal is to have the mechanisms, policies, and regulations in place once legislative, administrative, and Federal Highway Administration requirements have been implemented to efficiently regulate outdoor advertising and expeditiously remove illegal signs in accordance with those requirements.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-009 Noncompliance with Reporting Requirements**

The Illinois Department of Transportation (Department) did not adhere with various reporting requirements established by State law.

During our testing, we noted the following:

- The Department of Transportation Law (20 ILCS 2705/2705-200(a)) requires the Department to publish and furnish to the General Assembly on the first Wednesday of April each year an annual and a 5-year (or longer) project program for each State system (Multimodal Multi-Year Improvement Program). The Department failed to prepare or file a report during fiscal year 2019. The report for fiscal year 2020 was not prepared until October of 2020 and at that time it was placed on the Department's website, but not officially filed with the General Assembly or the Governor's Office.
- The Department of Transportation Law (20 ILCS 2705/2705-200(b)) requires the Department to publish and deliver to the Governor and General Assembly on the first Wednesday of April each year a 5-year (or longer) Highway Improvement Program. The Department delivered its Highway Improvement Program Report to the General Assembly on July 21, 2020 (111 days late) during fiscal year 2020. The Department failed to maintain documentation to support the report was submitted to the Governor during fiscal year 2020.
- The Department of Transportation Law (20 ILCS 2705/2705-200(c)) requires the Department to publish and deliver to the Governor and the General Assembly by November 1st each year a "For the Record" report. The Department delivered its "For the Record – 2018" report to the General Assembly on November 20, 2018 (19 days late) and the Department delivered its "For the Record – 2019" report to the General Assembly on January 31, 2020 (91 days late).
- The State Finance Act (30 ILCS 105/3) requires each officer of the executive department and all public institutions of the State to, at least ten days preceding each regular session of the General Assembly, make and deliver to the Governor an annual report of their acts and doings, respectively, arranged so as to show the acts and doings of each for the fiscal year ending in the calendar year immediately preceding the calendar year in which that regular session of the General Assembly convenes. The Fiscal Year 2018 report, due December 31, 2018, was 57 days late, and the Fiscal Year 2019 report, due January 21, 2020, was 72 days late.
- The Civil Administration Code (Code) (620 ILCS 75/2-75(c)) requires the Department to prepare an annual written progress report on the South Suburban Airport project at least 30 days prior to the beginning of the Department's fiscal year. The report must include the status of any public-private agreements or other contracting and any ongoing or completed studies. The report must be delivered to the Procurement Policy Board and each county, municipality, and metropolitan planning organization whose territory includes or lies within 5 miles from the ultimate airport boundary.

Department officials stated that a lack of centralized oversight of the filing of reports resulted in the lack of available supporting documentation to support all filings.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
  
CURRENT FINDINGS – STATE COMPLIANCE**

Failure to timely submit mandated reports as required is noncompliance with statutory requirements and hinders governmental oversight over Department operations. (Finding Code No. 2020-009, 2018-008)

**Recommendation:**

We recommend the Department implement a control structure which includes procedures to ensure compliance with statutory reporting requirements.

**Department Response:**

The Department agrees with the finding. The Department is in the process of developing centralized oversight procedures to ensure that required reports are filed in a timely manner with the General Assembly and the Governor's Office and to ensure that documentation is retained to support the dates required reports were filed.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-010 Adoption of H+T Affordability Index at Metropolitan Planning Organizations**

The Illinois Department of Transportation (Department) failed to provide evidence of adoption of the Housing + Transportation (H+T) Affordability Index tool for use in planning by the Metropolitan Planning Organizations.

During our testing it was noted the Department was unable to provide support showing the communication of the requirement to use the H+T Affordability Index at the sixteen Metropolitan Planning Organizations (MPO). In addition, the Department was unable to provide documentation of their adoption of the tool for development of MPO plans, and the Department was unable to provide support showing their consideration for the allocation of funding received for public transportation for the two fiscal years tested.

The Civil Administrative Code (20 ILCS 25/20) requires the Department to adopt the H+T Affordability Index or substantially equivalent affordability measure, where available, as (1) a tool for the development of plans in MPO areas, and (2) a consideration for the allocation of funding for public transportation, economic development, and housing projects in MPO areas; the distribution of economic incentives to businesses in MPO areas; and the siting of public facilities in MPO areas, where appropriate. The Code (20 ILCS 25/25(d)) further requires the Department to use its Context Sensitive Solution Process for all transportation expansion projects within MPO areas and, where possible, to work with communities to enhance or provide opportunities for transportation alternatives to personal automobiles where mixed-use communities thoughtfully planned to lessen sprawl exist or are appropriate.

Department officials stated due to oversight the Department had not adopted the H+T Affordability Index tool.

Failure to adhere to mandated requirements leaves the Department non-compliant with established statutes and deters achievement of legislative goals and priorities. Failure to utilize the tools could result in disparities in both the planning performed across MPO areas, and in the equitable allocation of public funding to meet established objectives. (Finding Code No. 2020-010)

**Recommendation:**

We recommend the Department ensure it implements procedures to fully comply with the statutory mandate.

**Department Response:**

The Department agrees with the finding. The Bureau of Planning has inserted the relevant text of the H+T Affordability Index Act into each MPO's 2022 annual operating agreement. On July 29, 2021, The Bureau of Planning held an all MPO meeting where a presentation was delivered on the Index to introduce the subject and requirement. We will continue to advocate for its use in future statewide MPO meetings. Internally, the Bureau will coordinate with other business units to ensure continued use of the Context Sensitive Solution Process for expansion projects in MPO areas. The Bureau will also develop methods to consider the index or substantially equivalent affordability measure in the allocation of funding for public transportation.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-011 Weaknesses Regarding Change Management Process**

The Illinois Department of Transportation (Department) did not implement a formal change management process to control changes to its applications.

As noted in prior examinations, the Department has not developed a formal change management process or an effective mechanism to control changes. However, an Action Request initiative was to be completed for requested changes.

The Department's computing environment included several mission critical applications: including Fiscal Operations and Administration (FOA) System, Central Inventory System (CIS), Accounts Receivable System (ARS), Accounts Receivable Miscellaneous (ARM), and Web-Based Motor Fuel Tax (WMFT).

Even with the weakness identified, we selected a sample of seventeen Action Request initiatives to determine if they were tested, properly approved, and if an appropriate segregation of duties existed. However, documentation could not be provided to demonstrate testing was adequate and properly documented. Additionally, for nine of the Action Requests that required a program change, seven (78%) did not include documentation to demonstrate authorization and testing approval by the business owner, and one (11%) did not identify the programmer that deployed the change. Furthermore, the Department could not provide documentation demonstrating programmers' access to the distributed production environment was restricted.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, or internal fiscal and administrative controls to provide assurance funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use, and misappropriation. In addition, information technology guidance (including the National Institute of Standards and Technology and Government Accountability Office) endorses the formal development of change management policies that requires proper segregation of duties during the migration of changes from the development/test environment to the production environment.

Department management indicated the various weaknesses were due to system limitations.

Without adequate formal change management procedures and adequate documentation, there is a risk of unauthorized or improper changes being made to computer systems. (Finding Code No. 2020-011, 2018-010)

**Recommendation:**

We recommend the Department:

- Develop and implement formal change management procedures. The procedures should include, at a minimum:
  - Documentation of the authorization of the change by management,
  - Testing and documentation requirements,
  - User testing and approval, and
  - A mechanism to ensure changes are approved prior to being moved to production.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

- Ensure programmer access to all production programs and data within the environment is restricted.
- Maintain documentation of testing, approvals, and who programmed the change.

**Department Response:**

The Department agrees with the finding and has begun taking actions to implement the change management recommendations presented across both the mainframe and distributed environments.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Finding 2020-012 Weaknesses in Cybersecurity Programs and Practices**

The Department of Transportation (Department) had not implemented adequate internal controls related to cybersecurity programs and practices.

In order to meet its mission “to provide safe, cost-effective transportation for Illinois in a way that enhances safety and the quality of life of its citizens and visitors by reducing congestion and increasing mobility,” the Department utilized computer systems with large volumes of confidential and personal information, such as names, addresses, Social Security numbers, and driver’s licenses.

The Illinois State Auditing Act (30 ILCS 5/3-2.4) requires the Auditor General to review State agencies and their cybersecurity programs and practices. During our examination of the Department’s cybersecurity program, and practices, we noted the Department had not:

- Established a risk management methodology.
- Performed a comprehensive risk assessment to identify and ensure adequate protection of information (i.e., confidential or personal information) most susceptible to attack.
- Developed a formal, comprehensive, adequate, and communicated security program (policies, procedures, and processes) to manage and monitor the regulatory, legal, environmental, and operational requirements.
- Established a process to review and ensure security incidents identified by the Department of Innovation and Technology (DoIT) involving the Department’s systems or data were fully remediated and related vulnerabilities were assessed.

In addition, we reviewed user access rights for six applications, noting:

- 6 of 15 (40%) new hires tested did not have documentation of an approved request for access.
- 10 of 30 (33%) terminated employees tested did not have their access timely revoked.

We also noted the Department had not conducted a review of access rights for the 2 of 6 (33%) applications sampled. Further, the Department’s Access Provisioning Policy did not have a requirement for review of user access.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use, and misappropriation and maintain accountability over the State’s resources. Furthermore, generally accepted information technology guidance, including the National Institute of Standards and Technology, endorses the development of well-designed and well-managed controls to protect computer systems and data.

Department management indicated weaknesses were due to lack of resources and lack of clear responsibilities between the Department and DoIT.

The lack of adequate cybersecurity programs and practices could result in unidentified risk and vulnerabilities and ultimately lead to the Department’s volumes of confidential and personal information being susceptible to cyber-attacks and unauthorized disclosure. (Finding Code No. 2020-012)

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020  
CURRENT FINDINGS – STATE COMPLIANCE**

**Recommendation:**

We recommend the Department:

- Establish a risk management methodology.
- Perform a comprehensive risk assessment to identify and ensure adequate protection of information (i.e., confidential or personal information) most susceptible to attack.
- Develop a formal, comprehensive, adequate, and communicated security program (policies, procedures, and processes) to manage and monitor the regulatory, legal, environmental, and operational requirements.
- Establish a process to review and monitor security incidents identified by DoIT involving the Department's systems or data to ensure incidents were remediated and related vulnerabilities were assessed.
- Update the Access Provisioning Policy to require periodic access reviews and conduct reviews.
- Revoke access timely after determining access is no longer required.
- Maintain documentation of access request approvals.

**Department Response:**

The Department agrees with the findings and will work to better define the roles and responsibilities of the Department regarding user access rights and to ensure controls are in place to protect computer systems and data.

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**PRIOR FINDINGS NOT REPEATED**

**A. Inadequate Controls over Financial Reporting**

During the previous engagement, the Illinois Department of Transportation (Department) internal controls over financial reporting were insufficient to prevent misstatements.

This condition was noted to be remediated during the financial audit for the fiscal year ended June 30, 2020. (Finding Code No. 2019-001, 2018-001)

**B. Inadequate Controls over Locally Held Funds**

During the previous engagement, the Department did not maintain adequate controls over a locally held fund. The locally held fund's bank account had signors who were not State employees, cash deposits exceeded the Federal Deposit Insurance Corporation coverage, and the Department did not review or approve disbursements.

During the current engagement, the Department dissolved the locally held fund. (Finding Code No. 2018-007)

**C. Weaknesses with Payment Card Industry Data Security Standards**

During the previous engagement, the Department had not completed all requirements to demonstrate full compliance with the Payment Card Industry Data Security Standards (PCI DSS).

During the current engagement the Department had implemented a procedure to annually assess the Department's program/system accepting credit card payments and had completed a Self-Assessment Questionnaire. (Finding Code No. 2018-009)

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**STATUS OF MANAGEMENT AUDITS**

As part of the fiscal year 2019 and 2020 compliance examination of the Illinois Department of Transportation (Department), we followed up on the status of the following management audits initially performed by the Office of the Auditor General:

- Management audit of the Department’s Life-Cycle Cost Analysis for road construction contracts pursuant to Legislative Audit Resolution Number 140 (Released May 2012).

This is the fourth time a follow-up has been conducted for the management audit of the Department’s Life-Cycle Cost Analysis for road construction contracts. The follow-up we conducted was only for the recommendation that has not been fully implemented by the Department in prior years. The exhibit below summarizes the recommendation from this audit that was not fully implemented by the Department in prior years and the status of the recommendation.

**Life-Cycle Cost Analysis for Road Construction Contracts**

The Illinois Office of the Auditor General (OAG) conducted a management audit of the Illinois Department of Transportation’s (Department) Life-Cycle Cost Analysis (LCCA) for road construction contracts pursuant to Legislative Audit Commission Resolution Number 140. The audit was released in May 2012 and contained six recommendations to the Department. Follow-up conducted in prior years for these recommendations concluded that 1 of the 6 original recommendations had not been fully implemented (recommendation #1).

Summary of Recommendation Status  
As of June 30, 2018

Recommendations	Implemented?		
	Yes	Partially	No
Compliance with statutory requirements		X	

This recommendation is listed below.

**Recommendation 1 – Compliance with Statutory Requirements**

*The Department of Transportation should conduct life-cycle cost analysis on all projects that meet the requirements of Public Act 96-715. Should IDOT conclude that statutory changes are needed to include additional criteria as to when a LCCA is not feasible, then it should work with the General Assembly to revise the statutory requirements. Furthermore, the Department should more clearly define in the LCCA section of Chapter 53 in its BDE Manual regarding the circumstances when LCCA is required for rehabilitation projects.*

Status – Partially Implemented

In prior follow-up, Department officials stated they agreed to begin using the LCCA process for thicker structural overlay projects in which a concrete overlay was a viable option. Once the maintenance models for thin concrete overlays have been developed, the Department will have the tools in place to begin using LCCAs on rehabilitation projects and Chapter 53 of its Bureau of Design and Environment (BDE) Manual will be updated. The Department constructed an overlay that is being monitored to determine performance compared to control sections. Data from this effort will be used to develop

**STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2020**

**STATUS OF MANAGEMENT AUDITS**

maintenance models for Portland Cement Concrete (PCC) Overlays and Structural Hot Mix Asphalt (HMA) Overlays.

We followed up with the Department on the status of the maintenance models which are needed to perform a life-cycle cost analysis. According to Department officials, the experimental overlay was constructed in 2015, and sufficient data necessary to develop appropriate life-cycle models for PCC and structural HMA overlays has not yet been collected. The project is on-going.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2020  
Fifteen Months Ended September 30, 2020

SCHEDULE 1

P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2020	Lapse Period Expenditures July 1 to September 30, 2020	Total Expenditures 15 Months Ended September, 2020	Balances Reappropriated July 1, 2020	Balances Lapsed September 30, 2020
<b>Appropriated Funds:</b>						
<b>Road Fund (0011):</b>						
Central Administration and Planning	\$ 298,078,089	\$ 71,921,494	\$ 2,635,755	\$ 74,557,249	\$ 195,270,482	\$ 28,250,358
Capital Improvements, Highways	141,034,267	22,281,252	-	22,281,252	118,753,015	-
Information Processing	44,536,200	17,178,060	17,575,274	34,753,334	-	9,782,866
Highways Central Offices	218,342,476	101,183,674	5,011,091	106,194,765	130,177,861	(18,030,150)
Departmentwide	751,778,800	642,312,113	32,776,696	675,088,809	-	76,689,991
Day Labor	9,471,282	5,553,217	948,212	6,501,429	1,909,252	1,060,601
District 1	78,087,223	52,674,601	7,939,223	60,613,824	16,756,993	716,406
District 2	23,613,175	15,597,114	1,778,048	17,375,162	5,306,452	931,561
District 3	26,572,742	18,467,012	3,534,437	22,001,449	6,035,569	(1,464,276)
District 4	22,016,270	14,843,241	1,495,378	16,338,619	4,990,948	686,703
District 5	16,732,855	10,246,245	2,038,065	12,284,310	4,313,824	134,721
District 6	22,228,921	14,131,681	1,598,320	15,730,001	5,811,145	687,775
District 7	17,458,598	10,624,278	1,515,953	12,140,231	4,283,288	1,035,079
District 8	29,378,136	18,533,013	4,635,436	23,168,449	5,656,930	552,757
District 9	16,788,174	10,344,644	1,996,963	12,341,607	3,071,542	1,375,025
Construction and Land Acquisition	5,784,682,640	898,839,760	-	898,839,760	4,885,842,880	-
Aeronautics, General Office	13,487,760	2,947,138	192,398	3,139,536	9,932,036	416,188
Highway Safety Program - Department of Transportation	32,664,729	11,382,344	244,449	11,626,793	20,615,025	422,911
Highway Safety Program - Secretary of State	793,900	192,154	289,195	481,349	-	312,551
Highway Safety Program - Department of Public Health	500,000	196,000	-	196,000	-	304,000
Highway Safety Program - Department of State Police	17,246,900	10,984,829	1,602,236	12,587,065	-	4,659,835
Highway Safety Program - Local Law Enforcement Board	300,000	228,872	3,256	232,128	-	67,872
Highway Safety Program - Illinois Courts	70,000	8,050	243	8,293	-	61,707
Public and Intermodal Transportation	127,854,166	9,856,403	705,887	10,562,290	117,210,572	81,304
Intercity Rail Passenger Service	347,968,989	77,351,506	5,827,266	83,178,772	254,232,329	10,557,888
Total Road Fund (0011)	<u>\$ 8,041,686,292</u>	<u>\$ 2,037,878,695</u>	<u>\$ 94,343,781</u>	<u>\$ 2,132,222,476</u>	<u>\$ 5,790,170,143</u>	<u>\$ 119,293,673</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2020  
Fifteen Months Ended September 30, 2020

SCHEDULE 1

P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2020	Lapse Period Expenditures July 1 to September 30, 2020	Total Expenditures 15 Months Ended September, 2020	Balances Reappropriated July 1, 2020	Balances Lapsed September 30, 2020
Motor Fuel Tax Fund (0012)	\$ 19,668,400	\$ 14,551,109	\$ 670,804	\$ 15,221,913	\$ -	\$ 4,446,487
Motor Fuel Tax Fund - County District (0413)	216,825,000	175,459,950	11,008,458	186,468,408	-	30,356,592
Motor Fuel Tax Fund - Municipal District (0414)	302,375,000	246,074,937	15,438,883	261,513,820	-	40,861,180
Motor Fuel Tax Fund - Road District (0415)	98,300,000	79,636,064	4,996,412	84,632,476	-	13,667,524
Total Motor Fuel Tax Funds	<u>\$ 637,168,400</u>	<u>\$ 515,722,060</u>	<u>\$ 32,114,557</u>	<u>\$ 547,836,617</u>	<u>\$ -</u>	<u>\$ 89,331,783</u>
Gross Crossing Protection Fund (0019)	<u>\$ 296,909,715</u>	<u>\$ 11,245,511</u>	<u>\$ -</u>	<u>\$ 11,245,511</u>	<u>\$ 285,664,204</u>	<u>\$ -</u>
Aeronautics Fund (0046):						
Commodities	\$ 49,500	\$ 41,046	\$ -	\$ 41,046	\$ -	\$ 8,454
Aeronautics - Refunds	500	-	-	-	-	500
Total Aeronautics Fund (0046)	<u>\$ 50,000</u>	<u>\$ 41,046</u>	<u>\$ -</u>	<u>\$ 41,046</u>	<u>\$ -</u>	<u>\$ 8,954</u>
Federal/State/Local Airport Fund (0095)	<u>\$ 299,356,465</u>	<u>\$ 101,702,434</u>	<u>\$ -</u>	<u>\$ 101,702,434</u>	<u>\$ 197,654,031</u>	<u>\$ -</u>
South Suburban Airport (SSA) Improvement (0249)	<u>\$ 1,000,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 1,000,000</u>
State Rail Freight Loan Repayment Fund (0265)	<u>\$ 10,000,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 10,000,000</u>	<u>\$ -</u>
Air Transportation Revolving Fund (0309)	<u>\$ 150,000</u>	<u>\$ 36,180</u>	<u>\$ 28,974</u>	<u>\$ 65,154</u>	<u>\$ -</u>	<u>\$ 84,846</u>
Tax Recovery Fund (0310)	<u>\$ 2,100,000</u>	<u>\$ 1,409,724</u>	<u>\$ 191,059</u>	<u>\$ 1,600,783</u>	<u>\$ -</u>	<u>\$ 499,217</u>
Federal High Speed Rail Trust Fund (0433):						
Public Transportation:						
Federal High Speed Rail	<u>\$ 687,096,497</u>	<u>\$ 9,231,309</u>	<u>\$ -</u>	<u>\$ 9,231,309</u>	<u>\$ 677,865,188</u>	<u>\$ -</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2020  
Fifteen Months Ended September 30, 2020

