

**STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH**

**COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013**

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

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

TABLE OF CONTENTS

	<u>Schedule</u>	<u>Page</u>
Agency Officials .....		1
Management Assertion Letter .....		4
Compliance Report		
Summary .....		6
Independent Accountants' Report on State Compliance, on Internal Control Over Compliance, and on Supplementary Information for State Compliance Purposes .....		9
Schedule of Findings		
Current Findings – State Compliance .....		12
Prior Findings Not Repeated .....		52
Current Status of Performance Audit Recommendation .....		54
Supplementary Information for State Compliance Purposes		
Summary .....		55
Fiscal Schedules and Analysis		
Schedule of Appropriations, Expenditures and Lapsed Balances		
Fiscal Year 2013 .....	1	56
Fiscal Year 2012 .....	2	58
Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances .....	3	60
Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances - By Fund .....	4	70
Comparative Schedule of Receipts, Disbursements and Fund Balance (Cash Basis) Locally Held Fund .....	5	72
Schedule of Changes in State Property .....	6	73
Comparative Schedule of Cash Receipts .....	7	74
Reconciliation Schedule of Cash Receipts to Deposits Remitted to the State Comptroller .....	8	87
Analysis of Significant Variations in Expenditures .....	9	91
Analysis of Significant Variations in Receipts .....	10	96
Analysis of Significant Lapse Period Spending .....	11	99
Analysis of Accounts Receivable .....	12	103

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

TABLE OF CONTENTS – Continued

	<u>Page</u>
Analysis of Operations (Not Examined)	
Agency Functions and Planning Program (Not Examined) .....	104
Average Number of Employees (Not Examined) .....	108
Emergency Purchases (Not Examined).....	109
Illinois First Projects (Not Examined).....	110
Memorandums of Understanding (Not Examined) .....	113
Service Efforts and Accomplishments (Not Examined) .....	114
Schedule of Indirect Cost Reimbursements (Not Examined) .....	122

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

AGENCY OFFICIALS

Director	LaMar Hasbrouck, M.D., M.P.H. (4/23/12 through present) Arthur F. Kohrman, M.D., M.P.H. – acting (1/29/12 through 4/22/12) Kenneth Soyemi, M.D., M.P.H. – acting (11/30/11 through 1/28/12) Craig Conover, M.D., M.P.H. – acting (10/01/11 through 11/29/11) Damon T. Arnold, M.D., M.P.H. (10/01/07 through 9/30/11)
Assistant Director	David Gill, M.D. (5/06/13 through 2/28/14) Vacant (9/01/12 through 5/05/13) Teresa Garate, Ph.D. (12/01/09 through 8/31/12)
Chief of Staff	Stephen J. Konya, III (9/07/11 through present) Teresa Garate, Ph.D. – acting (01/01/10 through 9/06/11)
Chief Internal Auditor	Marc Gibbs (4/01/11 through 8/15/13)
Legal Counsel	Bob Morgan (10/7/13 through present) Jason Boltz (7/13/09 through 9/30/13)
Office of Men's Health	Ivonne Sambolin (10/01/13 through present)
Office of Performance Management	Nicole Griffin (4/16/14 through present) Estrelitta Harmon – acting (9/14/13 through 4/15/14) Jerome Richardson (7/01/11 through 9/13/13)
Deputy Directors:	
Office of Policy, Planning and Statistics	David Carvalho
Office of Finance and Administration & Fiscal Officer	Gary T. Robinson
Office of Health Care Regulation	Toinette Colon
Office of Women's Health	Brenda Jones (10/01/12 through present) Jean Becker – acting (7/01/12 through 9/30/12) Shannon Lightner-Gometz (9/05/07 through 6/30/12)
Office of Human Resources	Siobhan Johnson
Office of Preparedness and Response	Winfred Rawls
Office of Health Promotion	Tom Schafer

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

AGENCY OFFICIALS - Continued

Office of Health Protection

David Culp, Ph.D.

Office of Information Technology

John Sudduth (1/24/13 through present)  
Brenda Richards – acting (6/18/12 through 10/15/12  
and 11/16/12 through 1/23/13)  
Vacant (10/15/12 through 11/15/12)  
Dorian Jones (4/20/10 through 6/15/12)

Department offices are currently located at:

**Headquarters**

525-535 W. Jefferson St.  
Springfield, IL 62761

122 S. Michigan Ave.  
Chicago, IL 60603

**Vital Records**

925 E. Ridgely Ave.  
Springfield, IL 62702

501 S. Second St.  
Springfield, IL 62756

**Stores and Shipping**

2946 Old Rochester Road  
Springfield, IL 62703

**Immunization Warehouse**

2840 Via Verde St.  
Springfield, IL 62703

**Bioterrorism & Information  
Technology**

Bell Building  
422 S. Fifth St.  
Springfield, IL 62701

**Health Alert Network**

Illinois Department of Natural Resources  
One Natural Resources Way  
Springfield, IL 62702

**Regional Offices**

*Bellwood*  
4212 W. St. Charles Rd.  
Bellwood, IL 60104

*Champaign*  
2125 S. First St.  
Champaign, IL 61820

*Edwardsville*  
22 Kettle River Dr.  
Glen Carbon, IL 62034

*Marion*  
2309 W. Main St.  
Marion, IL 62959

*Peoria*  
5415 N. University St.  
Peoria, IL 61614

*Rockford*  
4302 N. Main St.  
Rockford, IL 61103

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

AGENCY OFFICIALS - Continued

**Regional Offices - continued**

*West Chicago*  
245 W. Roosevelt Rd.  
Building 5  
West Chicago, IL 60185

**Laboratories**

*Carbondale*  
1155 S. Oakland St.  
P.O. Box 2797  
Carbondale, IL 62901

*Chicago*  
2121 W. Taylor St.  
Chicago, IL 60612

*Springfield*  
825 N. Rutledge St.  
Springfield, IL 62794



STATE COMPLIANCE EXAMINATION

MANAGEMENT ASSERTION LETTER

Crowe Horwath LLP  
3201 W. White Oaks Dr., Suite 202  
Springfield, IL 62704

May 9, 2014

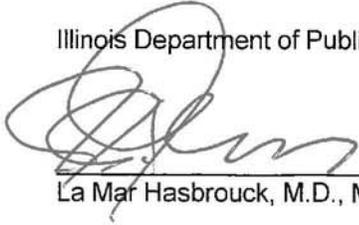
Ladies and Gentlemen:

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, Department of Public Health (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 assertions during the two-year period ended June 30, 2013. Based on this evaluation, we assert that during the years ended June 30, 2012 and June 30, 2013, the Department has materially complied with the assertions below, except as identified in the schedule of findings.

- 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.

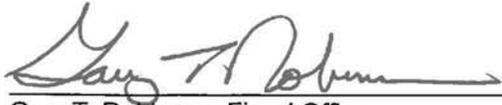
Yours truly,

Illinois Department of Public Health



---

La Mar Hasbrouck, M.D., M.P.H., Director



---

Gary T. Robinson, Fiscal Officer



---

Bob Morgan, Legal Counsel

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

**COMPLIANCE REPORT**

**SUMMARY**

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

**ACCOUNTANTS' REPORT**

The Independent Accountants' Report on State Compliance, on Internal Control Over Compliance, and on Supplementary Information for State Compliance Purposes does not contain scope limitations or disclaimers, but does contain a qualified opinion on compliance and material weaknesses over internal control.

**SUMMARY OF FINDINGS**

<u>Number of</u>	<u>Current Report</u>	<u>Prior Report</u>
Findings	19	17
Repeated findings	11	11
Prior recommendations implemented or not repeated	6	11

**SCHEDULE OF FINDINGS**

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)			
2013-001	12	Inadequate administration and monitoring awards and grants programs	Material Noncompliance and Material Weakness
2013-002	16	GAAP reporting	Material Noncompliance and Material Weakness
2013-003	19	Weaknesses in controls over year-end inventory balances	Material Noncompliance and Material Weakness
2013-004	21	Lack of controls over monthly reconciliations	Noncompliance and Significant Deficiency
2013-005	23	Inadequate controls over computer inventory	Noncompliance and Significant Deficiency

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE) - Continued			
2013-006	25	Lack of controls over contracts	Noncompliance and Significant Deficiency
2013-007	27	Inaccurate property and fixed asset record keeping	Noncompliance and Significant Deficiency
2013-008	30	Failure to comply with the Fiscal Control and Internal Auditing Act	Noncompliance and Significant Deficiency
2013-009	32	Lack of prior approval and documentation of employee overtime	Noncompliance and Significant Deficiency
2013-010	34	Failure to employ an adequate number of surveyors	Noncompliance and Significant Deficiency
2013-011	36	Center for Comprehensive Health Planning not established	Noncompliance and Significant Deficiency
2013-012	37	Streamlined Auditing and Accreditation System	Noncompliance and Significant Deficiency
2013-013	39	Employee performance evaluations not performed timely	Noncompliance and Significant Deficiency
2013-014	41	Failure to file timely and accurate TA-2 reports	Noncompliance and Significant Deficiency
2013-015	43	Failure to obtain certifications of license and automobile liability coverage	Noncompliance and Significant Deficiency
2013-016	45	Field sanitation fines not being assessed	Noncompliance and Significant Deficiency
2013-017	46	Failure to maintain documentation to support compliance with the provisions of the Lawn Care Products Application and Notice Act	Noncompliance and Significant Deficiency
2013-018	48	Statutory committee and board requirements	Noncompliance and Significant Deficiency

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE) - Continued			
2013-019	50	Reporting requirements	Noncompliance and Significant Deficiency
PRIOR FINDINGS NOT REPEATED			
A	52	Lack of documentation for interagency agreements	
B	52	Inaccurate capital asset reporting	
C	52	Weaknesses in controls over refunds	
D	52	Weaknesses in controls over receipts	
E	53	Lack of Adequate Disaster Recovery Planning or Testing to Ensure Recovery of Applications and Data	
F	53	Discrepancies noted in employee timekeeping	

#### **EXIT CONFERENCE**

The findings and recommendations appearing in this report were discussed with Department personnel at an exit conference on April 30, 2014. Attending were:

Illinois Department of Public Health  
La Mar Hasbrouck, Director  
Stephen Konya, Chief of Staff  
Gary T. Robinson, Chief Fiscal Officer  
Justina Scott, Internal Auditor

Office of the Auditor General  
Lisa Warden, Audit Manager

Crowe Horwath LLP  
Chris Mower, Partner  
Lisa Stinson, Senior Manager  
Brandon Reed, Manager

Responses to the recommendations were provided by Gary T. Robinson, Chief Fiscal Officer, in correspondence dated May 7, 2014 and May 8, 2014.