SCHEDULE 1

P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2020	Lapse Period Expenditures July 1 to September 30, 2020	Total Expenditures 15 Months Ended September, 2020	Balances Reappropriated July 1, 2020	Balances Lapsed September 30, 2020
Transportation Bond Series "A" Fund (0553)	\$ 6,501,577,268	\$ 250,271,760	\$ -	\$ 250,271,760	\$ 6,251,305,508	\$ -
Transportation Bond Series "B" Fund (0554):						
Division of Aeronautics:						
For Construction Costs	\$ 17,644,421	\$ 5,368,563	\$ -	\$ 5,368,563	\$ 12,275,858	\$ -
Land Acquisition Expenses	21,421,071	2,631,813	-	2,631,813	18,789,258	-
Total Division of Aeronautics	<u>39,065,492</u>	<u>8,000,376</u>	<u>-</u>	<u>8,000,376</u>	<u>31,065,116</u>	<u>-</u>
Public Transportation	1,552,069,639	102,956,365	-	102,956,365	1,449,113,274	-
Total Transportation Bond Series "B" Fund (0554)	<u>\$ 1,591,135,131</u>	<u>\$ 110,956,741</u>	<u>\$ -</u>	<u>\$ 110,956,741</u>	<u>\$ 1,480,178,390</u>	<u>\$ -</u>
Transportation Bond Series "D" Fund (0695)	<u>\$ 578,734,699</u>	<u>\$ 171,593,609</u>	<u>\$ -</u>	<u>\$ 171,593,609</u>	<u>\$ 407,141,090</u>	<u>\$ -</u>
Downstate Transit Improvement Fund (0559)	<u>\$ 31,608,981</u>	<u>\$ 4,286,664</u>	<u>\$ -</u>	<u>\$ 4,286,664</u>	<u>\$ 19,822,318</u>	<u>\$ 7,499,999</u>
Transportation Safety Highway Hireback Fund (0589)	<u>\$ 375,000</u>	<u>\$ 200,000</u>	<u>\$ -</u>	<u>\$ 200,000</u>	<u>\$ -</u>	<u>\$ 175,000</u>
Public Transportation Fund (0627)	<u>\$ 568,090,800</u>	<u>\$ 380,257,187</u>	<u>\$ 130,922,018</u>	<u>\$ 511,179,205</u>	<u>\$ -</u>	<u>\$ 56,911,595</u>
Downstate Public Transportation Fund (0648)	<u>\$ 412,992,000</u>	<u>\$ 180,924,296</u>	<u>\$ 35,258,437</u>	<u>\$ 216,182,733</u>	<u>\$ -</u>	<u>\$ 196,809,267</u>
High Speed Rail Rolling Stock Fund (0839)	<u>\$ 15,000,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 15,000,000</u>	<u>\$ -</u>
Federal Mass Transit Fund (0853):						
Safety and Security Oversight	\$ 4,420,683	\$ 514,191	\$ -	\$ 514,191	\$ 3,906,492	\$ -
Public Transportation Transit Studies - Federal Reimbursement	4,778,501	632,278	-	632,278	4,146,223	-
Federal Share of Capital and Operating Grants	58,793,714	28,257,175	-	28,257,175	30,536,539	-
Total Federal Mass Transit Fund (0853)	<u>\$ 67,992,898</u>	<u>\$ 29,403,644</u>	<u>\$ -</u>	<u>\$ 29,403,644</u>	<u>\$ 38,589,254</u>	<u>\$ -</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2020  
Fifteen Months Ended September 30, 2020

SCHEDULE 1

P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2020	Lapse Period Expenditures July 1 to September 30, 2020	Total Expenditures 15 Months Ended September, 2020	Balances Reappropriated July 1, 2020	Balances Lapsed September 30, 2020
Cycle Rider Safety Fund (0863)	\$ 16,106,026	\$ 4,589,626	\$ 4,068	\$ 4,593,694	\$ 11,264,586	\$ 247,746
State Construction Account Fund (0902)	\$ 5,740,611,305	\$ 1,239,721,917	\$ -	\$ 1,239,721,917	\$ 4,500,889,388	\$ -
State Aviation Program Fund (0928)	\$ 20,000,000	\$ -	\$ -	\$ -	\$ 20,000,000	\$ -
Rail Freight Loan Repayment Fund (0936)	\$ 1,099,581	\$ -	\$ -	\$ -	\$ 1,099,581	\$ -
Sound Reducing Window/Doors Replacement Fund (0949)	\$ 7,500,000	\$ -	\$ -	\$ -	\$ 7,500,000	\$ -
Transportation Renewal Fund (0952)	\$ 415,000,000	\$ 303,915,287	\$ 23,547,344	\$ 327,462,631	\$ -	\$ 87,537,369
DUI Prevention and Education Fund (0956)	\$ 250,000	\$ -	\$ -	\$ -	\$ 250,000	\$ -
Multi-Modal Transportation Bond Fund (0959)	\$ 4,500,000,000	\$ -	\$ -	\$ -	\$ 4,500,000,000	\$ -
Regional Transportation Authority Capital Improvement Fund (0964)	\$ 1,367,586,000	\$ -	\$ -	\$ -	\$ 1,367,586,000	\$ -
Downstate Mass Transportation Capital Improvement Fund (0965)	\$ 151,954,000	\$ -	\$ -	\$ -	\$ 151,954,000	\$ -
Grand Total - All Funds	<u>\$ 31,963,131,058</u>	<u>\$ 5,353,387,690</u>	<u>\$ 316,410,238</u>	<u>\$ 5,669,797,928</u>	<u>\$ 25,733,933,681</u>	<u>\$ 559,399,449</u>

Note 1: Expenditure authority, appropriations, expenditures, reappropriations, and lapsed balances were obtained from the Department of Transportation's record and have been reconciled to the State Comptroller's records as of September 30, 2020.

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

Note 3: Balances lapsed as of September 30, 2020 for the Road Fund - Highway Central Offices has a negative lapsed balance due to reorganization within the Department. As of July 1, 2020, there was \$21.457 million reappropriated for the Department's state share of the Intelligent Transportation Systems (ITS) program. In previous years, this amount was reported as Central Administration and Planning in the Road Fund. However, due to the reorganization within the Department, the amount is now reported under a different appropriation code under Highway Central Offices resulting in the negative lapsed balance as of September 30, 2020.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2019  
Sixteen Months Ended October 31, 2019

SCHEDULE 2

P.A. 100-0586 P.A. 101-0030 P.A. 101-0007	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2019	Lapse Period Expenditures July 1 to October 31, 2019	Total Expenditures 16 Months Ended October 31, 2019	Balances Reappropriated July 1, 2019	Balances Lapsed October 31, 2019
<b>Appropriated Funds:</b>						
General Revenue (0001)	\$ 6,468,000	\$ 4,569,800	\$ 1,122,277	\$ 5,692,077	\$ -	\$ 775,923
<b>Road Fund (0011):</b>						
Central Administration and Planning	\$ 279,960,033	\$ 74,312,416	\$ 3,918,125	\$ 78,230,541	\$ 171,887,385	\$ 29,842,107
Capital Improvements, Highways	71,908,699	30,874,432	-	30,874,432	41,034,267	-
Information Processing	35,086,000	19,467,176	8,999,230	28,466,406	-	6,619,594
Highways Central Offices	219,023,403	92,169,421	6,153,475	98,322,896	112,515,671	8,184,836
Departmentwide	696,570,500	623,950,741	31,039,262	654,990,003	-	41,580,497
Day Labor	9,865,396	8,363,374	874,283	9,237,657	552,680	75,059
District 1	79,594,166	63,354,503	6,731,386	70,085,889	9,411,522	96,755
District 2	24,905,622	20,096,145	2,491,405	22,587,550	1,807,676	510,396
District 3	23,700,657	17,113,459	2,384,820	19,498,279	3,823,442	378,936
District 4	22,713,595	18,360,594	2,169,015	20,529,609	1,354,170	829,816
District 5	17,056,204	15,036,700	1,288,576	16,325,276	399,353	331,575
District 6	23,744,414	20,182,765	2,170,484	22,353,249	1,216,220	174,945
District 7	15,842,520	11,456,142	1,713,754	13,169,896	2,216,397	456,227
District 8	25,686,136	17,880,947	3,797,255	21,678,202	3,199,035	808,899
District 9	15,851,786	12,919,569	2,083,117	15,002,686	720,873	128,227
Construction and Land Acquisition	4,244,239,368	1,088,359,638	-	1,088,359,638	3,046,618,333	109,261,397
Aeronautics, General Office	12,749,441	2,218,011	188,319	2,406,330	9,753,961	589,150
Highway Safety Program - Department of Transportation	41,901,689	15,466,515	408,732	15,875,247	22,171,128	3,855,314
Highway Safety Program - Secretary of State	219,800	105,741	77,849	183,590	-	36,210
Highway Safety Program - Department of Public Health	1,271,800	-	154,000	154,000	-	1,117,800
Highway Safety Program - Department of State Police	17,177,100	12,427,859	2,383,087	14,810,946	-	2,366,154
Highway Safety Program - Local Law Enforcement Board	375,000	197,151	132,588	329,739	-	45,261
Public and Intermodal Transportation	20,139,491	3,901,173	1,405,286	5,306,459	14,112,263	720,769
Intercity Rail Passenger Service	296,868,989	86,200,508	3,713,164	89,913,672	167,098,989	39,856,328
Total Road Fund (0011)	<u>\$ 6,196,451,809</u>	<u>\$ 2,254,414,980</u>	<u>\$ 84,277,212</u>	<u>\$ 2,338,692,192</u>	<u>\$ 3,609,893,365</u>	<u>\$ 247,866,252</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2019  
Sixteen Months Ended October 31, 2019

SCHEDULE 2

P.A. 100-0586 P.A. 101-0030 P.A. 101-0007	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2019	Lapse Period Expenditures July 1 to October 31, 2019	Total Expenditures 16 Months Ended October 31, 2019	Balances Reappropriated July 1, 2019	Balances Lapsed October 31, 2019
Motor Fuel Tax Fund (0012)	\$ 18,950,000	\$ 14,750,417	\$ 1,930,549	\$ 16,680,966	\$ -	\$ 2,269,034
Motor Fuel Tax Fund - County District (0413)	216,825,000	186,200,607	14,735,539	200,936,146	-	15,888,854
Motor Fuel Tax Fund - Municipal District (0414)	302,375,000	261,138,241	20,665,951	281,804,192	-	20,570,808
Motor Fuel Tax Fund - Road District (0415)	98,300,000	84,510,929	6,688,024	91,198,953	-	7,101,047
Total Motor Fuel Tax Funds	<u>\$ 636,450,000</u>	<u>\$ 546,600,194</u>	<u>\$ 44,020,063</u>	<u>\$ 590,620,257</u>	<u>\$ -</u>	<u>\$ 45,829,743</u>
Gross Crossing Protection Fund (0019)	<u>\$ 126,060,598</u>	<u>\$ 18,150,883</u>	<u>\$ -</u>	<u>\$ 18,150,883</u>	<u>\$ 107,909,715</u>	<u>\$ -</u>
Aeronautics Fund (0046):						
Commodities	\$ 149,500	\$ 1,383	\$ 315	\$ 1,698	\$ -	\$ 147,802
Aeronautics - Refunds	500	-	-	-	-	500
Total Aeronautics Fund (0046)	<u>\$ 150,000</u>	<u>\$ 1,383</u>	<u>\$ 315</u>	<u>\$ 1,698</u>	<u>\$ -</u>	<u>\$ 148,302</u>
Federal/State/Local Airport Fund (0095)	<u>\$ 265,921,882</u>	<u>\$ 41,565,417</u>	<u>\$ -</u>	<u>\$ 41,565,417</u>	<u>\$ 224,356,465</u>	<u>\$ -</u>
South Suburban Airport (SSA) Improvement (0249)	<u>\$ 1,000,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 1,000,000</u>
State Rail Freight Loan Repayment Fund (0265)	<u>\$ 10,000,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 10,000,000</u>	<u>\$ -</u>
Working Capital Revolving Loan Fund (0307)	<u>\$ 2,000,000</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 2,000,000</u>
Air Transportation Revolving Fund (0309)	<u>\$ 250,000</u>	<u>\$ 38,647</u>	<u>\$ 30,223</u>	<u>\$ 68,870</u>	<u>\$ -</u>	<u>\$ 181,130</u>
Tax Recovery Fund (0310)	<u>\$ 1,500,000</u>	<u>\$ 1,499,962</u>	<u>\$ -</u>	<u>\$ 1,499,962</u>	<u>\$ -</u>	<u>\$ 38</u>
Federal High Speed Rail Trust Fund (0433):						
Public Transportation:						
Federal High Speed Rail	<u>\$ 731,932,921</u>	<u>\$ 44,836,425</u>	<u>\$ -</u>	<u>\$ 44,836,425</u>	<u>\$ 687,096,496</u>	<u>\$ -</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2019  
Sixteen Months Ended October 31, 2019

SCHEDULE 2

P.A. 100-0586 P.A. 101-0030 P.A. 101-0007	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2019	Lapse Period Expenditures July 1 to October 31, 2019	Total Expenditures 16 Months Ended October 31, 2019	Balances Reappropriated July 1, 2019	Balances Lapsed October 31, 2019
Transportation Bond Series "A" Fund (0553)	\$ 53,353,591	\$ 297,523	\$ -	\$ 297,523	\$ 1,577,268	\$ 51,478,800
Transportation Bond Series "B" Fund (0554):						
Division of Aeronautics:						
For Construction Costs	\$ 20,282,784	\$ 2,638,364	\$ -	\$ 2,638,364	\$ 17,644,420	\$ -
Land Acquisition Expenses	23,841,843	2,420,773	-	2,420,773	21,421,070	-
Total Division of Aeronautics	<u>44,124,627</u>	<u>5,059,137</u>	-	<u>5,059,137</u>	<u>39,065,490</u>	-
Public Transportation	1,715,043,744	138,483,808	-	138,483,808	1,552,069,635	24,490,301
Total Transportation Bond Series "B" Fund (0554)	<u>\$ 1,759,168,371</u>	<u>\$ 143,542,945</u>	\$ -	<u>\$ 143,542,945</u>	<u>\$ 1,591,135,125</u>	<u>\$ 24,490,301</u>
Transportation Bond Series "D" Fund (0695):	<u>\$ 732,418,347</u>	<u>\$ 153,683,649</u>	\$ -	<u>\$ 153,683,649</u>	<u>\$ 578,734,698</u>	\$ -
Downstate Transit Improvement Fund (0559)	<u>\$ 42,888,049</u>	<u>\$ 8,779,068</u>	\$ -	<u>\$ 8,779,068</u>	<u>\$ 24,108,981</u>	<u>\$ 10,000,000</u>
Transportation Safety Highway Hire-Back Fund (0589)	<u>\$ 350,000</u>	<u>\$ 350,000</u>	\$ -	<u>\$ 350,000</u>	<u>\$ -</u>	<u>\$ -</u>
Public Transportation Fund (0627)	<u>\$ 555,360,000</u>	<u>\$ 438,307,795</u>	<u>\$ 36,640,727</u>	<u>\$ 474,948,522</u>	<u>\$ -</u>	<u>\$ 80,411,478</u>
Downstate Public Transportation Fund (0648)	<u>\$ 375,611,200</u>	<u>\$ 181,789,567</u>	<u>\$ 25,940,777</u>	<u>\$ 207,730,344</u>	<u>\$ -</u>	<u>\$ 167,880,856</u>
Federal Mass Transit Fund (0853):						
Safety and Security Oversight	\$ 15,330,070	\$ 409,387	\$ -	\$ 409,387	\$ 3,920,683	\$ 11,000,000
Public Transportation Transit Studies - Federal Reimbursement	6,692,333	413,832	-	413,832	3,778,501	2,500,000
Federal Share of Capital and Operating Grants	78,374,672	39,580,958	-	39,580,958	38,793,714	-
Total Federal Mass Transit Fund (0853)	<u>\$ 100,397,075</u>	<u>\$ 40,404,177</u>	\$ -	<u>\$ 40,404,177</u>	<u>\$ 46,492,898</u>	<u>\$ 13,500,000</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
Expenditure Authority for Fiscal Year 2019  
Sixteen Months Ended October 31, 2019

SCHEDULE 2

P.A. 100-0586 P.A. 101-0030 P.A. 101-0007	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2019	Lapse Period Expenditures July 1 to October 31, 2019	Total Expenditures 16 Months Ended October 31, 2019	Balances Reappropriated July 1, 2019	Balances Lapsed October 31, 2019
Cycle Rider Safety Fund (0863)	\$ 15,547,518	\$ 4,750,172	\$ 20,597	\$ 4,770,769	\$ 10,590,326	\$ 186,423
State Construction Account Fund (0902)	\$ 1,790,479,904	\$ 628,850,202	\$ -	\$ 628,850,202	\$ 1,160,711,302	\$ 918,400
Rail Freight Loan Repayment Fund (0936)	\$ 2,000,000	\$ 900,420	\$ -	\$ 900,420	\$ 1,099,580	\$ -
Grand Total - All Funds	<u>\$ 13,405,759,265</u>	<u>\$ 4,513,333,209</u>	<u>\$ 192,052,191</u>	<u>\$ 4,705,385,400</u>	<u>\$ 8,053,706,219</u>	<u>\$ 646,667,646</u>

Note 1: Expenditure authority, appropriations, expenditures, reappropriations, and lapsed balances were obtained from the Department of Transportation's records and have been reconciled to the State Comptroller's records as of October 31, 2019.