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

Honorable William G. Holland  
Auditor General  
State of Illinois

**Compliance**

As Special Assistant Auditors for the Auditor General, we have examined the State of Illinois, Department of Public Health's (Department) compliance with the requirements listed below, as more fully described in the Audit Guide for Financial Audits and Compliance Attestation Engagements of Illinois State Agencies (Audit Guide) as adopted by the Auditor General, during the two years ended June 30, 2013. The management of the Department is responsible for compliance with these requirements. Our responsibility is to express an opinion on the Department's compliance based on our examination.

- 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.

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 as adopted by the Auditor General pursuant to the Act; and, accordingly, included examining, on a test basis, evidence about the Department's compliance with those requirements listed in the first paragraph of this report and performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion. Our examination does not provide a legal determination on the Department's compliance with specified requirements.

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 as adopted by the Auditor General pursuant to the Act; and, accordingly, included examining, on a test basis, evidence about the Department's compliance with those requirements listed in the first paragraph of this report and performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion. Our examination does not provide a legal determination on the Department's compliance with specified requirements.

As described in findings 2013-001 through 2013-003 in the accompanying schedule of findings, the Department did not comply with requirements regarding assertion C. Compliance with such requirements is necessary, in our opinion, for the Department to comply with the requirements listed in the first paragraph of this report.

In our opinion, except for the noncompliance described in the preceding paragraph, the Department complied, in all material respects, with the compliance requirements listed in the first paragraph of this report during the two years ended June 30, 2013. However, the results of our procedures disclosed other instances of noncompliance with those requirements, which are required to be reported in accordance with criteria established by the Audit Guide, issued by the Illinois Office of the Auditor General and which are described in the accompanying schedule of findings as items 2013-004 through 2013-019.

### **Internal Control**

Management of the Department is responsible for establishing and maintaining effective internal control over compliance with the requirements listed in the first paragraph of this report. In planning and performing our examination, we considered the Department's internal control over compliance with the requirements listed in the first paragraph of this report to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with the Audit Guide issued by the Illinois Office of the Auditor General, but not for the purpose of expressing an opinion on the effectiveness of the Department's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Department's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

*A deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with the requirements listed in the first paragraph of this report on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that a material noncompliance with a requirement listed in the first paragraph of this report will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies in internal control over compliance as described in the accompanying schedule of findings as items 2013-001 through 2013-003 to be material weaknesses.

*A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings as items 2013-004 through 2013-019 to be significant deficiencies.

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

### **Supplementary Information for State Compliance Purposes**

Our examination was conducted for the purpose of forming an opinion on compliance with the requirements listed in the first paragraph of this report. The accompanying supplementary information for the years ended June 30, 2013 and June 30, 2012 in Schedules 1 through 14 and the Analysis of Operations Section is presented for purposes of additional analysis. We have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General to the June 30, 2013 and June 30, 2012 accompanying supplementary information in Schedules 1 through 14. However, we do not express an opinion on the accompanying supplementary information.

We have not applied procedures to the June 30, 2011 accompanying supplementary information in Schedules 3 through 5, 7, and 10 through 12 and in the Analysis of Operations Section, and accordingly, we do not express an opinion or provide any assurance on them.

This report is intended solely for the information and use of the Auditor General, the General Assembly, the Legislative Audit Commission, the Governor, and Department management and is not intended to be and should not be used by anyone other than these specified parties.

A handwritten signature in black ink that reads "Crowe Horwath LLP". The signature is written in a cursive, stylized font.

Crowe Horwath LLP

Springfield, Illinois  
May 9, 2014

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-001**      **FINDING:**      (Inadequate administration and monitoring of awards and grants programs)

The Department of Public Health (Department) did not adequately administer and monitor its awards and grants programs.

During fiscal years 2012 and 2013, the Department expended over \$443 million, or 58%, of its approximately \$770 million total expenditures for awards and grants. We sampled seventeen grant programs from the Department's grant making offices, including: the Office of Policy, Planning and Statistics; the Office of Health Promotion; the Office of Health Protection; the Office of Preparedness and Response; and the Office of Women's Health. For the seventeen grant programs selected for testing, we examined 60 grant agreements totaling \$127,951,129 and noted the following weaknesses:

- The Department did not have written procedures established to guide its administration of the awards and grants programs we tested. During the examination period the Department developed a Grants Procedural Manual, but as of the date of testing, the manual was still in draft form. In addition, Offices were not required to follow the draft manual.
- The Department had not established administrative rules for grants with the Joint Committee on Administrative Rules.
- The Department had not developed a standardized methodology for monitoring grantees. In addition, the grant agreements utilized by Department programs did not outline the parameters by which grantees would be monitored and, therefore, there were no formal criteria against which to measure the Department's monitoring activities during testing. We noted the Department relied heavily on desk reviews of programmatic and financial reports for its monitoring efforts as opposed to site visits. None of the grant agreements tested in our sample required a site visit. The Department performed a site visit on 4 of 60 (7%) grants for the fiscal year tested. In addition, the desk reviews performed by the Department were not as thorough as necessary to be considered sufficient monitoring. Each program area performed desk reviews in a different manner. Some programs only looked at budget to actual expenditures, while other programs conducted a more thorough review, including examining monthly expenditure reports, and reviewing budget to actual information as well as quarterly reporting.
- The Department did not sufficiently document its review of 68% of tested quarterly and/or monthly reports submitted for grants totaling \$40,441,409. For 76 of 170 (45%) quarterly/monthly reports tested, there was no evidence of review. Another 8 of 170 (5%) quarterly reports had a review documented, but no signature and date noted; therefore, it could not be determined if the review was performed timely and by the appropriate individual. In addition, 30 of 170 (18%) quarterly reports included a signature of review but did not include a review date; therefore, it could not be determined if the review was performed timely.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-001**      **FINDING:**      (Inadequate administration of awards and grants programs) - Continued

- Twenty of 60 (33%) grant desk reviews we tested totaling \$17,688,280 were incomplete or lacked complete review documentation. Desk review documentation for 7 of 60 (12%) grants tested was not initialed and dated; therefore, it could not be determined if the desk review was performed timely and by the appropriate individual. For another 12 of 60 (20%) grants, the program area performed a desk review by only reviewing the expenditures compared to budget information on the grantee's quarterly reports. There was no checklist or other monitoring system in place for staff to check compliance with the other terms of the agreement, to ensure the grantee was in compliance. Expenditure report reviews are not considered a sufficient desk review to ensure overall compliance with the grant agreement. In addition, no desk review was performed for 1 of 60 (2%) grants tested. The grant was under the Office of Health Protection.
- For 53% of grants tested, required reports were not obtained or maintained. The Department required grantees to submit certain documentation according to the guidelines of the grant agreements. We examined 62 grants as part of our awards and grants and grants over \$3 million testing. We noted 33 of 62 (53%) grants tested, totaling \$52,109,416, were missing documentation from the grant file that was required according to the grant agreements. The missing documentation included 15 of 185 (8%) quarterly reports that were required by the grant agreement. In addition, grantees were required by the grant agreement to submit any audits performed under the terms of the grant to the Department or send a letter to the Department stating that they did not receive an audit. No documentation of the audit or letter was included in the grant file for 26 of 62 (42%) grants and the Department could not provide documentation that follow-up was performed to obtain the letter or the audit.
- For 12 of 60 (20%) grants totaling \$2,944,337, we noted 28 instances where the Department did not sufficiently enforce or document timeliness of reports. We noted 13 instances where documentation maintained by the Department did not include any information to indicate the date submitted by the grantee or received by the Department, so it was not possible to determine if the grantee submitted the information by the required due date. In addition, we noted 15 instances where the Department did not perform timely follow-up with the grantee for reports not submitted within 30 days of quarter/month end.
- For 29% of grants tested totaling \$9,099,854, the Department did not enforce financial reporting requirements. For 15 of 60 (25%) grants which required the grantees' submission of four quarterly reports and a Final Financial Status Report, the Department accepted the non-cumulative fourth quarter report as a substitute for the cumulative basis Final Financial Status Report. In addition, for 1 of 60 (2%) grants the report received did not include financial status information. For 1 of 60 (2%) grants, the Department permitted the grantee to submit only a final report with information presented by quarter, rather than the quarterly reports required per the grant agreement.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-001**      **FINDING:**      (Inadequate administration of awards and grants programs) - Continued

Many of the Department's awards and grants are funded by the federal government. Office of Management and Budget (OMB) Circular A-133, "*Audits of States, Local Governments, and Non-Profit Organizations*", Section 400 (d) states, "A pass-through entity shall monitor the activities of subrecipients as necessary to ensure that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of contracts or grant agreements and that performance goals are achieved." Good business practice would require the Department to administer the grants funded with State funds in a comparable manner. Additionally, SAMS Procedure 02.50.20, page 9, requires grantees to "... maintain sound organizational budgetary and accounting systems that are periodically reviewed and evaluated." The Department is responsible for monitoring its grantees to ensure these systems exist. The State Records Act requires agencies to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency to furnish information to protect the legal and financial rights of the State and of persons directly affected by the agency's activities (5 ILCS 160/8). Finally, 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.

Department management stated grant administration and monitoring weaknesses were due to individual grant program complexities, turnover in agency leadership and vital staff responsible for overseeing grants management, delays in the procurement process for the new grant management system, and limited resources.

Without formal grant administration procedures, the Department lacks a consistent methodology for the review of grantee performance and grant expenditures. In addition, personnel responsible for these programs are not held to specific criteria for performing and documenting these reviews. Administrative rules over grants formally establish expectations for interactions with grantees and protect the legal and financial rights for both grantees and the Department. Failure to properly administer and monitor awards and grants decreases the Department's accountability over funds granted and increases the risk of noncompliance with the provisions of the grant agreement. As a result, funds could remain unspent, untimely recovered or be utilized for activities other than the intended purpose without detection by the Department. (Finding Code No. 2013-001, 11-1, 09-1, 07-1)

**RECOMMENDATION:**

We recommend the Department develop a comprehensive grant administration program that includes the development and implementation of administrative rules for grants and written procedures over the awarding and monitoring of all of the Department's grant awards. The written procedures should be a priority of the Department and should be finalized and enforced by the Department. The comprehensive grant administration program should also include reviewing the programmatic and financial reports of grant recipients; developing a checklist or other method to sufficiently document the monitoring of grantees through quarterly reporting, desk reviews, site reviews and audit report reviews; scheduling, conducting, and documenting grantee site visits; and collecting refunds of unspent grant funds due to the Department in a timely manner, if necessary. The Department should also consider implementing a risk-based methodology to determine the level of monitoring that should be performed on each grantee, including on-site reviews of higher risk grantees.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-001**      **FINDING:**      (Inadequate administration of awards and grants programs) - Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. Prior to, during, and since the audit compliance period, the Department has been working to address these areas of concern. Prior to the Audit period, the Department successfully standardized its grant request for applications forms (RFAs) and corresponding agreements across all agency programs into a more streamlined format. Additionally, the Department established a centralized Grants Review Committee (GRC), and implemented a GRC Grant Program Review Form to catalog and evaluate how the process by which grant programs were administered, i.e. competitive vs. non-competitive, fee for service, directed appropriation, etc. Finally, the Department began the process of drafting both an Agency wide Grants Review Manual and Grant Administration Rules during the compliance period, but was unable to finalize/implement either of those guidance documents.

During the Audit compliance review period, the Department was able to procure and begin implementing an agency wide electronic Grants Administration and Management System (eGrAMS), to manage, monitor, and evaluate the entire life cycle of the grants administration process. To support the implementation and ongoing management of this system across all agency grant programs (approx 100 grant programs), the Department was also able to establish a centralized Grants Management Unit (GMU), within the Office of Performance Management (OPM). This Unit is currently comprised of a Division Chief for Grants Management, 4 grants administrators, and 3 grant monitors that are all independent of any Office's program staff/reporting structure. The grant administrators provide technical assistance and guidance to program staff for the publishing of any agency grant RFAs, and the grant monitors provide an extra layer of oversight into any potential areas of concern related to grant program funds throughout the agency. Although the Department only had 1 grant program go live through eGrAMS by the time of the auditor's assessment, the Grants Management Unit has since successfully published 38 grant RFAs through the new system.

Due to turnover of key implementation staff, several of the above efforts have been delayed. Specifically, the Grants Review Manual and corresponding Grants Administration Rules have undergone numerous revisions and iterations by staff who were hired and subsequently left the agency during the compliance period. Additionally, the recent procurement and implementation of eGrAMS has necessitated the need to revise these documents to accommodate for both its reference, as well as the improved business processes that have been made possible by utilizing such technology. These two documents are currently being updated but have not been finalized and disseminated to all grant program staff. Lastly, with the rapid movement of HB 3820 through the legislative process (Grants Accountability and Transparency Act) it will also be necessary to sync our grants review process and procedures with any new requirements mandated by this statewide effort through the Governor's Office of Management and Budget.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-002**      **FINDING:**      (GAAP reporting)

The Department of Public Health (Department) did not correctly report financial information for federal grants in the year-end Generally Accepted Accounting Principles (GAAP) Reporting Packages to the Illinois Office of the Comptroller.

The Department reported federal activity in five funds during fiscal year 2012 and 2013. During our testing, we noted the Department inaccurately reported financial information on forms SCO-563, SCO-567, and SCO-568 as follows:

- The Department improperly reported the following subrecipient expenditures on forms SCO-563 and SCO-563C:
  - Individuals were improperly included as subrecipients. Amounts reported as subrecipient expenditures for payments to individuals totaled \$30.124 million in three federal programs.
  - State of Illinois primary government agencies were improperly included as subrecipients. Amounts reported as subrecipient expenditures to State of Illinois primary government agencies totaled \$792 thousand in two federal programs.
  - Subrecipient expenditures excluded June 2013 activity in 23 federal programs, resulting in a total understatement of \$1.115 million.
- The Department improperly reported contractual payments on form SCO-568 as third-party reimbursements instead of service type transactions. Twenty-one programs were incorrectly reported with amounts totaling \$2.381 million.
- Subrecipient expenditures on form SCO-567 were not properly included in the Schedule of Expenditures of Federal Awards (SEFA) as subrecipient amounts. Form SCO-567 amounts improperly excluded from the SEFA totaled \$1.150 million, affecting two federal programs.
- The Department improperly reported expenditures on form SCO-563 as follows:
  - Expenditures were overstated by \$79 thousand for one grant, as the Department did not include an adjustment for prior-year refunds.
  - Base payroll expenditures used to calculate indirect costs excluded certain payroll items. In addition, prior-year adjustments recorded in the current year were applied to the current year indirect cost rates. These errors resulted in an overstatement of \$19 thousand and affected nine federal programs.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-002**      **FINDING:**      (GAAP reporting) - Continued

- An incorrect Catalog of Federal Domestic Assistance (CFDA) number was reported for one grant program. CFDA #93.283 (Centers for Disease Control and Prevention, Investigations and Technical Assistance) was reported on form SCO-563, but should have been reported as CFDA #93.520 (Centers for Disease Control and Prevention, Affordable Care Act (ACA), Communities Putting Prevention to Work).

Management has ultimate responsibility for the Department's internal control over financial reporting. This responsibility should include an adequate system of review of the completeness and accuracy of the Department's financial reporting. Statewide Accounting Management Systems (SAMS) Procedures Manual Procedure 27.10.10 requires Department management to submit a letter representing that, to the best of their knowledge and belief, the GAAP financial reporting information is complete and accurate. This representation includes CFDA numbers, prior year adjustments, expenditures and amounts paid to subrecipients. In addition, 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 that the accounting and recording of financial data permits for the preparation of reliable financial reports.

SAMS Procedure 27.20.63 states that all agencies are required to accurately report payments to subrecipients. SAMS Procedure 27.20.63 also states "OMB Circular A-133 defines subrecipient as a nonfederal entity that expends federal awards received from a pass-through entity to carry out Federal programs. A subrecipient does not include an individual that is a beneficiary of such a program. For State of Illinois purposes, subrecipient entities do not include those entities that are part of the primary government."

Department management stated some human errors were made as a result of the complex and numerous GAAP reporting packages prepared with limited staffing and increasing workload demands.

In the previous examination, we noted the Department overstated the non-cash award for Immunization Grants on one form SCO-563. In response to the prior finding, the Department stated staff would be more diligent in calculating the value of vaccines received. Our testing did not identify errors in the calculation of non-cash awards of vaccines in Fiscal Year 2013.

Failure to submit correct and properly supported information to the Comptroller decreases the accuracy of federal financial information used for the Statewide SEFA. (Finding Code No. 2013-002, 11-3, 09-4, 07-4, 05-3, 03-6)

**RECOMMENDATION:**

We recommend the Department comply with SAMS requirements to ensure accurate financial information is submitted to the Illinois Office of the Comptroller. Further, the Department should review and revise, as necessary, its current system used to gather, compile and document the financial information to be reported in the Comptroller generally accepted accounting principles (GAAP) Reporting Package forms.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-002**      **FINDING:**      (GAAP reporting) - Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. Although all GAAP packages were submitted timely, some errors were identified on the SCO-568, SCO-563, SCO-563C, and SEFA due to the classification of the type of service, the reporting of the sub recipients, and expenditure misstatements. It should be noted that identified errors were subsequently corrected, communicated to the Comptroller's Office and reported on the SCO-563 and the final SEFA. The Department will continue to review the internal process and procedures to properly identify the sub recipient and the type of transaction that need to be reported on the SCO-568 and SCO-563C. The Department will also continue working closely with the Comptroller's Office to improve the overall accuracy of financial reporting on the GAAP packages and SEFA.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-003**      **FINDING:**      (Weaknesses in controls over year-end inventory balances)

The Department of Public Health (Department) did not conduct complete physical inventories and ensure the accuracy of fiscal year-end commodities and printing inventory balances.

During testing of the Department's June 30, 2013 year-end commodities inventory balances, we noted the following:

- The Department understated the Health Protection Division inventory by \$55,981.
- The Department did not track metabolic formula inventory maintained by the Health Promotion Division. The inventory was excluded from the June 30 inventory balance. The dollar amount of the error could not be determined. Metabolic formula inventory totaling \$121,856 was purchased; however, the amount shipped could not be determined.

In addition, we noted the Department's June 30, 2012 and 2013 year-end inventory of printed items was understated due to certain printed item inventory not being included in the fiscal year-end physical count. It was not possible to determine the dollar amount of the error.

The Department reported a commodities inventory balance of \$3,426,079 as of June 30, 2013. The Department reported a printed item inventory balance of \$366,264 and \$404,525 at June 30, 2012 and 2013, respectively. The understated inventory balances were reported to the Illinois Office of the Comptroller (IOC) in the Department's year-end financial reporting packages.

The Statewide Accounting Management System (SAMS) Procedure 03.60.20 requires State agencies to perform an annual physical inventory count to ensure the completeness and accuracy of inventory records. Significant inventory balances are required to be reported to the State Comptroller on form SCO-577 as part of the financial reporting process. In addition, 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 that the accounting and recording of financial data permits the preparation of reliable financial reports. This would include procedures to ensure inventory balances are accurately counted and undergo a thorough supervisory review prior to reporting the balances.

Department personnel indicated warehouse staff turnover and program staff not understanding the significance of the June 30 reporting cutoff date resulted in inventory balances being understated.

Failure to ensure accuracy and completeness of inventory balances at fiscal year-end results in inaccurate GAAP reporting to the State Comptroller. (Finding Code No. 2013-003)

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-003**      **FINDING:**      (Weaknesses in controls over year-end inventory balances) – Continued

**RECOMMENDATION:**

We recommend the Department strengthen internal controls over physical inventories to ensure its fiscal year-end inventory balances are accurate and complete.

**RESPONSE:**

The Department concurs in the finding and recommendation. The discrepancy between the auditors count and the IPC (Immunization Promotional Center) count in regards to the STD medication inventory was resolved. Corrective actions have been implemented and program personnel will use the inventory numbers provided by the IPC hand count when asking for pricing on inventoried products. The new Division Chief will also coordinate internal controls over physical inventories to ensure that fiscal year-end inventory balances are accurate and complete. Due to the temporary possession of metabolic formula, which was purchased for emergency supplies because of delays in securing the specialized food contracts, there was a staff oversight in capturing remaining product on hand as of June 30th. Although not reported as required for inventory, the Office of Health Promotion maintains information on the amount of product purchased. For any future inventories, the Department will keep complete details of emergency product that had been shipped. In the future, anytime physical inventory is on hand, the Department will ensure it is reported through the agency's inventory tracking system.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-004**      **FINDING:**      (Lack of controls over monthly reconciliations)

The Department of Public Health (Department) did not have adequate controls over monthly cash receipt, cash balance, and appropriation reconciliations.

During our testing of reconciliations between Illinois Office of the Comptroller (IOC) records and Department records, we noted the following:

- The Department did not maintain documentation that cash balance reconciliations between Department records and the IOC's Cash Report (SB05) were completed on a timely basis. We tested five months during fiscal year 2012 and 2013 and noted 112 of 150 (75%) fund reconciliations tested did not document the date the reconciliation was completed; therefore, it could not be determined if they were completed timely. In addition, 11 of 150 (7%) fund reconciliations were completed between 1 and 311 days late.
- The Department did not document any supervisory review on the SB05 reconciliations for 150 of 150 (100%) fund reconciliations tested.
- We tested five Monthly Appropriation Status Report (SB01) reconciliations completed during the examination period and noted one of five (20%) reconciliations did not document the date of completion; therefore it could not be determined if it was completed timely.
- The Department did not document any supervisory review on SB01 reconciliations for five of five (100%) reconciliations tested.
- We tested six Monthly Revenue Status Report (SB04) reconciliations completed by the Department during fiscal year 2012 and 2013. On all six (100%) reconciliations, neither the SB04 reconciliations nor the reconciliation support was dated as to when the reconciliations were performed. In addition, neither included the initials of the employee completing the reconciliation or the employee reviewing the reconciliation. Due to the lack of adequate documentation, it could not be determined if the reconciliation was performed timely, completed by the appropriate individual, or reviewed timely.