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

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>APPROPRIATED FUNDS</b>			
<b>General Revenue Fund - 001</b>			
Expenditure Authority	\$ -	\$ 6,468,000	\$ 5,302,900
Expenditures:			
Lump Sum Operations	\$ -	\$ 1,122,277	\$ -
Awards & Grants, Lump Sum & Other Purposes	-	4,569,800	4,341,300
Total Expenditures	<u>\$ -</u>	<u>\$ 5,692,077</u>	<u>\$ 4,341,300</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ 775,923</u>	<u>\$ 961,600</u>
<b>Road Fund - 011</b>			
Expenditure Authority	\$ 8,041,686,292	\$ 6,196,451,809	\$ 6,048,526,166
Expenditures:			
Personal Services	\$ 391,545,216	\$ 385,754,983	\$ 383,168,193
Extra Help	24,486,560	29,568,829	29,744,281
Retirement	227,246,789	211,933,295	206,420,347
Social Security	31,810,244	31,682,041	31,463,493
Contractual Services	89,367,135	88,580,486	88,280,016
Travel	1,129,951	1,447,207	1,579,560
Commodities	49,819,685	38,904,832	22,269,054
Printing	275,180	610,938	316,130
Equipment	31,352,395	73,902,447	51,133,021
Electronic Data Processing	23,692,017	20,749,762	15,322,924
Telecommunications	13,200,191	9,936,673	8,921,927
Operation Of Auto Equipment	47,714,561	50,655,491	46,621,165
Lump Sums & Other Purposes	101,980,743	105,402,652	78,911,571
Awards & Grants	4,072,700	3,747,000	3,747,000
Tort Claims	417,703	496,356	1,475,542
Transportation Grants	30,086,203	31,619,961	29,473,856
Shared Revenue Payments	35,814,300	35,814,300	35,814,300
Awards & Grants, Lump Sum & Other Purposes	70,493,437	60,723,095	64,740,987
Permanent Improvements, Lump Sum & Other Purposes	22,281,252	30,874,432	14,073,720
Transportation & Related Construction	7,946,948	12,007,808	22,588,719
Transportation & Related Const, Lump Sum & Other Purposes	927,488,264	1,114,267,650	1,255,633,871
Refunds Not Elsewhere Classified	1,002	11,954	24,489
Total Expenditures	<u>\$ 2,132,222,476</u>	<u>\$ 2,338,692,192</u>	<u>\$ 2,391,724,166</u>
Balances Reappropriated	<u>\$ 5,790,170,143</u>	<u>\$ 3,609,893,365</u>	<u>\$ 3,150,250,574</u>
Balances Lapsed	<u>\$ 119,293,673</u>	<u>\$ 247,866,252</u>	<u>\$ 506,551,426</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>Motor Fuel Tax Fund - 012</b>			
Expenditure Authority	\$ 19,668,400	\$ 18,950,000	\$ 19,312,000
Expenditures:			
Personal Services	\$ 8,302,524	\$ 8,497,525	\$ 8,414,776
Retirement	4,513,802	4,329,762	4,178,652
Social Security	630,051	643,618	636,245
Group Insurance	1,724,819	3,122,130	534,583
Contractual Services	14,527	14,277	13,581
Travel	11,576	19,041	25,692
Commodities	3,504	4,378	7,058
Printing	-	29,646	-
Equipment	4,088	1,818	2,330
Telecommunications	12,055	16,371	17,000
Operation Of Auto Equipment	4,967	2,400	1,290
Total Expenditures	<u>\$ 15,221,913</u>	<u>\$ 16,680,966</u>	<u>\$ 13,831,207</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 4,446,487</u>	<u>\$ 2,269,034</u>	<u>\$ 5,480,793</u>
<b>Gross Crossing Protection Fund - 019</b>			
Expenditure Authority	\$ 296,909,715	\$ 126,060,598	\$ 111,716,303
Expenditures:			
Transportation & Related Construction	\$ 11,245,511	\$ 18,150,883	\$ 24,655,705
Total Expenditures	<u>\$ 11,245,511</u>	<u>\$ 18,150,883</u>	<u>\$ 24,655,705</u>
Balances Reappropriated	<u>\$ 285,664,204</u>	<u>\$ 107,909,715</u>	<u>\$ 87,060,598</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
<b>Aeronautics Fund - 046</b>			
Expenditure Authority	\$ 50,000	\$ 150,000	\$ 300,000
Expenditures:			
Commodities	\$ 41,046	\$ 1,698	\$ 52,159
Total Expenditures	<u>\$ 41,046</u>	<u>\$ 1,698</u>	<u>\$ 52,159</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 8,954</u>	<u>\$ 148,302</u>	<u>\$ 247,841</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>Federal/State/Local Airport Fund - 095</b>			
Expenditure Authority	\$ 299,356,465	\$ 265,921,882	\$ 224,313,654
Expenditures:			
Awards & Grants, Lump Sum & Other Purposes	\$ 101,702,434	\$ 41,565,417	\$ 48,391,773
Total Expenditures	<u>\$ 101,702,434</u>	<u>\$ 41,565,417</u>	<u>\$ 48,391,773</u>
Balances Reappropriated	<u>\$ 197,654,031</u>	<u>\$ 224,356,465</u>	<u>\$ 175,921,881</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
<b>South Suburban Airport Improvement Fund - 249</b>			
Expenditure Authority	<u>\$ 1,000,000</u>	<u>\$ 1,000,000</u>	<u>\$ 1,000,000</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 1,000,000</u>	<u>\$ 1,000,000</u>	<u>\$ 1,000,000</u>
<b>State Rail Freight Loan Repayment Fund - 265</b>			
Expenditure Authority	<u>\$ 10,000,000</u>	<u>\$ 10,000,000</u>	<u>\$ 23,365,463</u>
Balances Reappropriated	<u>\$ 10,000,000</u>	<u>\$ 10,000,000</u>	<u>\$ 10,000,000</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 13,365,463</u>
<b>Working Capital Revolving Loan Fund - 307</b>			
Expenditure Authority	<u>\$ -</u>	<u>\$ 2,000,000</u>	<u>\$ 4,500,000</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ 2,000,000</u>	<u>\$ 4,500,000</u>
<b>Air Transportation Revolving Fund - 309</b>			
Expenditure Authority	<u>\$ 150,000</u>	<u>\$ 250,000</u>	<u>\$ 500,000</u>
Expenditures:			
Contractual Services	\$ 65,154	\$ 68,870	\$ 26,248
Total Expenditures	<u>\$ 65,154</u>	<u>\$ 68,870</u>	<u>\$ 26,248</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 84,846</u>	<u>\$ 181,130</u>	<u>\$ 473,752</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>Tax Recovery Fund - 310</b>			
Expenditure Authority	\$ 2,100,000	\$ 1,500,000	\$ 1,500,000
Expenditures:			
Lump Sums & Other Purposes	\$ 1,600,783	\$ 1,499,962	\$ 1,354,933
Total Expenditures	<u>\$ 1,600,783</u>	<u>\$ 1,499,962</u>	<u>\$ 1,354,933</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 499,217</u>	<u>\$ 38</u>	<u>\$ 145,067</u>
<b>Motor Fuel Tax Fund - County District - 413</b>			
Expenditure Authority	\$ 216,825,000	\$ 216,825,000	\$ 216,825,000
Expenditures:			
Shared Revenue Payments	\$ 186,468,408	\$ 200,936,146	\$ 203,611,891
Total Expenditures	<u>\$ 186,468,408</u>	<u>\$ 200,936,146</u>	<u>\$ 203,611,891</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 30,356,592</u>	<u>\$ 15,888,854</u>	<u>\$ 13,213,109</u>
<b>Motor Fuel Tax Fund - Municipal District - 414</b>			
Expenditure Authority	\$ 302,375,000	\$ 302,375,000	\$ 302,375,000
Expenditures:			
Shared Revenue Payments	\$ 261,513,820	\$ 281,804,192	\$ 285,659,655
Total Expenditures	<u>\$ 261,513,820</u>	<u>\$ 281,804,192</u>	<u>\$ 285,659,655</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 40,861,180</u>	<u>\$ 20,570,808</u>	<u>\$ 16,715,345</u>
<b>Motor Fuel Tax Fund - Road District - 415</b>			
Expenditure Authority	\$ 98,300,000	\$ 98,300,000	\$ 98,300,000
Expenditures:			
Shared Revenue Payments	\$ 84,632,476	\$ 91,198,953	\$ 92,413,395
Total Expenditures	<u>\$ 84,632,476</u>	<u>\$ 91,198,953</u>	<u>\$ 92,413,395</u>
Balances Reappropriated	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Balances Lapsed	<u>\$ 13,667,524</u>	<u>\$ 7,101,047</u>	<u>\$ 5,886,605</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>Federal High Speed Rail Trust Fund - 433</b>			
Expenditure Authority	\$ 687,096,497	\$ 731,932,921	\$ 1,123,829,095
Expenditures:			
Awards & Grants, Lump Sum & Other Purposes	\$ 9,231,309	\$ 44,836,425	\$ 234,224,419
Total Expenditures	<u>\$ 9,231,309</u>	<u>\$ 44,836,425</u>	<u>\$ 234,224,419</u>
Balances Reappropriated	<u>\$ 677,865,188</u>	<u>\$ 687,096,496</u>	<u>\$ 711,932,920</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 177,671,756</u>
<b>Transportation Bond Series "A" Fund - 553</b>			
Expenditure Authority	\$ 6,501,577,268	\$ 53,353,591	\$ 78,988,611
Expenditures:			
Awards & Grants, Lump Sum & Other Purposes	\$ 250,000,000	\$ -	\$ -
Transportation & Related Construction	271,760	297,523	25,635,020
Total Expenditures	<u>\$ 250,271,760</u>	<u>\$ 297,523</u>	<u>\$ 25,635,020</u>
Balances Reappropriated	<u>\$ 6,251,305,508</u>	<u>\$ 1,577,268</u>	<u>\$ 53,353,591</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ 51,478,800</u>	<u>\$ -</u>
<b>Transportation Bond Series "B" Fund - 554</b>			
Expenditure Authority	\$ 1,591,135,131	\$ 1,759,168,371	\$ 1,960,610,756
Expenditures:			
Transportation Grants	\$ 100,419	\$ 973,355	\$ 461,027
Awards & Grants, Lump Sum & Other Purposes	105,062,334	132,061,912	211,212,016
Transportation & Related Construction	2,631,813	2,420,773	3,534,447
Transportation & Related Const, Lump Sum & Other Purposes	3,162,175	8,086,905	9,234,900
Total Expenditures	<u>\$ 110,956,741</u>	<u>\$ 143,542,945</u>	<u>\$ 224,442,390</u>
Balances Reappropriated	<u>\$ 1,480,178,390</u>	<u>\$ 1,591,135,125</u>	<u>\$ 1,736,168,366</u>
Balances Lapsed	<u>\$ -</u>	<u>\$ 24,490,301</u>	<u>\$ -</u>
<b>Downstate Transit Improvement Fund - 559</b>			
Expenditure Authority	\$ 31,608,981	\$ 42,888,049	\$ 66,123,505
Expenditures:			
Transportation Grants	\$ 4,286,664	\$ 8,779,068	\$ 5,085,456
Total Expenditures	<u>\$ 4,286,664</u>	<u>\$ 8,779,068</u>	<u>\$ 5,085,456</u>
Balances Reappropriated	<u>\$ 19,822,318</u>	<u>\$ 24,108,981</u>	<u>\$ 32,888,049</u>
Balances Lapsed	<u>\$ 7,499,999</u>	<u>\$ 10,000,000</u>	<u>\$ 28,150,000</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>Transportation Safety Highway Hireback Fund - 589</b>			
Expenditure Authority	\$ 375,000	\$ 350,000	\$ 600,000
Expenditures:			
Lump Sums & Other Purposes	\$ 200,000	\$ 350,000	\$ -
Total Expenditures	\$ 200,000	\$ 350,000	\$ -
Balances Reappropriated	\$ -	\$ -	\$ -
Balances Lapsed	\$ 175,000	\$ -	\$ 600,000
<b>Public Transportation Fund - 627</b>			
Expenditure Authority	\$ 568,090,800	\$ 555,360,000	\$ 555,360,000
Expenditures:			
Transportation Grants	\$ 511,179,205	\$ 474,948,522	\$ 519,995,588
Total Expenditures	\$ 511,179,205	\$ 474,948,522	\$ 519,995,588
Balances Reappropriated	\$ -	\$ -	\$ -
Balances Lapsed	\$ 56,911,595	\$ 80,411,478	\$ 35,364,412
<b>Downstate Public Transportation Fund - 648</b>			
Expenditure Authority	\$ 412,992,000	\$ 375,611,200	\$ 341,733,324
Expenditures:			
Transportation Grants	\$ 216,182,733	\$ 207,730,344	\$ 204,185,764
Total Expenditures	\$ 216,182,733	\$ 207,730,344	\$ 204,185,764
Balances Reappropriated	\$ -	\$ -	\$ -
Balances Lapsed	\$ 196,809,267	\$ 167,880,856	\$ 137,547,560
<b>Transportation Bond Series "D" Fund - 695</b>			
Expenditure Authority	\$ 578,734,699	\$ 732,418,347	\$ 771,325,559
Expenditures:			
Transportation & Related Construction	\$ 171,593,609	\$ 153,683,649	\$ 38,907,213
Total Expenditures	\$ 171,593,609	\$ 153,683,649	\$ 38,907,213
Balances Reappropriated	\$ 407,141,090	\$ 578,734,698	\$ 732,418,346
Balances Lapsed	\$ -	\$ -	\$ -

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>High Speed Rail Rolling Stock Fund - 839</b>			
Expenditure Authority	\$ 15,000,000	\$ -	\$ -
Balances Reappropriated	\$ 15,000,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -
<b>Federal Mass Transit Fund - 853</b>			
Expenditure Authority	\$ 67,992,898	\$ 100,397,075	\$ 101,171,445
Expenditures:			
Lump Sums & Other Purposes	\$ 1,146,469	\$ 823,219	\$ 772,840
Awards & Grants, Lump Sum & Other Purposes	28,257,175	39,580,958	25,142,930
Total Expenditures	\$ 29,403,644	\$ 40,404,177	\$ 25,915,770
Balances Reappropriated	\$ 38,589,254	\$ 46,492,898	\$ 75,255,675
Balances Lapsed	\$ -	\$ 13,500,000	\$ -
<b>Cycle Rider Safety Fund - 863</b>			
Expenditure Authority	\$ 16,106,026	\$ 15,547,518	\$ 13,374,300
Expenditures:			
Personal Services	\$ 136,445	\$ 109,248	\$ 122,681
Retirement	74,103	55,150	61,808
Social Security	10,088	8,033	9,065
Group Insurance	43,187	62,534	25,765
Contractual Services	2,590	4,601	1,550
Travel	1,394	4,126	2,774
Commodities	147	99	-
Equipment	-	285	-
Lump Sums & Other Purposes	4,325,740	4,526,693	2,682,983
Total Expenditures	\$ 4,593,694	\$ 4,770,769	\$ 2,906,626
Balances Reappropriated	\$ 11,264,586	\$ 10,590,326	\$ 10,117,018
Balances Lapsed	\$ 247,746	\$ 186,423	\$ 350,656
<b>State Construction Account Fund - 902</b>			
Expenditure Authority	\$ 5,740,611,305	\$ 1,790,479,904	\$ 1,449,925,383
Expenditures:			
Transportation & Related Construction	\$ 1,239,721,917	\$ 628,850,202	\$ 557,445,483
Total Expenditures	\$ 1,239,721,917	\$ 628,850,202	\$ 557,445,483
Balances Reappropriated	\$ 4,500,889,388	\$ 1,160,711,302	\$ 892,479,900
Balances Lapsed	\$ -	\$ 918,400	\$ -

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>State Aviation Program Fund - 928</b>			
Expenditure Authority	\$ 20,000,000	\$ -	\$ -
Balances Reappropriated	\$ 20,000,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -
<b>Rail Freight Loan Repayment Fund - 936</b>			
Expenditure Authority	\$ 1,099,581	\$ 2,000,000	\$ 5,019,799
Expenditures:			
Awards & Grants, Lump Sum & Other Purposes	\$ -	\$ 900,420	\$ 884,814
Total Expenditures	\$ -	\$ 900,420	\$ 884,814
Balances Reappropriated	\$ 1,099,581	\$ 1,099,580	\$ 2,000,000
Balances Lapsed	\$ -	\$ -	\$ 2,134,985
<b>Sound Reducing Window/Doors Replacement Fund - 949</b>			
Expenditure Authority	\$ 7,500,000	\$ -	\$ -
Balances Reappropriated	\$ 7,500,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -
<b>Transportation Renewal Fund - 952</b>			
Expenditure Authority	\$ 415,000,000	\$ -	\$ -
Expenditures:			
Shared Revenue Payments	\$ 327,462,631	\$ -	\$ -
Total Expenditures	\$ 327,462,631	\$ -	\$ -
Balances Reappropriated	\$ -	\$ -	\$ -
Balances Lapsed	\$ 87,537,369	\$ -	\$ -
<b>DUI Prevention and Education Fund - 956</b>			
Expenditure Authority	\$ 250,000	\$ -	\$ -
Balances Reappropriated	\$ 250,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES,  
AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 3

	Fiscal Year		
	P.A. 101-0007 P.A. 101-0029 P.A. 101-0196 P.A. 101-0638 <u>2020</u>	P.A. 100-0586 P.A. 101-0007 P.A. 101-0030 <u>2019</u>	P.A. 100-0021 P.A. 100-0586 <u>2018</u>
<b>Multi-Modal Transportation Bond Fund - 959</b>			
Expenditure Authority	\$ 4,500,000,000	\$ -	\$ -
Balances Reappropriated	\$ 4,500,000,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -
<b>Regional Transportation Authority Capital Improvement Fund - 964</b>			
Expenditure Authority	\$ 1,367,586,000	\$ -	\$ -
Balances Reappropriated	\$ 1,367,586,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -
<b>Downstate Mass Transportation Capital Improvement Fund - 965</b>			
Expenditure Authority	\$ 151,954,000	\$ -	\$ -
Balances Reappropriated	\$ 151,954,000	\$ -	\$ -
Balances Lapsed	\$ -	\$ -	\$ -
<b>TOTAL APPROPRIATED FUNDS</b>			
Expenditure Authority	\$ 31,963,131,058	\$ 13,405,759,265	\$ 13,525,898,263
Expenditures	\$ 5,669,797,928	\$ 4,705,385,400	\$ 4,905,690,975
Balances Reappropriated	\$ 25,733,933,681	\$ 8,053,706,219	\$ 7,669,846,918
Balances Lapsed	\$ 559,399,449	\$ 646,667,646	\$ 950,360,370
<b>STATE OFFICERS' SALARIES</b>			
Salary of the Secretary	\$ 176,400	\$ 154,400	\$ 150,300
Salary of the Assistant Secretary	-	-	127,800
Total Expenditures	\$ 176,400	\$ 154,400	\$ 278,100

**Note 1:** Expenditure authority, appropriations, expenditures, reappropriations, and lapsed balances were obtained from the Department of Transportation's records and have been reconciled to the State Comptroller's records as of September 30, 2020, October 31, 2019, and October 31, 2018.

**Note 2:** Expenditure amounts are vouchers approved for payment by the Department of Transportation and submitted to the State Comptroller for payment to the vendor.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF NET EXPENDITURES  
BY MAJOR ACTIVITY**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 4

	<u>2020</u>	<u>2019</u>	<u>2018</u>
<b>EXPENDITURE STATISTICS</b>			
<b>All State Treasury Funds</b>			
Total Operations Expenditures:	\$ 1,056,490,727	\$ 1,074,459,402	\$ 983,112,762
Percentage of Total Expenditures:	18.6%	22.8%	20.0%
Personal Services	424,470,744	423,930,584	421,449,961
Other Payroll Costs	266,053,083	251,836,563	243,329,982
All Other Operating Expenditures	365,966,900	398,692,255	318,332,819
 Total Awards and Grants Expenditures:	 2,226,963,951	 1,662,286,224	 1,970,861,713
Percentage of Total Expenditures:	39.3%	35.3%	40.2%
 Total Construction Expenditures:	 2,364,061,998	 1,937,765,342	 1,937,642,780
Percentage of Total Expenditures:	41.7%	41.2%	39.5%
 Total Permanent Improvements Expenditures:	 22,281,252	 30,874,432	 14,073,720
Percentage of Total Expenditures:	0.4%	0.7%	0.3%
 <b>GRAND TOTAL - ALL EXPENDITURES:</b>	 <b><u>\$ 5,669,797,928</u></b>	 <b><u>\$ 4,705,385,400</u></b>	 <b><u>\$ 4,905,690,975</u></b>

**Note 1:** Expenditures were obtained from the Department of Transportation's records and have been reconciled to the State Comptroller's records as of September 30, 2020, October 31, 2019, and October 31, 2018.