The Statewide Accounting Management System (SAMS) Procedure 09.40.30 requires the Agency to perform a monthly reconciliation of cash balances on a timely basis and notify the State Comptroller's Office of any discrepancies to ensure early detection and correction of errors. SAMS Procedure 11.40.20 requires the Agency to perform a monthly reconciliation of the unexpended budget authority balance per agency records to SAMS and notify the State Comptroller's Office of any irreconcilable differences. SAMS Procedure 25.40.20 requires the Agency to perform a monthly reconciliation of receipt account balances and notify the State Comptroller's Office of any irreconcilable differences. SAMS requires each reconciliation be conducted and differences reported to the Comptroller within 30 days of the end of each month. In addition, prudent business practice requires proper internal controls, such as timely supervisory reviews and independence of the preparer or supervisor, be established to ensure the accuracy and reliability of accounting data.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-004**      **FINDING:**      (Lack of controls over monthly reconciliations) - Continued

Department management stated staff shortages and employee turnover resulted in the reconciliation issues. In addition, human error occurred due to the pressures of under-staffing.

Failure to timely reconcile and review cash balance, appropriation, and cash receipt reconciliations could lead to unresolved differences between Department and Comptroller records, inaccurate financial reporting, and undetected loss or theft. (Finding Code No. 2013-004)

**RECOMMENDATION:**

We recommend the Department ensure cash balance, appropriation, and cash receipt, reconciliations are performed timely and a thorough and timely supervisory review of the reconciliations is performed. In addition, we recommend the Department maintain documentation to support the timely completion and review of reconciliations by appropriate staff.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Division of Accounting Services has implemented a procedure whereby the staff performing the cash balance, appropriation, and cash receipt reconciliations and their supervisors reviewing the reconciliations both initial and date the reconciliation reports. This will help ensure that both reconciliations are performed timely and a thorough and timely supervisory review of the reconciliations is also performed.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-005**      **FINDING:**      (Inadequate controls over computer inventory)

The Department of Public Health (Department) was unable to locate 39 computers during fiscal years 2012 and 2013. Some of these computers may have contained confidential information.

The Department conducts an annual physical inventory of all equipment with an acquisition cost of \$500 or more and reported that the Department was unable to locate missing computer inventory totaling \$12,306 in Fiscal Year 2012 and \$35,790 in Fiscal Year 2013.

Upon further inquiry with Department personnel, we noted the missing computer equipment consisted of 23 desktop computers and 16 laptop computers. The Department considers all of the computers to be lost, as none had been reported as stolen prior to the annual physical inventory. Department personnel were unable to provide property transfer forms or any other documentation indicating what happened to the computers.

In addition, the Department did not perform a detailed assessment at the time it determined the computers to be missing and; therefore, had not determined whether the missing computers contained confidential information. We performed inquiries with Department personnel to gain an understanding of the type of information that would have been maintained on the missing computers. As a result, eight computers originally determined to be missing were found and two were determined to be the property of an external party and should not have been included in the Department's computer inventory. Of the remaining 29 missing computers, the Department was unable to determine whether three of the missing computers contained confidential or sensitive information.

Although the Department has established procedures regarding the proper storage of electronic data, there is a possibility that confidential or sensitive information could reside on these computers. The Department had not protected all of its computers with encryption software, thus increasing the risk that confidential or sensitive information could be exposed.

The State Property Control Act (30 ILCS 605/4 and 6.02) requires the Department be accountable for the supervision, control and inventory of all items under its jurisdiction and control. In addition, the Department had the responsibility to ensure that confidential information is protected from disclosure and that provisions in the Personal Information Protection Act (815 ILCS 530) are followed.

Department management stated due to ineffective processes, older computers were not properly transferred to State surplus property. Management stated that older operating systems run slowly after encryption software has been installed, and a determination was made that encryption software would not be installed on older computers which lacked sufficient processing power. Typically, computers were over seven years old and most of them out of service.

Failure to follow up on missing computer equipment resulted in a lack of control over State property and the risks associated with the potential exposure of confidential information. (Finding Code No. 2013-005, 11-8)

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-005**      **FINDING:**      (Inadequate controls over computer inventory) - Continued

**RECOMMENDATION:**

We recommend the Department:

- Immediately perform a detailed inventory of computer equipment.
- Review current practices to determine if enhancements can be implemented to prevent the theft or loss of computers.
- Establish procedures to immediately assess if a computer may have contained confidential information whenever it is reported lost, stolen or missing during the annual physical inventory, and document the results of the assessment.
- Ensure all inventory reported on physical inventory reports is property of the Department.
- Ensure a thorough review is performed to determine if items reported as missing during the annual physical inventory have simply been misplaced.

**RESPONSE:**

The Department concurs in the finding and recommendation. As of December of 2013, the Department completed an assessment of computer equipment inventory. This assessment documented what computer equipment was assigned to which employees. This assessment also documented what operating system is installed on each computer. With this new information, the Department can determine if any lost or stolen computers were protected with full disk encryption. Processes will be put in place and communication to employees on how to properly report lost or stolen computer equipment. Processes will also be created to better track computer equipment that is sent to surplus and transferred between program areas within the Department.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-006**      **FINDING:**      (Lack of controls over contracts)

The Department of Public Health (Department) did not ensure contracts were properly approved and reported.

During testing of 60 contractual agreements for fiscal years 2012 and 2013, we noted the following:

- Four (7%) tested contracts over \$250,000, totaling \$2,987,483, were not approved in writing by the Chief Executive Officer, Chief Fiscal Officer and Chief Legal Counsel.
- Seven (12%) contract obligation documents tested listed an Illinois Procurement Bulletin publication date that did not agree to the publication date on the Illinois Procurement Bulletin.
- Five (8%) contract obligation documents tested listed an Illinois Procurement Bulletin reference number that did not agree to the Illinois Procurement Bulletin and the contract.
- Three (5%) contract obligation documents tested did not specify the Illinois Procurement Bulletin exemption.
- One (2%) contract obligation documents tested included an incorrect transaction code.

The State Finance Act (30 ILCS 105/9.02(a)) states that “any new contract, contract renewal, order against a master contract, or any contract amendment of \$250,000 or more in a fiscal year, shall be signed or approved in writing by the agency’s chief executive officer, chief legal counsel, and chief fiscal officer.” No such procurements may be filed with the Comptroller, nor may any authorization for payment pursuant to such documents be filed with the Comptroller, if the required signatures or approvals are lacking.

The Statewide Accounting Management System (SAMS) Procedure 15.20.10 states the contract obligation document is used to obligate contracts, leases, purchase orders, sub-orders, and printing orders and must contain all of the data elements required by the SAMS Procedure Manual including procurement information from the Department of Central Management Services (DCMS) Illinois Procurement Bulletin and transaction code to note the type of obligation and processing action to be taken by the State Comptroller.

Department personnel stated human error and lack of attention to detail resulted in some contract obligation documents not reflecting the accurate Illinois Procurement Bulletin numbers and dates. Personnel stated accounting staff were not aware that top management approvals were required for large orders against master contracts.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-006**      **FINDING:**      (Lack of controls over contracts) - Continued

Failure to obtain proper signatory approval on contracts over \$250,000 could lead to the misappropriation of funds or a significant commitment of agency funds without the knowledge of top management. In addition, the lack of proper controls over contract obligation documents could result in inaccurate recording by the Department and the State Comptroller and a lack of accountability by the agency. (Finding Code No. 2013-006)

**RECOMMENDATION:**

We recommend the Department implement controls to ensure appropriate signatory approvals are obtained on all contracts over \$250,000 and accurate information is filed on contract obligation documents with the State Comptroller.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department does routinely and effectively process the required \$250 thousand forms to be submitted with contracts. However, the four contracts missed consisted of CMS master contracts and one interagency agreement. The Department is now requiring the over \$250 thousand form on all similar contracts that reach this threshold and filing them with the Office of the Comptroller. Regarding errors on Contract Obligation Documents (COD's), the Department's Financial Management Committee will be charged to ensure that COD's include proper and accurate dates and IPB reference numbers on all applicable contracts.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-007**      **FINDING:**      (Inaccurate property and fixed asset record keeping)

The Department of Public Health (Department) did not maintain accurate property and fixed asset records.

In our testing of the Department's fiscal year 2012 and 2013 property records, we traced 60 items listed in the Department's property records to the physical location, tested 60 items added to property records and tested 60 items removed from property records during the examination period. Items removed from property records included transfers out and other deletions. We also tested the quarterly Agency Report of State Property (C-15 Forms) submitted to the Illinois Office of the Comptroller (IOC). We noted the following:

- During fiscal year 2013, the Department received a report of \$83,070 in net building transfers from the Capital Development Board (CDB). The Department reported the \$83,070 to IOC as a transfer in from CDB on its C-15 form. The building was transferred to the Department of Central Management Services (DCMS) in a previous fiscal year and should not have been reported on the Department's C-15 form.
- For 6 of 60 (10%) items removed from property records with a total cost of \$19,744, the transaction code reported in the Department's property records indicated the items were transferred to the DCMS; however, these items were reported as missing during the Department's annual physical inventory. The documentation to support the transfer could not be located.
- For 3 of 60 (5%) items removed from property records, the purchase price and purchase date submitted to DCMS on the Surplus Property Delivery Form differed from the Department's property records by a total of \$18,879 and by four months to four years. The property description also did not agree for one of those items.
- For 2 of 60 (3%) items removed from property records, the transaction code submitted to DCMS on the Request for Deletion from Inventory Form did not agree to the Department's property records. The form submitted to DCMS indicated a refrigerated centrifuge costing \$17,575 and an 11 piece modular furniture set costing \$5,992 were lost. The Department's records indicated the items were transferred to DCMS.
- One of 60 (2%) items traced from the property records to the physical location did not have a property tag attached to the item, a transform system listed at a cost of \$3,395.
- For 1 of 60 (2%) items tested, the Department's property records listed the wrong physical location and a Location Transfer Form was not prepared. The item was a computer which cost \$1,895.
- One of 60 (2%) items, a file cabinet which cost \$641, was listed on the property records but could not be located.
- One of 60 (2%) items added to property records, a cell phone, was overstated by \$35.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-007**      **FINDING:**      (Inaccurate property and fixed asset record keeping) - Continued

- For 1 of 60 (2%) items removed from property records, the transaction code reported in the Department's property records indicated a file cabinet, which cost \$323, was transferred to DCMS; however the documentation to support the transfer could not be located.
- For 1 of 60 (2%) items removed from property records, a scanner transferred to DCMS did not include the purchase price or purchase date on the Surplus Property Delivery Form. The Department's records reported the purchase in November 2006 for \$4,940.

The State Property Control Act (30 ILCS 605/6.02) (Act) requires each responsible officer maintain a permanent record of all items of property under his jurisdiction and control. The Act (30 ILCS 605/6.03) also requires the records to include information necessary for its proper identification. The Act (30 ILCS 605/7.3) further instructs that responsible officers periodically report all transferable property to the Administrator (DCMS). Statewide Accounting Management System (SAMS) Procedure 29.10.10 provides agencies with guidance on how to maintain such records and states, " ... detail records are to be organized by major asset category and include the following information for each asset: (1) Cost (or other value); ... (8) location ... (13) date, method and authorization of disposition ... This list is not exhaustive. An agency may include additional information for its own needs." According to the Department's Property Policies, a Property Transfer Form must be completed to transfer property to another State agency. Proper completion of this form includes the purchase price, purchase date, tag number, item description, and serial number, if applicable. A system of strong internal controls requires a supervisory review process to ensure checks and balances are in place to detect and correct clerical, technical, and other errors.

Department personnel stated these omissions and errors were due to human error and staff turnover.

While the percentage of property and equipment involved in the exceptions reported above is not significant compared to the Department's total property and equipment balance at June 30, 2013, which was approximately \$25 million, failure to maintain accurate property records is noncompliance with the Act and SAMS. Recordkeeping weaknesses increase the risk of equipment theft or loss occurring without detection, and resulted in inaccurate property and fixed asset reporting. (Finding Code No 2013-007)

**RECOMMENDATION:**

We recommend the Department strengthen its procedures over property and equipment to ensure accurate recordkeeping for all State assets. We further recommend the Department include a supervisory review process in its procedures to ensure clerical, technical, and other errors are promptly detected and corrected.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-007**      **FINDING:**      (Inaccurate property/fixed asset record keeping) - Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department has strengthened its procedures over property and equipment by having supervisory reviews done monthly to ensure clerical and other errors are detected and corrected. In addition, the Department now has a full time person to handle these duties and maintain accurate and current files and data entry. Regarding fixed asset reporting, the Department contacted the Capital Development Board to ensure that all applicable billings are now sent directly to Central Management Services for inclusion in their quarterly reporting. The Department subsequently corrected the C15 form and worked with Central Management Services to ensure the building transfer was properly recorded for future periods.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-008**      **FINDING:**      (Failure to comply with the Fiscal Control and Internal Auditing Act)

The Department of Public Health (Department) failed to comply with the Fiscal Control and Internal Auditing Act.

During our review of the Department's internal auditing activities for fiscal years 2012 and 2013, we noted the following:

- The Department failed to perform adequate reviews of new or modified major information technology systems. The Department's Illinois National Electronic Disease Surveillance System (I-NEDSS) underwent a major system modification during the examination period, but the internal auditors did not perform a review of the system modification.
- The annual internal audit report for Fiscal Year 2011 submitted by the Chief Internal Auditor to the Director of the Department during Fiscal Year 2012 did not include the extent to which recommended changes had been implemented.
- The Department's internal auditors performed an audit of the Department's grant administration activities, but did not perform any follow-up procedures on the findings noted in the internal audit report.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/2003) (Act) states the internal auditing program should include "Reviews of the design of major new electronic data processing systems and major modifications of those systems before their installation to ensure the systems provide for adequate audit trails and accountability." The Act also states, "By September 30 of each year the Chief Internal Auditor shall submit to the Chief Executive Officer a written report detailing how the audit plan for that year was carried out, the significant findings, and the extent to which recommended changes were implemented." In addition, good internal audit practice would include follow-up of findings noted in previous internal audits performed to determine the status of recommendations.

Department management stated the issues noted are due to timing of when tasks were completed and inadequate staffing within the Internal Audit Division.

Failure of the Department's Chief Internal Auditor to report required information to the Director of the Department and inadequate reviews of new or modified major information technology systems increases the likelihood of noncompliance and systems not functioning as intended, and lessens Departmental oversight. Failure to perform adequate follow-up on internal audit findings could result in significant issues in Department operations or internal controls not being addressed by Department management. (Finding Code No. 2013-008)

**RECOMMENDATION:**

We recommend the Department ensure the internal audit program fully complies with the requirements of the Act to report to the Director of the Department and perform reviews of new or modified major information technology systems. In addition, the Department should ensure the internal audit program performs follow-up procedures on findings noted in internal audit reports.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-008**      **FINDING:**      (Failure to comply with the Fiscal Control and Internal Auditing Act) -  
Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. The Division of Internal Audit will work with the agency Chief Information Officer to ensure audit review of major modifications to Department IT systems. The Division of Internal Audit will adjust its audit finding follow-up procedures to ensure that follow-up protocols are applied to all open findings and that follow-up reviews are timed to allow finding status reporting in the annual report to the Director.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-009**      **FINDING:**      (Lack of prior approval and documentation of employee overtime)

Department of Public Health (Department) employees worked overtime during the examination period without proper prior approval and complete documentation.

We tested a sample of 31 employees who worked overtime, during fiscal years 2012 and 2013. For employees with five or less approval forms during the examination period, we reviewed all approval forms. For employees with more than five approval forms, we reviewed each person's overtime for a selected five pay periods. The employees in our sample incurred 469 hours of overtime during the pay periods tested. Based upon our review of the Request for Overtime/ Alternate Reimbursement forms (overtime forms), we noted the following weaknesses concerning the lack of prior approval and documentation of employee overtime:

- Overtime for 9 of 31 (29%) employees was approved by their supervisors after it was worked.
- Seven of 31 (23%) employees requested overtime approval after the overtime was worked.
- Four of 31 (13%) employees did not complete the number of overtime hours requested on the overtime forms; therefore, the overtime hours were unknown when the supervisor pre-approved the form.
- Two of 31 (6%) employees worked more overtime hours than were requested and pre-approved by their supervisors.
- Two of 31 (6%) employees had overtime forms that were not dated by the supervisor.
- One of 31 (3%) employees had an overtime form that was not pre-approved by the supervisor.

Multiple exceptions were noted concerning 11 of the 31 (35%) employees tested.

According to the Overtime section in the Department's Employee Handbook and Department procedure, In order to receive compensatory time or cash for overtime, appropriate forms should be completed and approved prior to working the additional hours. The Department utilizes a Request for Overtime/ Alternate Reimbursement for approval and documentation of time worked outside of regularly scheduled hours. The form is located on the Department's intranet and available to Department employees. The instructions associated with the form instruct employees to complete a separate form for each week in which approved additional hours are worked. If an employee believes he or she needs to work additional hours or is told to do so by a supervisor, the form is to be completed and submitted to the supervisor "prior to working the additional hours". The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls to ensure resources are utilized efficiently and effectively.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-009**      **FINDING:**      (Lack of prior approval and documentation of employee overtime) -  
Continued

According to Department management, the issues noted were the result of an insufficient paper process for pre-approval and approval of overtime requests. Additionally, the new E-time system was in the initial phase and programming had not addressed the necessary link between “pre-approval” requests and “overtime worked” entries.

Failure to ensure overtime requests are properly documented and approved in advance undermines accountability controls and may result in unnecessary personal service expenditures. (Finding Code No. 2013-009, 11-9)

**RECOMMENDATION:**

We recommend Department management enforce its policies and procedures concerning the prior approval and documentation of employee overtime. If management does not deem current procedures sufficient to meet the Department’s needs, management should modify formal controls to ensure overtime is necessary and properly approved prior to incurring expenditures or accruing compensatory time. In addition, the Department should program the E-time system to ensure overtime is being pre-approved prior to being worked.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department has implemented the new E-time system and is working with the Department of Central Management Services (CMS) to address programming errors in the system that allowed employees to enter overtime worked approval requests for more hours than were pre-approved. The processes being put in place includes the documentation in the E-time system, and via email, of any additional hours determined as necessary beyond the requested number of hours. Additionally, the Department has updated the Employee Handbook to reflect the appropriate documentation steps to be taken in the event that prior-approval is not possible due to emergency situations.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-010**      **FINDING:**      (Failure to employ an adequate number of surveyors)

The Illinois Department of Public Health (Department) failed to comply with provisions of the Department of Public Health Powers and Duties Law (Law) related to surveyors for long term care beds and the establishment of administrative rules related to Medicare or Medicaid certification fees (20 ILCS 2310/2310-130).

The Department did not employ the minimum number of surveyors per licensed long term care beds during fiscal years 2012 and 2013. We selected a sample of five months during the examination period to determine if the adequate number of surveyors were employed, and noted the following during testing:

- For two of the five (40%) months sampled, the Department was required to employ one surveyor for every 500 beds or .20%. The Department employed surveyors at a rate of .19% during the two months tested.
- For three of the five (60%) months sampled, the Department was required to employ one surveyor for every 400 beds or .25%. The Department employed surveyors at a rate of .20% to .21% during the three months tested.

In addition, the Department did not create administrative rules for the establishment of Medicare or Medicaid certification fees to be charged to facilities or programs applying to be certified to participate in the Medicare or Medicaid program to cover costs incurred by the Department.

The Department of Public Health Powers and Duties Law (20 ILCS 2310/2310-130) (Law) states the Department shall establish a Medicare or Medicaid certification fee by rule to recover costs not reimbursed to the State by the federal government. In addition, the Code states "Beginning July 1, 2011, the Department shall employ a minimum of one surveyor for every 500 licensed long term care beds. Beginning July 1, 2012, the Department shall employ a minimum of one surveyor for every 400 licensed long term care beds."

Department personnel stated hiring challenges with lengthy timeframes, coupled with existing staff turnover and transfers within programs, resulted in a lower than expected net gain to nurse surveyor totals. In addition, once postings are completed, there are often shortages of registered nurse candidates at the hiring locations. Department personnel stated that rules for certification fees were not prepared and filed because the federal government presently reimburses the State for the application, inspection and the survey of facilities applying to participate in the Medicare and Medicaid programs.

Failure to hire an adequate number of surveyors could lead to inadequate monitoring at long term care facilities. A lack of administrative rules for Medicare and Medicaid certification fees prevents the Department from assessing fees to recover unreimbursed program costs. (Finding Code No. 2013-010)

**RECOMMENDATION:**

We recommend the Department employ the mandated number of surveyors to ensure adequate monitoring of long term care facilities and establish administrative rules for certification fees, as required by statute, or seek legislative remedy.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-010**      **FINDING:**      (Failure to employ an adequate number of surveyors) - Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department continues to actively hire surveyors as required by 20 ILCS 2310/2310-130. The Department has hired 96 additional surveyors as of April 1, 2014. Currently the Department has 108 E-Pars in the process to more completely meet the statutory requirement. Additionally, the Department will seek a legislative remedy to strike the provision for the Department to establish a Medicare or Medicaid certification fee as those costs are covered by the federal government and no additional fee is necessary

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-011**      **FINDING:**      (Center for Comprehensive Health Planning not established)

The Department of Public Health (Department) failed to establish a Center for Comprehensive Health Planning.