**Note 2:** Expenditure amounts are vouchers approved for payment by the Department of Transportation and submitted to the State Comptroller for payment to the vendor.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
For the Years Ended June 30, 2020, 2019, and 2018

Receipts	General Revenue Fund 0001			Road Fund 0011		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ -	\$ -	\$ -	\$ 1,648,033,402	\$ 1,261,911,741	\$ 1,274,786,921
Local Governmental Units	-	-	-	72,381,360	88,243,430	92,042,166
Highway Traffic and Sign Permits	-	-	-	24,732,570	24,681,214	23,005,932
Fees and Licenses	-	-	-	10,332	9,188	12,430
Fines and Penalties	-	-	-	44,452	2,000,445	155,395
Other Illinois State Agencies	-	-	-	93,342	58,462	18,434
Vehicle Safety Inspection	-	-	-	299,172	396,614	398,021
Damage Claims	-	-	-	7,313,411	8,844,398	9,467,787
Sale of Used Vehicles and Equipment	-	-	-	39,400	55,939	-
Rental of Real Property	-	-	-	881,540	1,031,457	950,795
Sale of Land	-	-	-	180,507	960,650	931,723
Miscellaneous	-	-	-	259,504	315,322	187,461
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	5,377,268	3,626,772	21,321,566
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	10,925	16,280	18,280
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	485,715	576,371	780,247
Reimbursement/Recoveries - Private Sector	-	-	-	5,421,221	9,906,256	5,248,420
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	-	-	-	1,765,564,121	1,402,634,539	1,429,325,578
Prior Year Refunds	-	152,537	193,859	745,604	18,663,981	5,564,175
Prior Year Expenditure Adjustments	-	-	-	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	-	152,537	193,859	1,766,309,725	1,421,298,520	1,434,889,753
Deposits in Transit:						
Beginning of Year	-	-	-	4,791,772	4,626,654	4,129,207
End of Year	-	-	-	2,387,259	4,791,772	4,626,654
Recorded Receipts per Department	\$ -	\$ 152,537	\$ 193,859	\$ 1,763,905,212	\$ 1,421,463,638	\$ 1,435,387,200

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
 DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
 For the Years Ended June 30, 2020, 2019, and 2018

Receipts	Motor Fuel Tax Fund 0012			Grade Crossing Protection Fund 0019		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Governmental Units	-	-	-	-	-	-
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	-	-	-	-	-	-
Fines and Penalties	-	-	-	-	-	-
Other Illinois State Agencies	-	-	-	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	-	-	-
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	-	-	-	-	-	-
Prior Year Refunds	-	290,345	-	359	163,494	15,384
Prior Year Expenditure Adjustments	-	-	-	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	-	290,345	-	359	163,494	15,384
Deposits in Transit:						
Beginning of Year	-	-	-	-	-	-
End of Year	-	-	-	-	-	-
Recorded Receipts per Department	\$ -	\$ 290,345	\$ -	\$ 359	\$ 163,494	\$ 15,384

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
For the Years Ended June 30, 2020, 2019, and 2018

Receipts	Aeronautics Fund 0046			Federal/State/Local Airport Fund 0095		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ -	\$ -	\$ -	\$ 95,473,677	\$ 39,242,280	\$ 47,499,897
Local Governmental Units	-	-	-	2,863,623	4,756,547	1,892,452
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	117,465	30,909	290,795	-	-	-
Fines and Penalties	-	-	-	-	-	-
Other Illinois State Agencies	-	-	-	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	-	-	-
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	117,465	30,909	290,795	98,337,300	43,998,827	49,392,349
Prior Year Refunds	-	-	-	-	-	-
Prior Year Expenditure Adjustments	-	-	-	-	702	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	117,465	30,909	290,795	98,337,300	43,999,529	49,392,349
Deposits in Transit:						
Beginning of Year	-	-	2,830	-	-	109,569
End of Year	3,180	-	-	-	-	-
Recorded Receipts per Department	\$ 120,645	\$ 30,909	\$ 287,965	\$ 98,337,300	\$ 43,999,529	\$ 49,282,780

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
For the Years Ended June 30, 2020, 2019, and 2018

Receipts	General Obligation BR&I Fund 0101			State Rail Freight Loan Repayment Fund 0265		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Governmental Units	-	7,599	1,732	-	-	-
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	-	-	-	-	-	-
Fines and Penalties	-	-	-	-	-	-
Other Illinois State Agencies	-	-	-	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	-	-	-
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	1,714,001	1,714,001	1,714,000	434,353	765,298	996,686
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	1,714,001	1,721,600	1,715,732	434,353	765,298	996,686
Prior Year Refunds	-	-	-	-	-	-
Prior Year Expenditure Adjustments	-	-	-	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	1,714,001	1,721,600	1,715,732	434,353	765,298	996,686
Deposits in Transit:						
Beginning of Year	-	-	-	-	-	-
End of Year	-	-	-	-	-	-
Recorded Receipts per Department	\$ 1,714,001	\$ 1,721,600	\$ 1,715,732	\$ 434,353	\$ 765,298	\$ 996,686

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
For the Years Ended June 30, 2020, 2019, and 2018

SCHEDULE 5

Receipts	Air Transportation Revolving Fund 0309			Tax Recovery Fund 0310		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Governmental Units	-	-	-	-	-	-
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	-	-	-	-	-	-
Fines and Penalties	-	-	-	-	-	-
Other Illinois State Agencies	1,077	7,063	239	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	1,253,117	1,663,596	1,327,425
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	<u>1,077</u>	<u>7,063</u>	<u>239</u>	<u>1,253,117</u>	<u>1,663,596</u>	<u>1,327,425</u>
Prior Year Refunds	30	-	-	-	-	-
Prior Year Expenditure Adjustments	-	-	-	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	<u>1,107</u>	<u>7,063</u>	<u>239</u>	<u>1,253,117</u>	<u>1,663,596</u>	<u>1,327,425</u>
Deposits in Transit:						
Beginning of Year	-	-	-	-	-	81,160
End of Year	-	-	-	46,444	-	-
Recorded Receipts per Department	<u>\$ 1,107</u>	<u>\$ 7,063</u>	<u>\$ 239</u>	<u>\$ 1,299,561</u>	<u>\$ 1,663,596</u>	<u>\$ 1,246,265</u>

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
For the Years Ended June 30, 2020, 2019, and 2018

Receipts	Federal High Speed Rail Trust Fund 0433			Transportation Bond Series "A" Fund 0553		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ 12,412,690	\$ 20,541,363	\$ 244,237,310	\$ -	\$ -	\$ -
Local Governmental Units	-	-	-	-	-	-
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	-	-	-	-	-	-
Fines and Penalties	-	-	-	-	-	-
Other Illinois State Agencies	-	-	-	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	-	-	-
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	12,412,690	20,541,363	244,237,310	-	-	-
Prior Year Refunds	-	-	-	-	91,199	414,885
Prior Year Expenditure Adjustments	-	198,212	148	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	12,412,690	20,739,575	244,237,458	-	91,199	414,885
Deposits in Transit:						
Beginning of Year	-	-	-	-	-	-
End of Year	-	-	-	-	-	-
Recorded Receipts per Department	\$ 12,412,690	\$ 20,739,575	\$ 244,237,458	\$ -	\$ 91,199	\$ 414,885

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
For the Years Ended June 30, 2020, 2019, and 2018

Receipts	Transportation Safety Highway Hire-Back Fund 0589			Transportation Bond Series "D" Fund 0695		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Local Governmental Units	-	-	-	-	-	-
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	-	-	-	-	-	-
Fines and Penalties	77,543	161,432	176,934	-	-	-
Other Illinois State Agencies	-	-	-	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	-	-	-
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	<u>77,543</u>	<u>161,432</u>	<u>176,934</u>	-	-	-
Prior Year Refunds	-	-	-	13,769	181,900	543,513
Prior Year Expenditure Adjustments	-	-	-	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	<u>77,543</u>	<u>161,432</u>	<u>176,934</u>	<u>13,769</u>	<u>181,900</u>	<u>543,513</u>
Deposits in Transit:						
Beginning of Year	1,354	1,835	125	-	-	19,790
End of Year	<u>5,018</u>	<u>1,354</u>	<u>1,835</u>	-	-	-
Recorded Receipts per Department	<u>\$ 81,207</u>	<u>\$ 160,951</u>	<u>\$ 178,644</u>	<u>\$ 13,769</u>	<u>\$ 181,900</u>	<u>\$ 523,723</u>

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
 DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
 For the Years Ended June 30, 2020, 2019, and 2018

Receipts	Federal Mass Transit Fund 0853			Cycle Rider Safety Training Fund 0863		
	2020	2019	2018	2020	2019	2018
Reported Receipts by Source:						
Federal Aid Reimbursements	\$ 27,115,032	\$ 40,404,171	\$ 25,915,769	\$ -	\$ -	\$ -
Local Governmental Units	-	-	-	-	-	-
Highway Traffic and Sign Permits	-	-	-	-	-	-
Fees and Licenses	-	-	-	-	-	-
Fines and Penalties	-	-	-	-	-	-
Other Illinois State Agencies	-	-	-	-	-	-
Vehicle Safety Inspection	-	-	-	-	-	-
Damage Claims	-	-	-	-	-	-
Sale of Used Vehicles and Equipment	-	-	-	-	-	-
Rental of Real Property	-	-	-	-	-	-
Sale of Land	-	-	-	-	-	-
Miscellaneous	-	-	-	-	-	-
Repayment to State Pursuant to Law	-	-	-	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-	-	-	-
Loan Repayments	-	-	-	-	-	-
Subscriptions or Publications	-	-	-	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-	-	-	-
Repayment from Mass Transit Districts	-	-	-	-	-	-
Deposits Remitted to the Comptroller	27,115,032	40,404,171	25,915,769	-	-	-
Prior Year Refunds	-	-	-	-	4,360	-
Prior Year Expenditure Adjustments	-	-	-	-	-	-
Deposit Correction	-	-	-	-	-	-
Deposits Recorded by the Comptroller	27,115,032	40,404,171	25,915,769	-	4,360	-
Deposits in Transit:						
Beginning of Year	-	-	-	-	-	-
End of Year	-	-	-	-	-	-
Recorded Receipts per Department	\$ 27,115,032	\$ 40,404,171	\$ 25,915,769	\$ -	\$ 4,360	\$ -

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
 DEPARTMENT OF TRANSPORTATION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
**AND RECONCILIATION OF CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
 For the Years Ended June 30, 2020, 2019, and 2018

Receipts	State Construction Account Fund 0902		
	2020	2019	2018
Reported Receipts by Source:			
Federal Aid Reimbursements	\$ -	\$ -	\$ -
Local Governmental Units	-	-	-
Highway Traffic and Sign Permits	-	-	-
Fees and Licenses	-	-	-
Fines and Penalties	-	-	-
Other Illinois State Agencies	-	-	-
Vehicle Safety Inspection	-	-	-
Damage Claims	-	-	-
Sale of Used Vehicles and Equipment	-	-	-
Rental of Real Property	-	-	-
Sale of Land	-	-	-
Miscellaneous	-	-	-
Repayment to State Pursuant to Law	-	-	-
Joint Highway Improvements - Illinois Tollway and Others	-	-	-
Loan Repayments	-	-	-
Subscriptions or Publications	-	-	-
Reimbursement of Costs Incurred on Behalf of the Federal Government	-	-	-
Reimbursement/Recoveries - Private Sector	-	-	-
Repayment from Mass Transit Districts	-	-	-
Deposits Remitted to the Comptroller	-	-	-
Prior Year Refunds	689,089	214,657	342,497
Prior Year Expenditure Adjustments	-	-	-
Deposit Correction	-	-	-
Deposits Recorded by the Comptroller	<u>689,089</u>	<u>214,657</u>	<u>342,497</u>
Deposits in Transit:			
Beginning of Year	-	-	-
End of Year	19,000	-	-
Recorded Receipts per Department	<u>\$ 708,089</u>	<u>\$ 214,657</u>	<u>\$ 342,497</u>

Note: The above information was taken from the Office of the Comptroller and reconciled to Department records.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF LOCALLY HELD FUND RECEIPTS AND DISBURSEMENTS**  
For the Years Ended June 30, 2020, 2019, and 2018

	2020	2019	2018
<b>LOCALLY-HELD FUNDS</b>			
<b>High Speed Rail Maintenance Escrow Fund - 1438</b>			
Balance, Beginning of the Fiscal Year	\$ 48,214,880	\$ 25,089,984	\$ -
Receipts	25,046,958	30,040,408	30,017,950
Disbursements	16,170,653	6,915,512	4,927,966
Balance, Ending of the Fiscal Year	\$ 57,091,185	\$ 48,214,880	\$ 25,089,984
<b>Capital Projects Fund - 1494</b>			
Balance, Beginning of the Fiscal Year	\$ 14,718	\$ 1,689,433	\$ 1,184,148
Receipts	-	2,190,016	2,579,063
Disbursements	14,718	3,864,731	2,073,778
Balance, Ending of the Fiscal Year	\$ -	\$ 14,718	\$ 1,689,433
<b>Debt Service Fund - 2494</b>			
Balance, Beginning of the Fiscal Year	\$ 25,579	\$ 2,770,886	\$ 2,698,530
Receipts	-	81,657	2,906,741
Disbursements	25,579	2,826,964	2,834,385
Balance, Ending of the Fiscal Year	\$ -	\$ 25,579	\$ 2,770,886

Note 1: These balances were obtained from the Agency's records and have been reconciled to the Agency's Report of Receipts and Disbursements for Locally Held Funds for each locally held fund submitted to the Office of State Comptroller as of June 30, 2020, 2019, and 2018.

Note 2: This schedule is presented on the cash basis of accounting.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
For the Year Ended June 30, 2020

SCHEDULE 7

	Beginning Balance	Additions	Deletions	Net Transfers	Ending Balance
<b>FISCAL YEAR 2020</b>					
<b>Property</b>					
Land and Land Improvements	\$ 115,134,005	\$ 22,304	\$ 30,463,280	\$ -	\$ 84,693,029
Site Improvements	19,353,541	-	12,536	229,000	19,570,005
Buildings and Building Improvements	204,204,150	79,376	600	6,369,649	210,652,575
Equipment	872,080,775	29,667,075	27,810,011	(16,457,699)	857,480,140
Total	<u>\$ 1,210,772,471</u>	<u>\$ 29,768,755</u>	<u>\$ 58,286,427</u>	<u>\$ (9,859,050)</u>	<u>\$ 1,172,395,749</u>
<b>Capital Lease</b>					
Equipment	\$ 1,851,864	\$ 281,503	\$ 89,383	\$ -	\$ 2,043,984
<b>Construction in Progress</b>					
Construction in Progress	\$ 19,929,219	\$ 13,881,295	\$ -	\$ (6,598,649)	\$ 27,211,865
Construction in Progress: Rail Equipment	37,626,579	8,521,561	-	-	46,148,140
Total	<u>\$ 57,555,798</u>	<u>\$ 22,402,856</u>	<u>\$ -</u>	<u>\$ (6,598,649)</u>	<u>\$ 73,360,005</u>

Note 1: These balances were obtained from the Department of Transportation's records and have been reconciled to the Department of Transportation's quarterly *Agency Report of State Property* reports submitted to the Office of State Comptroller for the year ended June 30, 2020.

Note 2: This schedule was prepared from State property records as required by the Illinois Administrative Code (Code) and the Statewide Accounting Management System (SAMS). The capitalization policy required by the Code and SAMS is different from the capitalization policy established by the Office of the State Comptroller for financial reporting in accordance with generally accepted accounting principles (GAAP).

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
For the Year Ended June 30, 2019

SCHEDULE 7

	Beginning Balance	Additions	Deletions	Net Transfers	Ending Balance
<b>FISCAL YEAR 2019</b>					
<b>Property</b>					
Land and Land Improvements	\$ 16,102,632	\$ 98,832,173	\$ -	\$ 199,200	\$ 115,134,005
Site Improvements	19,353,541	-	-	-	19,353,541
Buildings and Building Improvements	185,762,275	93,000	60,855	18,409,730	204,204,150
Equipment	841,143,447	76,379,747	8,223,957	(37,218,462)	872,080,775
Total	<u>\$ 1,062,361,895</u>	<u>\$ 175,304,920</u>	<u>\$ 8,284,812</u>	<u>\$ (18,609,532)</u>	<u>\$ 1,210,772,471</u>
<b>Capital Lease</b>					
Equipment	<u>\$ 1,226,638</u>	<u>\$ 1,514,398</u>	<u>\$ 889,172</u>	<u>\$ -</u>	<u>\$ 1,851,864</u>
<b>Construction in Progress</b>					
Construction in Progress	\$ 19,313,518	\$ 19,214,062	\$ -	\$ (18,598,361)	\$ 19,929,219
Construction in Progress: Rail Equipment	36,909,750	716,829	-	-	37,626,579
Total	<u>\$ 56,223,268</u>	<u>\$ 19,930,891</u>	<u>\$ -</u>	<u>\$ (18,598,361)</u>	<u>\$ 57,555,798</u>

Note 1: These balances were obtained from the Department of Transportation's records and have been reconciled to the Department of Transportation's quarterly *Agency Report of State Property* reports submitted to the Office of State Comptroller for the year ended June 30, 2019.

Note 2: This schedule was prepared from State property records as required by the Illinois Administrative Code (Code) and the Statewide Accounting Management System (SAMS). The capitalization policy required by the Code and SAMS is different from the capitalization policy established by the Office of the State Comptroller for financial reporting in accordance with generally accepted accounting principles (GAAP).

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**AGENCY FUNCTIONS**

The Department of Transportation (Department) was created by the 77<sup>th</sup> General Assembly with legislation effective January 1, 1972. The Department is responsible for administrating and supervising the State's transportation activities, including highways, rail, public transportation, and aeronautics. The Department receives federal funds from the U.S. Department of Transportation for various transportation programs; is responsible for drafting a State Master Plan for transportation facilities; and also provides State assistance to local public transportation agencies.

The Department's main office is located in the Harry R. Hanley Building, 2300 South Dirksen Parkway, Springfield, Illinois. As of the pay period ended May 15, 2020, an average of 5015 full-time employees worked for the Department.

The departmental structure is oriented to functions that the Department performs as an agency: developing programs; implementing projects; and supporting those efforts administratively and through public affairs. This organizational structure allows the Department to serve the public and meet its core mission.

**Key Top Personnel**

Secretary – Omer Osman  
Assistant Secretary – Vacant  
Deputy Secretary – Doug House  
Deputy Secretary – Margaret vanDijk  
Chief of Staff – Georgina (Syas) White  
Deputy Chief of Staff – Becky Locker  
Chief Operating Officer – Sheleda Doss  
Chief Fiscal Officer – Joanne Woodworth, Acting  
Director of the Office of Planning and Programming – Holly (Ostdick) Bienemann  
Director of the Office of Highways Project Implementation – Stephen Travia  
Director of the Office of Intermodal Project Implementation – Matt Magalis, Acting  
Director of the Office of Business and Workforce Diversity – Pam Simon  
Director of the Office of Communications – Guy Tridgell  
Director of the Office of Legislative Affairs – Nicola Cortez-Hun  
Director of the Office of Finance and Administration – Vacant  
Director of the Office of Chief Counsel – Yangsu Kim  
Director of the Office of Internal Audit – Stephen Kirk

**Regional Engineers**

Region 1, District 1, Regional Engineer – Jose Rios  
Region 2, Districts 2 and 3, Regional Engineer – Masood Ahmad  
Region 3, Districts 4 and 5, Regional Engineer – Kensil Garnett  
Region 4, Districts 6 and 7, Regional Engineer – Jeffrey Myers  
Region 5, Districts 8 and 9, Regional Engineer – Keith Roberts, Acting

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Deputy Directors**

Deputy Director of the Office of Finance and Administration – Matt Magalis  
Deputy Director of Aeronautics, Office of Intermodal Project Implementation – Clayton Stambaugh  
Deputy Director of Transit, Office of Intermodal Project Implementation – Ashounta Reese  
Deputy Director of Rail, Office of Intermodal Project Implementation – John Oimoen

**Bureau Chiefs**

**Office of Highways Project Implementation**

Bureau of Construction – Lora Rensing  
Bureau of Materials – Brian Pfeifer  
Bureau of Operations – Amy Eller  
Bureau of Bridges & Structures – Carl Puzey  
Bureau of Design and Environment – Jack Elston  
Bureau of Land Acquisition – Laura Mlacnik  
Bureau of Safety Programs and Engineering – Cynthia Watters  
Bureau of Local Roads and Streets – George Tapas

**Office of Planning and Programming**

Bureau of Data Collection – Jessica Keldermans  
Bureau of Innovative Project Delivery – Vacant  
Bureau of Planning – Mike Vanderhoof  
Bureau of Programming – Traci Sisk  
Bureau of Research – LaDonna Rowden

**Office of Finance and Administration**

Bureau of Budget and Fiscal Management – Joanne Woodworth  
Bureau of Business Services – Aundra Williams  
Bureau of Information Processing – Dan Wilcox  
Bureau of Personnel Management – Becky Koehler  
Bureau of Investigations and Compliance – William Hutton

**Office of Communications**

Bureau of Communication Services – Vacant  
Bureau of Program, Project and Safety Outreach – Sean Martschinke

**Office of Legislative Affairs**

Bureau of Federal Affairs – Matt McAnarney  
Bureau of State Affairs – Brad Franke

**Office of Business and Workforce Diversity**

Bureau of Small Business Enterprises – Debra Clark  
Bureau of Civil Rights – Carlos Ramirez

**Office of Chief Counsel**

Bureau of Claims – Jim Sterr  
Bureau of Legal Services – Richard Kabaker, Deputy Chief Counsel (Chicago)  
Michael Prater, Deputy Chief Counsel (Downstate)

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Internal Audit**

Internal Audit Manager – Vacant  
Internal Audit Manager – Vacant

**Books and Records**

Current Proposed Multimodal Transportation Improvement Program  
Current Statewide Transportation Improvement Program  
Quarterly Management Reports  
Organizational Chart  
Service Efforts and Accomplishments Report  
Annual Report  
Periodic Reviews and Reports of Oversight Agencies

**Reference Additional Reports under “Resources” on [www.dot.il.gov](http://www.dot.il.gov)**

**Office of Highways Project Implementation**

The Office of Highways Project Implementation (OHPI) ensures that highway improvement projects are planned, constructed, and operated in a cost-effective and timely manner. OHPI protects the public investment in new and existing highway facilities, as well as ensures compliance with Federal and State statutes in the implementation of the Highway Program. The Office of Highways Project Implementation consists of eight bureaus: Construction, Materials, Operations, Bridges and Structures, Local Roads and Streets, Design and Environment, Land Acquisition and Safety Programs and Engineering. OHPI also houses five highway Regional Offices consisting of nine District Offices. OHPI monitors district programs to ensure statewide uniformity of policy interpretation and compliance and to certify program coordination with Federal, State, and local agencies. OHPI also develops policies, procedures, standards, and guidelines to accomplish the Department’s highway system improvement objectives and provide centralized expertise and technical assistance for District operations. OHPI bureaus provide programs and activities to support efficient program implementation across the districts.