The Department of Public Health Powers and Duties Law (Law) (20 ILCS 2310/2310-217) created the Center for Comprehensive Health Planning (Center) effective July 1, 2009. The Center was created to “promote the distribution of health care services and improve the healthcare delivery system in Illinois by establishing a statewide Comprehensive Health Plan and ensuring a predictable, transparent, and efficient Certificate of Need process under the Illinois Health Facilities Planning Act. The Center shall comprehensively assess health and mental health services; assess health needs with a special focus on the identification of health disparities; identify State-level and regional needs; and make findings that identify the impact of market forces on the access to high quality services for uninsured and underinsured residents.” The Law requires the Department to establish the Center “to develop a long-range Comprehensive Health Plan, which Plan shall guide the development of clinical services, facilities, and workforce that meet the health and mental health care needs of this State.” (20 ILCS 2310/2310-217)

Department personnel cited insufficient appropriations and lack of available revenues prior to Fiscal Year 2014 as causing the delay in establishing the Center for Comprehensive Health Planning.

Failure to establish a Center for Comprehensive Health Planning prevents the comprehensive assessment and long-term planning for healthcare delivery in Illinois as directed by the Law. (Finding Code No. 2013-011)

**RECOMMENDATION:**

We recommend the Department promptly comply with the Law by establishing a Center for Comprehensive Health Planning as required.

**RESPONSE:**

The Department concurs in the finding and recommendation. Steps are being taken to implement 20 ILCS 2310/2310-217. Appropriation authority has been requested in the FY 2015 budget request, draft organizational charts have been created and draft position descriptions are being developed. The Department is also engaging the Department of Central Management Services about establishing positions for the new Center.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-012**      **FINDING:**      (Streamlined Auditing and Accreditation System)

The Department of Public Health (Department) failed to comply with certain streamlined auditing and accreditation system requirements.

Public Act 97-0558 became effective on August 25, 2011 as part of the Department of Human Services Act (Act). The Department, along with the other four human services agencies (Department on Aging, Department of Children and Family Services, Department of Healthcare and Family Services, and Department of Human Services (DHS)), was required by the Act to streamline its business processes with human service providers (Providers) by reducing redundancy and inefficiency through the implementation of the Management Improvement Initiative Committee (MIIC) recommendations submitted in a January 2011 report to the Governor and General Assembly. Each human service agency was required to designate a member to serve as a member of the MIIC. The MIIC is responsible for managing the overall implementation of the Act. DHS was designated as the lead support agency. The Department of Public Health Powers and Duties Law (Law) requires the Department to collaborate with DHS and other human services agencies to adopt joint rules establishing a cross-agency prequalification process and a cross-agency master service agreement of standard terms and conditions for contracting with human service providers (20 ILCS 2310/2310-12a).

The Act also created a Management Improvement Initiative Departmental Leadership Team (Team), comprised of a representative from each of the human services agencies. The Team is required to develop performance measures to assess progress in accomplishing the MIIC's objectives, establish procedures to provide feedback on the operational improvements, and provide semi-annual reports to the Governor and General Assembly documenting the progress in accomplishing the objectives and operational improvements. The Act required that beginning in fiscal year 2012, "...regulations, reporting, monitoring, compliance, auditing, certification, licensing, and work processes, including each departmental initiative, shall be linked directly to non-redundant, accountable, efficient, and effective outcome indicators which can be used to evaluate the success of the new initiative." (20 ILCS 1305/1-37b(a) - (h))

The Department provided the names of Department personnel serving on the Management Improvement Initiative Committee (MIIC) and various other committees supporting the initiatives established by the Act. The Department also provided a copy of the cross-agency master service agreement and indicated it would begin using the agreement in fiscal year 2014. However, we noted the following concerns:

- The Department was unable to provide a copy of the joint rules adopting a cross-agency prequalification process.
- No documentation could be provided of the performance measures to assess progress in accomplishing the MIIC's objectives and link the regulations, reporting, monitoring, compliance, auditing, certification, licensing, and work processes, including the Department's initiatives, to outcome indicators as required, by State fiscal year 2012.
- A copy could not be provided of the procedures established to provide feedback on operational improvements.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-012**      **FINDING:**      (Streamlined Auditing and Accreditation System) – Continued

- Only one (33%) of the three Management Improvement Initiative Progress semi-annual reports required had been submitted to the Governor and the General Assembly through June 30, 2013. The Department also provided a second report, dated after the examination period (September 2013), covering the period through June 30, 2013, to document significant progress being made toward implementation of the Act.

According to Department management, the Department has not met all requirements of Public Act 97-0558 due to delays and complexities of aligning the functions and processes of multiple state agencies. Management also noted it is working under the direction of DHS as lead agency.

Failure to provide the necessary documents to support compliance with the Act diminishes the ability to provide proper oversight in ensuring implementation of the MIIC recommendations reported in January 2011, and increases the risk that intended governmental streamlining will not occur in a timely manner. (Finding Code No. 2013-012)

**RECOMMENDATION:**

We recommend the Department continue to work with the other human services agencies to ensure compliance with all requirements of the Act.

**RESPONSE:**

The Department concurs with the finding and recommendation. Delays and complexities of aligning the functions and processes across multiple state agencies has contributed to the inability to meet all requirements of Public Act 97-0558 in a timely manner. The Department will continue to ensure adequate representation and participation on the MIIC Steering Committee and sub-committees, and work with DHS as the lead agency and the other Human Services agencies to ensure compliance with requirements of the Act.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-013**      **FINDING:**      (Employee performance evaluations not performed timely)

The Department of Public Health (Department) did not perform employee performance evaluations on a timely basis.

We selected 60 employees for review of performance evaluations conducted during the examination period. A total of 52 evaluations should have been completed for the applicable year tested, including three month new hire evaluations, three month probationary evaluations, four month probationary evaluations, six month probationary evaluations, and annual evaluations.

During testing we noted the following:

- Twenty-five of 38 (66%) employees' annual performance evaluations were not completed in a timely manner. The delinquencies ranged from 3 to 387 days late.
- Eight of 38 (21%) employees did not have an annual performance evaluation performed for the fiscal year tested. One employee had not received a performance evaluation since 2008.
- One of 1 (100%) employees required a three month probationary evaluation that was not completed.
- One of 1 (100%) employees required a four month probationary evaluation that was not completed.
- One of 2 (50%) new hires did not have a three month evaluation completed on a timely basis. The evaluation was performed 13 days late.
- One of 3 (33%) employees required a six month evaluation that was not completed on a timely basis. It was completed 101 days late.

The Illinois Administrative Code (80 Ill. Adm. Code 302.270(d)) (Code) requires that, for a certified employee, each agency shall prepare an employee performance evaluation not less often than annually. The Code (80 Ill. Adm. Code 302.270(b)) requires each agency to prepare two evaluations for employees serving a six month probationary period, one at the end of the third month of the probationary period and a final probationary evaluation 15 days before the conclusion thereof. Section 300(a) of the Code (80 Ill. Adm. Code 302) requires a probationary period of six months to be served by employees who enter State employment; begin a new period of uninterrupted service, except for those who are reinstated as allowed by Section 610 of the Code (80 Ill. Adm. Code 302); and by an employee who is appointed from an open competitive eligible list, whether or not it is considered an advancement in rank or grade. The Code (80 Ill. Adm. Code 302.270(c)) requires each agency to prepare a four month evaluation at three and one half months after the commencement of the probationary period for employees serving a four month probationary period.

Department management stated the untimely evaluations were due to lack of management/staff time to perform evaluations, as supervisors who are union employees cannot complete the process for evaluations without senior manager involvement.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-013**      **FINDING:**      (Employee performance evaluations not performed timely) - Continued

Performance evaluations are a systematic and uniform approach used for the development of employees and communication of performance expectations to employees. Performance evaluations serve as documentation for recommendations of salary adjustments, promotions or demotions, discharge, layoff, recall, and reinstatement decisions. (Finding Code No. 2013-013, 11-10, 09-11, 07-14)

**RECOMMENDATION:**

We recommend the Department ensure performance evaluations are completed in a timely manner for all employees in accordance with the Illinois Administrative Code.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department includes the Office of the Director in the notification process for evaluations coming due and for those that are past due in an effort to emphasize the importance of prompt evaluations. With the passage of SB 1556, the Department is working with the Central Management Services (CMS) Labor Relations negotiations' team to identify those positions which may be removed from the union thus expanding the number of supervisors who can prepare and discuss performance evaluations, which has been a significant problem in the past.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-014**      **FINDING:**      (Failure to file timely and accurate TA-2 Reports)

The Department of Public Health (Department) did not file its Travel Headquarter Reports (TA-2 Report) with the Legislative Audit Commission in a timely manner. Further, the TA-2 Reports submitted were inaccurate and incomplete.

During testing of the Department's three TA-2 Reports submitted during fiscal year 2012 and 2013 for the period July 1, 2011 through December 31, 2012, we noted the following:

- Travel vouchers for 11 of 60 (18%) employees tested listed different headquarters on the vouchers than that listed on the TA-2 Report, including seven incorrect headquarters listed on the TA-2 Reports and four headquarters missing on the TA-2 Report. The vouchers reported the proper headquarters.
- The official headquarters was missing for 39 individuals on one TA-2 Report.
- One of three (34%) TA-2 Reports was submitted 64 calendar days late.
- The location where one individual spent the majority of his working time was left blank on two TA-2 Reports and on the third TA-2 Report, the location where two individuals spent the majority of their working time was left blank.

The State Finance Act (Act) (30 ILCS 105/12-3) requires State agencies to file Travel Headquarter Reports with the Legislative Audit Commission for all individuals whose official headquarters are located other than where their official duties require them to spend the largest part of their working time. The reports shall be filed no later than July 15 for the period from January 1 through June 30 of that year and no later than January 15 for the period July 1 through December 31 of the preceding year. The report is to list, for each officer or employee, the place designated as his or her official headquarters and the reason for each designation.

Department management attributed the late submission and the errors on the TA-2 Reports to an oversight during the cross verification of employees who have changed headquarters designations, locations, and addresses. Management stated one report was filed late with the Legislative Audit Commission due to other work load demands.