Bureau of Construction – Responsible for providing policies that result in quality construction; approving changes in contracts; providing uniform contract interpretation and prequalifying contractors.

Bureau of Materials – Responsible for administering a testing program that ensure economy and quality in the selection and application of materials used to design, construct, and maintain the transportation system of the state.

Bureau of Operations – Responsible for establishing policies and procedures that provide for the protection of public investment in new and existing transportation facilities and for providing for safe, smooth, and efficient traffic flow under both normal conditions and when construction or maintenance activities are under way. The Bureau monitors the activities of maintenance operations, services and roadside development carried on by districts and provides an annual Day Labor work program for the districts. In addition, the Bureau develops standards and specifications to ensure uniform application of traffic control devices on all streets and highways; ensures equitable and efficient handling of all applications for oversize and overweight vehicle movements; recommends revisions to the Vehicle Code as changes in the system and traffic patterns occur and promotes a wide range of activities to inform the public of traffic conditions, laws, and operational safety.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Highways Project Implementation (Continued)**

Bureau of Bridges and Structures – Responsible for developing the structural design policies and practices of the Department. The Bureau provides detailed planning and design of highway structures; develops bridge standards; performs preliminary engineering; prepares highway structure plans; conducts special bridge and structure studies and inspections; and inspects structural steel.

Bureau of Design and Environment – Responsible for developing standards, specifications, and policies for the design of a highway network which provides for economical, smooth, safe, rapid, and comfortable movement of people and goods within and through the state. The Bureau develops road standards and provides support services for district road design programs; coordinates and prepares federal-aid program documents; and processes plans and contract documents through the letting stage. In addition, the Bureau is responsible for developing policies for the preparation, coordination, final review and approval of project location studies and environmental impact statements. It provides liaison and guidance to district offices during the development of location and environmental studies and offers technical expertise for solving unique engineering, social, economic, and environmental problems.

Bureau of Land Acquisition – Responsible for developing policies for the statewide land acquisition program. This program includes such functions as appraisal, negotiation, acquisition, relocation assistance, property management and signboard and junkyard control. The Bureau is responsible for developing and administering standards of review of operational performance and for reviewing all right-of-way expenditures.

Bureau of Safety Programs and Engineering – Provide Illinois motorists, cyclists, and pedestrians with the safest possible highway environment by concentrating available resources in a cost-efficient manner and promoting the reduction of traffic fatalities, injuries, and accidents. Develop and promulgate regulations in areas of accident reporting, hazardous materials transportation, vehicle inspection, safety responsibility, cycle rider training and implement Federally funded highway safety programs and administer local agency traffic safety grants that assist the Department in achieving its traffic safety goals.

Regional and District Offices – Responsible for developing, maintaining, and operating a state highway system within defined areas of the state. Each District is responsible for providing rapid, safe, efficient, comfortable, and economical movement of people and goods within their defined boundaries and provides roadway maintenance and oversight of construction projects. The Districts also ensure that programs are compatible with the protection of both the natural and the socioeconomic environments.

Bureau of Local Roads and Streets – Responsible for assisting, guiding, and directing local government agencies in the accomplishment of highway, street, and transportation activities. This includes establishing street and highway design standards, policies and procedures for the distribution and expenditure of Federal and State funds, assisting in planning, financing, design, construction, and maintenance; integrating local agency programs and projects within Department programs; and monitoring Departmental relations with local agencies.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Intermodal Project Implementation**

The Office of Intermodal Project Implementation (OIPI) coordinates activities for transit, rail, and aeronautics. Its mission is to provide safe, efficient, affordable, reliable, and coordinated transportation of people and goods through rail, air, mass transit, and related modes of transportation. The OIPI promotes mass transportation systems and services in Illinois by developing and recommending policies and programs; cultivating, implementing, and administering operating, capital, and technical program projects; and participating in local and statewide planning and programming activities. OIPI also ensures acceptable levels of public transportation services are provided for rail, air, and mass transit. In addition, OIPI conducts technical studies and engineering reviews of projects. The Office of Intermodal Project Implementation consists of four program areas: Rail, Aeronautics, Transit, and Safety Oversight. Rail consists of the Bureau of Freight Rail Management and the Bureau of Passenger Rail Corridor Management. Transit consists of the Bureau of Transit Capital and the Bureau of Transit Operations. Safety oversight functions are addressed within the Safety Oversight Program Section. Aeronautics consists of the Bureaus of Administrative Services, Airport Engineering, Aviation Safety and Air Operations.

Aeronautics – Responsible for coordinating and implementing programs concerning air safety, airport construction and other aeronautical related issues for the State. Develops an annual five-year Capital Improvement Program and ensures that all funds are appropriated or made available for planning, acquisition, construction, reconstruction, extension, development, improvement, and operation of air navigation facilities. Provides State and Federal grant funds for the improvement of airports across the State. Operate and maintain a flight department to provide routine and emergency aviation services to all State officials, departments and agencies on a 24-hour, seven-day a week basis. (Note: This service was suspended under the Rauner Administration and continues to be suspended). Conducts a continuing airport inspection program to ensure adherence to minimum physical standards and safety criteria, which results in the certification of all landing facilities within the State of Illinois including commercial service airports, general aviation airports, restricted landing areas and heliports. Registers planes and pilots. Provides aviation and aerospace education through the conduct of seminars and conferences. Provides support and assistance for Civil Air Patrol activities in Illinois which include air search and rescue and civil defense disaster operations.

Transit – Responsible for the development, evaluation, and administration of the capital, operating and technical grant programs, which are geared towards providing improved transportation services for the State. Provides support for obtaining funds for local mass transit agencies. Gains cooperation from local mass transit authorities or private agencies on mass transit problems. Provides support for improved services to increase transit ridership.

Rail – Administers grants to improve the efficiency of the movement of freight and passengers utilizing the State's rail lines. Operates the State's rail freight assistance program. Oversees the State's passenger rail program to ensure passenger effective passenger rail service is provided in the State. Coordinates the development of policies, plans and programs relating to administering the State's role in meeting the rail passenger needs of Illinois citizens.

Safety Oversight – Provides oversight of the State's fixed guideway systems to ensure the safety of the citizens of Illinois. Conduct periodic inspections of the State's fixed guideway systems. A fixed guideway system is any public transportation system which utilizes rails and includes light rail, commuter rail, subways, trolleys, and people movers.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Planning and Programming**

The Office of Planning and Programming (OPP) develops plans and programs aimed at improving the State's transportation system. Core functions include oversight and coordination of the State's planning efforts, development of the annual multi-year and multimodal programs, monitoring of the physical condition of the transportation system, evaluation of costs and benefits of new infrastructure investments, and provision of data, mapping, research to support these and other projects across the department, and the development and implementation of local public agency programs. OPP develops policy statements which serve as guides for the Department's administrative actions. Primary areas of involvement include the Department's transportation investment programs and Federal and State legislative programs; recognition and consideration of Department responses to Federal Regulations; and the accomplishment of special initiatives as directed by the Secretary's Office. OPP is responsible for the identification of transportation needs and objectives, coordination and preparation of work plans to accomplish such objectives, and compilation of the costs to complete activities defined in the work plans. The Office is responsible for preparing annual and six-year programs to meet Departmental planning goals. The Office of Planning and Programming consists of five bureaus: Data Collection, Innovative Project Delivery, Planning, Programming, and Research.

Bureau of Data Collection – Collects and compiles traffic accident data from across the State. Responsible for developing policies in the area of vehicle accident reporting, evaluate and analyze accident data for use in devising countermeasures to decrease traffic deaths and injuries and disseminating accident statistics to traffic safety officials. Accident information is collected, analyzed, and subsequently used to guide the Department in placing resources throughout the State and also in evaluating the effectiveness of programs of the Department. Responsible for administering the Department's portion of the State's Safety Responsibility Law. Maintains accident reports filed by motorists and law enforcement officers, determines whether a person involved in an accident is required by law to make a deposit of security sufficient to satisfy a potential judgement, certifies to the Secretary of State the names of persons involved in accidents and determines the amount of any required security.

Bureau of Innovative Project Delivery – Formulates and manages the Department's strategy and policy for engaging private and public sector entities in novel partnership, delivery, and financing arrangements for projects that may not otherwise be constructed or delivered as efficiently. Leads the Department's work with public-private partnerships, management of mega projects, and efforts with innovative project delivery methods such as design-build and construction manager/general contractor

Bureau of Planning – Develops and revises statewide capital plans for transportation, including highway, air, rail, and public transportation. Administers a metropolitan studies program which works with metropolitan planning organizations in the State's 16 urbanized areas to develop policies and programs relating to transportation in these areas. In addressing general and specific planning issues, the Office works closely with Metropolitan Planning Organizations (MPO) regional planning commissions and local elected officials. These metropolitan planning organizations are designated by the Governor as the official organizations for metropolitan transportation planning in specified urbanized areas. The Department enters into contractual agreements with these MPOs, under which it receives research data, the results of feasibility studies and other similar information. To aid the MPOs and local governments, outside consultants are often used by the Department. These consultants also keep the Department informed of changes in laws and regulations which may affect the planning and implementation of certain projects. The goal of these activities is to prepare and continuously update a realistic action plan.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Planning and Programming (Continued)**

Bureau of Programming – Develops transportation programs that are consistent with the short- and long-range goals and objectives of the State of Illinois. Coordinates a surveillance program to monitor the physical condition of the State’s transportation system, the level of service provided, and the need for improvement. Evaluates proposals for major investments in the State’s transportation system and assessing the importance of the projects, potential adverse impacts, and overall benefits. The Bureau prepares a Multi-year Proposed Multimodal Transportation Improvement Program (MTIP) and an Annual Proposed Improvements for Illinois Highways for the current fiscal year which considers the State’s highway needs and serves as the action plan for the coming fiscal year and is a requirement of the Illinois Compiled Statutes 605 ILCS 5/4-303 and Public Act 82-110. This program is a listing of specific projects to constitute a reasonable year’s work. The MTIP also includes a multi-year capital program for Illinois airports, public transportation, and rail systems. The Bureau also calculates the present worth of unmarked State routes where financial assistance is to be provided in order to effect transfer of jurisdiction to a local agency. Present worth represents the upper limit of the dollar amount of financial assistance allowed to be considered in negotiations between district personnel and a local entity in return for transfer of unmarked state routes. The amount of financial assistance provided is not exceed the present worth of future maintenance and improvement costs for the unmarked route which IDOT would incur if jurisdiction was retained.

Bureau of Research – Responsible for the Transportation research activities of the Department. Conducts both surface ride quality and friction and structural property testing of pavements. Engineering staff review and analyze surface and structural property testing results, develop pavement design and rehabilitation policy based upon research and serve as a consultant on specialized pavement design and rehabilitation projects. Coordinates IDOT’s participation in State and Federal Transportation Research programs. Oversees the implementation of various research activities. Operates and manages the technical library maintained by the Department.

**Office of Communications**

The Office of Communications (OOC) manages both communications and outreach efforts between the Department and its stakeholders (including the public, elected officials, industry partners, fellow government agencies, and civic/nonprofit partners). The OOC’s primary objectives are to assist in the coverage of Department activities, to increase the Department’s sensitivity to its public, to interpret public opinion so that Department programs and regulations will be realistic and acceptable, and to mobilize support for the Department and its programs. The objective is to provide the traveling public with vital information necessary to make necessary informed decisions in transportation choices. It also communicates the status of various reconstruction projects to affected motorists. It works to establish Public-Private Partnerships as a source of alternate funding that helps to provide economic opportunities for the private sector to extend the reach of the Department’s safety messages at a cost savings to taxpayers. The Office is also responsible for preparing and disseminating news releases and information on transportation programs and policies. The Office of Communications consists of two bureaus: Communication Services and Program, Project, and Safety Outreach.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Communications (Continued)**

Communication Services – Responsible for providing aid to the general public and news media on transportation related problems or complaints and providing information relative to transportation matters. Prepares and disseminates news releases on transportation efforts and articulates Department activities to the public in a concise manner to foster the best understanding of the Department's transportation programs.

Program, Project, and Safety Outreach- Responsible for various transportation public outreach programs. Responsibilities include procuring media buys to support the Department's programs including various National Highway Traffic Safety programs, Motorcycle Safety, Teen Safety Outreach and Education, and the marketing of Amtrak Rail services.

**Office of Legislative Affairs**

The Office of Legislative Affairs (OLA) leads coordination with subject-matter from across the Department on legislative issues at both state and federal levels. As such, the OLA maintains relationships both with elected officials and their staff, as well as sister agencies. It ensures that Departmental policy consistently supports and enhances Illinois transportation interests. It develops and implements the Department's annual legislative program and analyzes all transportation-related legislation introduced by the General Assembly. The Office also assists legislators and the Office of the Governor with transportation related constituent inquiries while maintaining an effective internal and external liaison system to fulfill this responsibility. The Office is also concerned with legislation on a Federal level. The Office of Legislative Affairs consists of two bureaus: Federal Affairs and State Affairs.

Bureau of Federal Affairs – Responsible for Federal Legislative initiatives to ensure the Department's interest in Transportation matters throughout the State. Monitors the Federal Register and proposed Federal Legislation and works with Congressional offices. Responds to inquiries of a Federal nature, including those from Congressional members or the general public. Submits applications for Discretionary Federal Grants.

Bureau of State Affairs – Responsible for State Legislative initiatives to ensure the Department's interest in Transportation matters throughout the State. Monitors proposed State Legislation and seek input from Department subject matter experts. Responds to inquires of a State nature including inquiries from the legislature and general public

**Office of Business and Workforce Diversity**

The Office of Business and Workforce Diversity (OBWD) is responsible for the implementation of directives, policies, and strategies for the federally mandated Disadvantaged Business Enterprise Program and departmental Civil Rights efforts designed to support efficient operations that ultimately are aimed toward achieving departmental goals and objectives. It directs the periodic reviews of departmental efforts for compliance with tenets of quality and underlying laws, regulations and policies governing these projects and programs resulting in policy changes. The OBWD promotes a climate of compliance with prevailing civil rights laws and minimizes departmental exposure to forfeiture of federal funds, litigation, or administrative intervention. The Office of Business and Workforce Diversity is comprised of two bureaus: Civil Rights and Small Business Enterprises.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Business and Workforce Diversity (Continued)**

Bureau of Civil Rights – Commitment to and reaffirmation of the goals of Civil Rights in support of equal employment opportunity and non-discrimination in federally assisted programs in addition to the Department's personnel policies, practices, and procedures.

Bureau of Small Business Enterprises – Fosters equal opportunity for minority-owned, women-owned, and other disadvantaged small businesses in the Department's federal and State-funded highway, rail, transit, and airport contracts. Provides access to employment and on-the-job opportunities for minorities and females in the Department's federal and State-funded highway, rail, transit, and airport contracts. Ensures contractors are in compliance with Federal and State contract requirements relative to the Disadvantaged Business Enterprise (DBE) program, the Employment Utilization program, On-the-Job training (OTJ) program and labor contract compliance.

**Office of Chief Counsel**

The Office of Chief Counsel (OCC) consists of two bureaus: Legal Services and Claims. It is responsible for providing legal counsel to the Department on both policy issues and proposed actions affecting any of its operating offices. The OCC is also responsible for the prosecution and defense of all litigation involving the Department in cooperation with the Office of the Governor, the Attorney General, and outside counsel. The OCC administers tort liability claims, property damage claims, uncollectible receivables, and lien and bond claims against contractors. In addition, the Office coordinates and administers the purchase and service of all insurance policies for the Department's self-insurance program.

Bureau of Claims – Responsible for the Administration of tort liability and subrogation claims. Processes lien and bond claims against contractors. Purchases and services all liability insurance policies. Ensures proper handling of tort liability suits filed against the Department or its officers in the Court of Claims or various courts.

Bureau of Legal Services – Responsible for the prosecution and defense of all litigation involving the Department in cooperation with the Attorney General. Reviews the legal aspects of the Department's legislative program. Reviews new federal and State legislation, court decisions and Attorney General's opinions for legal aspects of their effect on Department operations. Drafts and negotiates contracts with outside entities. In conjunction with the Attorney General, directs the Department's position and strategy in all major judicial and administrative proceedings.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Finance and Administration**

The Office of Finance and Administration (OFA) is responsible for developing and administering the Department's budget, managing departmental personnel systems, providing accounting and functions to ensure sound fiscal management, providing centralized business services functions and Department facilities management, and providing management information capabilities required to meet management and engineering needs. OFA consists of five bureaus: Business Services, Budget and Fiscal Management, Information Processing, Personnel Management and Investigations and Compliance.

Bureau of Business Services – Provides the Department with various services to facilitate business operations. Responsible for providing accounting and related reporting functions for the Department to ensure sound fiscal management, including the processing of payments of expenditures as well as processing the receipt of funds. Prepares and files all required reports with the Comptroller's Office. Responsible for the management of Department facilities. Assesses need for building related capital projects. Responsible for procurement of goods and services. Oversees and ensures compliance with the Grants Accountability and Transparency Act.

The Bureau of Budget and Fiscal Management – Responsible for preparing the Department's budget based on available resources and planned activities. This entails coordination of all district and central office plans, as well as contact with the Governor's Office of Management and Budget and the Governor. Each area is responsible for submitting a preliminary budget and is informed of the overall Department objectives, as well as specific guidelines and limitations on funding. The Department's final proposed budget and annual plan are included in the Governor's budget and presented to the General Assembly. The approved budget is then administered by the Bureau which is responsible for establishing the appropriation accounts and monitoring actual versus budgeted expenditures.

Bureau of Information Processing – Responsible for providing computer services for the Department to assist in maximizing the Department's resources through better information and increased productivity. This is accomplished through the analysis of management information needs and data relationships, conducting feasibility studies for computer applications, designing programming, and implementing computer systems, purchasing, and implementing software solutions, providing for daily operation of systems, and maintaining their effectiveness and planning for current and future network and management support.

Bureau of Personnel Management – Responsible for providing staff services in the administration of personnel programs for all employees of the Department. These programs include hiring, payroll, travel policies, employee safety, workers' compensation, employee assistance, training and development, tuition reimbursement and headquarters designation reports.

Bureau of Investigations and Compliance – Responsible for conducting investigations of employee or contractor misconduct. Oversees a quality and compliance program that independently tests various activities of the Department for compliance with requirements such as weight checks of material delivered to job sites, review of materials testing and construction compliance activities. This area also conducts operational and procedural reviews and analysis of outside parties to determine compliance with Department requirements. Responsible for coordinating the review of Single Audits of outside entities receiving Federal State Transportation assistance.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Office of Internal Audit**

The Office of Internal Audit directs and implements a comprehensive agency-wide internal audit program; conducts audits and reviews of agency programs, policies, and procedures to evaluate their effectiveness; develops the Department's Annual Audit Plan; and monitors implementation of audit recommendations and findings. Serves as a catalyst for change at the Department wherever a need is discovered. The Office also conducts reviews of major new information technology systems or major modifications to existing systems. The purpose of these projects is to ensure that adequate internal controls are integrated into each of these systems. It is more efficient to make those changes as the system is being developed rather than after the fact. The Office also acts as liaison to external auditors and federal agencies conducting audits and reviews of the Department.

The Office has three primary areas of focus:

General Internal Auditing and Consulting- Responsible for conducting periodic audits of the various program responsibilities of the Department to ensure compliance with applicable laws, rules, procedures and to review and test the effectiveness of the Department's internal controls. Provides assurances to the Secretary as to whether the Department is operating as management intended and has appropriately instituted governance and risk controls. Provides insight for improving controls, processes, procedures, performance, and risk management. Provides objective, independent analysis and assessments of operations to ensure the integrity of the Department and the accountability of its personnel. Provides communication to management regarding the effectiveness of the Department's internal controls and, if problems are detected or weaknesses are noted, provides information to facilitate their corrective action or provides ideas for improving a process.

Information Technology Audits and Reviews- Responsible for conducting reviews of system development projects to ensure the adequacy of system internal controls and that the system is operating effectively and addresses the needs of the Department. As time allows, this area is also responsible for conducting reviews of the controls of existing systems.

External Audit Coordination- Acts as liaison to external auditors and federal agencies conducting audits and reviews of the Department. Responsible for tracking and updating the status of the corrective action plans that relate to Internal and External Audit Findings of the Department.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Analysis of Significant Variations in Expenditures between Fiscal Years 2020 and 2019**

Grade Crossing Protection Fund (Fund 0019)

The Illinois Commerce Commission (ICC) has the statutory responsibility to improve safety at public highway-rail crossing in Illinois. The ICC orders safety improvements at public highway-rail crossings with the cost of such improvements paid by the State, the railroads, and local governments. ICC spending has been trending down the past couple of years.

Federal/State/Local Airport Fund (Fund 0095)

Increased expenditures due to a city signing their grant agreements (2016-2018) that they had previously declined to sign. Upon signing, they began requesting reimbursement during fiscal year 2020.

Federal High Speed Rail Trust (Fund 0433)

Expenditures decreased due to diminishing high-speed locomotive and high-speed rail track construction costs from prior fiscal years.

Transportation Bond Series "A" Fund (Fund 0553)

The Rebuild Illinois Capital Program increased the number of projects paid out of the fund. In addition, there was a \$250 million grant to local governments. Prior to Rebuild Illinois, the fund was being spent down with intentions of closing out the fund.

Transportation Bond Series "B" Fund (Fund 0554)

Decrease in expenditures were due to projects funded from this appropriation being completed or near completion, resulting in declining expenditures.

Federal Mass Transit Fund (0853)

Expenditures decreased in fiscal year 2020 due to a decrease in federal grant revenues. Expenditures from this fund are federally reimbursed. In fiscal year 2019, there was increased expenditures due to a new federal program started called the Positive Train Control Program. This was a one-time grant that was mostly spent in fiscal year 2019.

State Construction Account Fund (0902)

The Rebuild Illinois Capital Program increased the number of projects paid out of the fund in fiscal year 2020.

Transportation Renewal Fund (0952)

This is a new fund in fiscal year 2020. The fund shall receive motor fuel tax revenues as directed by section 8B of the Motor Fuel Tax Law. Funds shall be used exclusively for transportation-related purposes as described in Section 11 of Article IX of the Illinois Constitution of 1970.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Analysis of Significant Variations in Expenditures between Fiscal Years 2019 and 2018**

General Revenue Fund (0001)

Expenditures increased in fiscal year 2019 because the fund was used as a special appropriation to pay backpay to employees for fiscal year 2016 through fiscal year 2018 per Public Act 101-007, which are normally paid from the Road Fund (011) and Motor Fuel Tax Fund (012).

Grade Crossing Protection Fund (Fund 0019)

Due to reorganization of the Bureau and staff reassignments, there was a backlog of invoices during fiscal year 2017. This backlog was reduced during fiscal year 2018, which lead to increased expenditures in fiscal year 2018. Fiscal year 2019 returned back to normal expenditures level for the fund.

Federal High Speed Rail Trust Fund (Fund 0433)

There were significant capital expenditures during fiscal year 2017 related to the procurement of high-speed locomotives. Expenditures decreased due to diminishing high-speed locomotive and high-speed rail track construction costs from prior fiscal years.

Transportation Bond Series "A" Fund (Fund 0553)

Expenditures decreased due to projects funded from this appropriation already being completed or were near completion, resulting in declining expenditures. These projects were from the JumpStart Capital Program from 2009.

Transportation Bond Series "B" Fund (Fund 0554)

Expenditures decreased due to projects funded from this appropriation already being completed or nearing completion, resulting in declining expenditures.

Downstate Transit Improvement Fund (Fund 0559)

Expenditures increased due to the purchases of heavy-duty buses and completion of multiple projects during fiscal year 2019.

Transportation Bond Series "D" Fund (0695)

During fiscal year 2018, the Department funded projects previously paid from Fund 0695 from the Road Fund (Fund 0011), if eligible, which led to a significant decrease in expenditures in the fund during fiscal year 2018. This did not occur in fiscal year 2019.

Federal Mass Transit Fund (0853)

Expenditures increased due to an increase in federal grant revenues. Expenditures from this fund are federally reimbursed. In fiscal year 2019, a new federal program was started called the Positive Train Control Program. This was a one-time grant that was mostly spent in fiscal year 2019.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Analysis of Significant Variations in Receipts between Fiscal Years 2020 and 2019**

Road Fund (Fund 0011)

*Sale of Land*

Receipts from the sale of land is expected to fluctuate from year to year based on the Department's need for land disposals and the disposal method (sales, transfer, donation, etc.). In FY19, there were significant receipts totaling \$782,000 from the sale of right of way excess land.

*Joint Highway Improvements – Illinois Tollway and Others*

In FY20, there was a significant receipt of \$1.5 million from a joint improvement project (FAP Route 6800).

*Reimbursement/Recoveries – Private Sector*

In FY19, there were significant receipts of \$2.3 million, \$1.7 million, and \$787 thousand for various highway projects.

*Prior Year Refunds*

Prior year refunds are expected to fluctuate based on the timing of project close-out reviews, warrants issued, and payments made. In FY19, significant prior period refunds were received totaling \$14.1 million due to overpayment of employer paid retirement due to a percentage change mid-year. These prior year refunds did not occur in FY20.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

Federal/State/Local Airport Fund (Fund 0095)

*Federal Operating Grants*

In FY20, federal operating grants increased significantly due to a city signing grant agreements they had previously declined to sign from 2016-2018 and began requesting reimbursement during FY20. The total expected reimbursement was \$97.7 million, \$49.5 million being paid out in FY20.

*Local Governmental Units*

In FY19, the Department received significant funds for a state-local project for terminal parking lot, sidewalk reconfiguration, and terminal access road modifications at an airport totaling \$1.3 million. The Department does not typically receive that much from local share.

Federal High Speed Rail Trust Fund (Fund 0433)

The decrease was due to high-speed rail locomotive and rail cars activity decreasing as they are completed and put into production.

Federal Mass Transit Trust Fund (Fund 0853)

In FY19, there was a new federal program called Positive Train Control. This was a one-time rail project funded from the Federal Transit Administration (FTA) for approximately \$18 million and was mostly spent out in FY19.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**Analysis of Significant Variations in Receipts between Fiscal Years 2019 and 2018**

Road Fund (Fund 0011)

*Joint Highway Improvements - Illinois Tollway and Others*

In FY18, there were significant receipts of \$10.4 million, \$1.4 million, and \$4 million for completion of a new bridge over the Mississippi River in the Quad Cities and design and purchasing of right-of-way and easements for construction of a new bridge over the Mississippi River that connects Madison County with St. Louis, Missouri.

*Reimbursement/Recoveries – Private Sector*

In FY19, there were significant receipts of \$2.3 million, \$1.7 million, and \$787 thousand for various highway projects.

*Prior Year Refunds*

Prior year refunds are expected to fluctuate based on the timing of project close-out reviews, warrants issued, and payments made. In FY19, significant prior period refunds were received totaling \$14.1 million due to overpayment of employer paid retirement due to a percentage change mid-year.

Federal/State/Local Airport Fund (Fund 0095)

*Local Governmental Units*

In FY19, the Department received significant funds for a state-local project for terminal parking lot, sidewalk reconfiguration, and terminal access road modifications at an airport totaling \$1.3 million. The Department does not typically receive that much from local share.

Federal High Speed Rail Trust (Fund 0433)

*Federal Aid Reimbursements*

Decrease in FY19 due to no more American Recovery and Reinvestment Act (ARRA) grant funding.

Federal Mass Transit Trust Fund (Fund 0853)

In FY19, there was a new federal program called Positive Train Control. This was a one-time rail project funded from the Federal Transit Administration (FTA) for approximately \$18 million and was mostly spent in FY19.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020 and 2019

**FISCAL YEAR 2020**

Road Fund (Fund 0011)

*Information Processing*

Lapse expenditures consisted of \$8.94 million to the Technology Management Fund for communication charges, supplemental IT charges, and data center charges. Most of these charges are billed annually during lapse or are monthly or quarterly charges billed one month behind. In addition, there were expenditures of \$6.21 million for global positioning systems and controllers and accessories for all the districts throughout the State.

*District 8*

Lapse expenditures consisted of bulk fuel purchases, engine repairs on State vehicles, replenish rock salt, highway cable and guardrail repairs, traffic signal repairs, purchases of highway striping paint, and expenditures related to the replacement of the roof and siding at the salt dome in Troy, IL.

Public Transportation Fund (Fund 0627)

Lapse expenditures were consisted of grant payments related to the Regional Transit Authority service grants.

**FISCAL YEAR 2019**

General Fund (Fund 0001)

Lapse expenditures were due to the fund being used as a special appropriation to pay back pay to employees for fiscal year 2016 through fiscal year 2018 per Public Act 101-007.

Road Fund (Fund 0011)

*Information Processing*

Lapse expenditures consisted of \$8.25 million to the Technology Management Fund for communication charges, supplemental IT charges, and data center charges. Most of these charges are billed annually during lapse or are monthly or quarterly charges billed one month behind.

*Public and Intermodal Transportation*

Lapse expenditures consisted of \$1.399 million for paratransit services related to the Americans with Disabilities Act for the months of May and June 2019.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**AVERAGE NUMBER OF FULL TIME EMPLOYEES (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

	2020	2019	2018
State Funded Positions:			
Cycle Rider Safety	2	2	2
Secretary's Office	10	13	17
Communications	12	12	13
Internal Audit	15	18	14
Finance and Administration	269	241	223
Office of Business and Workforce Diversity	31	30	30
Legislative Affairs	4	3	5
Chief Counsel	23	26	27
Intermodal Project Implementation Executive Office	66	71	68
Program Development <sup>1</sup>	-	-	148
Office of Planning and Programming	106	101	93
Office of Highway Project Implementation	416	427	258
Local Roads and Streets	99	101	99
District 1	1,075	1,102	1,078
District 2	352	364	354
District 3	353	341	330
District 4	359	360	360
District 5	292	290	283
District 6	383	396	388
District 7	336	322	314
District 8	511	512	517
District 9	305	302	286
Subtotal, State Funded Positions	<u>5,019</u>	<u>5,034</u>	<u>4,907</u>
Federally Funded Positions:			
Highway Safety <sup>1</sup>	-	3	4
Motor Carrier Safety <sup>2</sup>	-	29	28
Fixing America's Surface Transportation (FAST) Act <sup>3</sup>	-	12	11
Subtotal, Federally Funded Positions	<u>-</u>	<u>44</u>	<u>43</u>
Grand Total	<u><u>5,019</u></u>	<u><u>5,078</u></u>	<u><u>4,950</u></u>

<sup>1</sup>As of fiscal year 2020, this area was combined into Office of Highway Implementation.

<sup>2</sup>As of fiscal year 2020, this area was combined into Finance & Administration.

<sup>3</sup>As of fiscal year 2020, this area was combined into Office of Planning & Programming.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**EMERGENCY PURCHASES (UNAUDITED)**  
For the Fiscal Year Ended June 30, 2020

Description	Amount
Procurement of a contract with Monroe Truck Equipment, Inc. for snowplow rep points. This was an emergency purchase to prevent or minimize a serious disruption in the ability of the Department of Transportation to properly maintain roads during winter weather conditions.	\$ 215,348
Procurement of a contract with Scotwood Industries, Inc. for liquid calcium chloride in bulk for deicing. This was an emergency purchase to prevent or minimize a serious disruption in the ability of the Department of Transportation to properly maintain roads during winter weather conditions.	27,178
Procurement of a contract with Gasaway Distributors, Inc. for liquid calcium chloride in bulk for deicing. This was an emergency purchase to prevent or minimize a serious disruption in the ability of the Department of Transportation to properly maintain roads during winter weather conditions.	110,342
Procurement of a contract with Sicalco, Ltd. for liquid calcium chloride in bulk for deicing. This was an emergency purchase to prevent or minimize a serious disruption in the ability of the Department of Transportation to properly maintain roads during winter weather conditions.	46,788
Procurement of a contract with Conserv, Inc. for emergency fuel for the Department. This was an emergency purchase to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues.	18,750
Procurement of a contract with Evergreen FS, Inc. for emergency fuel for the Department. This was an emergency purchase to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues.	26,250
Procurement of a contract with Heritage FS, Inc. for emergency fuel for the Department. This was an emergency purchase to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues.	25,125
Procurement of a contract with Piatt County Service Company for emergency fuel for the Department. This was an emergency purchase to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues.	23,250
Procurement of a contract with Illini FS, Inc. for emergency fuel for the Department. This was an emergency purchase to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues.	65,625
Procurement of a contract with Energy Absorption Systems for the installation of TMA systems for the Department. Emergency would only be until the CMS master can be put in place and that failure to have these systems installed would endanger Department personnel as well as the motoring public.	1,724,437
Procurement of a contract with Grunloh Construction Inc. for work is in process in a bare earth state and must be spread with aggregate, graded, compacted, paved and completely finished to allow employees to utilize the parking lot at the Champaign Sign Shop facility. Without immediate action, there will be disruption to access at the facility, including the employees that work at the facility and deliveries of mail and necessary material shipments. The sign shop will not be able to send out highway sign orders to locations within the district if trucks do not have access to the loading dock area. Highway signs are highly critical to highway construction worker and motorist safety.	156,260

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**EMERGENCY PURCHASES (UNAUDITED)**  
For the Fiscal Year Ended June 30, 2020

Description	Amount
<p>Procurement of a contract with Keeley and Sons, Inc. for emergency road repair for District 8. The recent flooding of the Illinois River and heavy rains caused a section of IL100 South of Michael in Calhoun County to fail. The road is currently closed. The contractor will perform testing and excavations to determine root cause of failure and the extent of the needed repair. The repair is anticipated to include removal and replacement of the pavement and subgrade and the fore slope. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.</p>	\$ 188,794
<p>Procurement of a contract with Civil Constructors for emergency road repair for District 2. Heavy rains have caused a 2 culvert system and a berm to wash out on IL172 approximately 0.5 miles south of Tampico in Whiteside County. As we continue to get more rounds of heavy rains, the erosion is getting worse and will soon undermine the roadway and now there is no longer a berm to hold back the drainageway water, contributing to more erosion. The contractor will replace the failed 2 culvert system with one 72" RCCP culvert, stabilize the slopes and regrade the ditches. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.</p>	145,293
<p>Procurement of a contract with Open Road Paving for emergency road repair for District 5. On August 1, 2019, there was an accident involving two semis on I-74 at MP 206. The accident resulted in a fire which severely burnt both westbound lanes and both shoulders. The repair will involve milling down to good pavement and then resurfacing. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.</p>	141,609
<p>Procurement of a contract with Greene County Highway Department for emergency road repair for District 8. During recent flood events along the Illinois River, the District was requested to construct a temporary road to access the Kampsville Ferry under Resource Requests 9160 and 9163, for Kampsville Ferry Option A, to be able to continue to provide life, health and safety services to the Villages of Hardin and Kampsville. This temporary road required local traffic to detour on Green County township roads 975 N, 200 E, and 100 E. An emergency contract is required to repair the roadway surfaces on these roadways as requested per Resource Request 9575. This work shall consist of placing an AC-3 oil and chip surface on 975 N, 200 E, and 100 E. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.</p>	79,267
<p>Procurement of a contract with Haier Plumbing and Heating, Inc. for emergency sewer repair for District 8. During recent flooding events along the Mississippi River in Alton, IL, flood water entered the Department's storm sewer system along IL 100/Broadway inundating it with mud and debris. This storm sewer needs to be cleaned to maintain efficiency and minimize any future flooding concerns due to impacted pipes. Due to the length and depth of the storm sewer and also the depths of several of the basins/Structures, the District is unable to perform this work with our forces and equipment. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.</p>	15,619
<p>Procurement of a contract with Loellke Plumbing, Inc. for emergency pipe repair for District 8. During recent flooding events along the Illinois River in Hardin, IL, flood water and debris damaged the heat trace insulation coverings and possibly the pipes for the water and sewer lines that service the control tower on the Joe Paige Bridge. Flood water was also found in the junction boxes for these two lines and full damage is yet to be determined until these lines are uncovered. Due to the unique position of the bridge and river, the location of other utilities and local requirements, the District is unable to perform this work with our forces and equipment.</p>	73,249

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**EMERGENCY PURCHASES (UNAUDITED)**  
For the Fiscal Year Ended June 30, 2020

Description	Amount
Procurement of a contract with Keeley and Sons, Inc. for emergency road repair for District 8. Heavy rains on August 12, 2019, resulted in a culvert failure on IL160 – 2.7 miles south of IL140 and the closure of IL160 from Pocahontas Rd to IL140 in Grantfork. The contractor will remove the pavement, make temporary subgrade repairs and backfill to re-establish operations. Once the needed final materials are obtained, the Contractor will replace the culvert, install rip rap on end sections for protection and patch the pavement.	\$ 233,533
Procurement of a contract with Sterling Fence Co. for emergency fence repair for District 2. A semi vs. tractor accident in front of the Amboy maintenance yard caused extensive damage to the security fence and gate at the yard. Contractor will replace fence posts with concrete foundations, supplying temporary panels to secure the facility, approximately 200' of new fencing and new gate. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	9,425
Procurement of a contract with Keeley and Sons, Inc. for emergency bridge repair for District 8. This work is anticipated to include repairs to the bridge deck and back parapet wall along with installing a new React attenuator that were damaged in an accident on October 21, 2019 under MCHD Claim #818118. The new attenuator is being provided by District 8 Operations. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	64,762
Procurement of a contract with Halverson Construction, Inc. for emergency bridge repair for District 7. Due to a semi accident on the north bound I-57 Bridge (025-0002) over I-70 in Effingham sustained major damage. The contractor will provide proper traffic control & protection and complete structure repairs to the damaged parapet, bridge deck and bridge joint. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	239,200
Procurement of a contract with Kinney Contractors for emergency road repair for District 5. Replacement of the pavement carrying I-57 under overhead structures at mile markers 245 and 247 in Champaign County. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	536,307
Procurement of a contract with D Construction Incorporated for emergency road repair for District 1. Removal & Replacement of the flood damaged pavement on IL53 between Patterson Rd and Doris Rd. This work will also include the traffic control needed to direct traffic appropriately. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	120,079
Total	<u>\$ 4,286,490</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**EMERGENCY PURCHASES (UNAUDITED)**  
For the Fiscal Year Ended June 30, 2019