Failure to file accurate Travel Headquarter Reports decreases the effectiveness of oversight controls and results in noncompliance with the State Finance Act. (Finding Code No. 2013-014, 11-12, 09-12, 07-16, 05-12, 03-8)

**RECOMMENDATION:**

We recommend the Department develop specific procedures to ensure the accurate and timely filing of Travel Headquarter Reports in compliance with the State Finance Act.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-014**      **FINDING:**      (Failure to file timely and accurate TA-2 Reports) - Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department has improved follow-up and communication with program offices on employee's headquarters designation as well as workload demands which will allow the filing of timely reports inclusive of the upcoming report for July 15, 2014 to the Legislative Audit Commission. Given that the majority of those in question have home as headquarters, the Travel Office will improve verification that the home address is in compliance with the documentation submitted as well as complete verification of changes in personnel information prior to completion of the TA-2 Reports to the Legislative Audit Commission.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-015**      **FINDING:**      (Failure to obtain certifications of license and automobile liability coverage)

The Department of Public Health (Department) did not properly obtain annual certifications of license and automobile liability insurance coverage for employees who were assigned State vehicles or for employees reimbursed for mileage utilizing their personal vehicles for State business. In addition, the certifications obtained by the Department did not cover personal use of personally assigned State vehicles as required by the Illinois Vehicle Code (Code).

The Department's fleet consisted of 83 vehicles at June 30, 2012 and 81 vehicles at June 30, 2013. Of those vehicles, 55 were personally assigned to employees in fiscal year 2012 and 54 in fiscal year 2013.

The Department's annual certification of license and automobile liability coverage form (certification form) is utilized for employees to certify they are licensed and have in effect and will maintain automobile liability coverage on their personal vehicles in the form of insurance, or a bond filed with the Illinois Secretary of State. The certification form includes a statement related to coverage on personal vehicles, but does not include a clause for employees assigned a State vehicle on an ongoing basis to certify their insurance coverage extends to the employee when the State vehicle is not being used for official State business, as required by the Code.

We tested 22 employees personally assigned a vehicle during one or both fiscal years of the examination period to ensure the certification form was obtained by the Department to determine employees were duly licensed and possessed liability insurance coverage. We noted the following:

- The Department could not provide 11 of 22 (50%) certification forms requested.
- For 1 of 11 (9%) certification forms provided and reviewed, the certification was filed by the employee 160 days late.

In addition, we tested 16 employees who were reimbursed for mileage utilizing a personal vehicle for State business during the examination period. The Department could not provide 9 of the 16 (56%) certification forms requested to document employees had certified they had the required insurance coverage.

The Code (625 ILCS 5/7-601(c)) requires employees assigned a specific State vehicle on an ongoing basis to provide annual certification to the agency director 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.

In addition, the Code (625 ILCS 5/10-101) requires every employee that utilizes a personal vehicle for purposes of State business to procure liability insurance for the minimum amounts required by Section 7-203 of the Code.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-015**      **FINDING:**      (Failure to obtain certifications of license and automobile liability coverage) - Continued

The State Records Act requires agencies to make and preserve records containing adequate and proper documentation to furnish information to protect the legal and financial rights of the State and of persons directly affected by the agency's activities (5 ILCS 160/8).

Department personnel attributed the above conditions to workload demands preventing verification that each employee completed the automobile liability form in a timely manner. In addition, personnel believed that the existing process of ensuring employees are licensed and insured would cover those employees that were personally assigned a State vehicle.

Failure to ensure a proper certification is on file in a timely manner exposes the State to unnecessary liability risks. (Finding Code No. 2013-015, 11-13, 09-14, 07-17)

**RECOMMENDATION:**

We recommend the Department update the wording on its certification form to fully comply with requirements of the Code. We further recommend the Department implement procedures to ensure all employees assigned a State-owned vehicle and all employees reimbursed for mileage utilizing a personal vehicle for State business certify annually, within the timeline established by the Code, that they are duly licensed and carry the minimum required insurance.

**RESPONSE:**

The Department concurs in the finding and recommendation. To ensure full compliance, all full and part-time employees of the Department, public members, whether salaried or unsalaried of State Boards, Commissions, and Authorities will complete a vehicle insurance liability certification form. Additionally, each new employee upon hire, must sign a vehicle insurance certification form as a part of a condition of employment. Further, the form has been redesigned to incorporate the language found in Section 7-203 of the Vehicle Code. The Agency Travel Coordinator will periodically review the Department's documentation in comparison with the new hires, board members, interns and persons assigned vehicles to ensure full compliance.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-016**      **FINDING:**      (Field sanitation fines not being assessed)

The Department of Public Health (Department) did not assess fines to violators upon inspection of farm operations as required by the Field Sanitation Act.

During testing of five field inspections during fiscal years 2012 and 2013, we noted two of two (100%) field inspections with violations cited did not include an assessment of fines. Per Department personnel, the Department performed 10 inspections in fiscal year 2012 and 12 inspections in fiscal year 2013, with no fines being assessed for either year.

The Field Sanitation Act (Act) (210 ILCS 105/12) requires the Department to perform random inspections of farm operations as necessary to ensure compliance with the Act. In addition, the Act requires the Department, upon receipt of a complaint or report of a violation, to inspect the farm operation that received the complaint. Any violators of this Act or of the Department's regulations shall be guilty of a petty offense and shall be fined no less than \$100.

The Department's management stated they deemed it unnecessary to assess fees, as violations were corrected on-site with field inspectors present. Management also stated the Department's goal is to protect the public's health, which is best met through the immediate correction of the violations, as opposed to the assessment of a minimal fee. Management further stated a legislative remedy is needed, but had not been achieved due to more significant priorities.

Failure to assess fines results in fewer disincentives for operations violating the Act and is noncompliance with State law. (Finding Code No 2013-016, 11-14, 09-18, 07-23, 05-15, 03-3)

**RECOMMENDATION:**

We recommend the Department comply with all aspects of the requirements of the Field Sanitation Act or seek legislative remedy.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department has previously determined over the past years that the licensee should have some due process in correcting any violations to this Act. Violations noted are generally both minor in nature and not very frequent and field inspectors actually witness corrections while still on-site. Understanding that such actions don't meet the specific language in the Act, the Department would again need to seek a legislative remedy to address this longstanding issue.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-017**      **FINDING:**      (Failure to maintain documentation to support compliance with the provisions of the Lawn Care Products Application and Notice Act)

The Illinois Department of Public Health (Department) failed to maintain documentation to support that schools and day care centers were notified of the provisions of the Lawn Care Products Application and Notice Act (Act) (415 ILCS 65/6).

In the prior examination period, the Department failed to notify 98 of 850 (12%) school boards, and 1,201 of 2,907 (41%) licensed daycare centers as required by the Act. During the current examination period, the Department implemented controls to ensure updated lists of school boards and licensed daycare centers were obtained from the Illinois State Board of Education and Illinois Department of Children and Family Services. In addition, the Department tracked the date notices were sent to each of the school boards and licensed daycare centers. However, when we selected a sample of 25 school boards and licensed daycare centers for testing, the Department could not provide a copy of notification letter sent for 22 of 25 (88%) notifications tested. Therefore, it was not possible for the auditors to test the accuracy of the Department's tracking system.

Section 6 of the Act states " ... The Department of Public Health must inform school boards and the owners and operators of day care centers about the provisions of this Act that are applicable to school districts and day care centers, and it must inform school boards about the requirements contained in Sections 10-20.49 and 34-18.40 of the School Code. The Department of Public Health must recommend that day care centers and schools use a pesticide-free turf care program to maintain their turf. The Department of Public Health must also report violations of this Act of which it becomes aware to the Department (of Agriculture) for enforcement."

In the Department's April 2012 response to the prior finding, management stated no additional resources were available to continue the notification program, but the Department would seek as necessary the additional resources required to complete the program. In response to the current finding, Department personnel stated copies of notices to each facility were not kept during the 2010 through 2012 time period. Personnel stated a sample notice was available and notices for each facility are being tracked in a database.

Failure to maintain documentation to support that schools and day care centers were notified of the provisions of the Act increases the risk of parties not being notified of their responsibilities related to the use of a pesticide-free turf care program. (Finding Code No 2013-017, 11-15)

**RECOMMENDATION:**

We recommend the Department ensure all applicable parties are notified of the requirements of the Act and documentation is maintained to support notification.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-017**      **FINDING:**      (Failure to maintain documentation to support compliance with the provisions of the Lawn Care Products Application and Notice Act) - Continued

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department recommended "pesticides free lawn care", by letter, to 65 percent of Illinois public school districts and licensed day care centers, while failing to recommend this to the remaining facilities. The Department continues to maintain and update lists of public school districts and license day care centers, and to track and keep record of its progress in contacting those facilities with its lawn care recommendation. In addition, the Department will cooperate with other agencies and organizations to further ensure that all facilities are contacted as specified in the Lawn Care Products Application and Notice Act.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-018**      **FINDING:**      (Statutory committee and board requirements)

The Department of Public Health (Department) did not comply with committee and board requirements mandated by State law.

The Department is required by State law to ensure the composition of certain committees and boards as defined. Our testing noted the Department failed to abide by the following statutory committee and board requirements during the examination period:

- The Home Health, Home Services, and Home Nursing Agency Licensing Act (210 ILCS 55/7(a)) (Act) mandates the Director of the Department appoint a Home Health and Home Services Advisory Committee (Committee) composed of 15 persons to advise and consult with the Director in the administration of the Act. The Act establishes the membership composition of the Committee. As of June 30, 2013, the Committee was comprised of 14 members. Six positions were vacant during some part of the examination period and were filled 4 to 18 months later. One member did not attend any meetings during fiscal year 2012 and 2013.
- The Health Maintenance Organization Act (HMO Act) (215 ILCS 125/2-2(a)) mandates the creation within the Department a Health Maintenance Advisory Board (Board) to consist of 11 members appointed by the Department's Director. The HMO Act states six members of the Board represent a quorum. Furthermore, the HMO Act allows that a vacancy in membership on the Board does not impair a quorum from carrying out all rights and duties of the Board. The Board "has the power to review and comment on proposed rules and regulations to be promulgated by the Director of the Department...within 30 days after those proposed rules and regulations have been submitted to the ... Board." During our testing of the Board's activity, as was noted during the prior examination, we determined the Board last met in 1989. The most recent Board member listing maintained by the Department is from 1999 and consists of only four members.

Department personnel stated noncompliance with the Act is due to competing work demands and finding worthy candidates to commit time to serve on the Boards in a timely manner. Department personnel stated the Board has not met for many years as there is no statutory requirement to do so. Given the lack of meetings over this long period of time, membership on the Board has not been kept current.

During the prior examination period, the Department lacked representation on the Local Food, Farms, and Job Council as required by the Local Food, Farms, and Jobs Act (30 ILCS 595/15(b)). During the current examination period, the Department appointed a representative to the Local Food, Farms, and Jobs Council.