Description	Amount
Procurement of a contract with Peter Baker & Son Co. Vendor is only certified Bureau of Materials within travel distance for Asphalt material. The Department is unable to use current contact vendors due to the 1.5 hour travel time to job sites. The construction crew had already finished milling work. Asphalt must be placed to prevent traffic safety issues.	\$ 294,477
Procurement of a contract with Yoder Oil, Inc. for bulk fuel. Emergency contract extension was to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues. CMS was unable to execute Master Contract timely.	160,000
Procurement of a contract with Grainco FS, Inc. for bulk fuel. Emergency contract extension was to prevent or minimize serious disruption in critical State services that affect health, safety, or collection of substantial State revenues. CMS was unable to execute Master Contract timely.	160,000
Procurement of a contract with Christ Bros. Products, LLC. EZ Street Emergency Conditions involving threat to public health or public safety. Vendor is the only vendor that could supply specialized cold mix asphalt used to repair potholes, utility cuts, overlays, and edge repairs in asphalt or concrete.	59,132
Procurement of a contract with Sertoma Center, Inc. for emergency main line rest area maintenance. The Department must have a vendor in place to provide maintenance services at the Main Line rest area. These services are critical and essential to the motorist's health and safety. If these services are not provided, the rest areas will need to be closed until sanitary facilities are available. Maintenance services to the rest area are necessary in order to keep the location open and functional, especially during peak travel dates.	89,727
Procurement of a contract with Civil Constructors for emergency road repair for District 2. A culvert failure was discovered that had caused extensive erosion and slope failure next to the roadway, requiring deep excavation and slope repair beyond the abilities of State work forces. The work consists of tree removal, earth excavation, slope stabilization, guardrail remove and re-erect, filling a 3'x3' box culvert and placing a 60' RCCP approx. 100' down the road. This project is located on IL 78 approximately 0.6 miles N of Argo Fay Rd in Carroll County. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	167,745
Procurement of a contract with Civil Constructors for emergency bridge repair for District 2. An undermined slope wall was discovered that had slid down and is exerting pressure on the bridge pier, causing a stability issue with the bridge. The existing piling had been driven to refusal, however they are not currently embedded far enough into the bedrock to withstand the stresses caused by this failure. The contractor will be required to remove the failed slope wall anchor into the existing bedrock, pour a concrete encasement around the anchors and existing pier slope wall. Access is an issue due to the deep and narrow terrain and dewatering is a concern. The work will be paid for as time and materials and the detour and traffic control will be provided by the Department. This project is located on US 20 over Rush Creek approximately 0.75 miles E of Logemann Rd in Jo Daviess County. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	190,375
Procurement of a contract with Foundation Supportworks by Woods for emergency road repair for District 8. The District had received a report on a "rough road" which prompted an inspection of the existing pavement on I-64. This inspection found the pavement slab to be sunken and "tilted" and will require emergency repairs to prevent potential harm to the motoring public, impacts to commerce, compromised emergency responses, and/or additional damage to State facilities.	7,223

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**EMERGENCY PURCHASES (UNAUDITED)**  
For the Fiscal Year Ended June 30, 2019

Description	Amount
Procurement of a contract with Laverdiere Construction, Inc. for emergency road repair for District 4. Due to heavy rains a slide has occurred on IL 94 north of IL 164 in Henderson County. The culvert under the roadway at this location has become detached at the edge of pavement and washed down the slope. The road is down to one lane with temporary signals to control traffic. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	\$ 236,262
Procurement of a contract with CAD Construction, Inc. for emergency construction work for District 6. The existing metal roof of one of our main buildings at the Taylorville Maintenance Yard was damaged by the recent tornado along with a few other minor items within the limits of the facility. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	104,395
Procurement of a contract with Kinney Contractors, Inc. for emergency road repair for District 6. Our district crews have made repairs to the pavement failure on I-55 Northbound just North of the Lake Springfield Bridge and the repair has failed to hold up to traffic. We need to have a contractor make a permanent repair. The work will include patching of interstate highway pavement and associated traffic control. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	42,793
Procurement of a contract with Samron Midwest Contracting, Inc. for emergency road repair for District 9. The contractor shall build a temporary runaround detour on IL127 near Alto Pass to bypass a slope failure. The runaround will be a single lane road using temporary traffic signals to control the traffic. The existing pavement in the failure area will be removed. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	415,127
Procurement of a contract with Advanced Asphalt Co. for emergency road repair for District 4. The contractor will repair the rapidly deteriorating section of I-74 in Peoria County, from MP 71 to MP 82. The longitudinal joints are rapidly deteriorating at the lane line and shoulder line due to the age of the pavement (oxidation, stripping, raveling) and historic joint construction compaction issues. The pavement condition and increasing concern/comment from the motoring public has redirected maintenance resources disproportionately to try to keep up with patching this section. The safety of vehicles changing lanes is compromised as motorist may not be able to see the transition from previous repairs to the current decayed sections. Night time driving is particularly hazardous (no roadway lighting in this section) due to the lack of good striping and the ability to distinguish the longitudinal trenches. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	1,664,288
Procurement of a contract with Civil Constructors, Inc. for emergency scale repair. Two scales one on I-74EB, and one on I-80WB were recently put out of service by Illinois Dept. of Agriculture due to the condition of the scale pits. Having two scales down in close proximity would result in no trucks being weighed in this area. Contractor will repair the scale pit at Scale 22 on I-74 EB near Moline. Immediate expenditure is necessary for repairs to State property to protect against further loss or damage.	39,950
Total	<u>\$ 3,631,494</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

<u>ILLINOIS DEPARTMENT OF TRANSPORTATION</u>	<u>2020</u>	<u>2019</u>	<u>2018</u>
<b>Secretary's Office</b>			
Overtime Hours Paid	402	648	719
Compensatory Hours Granted	592	472	565
Total	<u>994</u>	<u>1,120</u>	<u>1,284</u>
Value of Overtime Hours Paid	\$ 10,461	\$ 16,620	\$ 20,159
Value of Compensatory Hours Granted	28,290	17,956	20,878
Total	<u>\$ 38,751</u>	<u>\$ 34,576</u>	<u>\$ 41,037</u>
<b>Intermodal Project Implementation</b>			
Overtime Hours Paid	814	404	51
Compensatory Hours Granted	1,454	2,048	2,519
Total	<u>2,268</u>	<u>2,452</u>	<u>2,570</u>
Value of Overtime Hours Paid	\$ 33,390	\$ 16,893	\$ 2,136
Value of Compensatory Hours Granted	59,415	81,512	105,716
Total	<u>\$ 92,805</u>	<u>\$ 98,405</u>	<u>\$ 107,852</u>
<b>Finance &amp; Administration</b>			
Overtime Hours Paid	8,249	7,964	8,595
Compensatory Hours Granted	5,369	5,599	6,047
Total	<u>13,618</u>	<u>13,563</u>	<u>14,642</u>
Value of Overtime Hours Paid	\$ 293,078	\$ 284,874	\$ 305,626
Value of Compensatory Hours Granted	182,874	199,071	212,630
Total	<u>\$ 475,952</u>	<u>\$ 483,945</u>	<u>\$ 518,256</u>
<b>Chief Counsel</b>			
Overtime Hours Paid	302	300	537
Compensatory Hours Granted	1,103	1,252	1,296
Total	<u>1,405</u>	<u>1,552</u>	<u>1,833</u>
Value of Overtime Hours Paid	\$ 12,795	\$ 11,545	\$ 21,115
Value of Compensatory Hours Granted	42,993	47,003	48,212
Total	<u>\$ 55,788</u>	<u>\$ 58,548</u>	<u>\$ 69,327</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

	2020	2019	2018
<b>Planning &amp; Programming</b>			
Overtime Hours Paid	2,509	5,112	2,983
Compensatory Hours Granted	2,583	3,725	2,692
Total	<u>5,092</u>	<u>8,837</u>	<u>5,675</u>
Value of Overtime Hours Paid	\$ 96,889	\$ 188,723	\$ 108,206
Value of Compensatory Hours Granted	99,322	143,299	111,150
Total	<u>\$ 196,211</u>	<u>\$ 332,022</u>	<u>\$ 219,356</u>
<b>Legislative Affairs</b>			
Overtime Hours Paid	-	-	38
Compensatory Hours Granted	-	125	257
Total	<u>-</u>	<u>125</u>	<u>295</u>
Value of Overtime Hours Paid	\$ -	\$ -	\$ 934
Value of Compensatory Hours Granted	-	4,891	8,391
Total	<u>\$ -</u>	<u>\$ 4,891</u>	<u>\$ 9,325</u>
<b>Communications</b>			
Overtime Hours Paid	66	66	123
Compensatory Hours Granted	320	436	632
Total	<u>386</u>	<u>502</u>	<u>755</u>
Value of Overtime Hours Paid	\$ 1,996	\$ 2,155	\$ 4,274
Value of Compensatory Hours Granted	11,591	17,126	25,352
Total	<u>\$ 13,587</u>	<u>\$ 19,281</u>	<u>\$ 29,626</u>
<b>Internal Audit</b>			
Overtime Hours Paid	105	60	24
Compensatory Hours Granted	46	119	88
Total	<u>151</u>	<u>179</u>	<u>112</u>
Value of Overtime Hours Paid	\$ 6,032	\$ 2,943	\$ 1,118
Value of Compensatory Hours Granted	2,288	5,634	4,079
Total	<u>\$ 8,320</u>	<u>\$ 8,577</u>	<u>\$ 5,197</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

	2020	2019	2018
<b>Aeronautics</b>			
Overtime Hours Paid	930	689	286
Compensatory Hours Granted	908	826	758
Total	<u>1,838</u>	<u>1,515</u>	<u>1,044</u>
Value of Overtime Hours Paid	\$ 36,398	\$ 25,523	\$ 10,032
Value of Compensatory Hours Granted	36,258	32,173	28,369
Total	<u>\$ 72,656</u>	<u>\$ 57,696</u>	<u>\$ 38,401</u>
<b>Business &amp; Workforce Development</b>			
Overtime Hours Paid	1,849	2,818	3,627
Compensatory Hours Granted	1,445	1,829	2,535
Total	<u>3,294</u>	<u>4,647</u>	<u>6,162</u>
Value of Overtime Hours Paid	\$ 64,749	\$ 95,222	\$ 119,055
Value of Compensatory Hours Granted	52,551	66,903	89,085
Total	<u>\$ 117,300</u>	<u>\$ 162,125</u>	<u>\$ 208,140</u>
<b>Program Development</b>			
Overtime Hours Paid	-	-	9,167
Compensatory Hours Granted	-	-	2,777
Total	<u>-</u>	<u>-</u>	<u>11,944</u>
Value of Overtime Hours Paid	\$ -	\$ -	\$ 358,678
Value of Compensatory Hours Granted	-	-	106,301
Total	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 464,979</u>
<b>Highway Project Implementation</b>			
Overtime Hours Paid	22,312	24,952	19,984
Compensatory Hours Granted	4,632	5,313	3,392
Total	<u>26,944</u>	<u>30,265</u>	<u>23,376</u>
Value of Overtime Hours Paid	\$ 817,142	\$ 908,797	\$ 720,561
Value of Compensatory Hours Granted	171,813	191,933	126,303
Total	<u>\$ 988,955</u>	<u>\$ 1,100,730</u>	<u>\$ 846,864</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

	2020	2019	2018
<b>District 1</b>			
Overtime Hours Paid	400,190	524,906	498,597
Compensatory Hours Granted	21,906	24,224	22,869
Total	<u>422,096</u>	<u>549,130</u>	<u>521,466</u>
Value of Overtime Hours Paid	\$ 13,536,698	\$ 16,740,568	\$ 16,233,035
Value of Compensatory Hours Granted	755,933	800,841	782,393
Total	<u>\$ 14,292,631</u>	<u>\$ 17,541,409</u>	<u>\$ 17,015,428</u>
<b>District 2</b>			
Overtime Hours Paid	57,447	102,208	86,236
Compensatory Hours Granted	10,433	9,478	9,253
Total	<u>67,880</u>	<u>111,686</u>	<u>95,489</u>
Value of Overtime Hours Paid	\$ 1,925,142	\$ 3,154,805	\$ 2,735,304
Value of Compensatory Hours Granted	352,368	298,073	303,071
Total	<u>\$ 2,277,510</u>	<u>\$ 3,452,878</u>	<u>\$ 3,038,375</u>
<b>District 3</b>			
Overtime Hours Paid	84,818	122,103	112,412
Compensatory Hours Granted	11,759	9,515	8,179
Total	<u>96,577</u>	<u>131,618</u>	<u>120,591</u>
Value of Overtime Hours Paid	\$ 2,703,235	\$ 3,688,929	\$ 3,466,215
Value of Compensatory Hours Granted	383,055	286,002	258,098
Total	<u>\$ 3,086,290</u>	<u>\$ 3,974,931</u>	<u>\$ 3,724,313</u>
<b>District 4</b>			
Overtime Hours Paid	76,767	110,243	95,166
Compensatory Hours Granted	15,275	14,061	12,253
Total	<u>92,042</u>	<u>124,304</u>	<u>107,419</u>
Value of Overtime Hours Paid	\$ 2,563,168	\$ 3,456,262	\$ 3,053,294
Value of Compensatory Hours Granted	517,752	453,523	401,797
Total	<u>\$ 3,080,920</u>	<u>\$ 3,909,785</u>	<u>\$ 3,455,091</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

	2020	2019	2018
<b>District 5</b>			
Overtime Hours Paid	41,484	64,138	64,461
Compensatory Hours Granted	10,488	9,895	9,290
Total	<u>51,972</u>	<u>74,033</u>	<u>73,751</u>
Value of Overtime Hours Paid	\$ 1,364,103	\$ 1,960,671	\$ 2,008,782
Value of Compensatory Hours Granted	355,395	321,500	311,716
Total	<u>\$ 1,719,498</u>	<u>\$ 2,282,171</u>	<u>\$ 2,320,498</u>
<b>District 6</b>			
Overtime Hours Paid	70,988	91,208	83,453
Compensatory Hours Granted	11,511	10,677	9,849
Total	<u>82,499</u>	<u>101,885</u>	<u>93,302</u>
Value of Overtime Hours Paid	\$ 2,398,996	\$ 2,907,703	\$ 2,716,910
Value of Compensatory Hours Granted	386,325	336,581	307,629
Total	<u>\$ 2,785,321</u>	<u>\$ 3,244,284</u>	<u>\$ 3,024,539</u>
<b>District 7</b>			
Overtime Hours Paid	38,472	46,116	46,513
Compensatory Hours Granted	10,755	9,292	9,810
Total	<u>49,227</u>	<u>55,408</u>	<u>56,323</u>
Value of Overtime Hours Paid	\$ 1,216,658	\$ 1,379,014	\$ 1,435,075
Value of Compensatory Hours Granted	352,667	288,023	311,627
Total	<u>\$ 1,569,325</u>	<u>\$ 1,667,037</u>	<u>\$ 1,746,702</u>
<b>District 8</b>			
Overtime Hours Paid	53,151	70,196	46,223
Compensatory Hours Granted	10,830	10,179	9,348
Total	<u>63,981</u>	<u>80,375</u>	<u>55,571</u>
Value of Overtime Hours Paid	\$ 1,820,518	\$ 2,254,424	\$ 1,532,981
Value of Compensatory Hours Granted	365,843	325,953	304,110
Total	<u>\$ 2,186,361</u>	<u>\$ 2,580,377</u>	<u>\$ 1,837,091</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ANALYSIS OF OVERTIME AND COMPENSATORY TIME (UNAUDITED)**  
For the Fiscal Years Ended June 30, 2020, 2019, and 2018

	<u>2020</u>	<u>2019</u>	<u>2018</u>
<b>District 9</b>			
Overtime Hours Paid	20,187	42,393	32,624
Compensatory Hours Granted	5,862	6,238	4,917
Total	<u>26,049</u>	<u>48,631</u>	<u>37,541</u>
Value of Overtime Hours Paid	\$ 686,386	\$ 1,298,591	\$ 1,005,257
Value of Compensatory Hours Granted	186,375	195,383	158,055
Total	<u>\$ 872,761</u>	<u>\$ 1,493,974</u>	<u>\$ 1,163,312</u>
<b>GRAND TOTAL - IDOT</b>			
Overtime Hours Paid	881,042	1,216,524	1,111,819
Compensatory Hours Granted	127,271	125,303	119,326
Total	<u>1,008,313</u>	<u>1,341,827</u>	<u>1,231,145</u>
Value of Overtime Hours Paid	\$ 29,587,834	\$ 38,394,262	\$ 35,858,747
Value of Compensatory Hours Granted	4,343,108	4,113,380	4,024,962
Total	<u>\$ 33,930,942</u>	<u>\$ 42,507,642</u>	<u>\$ 39,883,709</u>

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**ASSAULTS ON STAFF (UNAUDITED)**  
For the Two Years Ended June 30, 2020

<u>OPERATIONAL UNIT</u>	<u>2020</u>	<u>2019</u>
Central Office	1	-
District 1	3	2
District 2	-	2
District 3	-	-
District 4	-	1
District 5	-	1
District 6	-	-
District 7	-	-
District 8	1	-
District 9	-	-
Total	<u>5</u>	<u>6</u>

Central Office is located in Springfield in Sangamon County

District 1: Cook, Lake, McHenry, Kane, DuPage, and Will counties

District 2: Jo Daviess, Stephenson, Winnebago, Boone, Carroll, Ogle, Whiteside, Lee, Henry, and Rock Island counties

District 3: DeKalb, Bureau, LaSalle, Kendall, Grundy, Livingston, Kankakee, Iroquois, and Ford counties

District 4: Mercer, Henderson, Warren, McDonough, Knox, Fulton, Stark, Peoria, Putnam, Marshall, Woodford, and Tazewell counties

District 5: McLean, Dewitt, Piatt, Champaign, Vermillion, Douglas, and Edgar counties

District 6: Hancock, Adams, Schuyler, Brown, Pike, Mason, Cass, Morgan, Scott, Logan, Menard, Sangamon, Macoupin, Christian, and Montgomery counties

District 7: Macon, Moultrie, Shelby, Fayette, Coles, Cumberland, Effingham, Clay, Wayne, Clark, Jasper, Crawford, Richland, Lawrence, Edwards, and Wabash counties

District 8: Calhoun, Greene, Jersey, Madison, Bond, Monroe, St. Clair, Clinton, Marion, Randolph, and Washington counties

District 9: Jefferson, Perry, Franklin, Hamilton, White, Jackson, Williamson, Saline, Gallatin, Union, Johnson, Pope, Hardin, Alexander, Pulaski, and Massac counties

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**DISCLOSURE OF EMERGENCY PURCHASES UNDER THE  
GUBERNATORIAL COVID-19 DISASTER PROCLAMATIONS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

The Governor, in response to the COVID-19 pandemic, issued sequential Gubernatorial Disaster Proclamations from March 12, 2020, through June 30, 2020. These proclamations allowed the Illinois Department of Transportation to waive the requirements of the Illinois Procurement Code to the extent the requirement (1) would have, in any way, prevented, hindered, or delayed necessary action to cope with the COVID-19 pandemic and (2) was not required by federal law. The following procurements were all processed under this waiver granted by the Governor.

**Fiscal Year 2020**

Coronavirus Mitigation Supplies

The Illinois Department of Transportation (IDOT) identified a need for purchasing supplies to mitigate the spread of the novel coronavirus at the following locations using the following vendors for the following amounts.

Supplies Purchased	Vendor	Amount
580 tubs (each 160 count) Disinfectant Wipes	Bienali Promotions, LLC	\$ 10,000
9,000 Face Masks	Stars & Stripes Silk Screening Inc	49,950
1,500 Face Masks	Synergetic Solutions, Inc	7,920
30 Face Shields	Victory Medical Equipment	130

Coronavirus Disinfecting Activities

The Illinois Department of Transportation (IDOT) identified a need for purchasing disinfecting and cleaning services to mitigate the spread of the novel coronavirus at the following locations using the following vendors for the following amounts.

Location	Vendor	Amount
IDOT District 1	Q's Cleaning Services Inc.	\$ 7,955
Rend Lake Rest Area	Jeremy's Blazing Cane Vending Inc.	87,000
Rend Lake Rest Area	Commercial Janitorial Services	3,250
Rend Lake Rest Area	Commercial Janitorial Services	1,800
Post Oak Rest Area	Jeremy's Blazing Cane Vending Inc.	87,000
IDOT District 6	Solid Ground	100,000
Trail of Tears Rest Area	Commercial Janitorial Services	3,800
Mainline Rest Area	Sertoma Centre, Inc.	3,500
Gateway Rest Area	Challenge Unlimited	1,250
Prairie View Rest Area	Sertoma Centre, Inc.	2,000
Homestead Rest Area	Challenge Unlimited	3,950
Cumberland Road Rest Area	Community Support Systems	750

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**DISCLOSURE OF EMERGENCY PURCHASES UNDER THE  
GUBERNATORIAL COVID-19 DISASTER PROCLAMATIONS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

Coronavirus Data Modeling

The Illinois Department of Transportation (IDOT) identified a need for data modeling services to assist in identification of transmission risks of the novel coronavirus Statewide using its vendor Replica for a total of \$550,000.

This service allowed the team responding to COVID-19 the ability to understand the movement of people based on a variety of factors, including:

- How many people are adhering to stay at home order;
- How are essential workers traveling;
- Where are they traveling;
- Demand to health care facilities;
- Affects if certain transportation systems are shut down;
- Type and number of trips that are occurring; and
- Data to help model what will happen as things are re-opened.

All of this was provided in a geospatial, user friendly format for easy interpretation by policy makers.

This data will be used by IDOT, IEMA, Governor's Office, Argonne National Lab, City of Chicago in order to model the anticipated effects of movement of people as certain aspects of the economy re-open. This will allow these groups to understand potential transmission of COVID-19, model different scenarios to find the best solution for a wide swath of jurisdictions.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

JANE BYRNE INTERCHANGE – CHICAGO, ILLINOIS

Progress continues on the \$796 million reconstruction of the Jane Byrne Interchange in the heart of downtown Chicago. Initially constructed in the 1950's and 1960's as a turbine interchange, it is often called "the Circle Interchange" due to the concentric rings formed by its many ramps. Today the interchange handles more than 400,000 vehicles a day, far more than the original design capacity. With tight curves and single-lane ramps contributing to congestion throughout the downtown area, the interchange – tucked into just four city blocks – has been declared one of the slowest and most congested interchanges in the nation. The project includes 10 reconstructed street overpasses; a new two-lane northbound-to-westbound flyover ramp; reconstructed ramps to and from Congress Parkway; reconstruction of the Congress Parkway bridge between the Jane Byrne Interchange and the Old Post Office four blocks to the east; and new collector/distributor lanes to help reduce weaving and improve safety on the Kennedy Expressway (I-90/94) between the interchange and Randolph Street. The last major construction contract was awarded in July 2020. IDOT continues to lead the reconstruction effort while minimizing impacts to traffic and the neighborhood through the project's expected completion in 2022.

INTERSTATE 74 MISSISSIPPI RIVER BRIDGE – MOLINE, ILLINOIS

The Interstate 74 (I-74) Mississippi River Bridge project is part of a regional strategy for improving access across the Mississippi River in the Quad Cities. It includes the replacement of the I-74 twin bridges over the Mississippi River, interchange ramp reconfigurations, and interstate and local roadway improvements. IDOT, the Iowa Department of Transportation, and the Federal Highway Administration (FHWA) continue work on the new bridges and adjacent corridor. The original I-74 crossing, officially named the Iowa – Illinois Memorial Bridge, crosses the river on two two-lane bridges; the westbound bridge, which opened in 1935, and the eastbound bridge, which opened in 1960. Traffic volumes throughout the corridor and adjacent urban areas exceed capacity of the existing facility, leading to frequent delays and bottlenecks. The narrow width of the structures contributes to traffic mobility issues, particularly since there are no shoulder areas for management of crash or disabled vehicle incidents. The pair of two-lane structures linking Moline, Illinois and Bettendorf, Iowa via I-74 have been carrying more than 75,000 vehicles per day, a figure that is expected to grow to 100,000 by the year 2035. The new twin bridges will be more than twice as wide as the existing structures, providing four lanes in each direction and full-width shoulders. A multiuse path on the eastbound bridge will provide a connection between existing paths in Bettendorf and Moline for cyclists and pedestrians. Construction of the corridor project, including the new bridges, began in 2017. In 2018, crews built additional piers and roads. Nearly 300 shafts were drilled in the river for support of the new structures. Steel was set across the piers in Bettendorf, Iowa, as the westbound roadway and exit ramp took shape. The most eye-catching feature of the new I-74 bridges (two 240-foot basket-handle arches) was lifted into place for the westbound structure in early 2019. The westbound lanes were opened to traffic in December 2020. Construction of the current bridge project is anticipated to be completed in 2022 with the opening of the Eastbound structure. This bridge work was awarded at approximately \$322 million. The total cost of the entire corridor project is estimated at \$1.2 billion.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

McCLUGAGE BRIDGE – PEORIA, ILLINOIS

The McClugage Bridge was originally designed in 1939 as a steel cantilever bridge to replace the Upper Free Bridge across a narrow stretch of Upper Peoria Lake. The two-lane bridge was completed in 1948 following World War II. It allowed traffic to travel east and west across the Illinois River. The McClugage Bridge has been repaired several times since 1964, with a major rehabilitation in 1999. In 1982, an additional three-lane bridge with a similar look and style to the original McClugage Bridge was added immediately north of the existing structure. This northern bridge currently carries westbound traffic, while the original southern structure now carries eastbound traffic. Although the eastbound US 150 bridge has been rehabilitated, the basic structure is more than seven decades old and is approaching the end of its serviceable life. It is not up to date with current design standards or safety criteria. Weather, vehicle use, age, and salt used in snow removal have also caused it to deteriorate. The average daily traffic use of nearly 20,000 eastbound vehicles means that the current two-lane bridge will be insufficient for accommodating future traffic needs. Furthermore, the needs of cyclists and pedestrians were considered since this bridge is a major crossing point over the Illinois River. The additional lane and accommodation considerations resulted in replacing the 30-foot-wide bridge with a 72-foot-wide bridge which will consist of three through lanes, two 10-foot shoulders and a 14-foot multi-use path. The project was awarded on 5/15/2019 at a cost of \$167 million. The existing eastbound bridge will remain in service until the new bridge is constructed just south of the existing. The project is expected to be complete in May of 2023.

INTERSTATE 270 MISSISSIPPI RIVER BRIDGE – Metro East

The existing Chain of Rocks Bridge was constructed in 1966. The structure is composed of 43 spans with a total length of over 5,400 feet. The structure carries four lanes of traffic, two in each direction. Over the life of the structure, numerous repairs have been made, from expansion joint replacements, pin and link replacements, repairs to the structural steel, and repairs to the substructure. In addition to repairs, this structure has seen a significant increase in traffic from a projected average daily traffic of 19,800 vehicles per day in 1975, to over 51,000 vehicles per day today, with approximately 17 percent of these vehicles being trucks. Because the structure is nearing the end of its design life, additional repairs have become necessary and roadway geometrics have become sub-standard. This has led to the determination by IDOT that this structure be replaced. IDOT has completed a Preliminary Engineering and Environmental Study, the first of three phases of the project, for the replacement of the bridge that carries I-270 over the Mississippi River connecting Madison County, Illinois and St. Louis, Missouri. This study identified a preferred alternative for the replacement of the existing bridge and identified a preferred modification of the interchange at I-270 and Riverview Drive in St. Louis, Missouri. Approval of the Federally Approved Categorical Exclusion supported by the Project Report was issued on July 11, 2018. This allowed IDOT to move on to the next phase of designing the bridge and purchasing the necessary right-of-way and/or easements for the project. Construction of this project is estimated to cost \$242 million with an anticipated completion date in late 2025. Illinois is the lead agency for this project with Missouri participating in the costs.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

Interstate 90 Kennedy Expressway: Cumberland Avenue and Harlem Avenue

The Interstate 90 (Kennedy Expressway) improvement was done to address existing traffic operational and safety deficiencies within the project area from Interstate 190 to Illinois 43 (Harlem Avenue) located in northwestern Cook County. There are two interchanges within this section of I-90, Illinois 171 (Cumberland Avenue) and Canfield Avenue, and two multi-modal transit hubs located at Cumberland Avenue and Harlem Avenue. This improvement also included auxiliary lanes on the outside of both existing travel lanes. These auxiliary lanes are intended to minimize conflict between traffic exiting and entering the expressway and through traffic. With these new auxiliary lanes, the conflicts caused by significant safety and operational issues and traffic delay experienced in this segment of the corridor have been eliminated. Construction of a new westbound Collector-Distributor (CD) roadway before Cumberland Avenue that provides access to and from Cumberland Avenue and access to westbound I-190. Ramp modifications at Cumberland Avenue, Canfield Avenue, and Harlem Avenue interchanges to tie into the widened mainline pavement. Construction of nine new retaining walls and the reconstruction of the existing retaining wall at the westbound Canfield Avenue exit ramp due to a realignment of the ramp. Repair to six other existing retaining walls to improve the condition of these walls. Construction of eight noise walls between Cumberland Avenue and Harlem Avenue on both sides of I-90. This project was divided into three contract packages that which include. Eastbound I-90 contract from just west of Illinois 171 (Cumberland Avenue) to the eastbound Harlem Avenue exit ramp. Westbound I-90 contract from I-190 to the westbound Harlem Avenue entrance ramp. Noise wall contract that includes construction of all ground and structure mounted noise walls. Two of the three contracts are funded through the federal Congestion Mitigation Air Quality (CMAQ) program. At the time the eastbound auxiliary lane contract project was approved for funding, the project was the highest ranked project in the region in terms of emission reduction per dollar amount spent. Based on the performance of the westbound auxiliary lane contract, it was also approved for CMAQ funding. In accordance with the National Environmental Policy Act (NEPA) of 1969, the provision of the auxiliary lanes necessitated the provision of noise abatement as part of the project. Funding for the noise walls was included in the Department's FY 2018-2023 Proposed Highway Improvement Program. This project is estimated to be completed in 2021. The estimated cost for this project is \$97,000,000.

159th Street Project- Cook and Will County Affecting Village of Homer Glen, Orland Park, City of Lockport and Homer and Orland Townships

The Illinois Department of Transportation (Department) let two projects to reconstruct US 6 / Illinois 7 (159th Street) from Interstate 355 to US 45 in Will and Cook Counties in January 2015. 159th Street needed to be updated to respond to the increased travel demands that development and growth have placed on this aged pavement. The project was located within the Villages of Homer Glen and Orland Park, Homer Township and Orland Township, and the City of Lockport in Cook and Will Counties. The project provided several improvements for the roadway users including an increase to roadway and intersection capacity, correct geometric deficiencies, replace deficient bridge structures and ultimately improve safety and mobility. The project was completed in 2019 at a cost of \$105,000,000.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

East River Road / Cumberland Flyover Project- City of Chicago and Cook County

The Illinois Department of Transportation and the Chicago Department of Transportation collaborated on a project to improve Interstate 190 (I-190) from O'Hare Airport to Cumberland Avenue. The overall improvement involved multiple contracts to be built over several years. The Cumberland Flyover was identified as one component of the I-190 improvements. A decision was made to split what was once identified as one construction contract into two separate contracts: East River Road and Cumberland Flyover. The work covered under these two contracts is in northwestern Cook County, Illinois, in the City of Chicago. The East River Road contract was let September 18, 2015 and was completed in 2016.

Interstate 190 currently provides the primary roadway access to and from O'Hare Airport, a significant travel demand generator. In addition to serving over 190,000 passengers per day, over 50,000 people are employed at O'Hare Airport. Numerous aviation facilities and other related industries are in the immediate vicinity of O'Hare Airport. I-190 also serves as a critical link for the regional transportation network through Interstate 90, Interstate 94, and Mannheim Road. I-190 provides key access to economic centers within Rosemont, Schiller Park, Des Plaines, and the northwest Chicago metropolitan area. It is estimated that O'Hare Airport generates in excess of 455,000 jobs to the Chicago region and 15-20% of the employment in the immediate surrounding area. In Rosemont, the River Road District (Convention Center, Theater, Outlet Mall and Hotels) and the Allstate Arena are significant generators of jobs and traffic during events. The project was completed in November 2018 at a cost of \$23,889,000.

US 20 (Rockford Bypass) Interchange Reconstruction at Illinois 2 South of Rockford

US 20 (Rockford Bypass) interchange reconstruction at Illinois 2 south of Rockford was awarded at a cost of \$24.2 million. This project included bridge replacement, reconstruction of 1.9 miles, traffic signal installation and lighting. The previous dual structures carrying the Bypass over Illinois 2 were removed and replaced. In addition, the cloverleaf interchange was restructured as a diamond interchange with new traffic signals installed. The project was completed in October 2020.

Illinois 78 Bridge over the Illinois River – Utica

The Illinois 78 new bridge over the Illinois River was a three-year project, awarded at \$25.6 million, that sits next to its predecessor, the 1962 steel-truss bridge, until the older bridge can be demolished. It improves local commerce, regional mobility and provides a new gateway to top tourism draws at Starved Rock and Matthiessen State Parks. The new bridge opened in October 2020. Construction started in 2017, replacing the older structure that lacked shoulders. In addition to a modern design that includes shoulders to accommodate vehicle breakdowns, emergency personnel and first responders, the new bridge features a path that allows pedestrians and bicyclists to safely travel between the state parks and historic downtown Utica.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

Interstate 74 Bridge over the Illinois River – Peoria/East Peoria

The Murray Baker Bridge rehabilitation project closed I-74 in Peoria from March 2020 until October 2020. The closure was necessary to complete a \$42.2 million rehabilitation of the bridge over seven months which was much quicker, safer, and cheaper versus completing the work in phases. The project was completed and opened to traffic October 31, 2020. The rehabilitation project removed and replaced the existing bridge deck, repaired structural steel, repainted lower portions of the bridge and installed new lighting, resulting in a smoother, safer ride for commuter and freight traffic. Energy-efficient decorative lighting was also added to enhance a community focal point, a joint effort with the City of Peoria. The Murray Baker Bridge was built in 1958 and carries nearly 68,000 vehicles per day. The most recent previous upgrade was in 2005 and the bridge deck was last replaced in 1984.

Interstate 57 & Interstate 74 Interchange Reconstruction- Champaign County

As a part of the historic and bipartisan Rebuild Illinois plan, the Illinois Department of Transportation is beginning the first step toward the reconstruction of the I-57/I-74 interchange just west of Champaign. Construction began in June of 2020 on the Mattis Avenue periphery structures (Mattis over I-74 and Mattis over I-57) and in July of 2020 on the US 150 structure over I-57. These structures will all be replaced and lengthened, allowing the bridges to accept future ramps needed for the I-57/I-74 interchange reconstruction. The cost of the two Mattis Structures is \$20.8 million, and the cost of the US 150 structure is \$8.4 million, which is an investment of over \$29 million in the Champaign area.

The I-57/I-74 interchange was built in 1965 and is experiencing operational issues due to deficient geometric features. Design considerations for the project include the improvement of the geometric design, capacity enhancements, safety improvements and better access, among others. The planned improvements will consist of 11 new bridge structures, including 2 flyover structures in the middle of the interchange. The total cost of the interchange project is estimated to be about \$212 million over two contracts. The first contract is currently anticipated to be let in June of 2021. The estimated completion date for the entire project is the end of 2023.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

The Chicago Region Environmental and Transportation Efficiency Program (CREATE) Projects-  
Chicago, Illinois

The Chicago Region Environmental and Transportation Efficiency Program (CREATE) is a first-of-its-kind partnership involving the U.S. Department of Transportation, the State of Illinois, Cook County, the city of Chicago, Metra commuter train service, Amtrak inter-city train service, and the nation's largest freight railroads. Critical transportation challenges face the greater Chicago region and impact both regional and national economic competitiveness. Congested roads are crisscrossed by train tracks, requiring motorists, trucks, and transit bus riders to wait at crossings while approximately 500 freight trains and 800 passenger trains pass through the region each day. The result is hundreds of thousands of hours of delays every year; increased air pollution; potential for train/vehicle collisions; and a range of other negative impacts felt by local communities.

Without any CREATE improvements, the Greater Chicago rail network would reach saturation in 2025. Although demand for goods would continue to increase, no additional freight trains could be added to the system and future freight would be forced to move via truck on already congested roadways. Insufficient capacity also would cause increased passenger and freight rail delays, with associated increases in fuel consumption and emissions. Motorists, trucks, and transit bus riders would see additional delays at grade crossings and due to highway congestion. Insufficient capacity also would cause increased passenger and freight rail delays, with associated increases in fuel consumption and emissions.

There are 70 CREATE projects that have been either planned or completed. One of the more recent projects was the Canadian Pacific Crossover Upgrades. This project was just completed in December 2020 for a total estimated project cost of \$19 Million. The project consisted of installing five crossovers and associated signaling on the Metra Milwaukee District line and the Canadian Pacific in Franklin Park, IL. It also included the installation of another crossover between Indiana Harbor Belt Railroad and the Canadian National Railway. A crossover is a pair of switches that connects two parallel rail trains allowing a train on one track to crossover to another track. With the improvements made by this project, 12 daily freight trains will bypass the Canadian Pacific Railroad Bensenville Yard on existing Metra tracks.

STATE OF ILLINOIS  
DEPARTMENT OF TRANSPORTATION  
**SUMMARY OF MAJOR PROJECTS (UNAUDITED)**  
For the Two Years Ended June 30, 2020

Chicago to St. Louis High Speed Rail Project- Statewide between Chicago and St. Louis Missouri

Through the Chicago to St. Louis High Speed Rail Project, the Illinois Department of Transportation (IDOT), along with its partners (Federal Railroad Administration, Union Pacific Railroad, Amtrak) is seeking to enhance the passenger transportation network within the Chicago to St. Louis corridor, resulting in a more balanced use of the modal components. The goals of the project are to reduce travel time by allowing passenger trains to operate at speeds up to 110 mph, increase service reliability and enhance safety.

Construction on the project began in 2010 and is substantially complete. Among the accomplishments of the project are the installation of new rail, concrete ties, and related components; upgrades made to bridges culverts, drainage and signaling systems; new sidings and sections of double track; major safety upgrades at crossings with four-quadrant gates and loop detectors; new stations open in Joliet, Dwight, Pontiac, Alton, and Carlinville and upgraded stations in Lincoln and Springfield; 33 Siemens Charger locomotives delivered and in use throughout the Midwest; and the delivery of the first Siemens Venture passenger railcars, also to be used throughout the Midwest.

Work that remains includes the installation of a second main track from Elwood to Braidwood; additional Positive Train Control (PTC) work to support speed increases; and the delivery, testing and introduction into revenue service of the remainder of 88 coach, café, and business class railcars.

IDOT is actively working with its partners to resolve the remaining environmental issues for the installation of a second main track from Elwood to Braidwood. Once those issues have been resolved we will move on to final design and construction of the second main, which will allow for better flow of passenger and freight trains in the area where meets frequently occur.

IDOT is working with Union Pacific Railroad and Amtrak as they install and test Positive Train Control (PTC) and enhanced grade crossing warning system along the corridor. PTC is a safety system that communicates conditions at the crossings to the approaching trains, which could allow the train engineer to react and reduce speeds in the event a warning system has malfunctioned or if a vehicle is detected on the tracks. Before trains can operate at speeds greater than 79 miles per hour (mph), the PTC system at grade crossing locations and within the train must be tested for efficiency and compliance with Federal regulations. Once PTC testing is complete and approved, trains will begin operating at speeds of up to 90 mph. This initial increase in speeds is anticipated to begin in the first half of 2021. The overall Project encompasses improvements designed to accommodate the operation of higher speed passenger trains, up to 110 mph.

Delivery of the first of the 88 railcars began in 2020 and is expected to be completed in 2023. The cars are currently in testing and will be introduced into revenue service in Spring 2021 on the Chicago to St. Louis corridor. After initial runs on this corridor, they will be introduced into revenue service on other rail corridors in Illinois and throughout the Midwest.

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