The existence of vacancies, absentee members, failure to meet as required, and not appointing representatives to statutorily required positions results in noncompliance with the statute, lessens governmental oversight, and limits the input of all members that was intended by the General Assembly. (Finding Code No. 2013-018, 11-16)

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-018**      **FINDING:**      (Statutory committee and board requirements) - Continued

**RECOMMENDATION:**

We recommend the Department timely fill the vacancies on the Home Health and Home Services Advisory Committee as required by the statute and address absentee members presently holding positions on the Committee. In addition, we recommend the Department seek to fill vacancies on the Health Maintenance Advisory Board as required by the HMO Act or seek legislative remedy to eliminate the Board continuation requirement.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Office of Health Care Regulation has hired a new staff member to be responsible for all of the office's advisory boards. This person will be responsible to monitor the board membership status, assist with filling vacancies, and preparing documents for re-appointments. The Home Health Advisory Board currently has 2 vacancies (1 vacancy resigned 4/4/14 and a replacement board member has already submitted his paper work for nomination to the Board; the other vacancy the department has contacted 2 possible candidates for a replacement). The Board member who has had poor attendance at the board has been sent a letter April 21, 2014 regarding the need for attendance or resignation from the Board. The Department is planning to seek legislative action to eliminate the Health Maintenance Organization Board continuation requirement.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-019**     **FINDING:**     (Reporting requirements)

The Department of Public Health (Department) did not adhere to various reporting requirements established by State law.

During our testing, we noted the following:

- The Nursing Home Care Act (210 ILCS 45/3-804) requires the Department to report to the General Assembly each year the performance of its State long-term care facility licensure inspection, survey and evaluation duties and its actions in enforcement under this Act, including the number and needs of Department personnel engaged in such activities. On July 14, 2011, Public Act 97-0135 became effective and amended the reporting date from April 1 to July 1. The report due April 1, 2011 was filed on January 30, 2012, 304 days late. The report due on July 1, 2012 was filed on September 26, 2012, 87 days late.
- The Department of Public Health Powers and Duties Law (20 ILCS 2310/2310-640(d)) requires the Department prepare and submit to the Governor and General Assembly an annual report by January 1 each year regarding its administration of the Hospital Capital Investment Program. The report due January 1, 2012 was filed with the General Assembly on January 26, 2012, 25 days late. The report due January 1, 2013 was filed with the General Assembly on January 28, 2013, 27 days late. The Department was unable to provide support that the 2012 or 2013 reports were filed with the Governor.
- The Department of Public Health Powers and Duties Law (20 ILCS 2310/2310-397(b)(4)) established the Prostate and Testicular Cancer Program within the Department and requires the Department to submit an Annual Report to the General Assembly and the Governor. According to Department procedure, the report should be filed by July 1 each year (6 months after calendar year-end). The 2012 Prostate and Testicular Cancer report was submitted 3 days late and omitted the age breakdown, geographic information, stages of presentation of those served by the program, and diagnostic and treatment status of those served by the program, four specific areas outlined in the statute which was required to be included in the report. During the examination period, the Department sought legislative change to amend the reporting requirements of the statute. On January 1, 2014, Public Act 98-0087 became effective and removed the requirements for inclusion of the stages of presentation and diagnostic and treatment status of those served by the program requirements.

Department personnel stated that, in addition to staff time necessary to prepare the reports, the importance of verifying and analyzing all the information received in order to produce a quality report is also a reason for the late submissions.

For the issue related to the Hospital Capital Investment Program, Department management indicated they interpreted the mandate to require a calendar year report. Information needed for the report was not finalized until near calendar year-end and, therefore, the Department was unable to meet the January 1 reporting deadline.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

CURRENT FINDINGS  
(STATE COMPLIANCE)

**2013-019**      **FINDING:**      (Reporting requirements)

Failure to timely report to the General Assembly and Governor as required lessens governmental oversight and represents noncompliance with State law. (Finding Code No. 2013-019, 11-17, 09-15, 07-19, 05-8, 05-14, 03-2, 01-3, 99-4, 97-7)

**RECOMMENDATION:**

We recommend the Department comply with the various reporting requirements or seek legislative remedy for statutory mandate provisions.

**RESPONSE:**

The Department concurs in the finding and recommendation. The Department will comply with the statutory requirement for the Long-Term Care Annual Report to the Illinois General Assembly, to be submitted and filed by July 1<sup>st</sup> of each year. The Department has implemented internal procedures for timely submission of all data to meet the statutory requirement.

Regarding the Prostate and Testicular Cancer annual report, in 2013, the Department sought a statutory change to remove the inclusion of disease and treatment specific data in the report. Public Act 98-0087 became effective on January 1, 2014. Protocols have been developed to require program staff to submit the draft report for review and approval at least 60 days in advance of the statutory due date to eliminate the possibility of a late submission. Steps have been implemented to ensure compliance by grantees with the reporting of data required by statute.

Options for legislative remedy are being considered as are other means to meet the reporting deadlines. In order to provide a more accurate and meaningful report on the calendar year's activities, a report due date of March 1 would be more preferable.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

PRIOR FINDINGS NOT REPEATED

A. Prior Finding - Lack of documentation for interagency agreements

During the prior examination, the Department did not have adequate support for Interagency Agreements with the Office of the Governor detailing the methodology for determining the allocation to be paid by the Department for legal services provided to the State.

During the current examination period, our sample testing did not disclose any instances where the Department lacked sufficient documentation for amounts paid by the Department for legal services under the Interagency Agreement with the Office of the Governor. (Finding Code No. 11-2, 09-3, 07-3)

B. Prior Finding- Inaccurate capital asset reporting

During the prior examination, the Department did not accurately report accounts payable for capital assets on the SAMS to GAAP Reconciliation (SCO-537) form to the Illinois Office of the Comptroller for fiscal year 2011.

During the current examination period, our testing results indicated the amounts reported for accounts payable for capital assets on Form SCO-537 for fiscal year 2013 were materially accurate. (Finding Code No. 11-4, 09-5, 07-5, 05-4)

C. Prior Finding- Weaknesses in controls over refunds

During the prior examination, the Department did not have adequate controls over the processing of refunds. Refunds were deposited late, and lacked documentation of the date received or the refund support.

During the current examination period, our sample testing did not disclose any instances where the Department lacked documentation to support the date of refund checks and the date refunds were received by the Department. In addition, all refunds tested were deposited in a timely manner. (Finding Code No. 11-5, 09-7, 07-9)

D. Prior Finding - Weaknesses in controls over receipts

During the prior examination, the Department did not maintain supporting documentation for receipts and did not properly reconcile federal receipts or the cash balance from Department records to those of the Comptroller.

During the current examination, the Department did maintain supporting documentation for the sample receipts tested and properly reconciled federal receipts and cash balances from Department records to those of the Comptroller. (Finding Code No. 11-6)

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

PRIOR FINDINGS NOT REPEATED

E. Prior Finding – Lack of Adequate Disaster Recovery Planning or Testing to Ensure Recovery of Applications and Data

During the prior examination, the Department did not have a current Disaster Recovery Plan and had not performed comprehensive disaster recovery testing.

During the current examination, the Department enhanced its recovery capabilities with the development of a Continuity of Operations Plan/Continuity of Government (Plan). The Plan provided guidance to help maintain critical business processes; however, detailed disaster recovery plans outlining backup and recovery strategies specific to its applications and data were not included in the Plan. In addition, the Department had not performed comprehensive disaster recovery testing. As such, this finding is reported in the current examination in the letter of immaterial findings. (Finding Code Nos. 11-7, 09-9, 07-12, 05-6)

F. Prior Finding- Discrepancies noted in employee timekeeping

During the prior examination, the Department failed to ensure agreement between the timekeeping data maintained in its Time Reporting System (TRS) and the Central Time and Attendance System (CTAS).

During the current examination, we noted only one instance in our sample testing where TRS data did not agree with the timekeeping information entered in CTAS. The one exception was noted prior to the Department's implementation of the E-Time system for timekeeping. The issue noted was minor and no issues were noted after the implementation of E-Time; therefore, this finding is not repeated. (Finding Code No. 11-11)

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

CURRENT STATUS OF PERFORMANCE AUDIT RECOMMENDATION

For the Two Years Ended June 30, 2013

As part of the compliance examination of the Department of Public Health (Department) for the two years ended June 30, 2013, we followed up on the status of the following recommendation from the Illinois Office of the Auditor General's Performance Audit, Funding Provided by State Agencies to Heartland Human Services - May 2009. One recommendation, listed below, applied to the Department.

Recommendation #1 – Health Care Worker Registry

*The Department of Human Services and the Department of Public Health should work together to ensure that Community Integrated Living Arrangement (CILA) and other mental health workers are being added to the Health Care Worker Registry as required by State law.*

Status – Not Implemented

Department personnel stated in September 2009, a memo was distributed by the Illinois Department of Human Services (DHS) regarding a new background check process to be implemented for hiring practices including hiring of CILA's. The new background check process automated the information being added to the Health Care Worker Registry. As of the date of our testing, the new process had not been fully implemented.

During the prior examination, Department personnel stated the Department was developing a work group to meet with representatives from DHS for the purpose of developing a process for ensuring that all CILA and other DHS clients are added to the Health Care Worker Registry. As of the date of our testing during the current examination, the work group had not yet met.

The Department has no procedures in place to ensure the Health Care Worker Registry is being properly updated for CILA and other mental health workers.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES

SUMMARY

Supplementary Information for State Compliance Purposes presented in this section of the report includes the following:

- Fiscal Schedules and Analysis:
  - Schedule of Appropriations, Expenditures and Lapsed Balances
    - Fiscal Year 2013
    - Fiscal Year 2012
  - Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances
  - Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances – By Fund
  - Comparative Schedule of Receipts, Disbursements and Fund Balance (Cash Basis) – Locally Held Fund
  - Schedule of Changes in State Property
  - Comparative Schedule of Cash Receipts
  - Reconciliation Schedule of Cash Receipts to Deposits Remitted to the State Comptroller
  - Analysis of Significant Variations in Expenditures
  - Analysis of Significant Variations in Receipts
  - Analysis of Significant Lapse Period Spending
  - Analysis of Accounts Receivable
  
- Analysis of Operations (Not Examined):
  - Agency Functions and Planning Program (Not Examined)
  - Average Number of Employees (Not Examined)
  - Emergency Purchases (Not Examined)
  - Illinois First Projects (Not Examined)
  - Memorandums of Understanding (Not Examined)
  - Service Efforts and Accomplishments (Not Examined)
  - Schedule of Indirect Cost Reimbursements (Not Examined)

The accountants' report that covers the Supplementary Information for State Compliance Purposes presented in the Compliance Report Section states the accountants have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General to the June 30, 2013 and June 30, 2012 information in Schedules 1 through 14. However, the accountants do not express an opinion on the supplementary information. The accountant's report also states that they have not applied procedures to the Analysis of Operations Section, and accordingly, they do not express an opinion or provide any assurance on it.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
Appropriations for Fiscal Year 2013

Fourteen Months Ended August 31, 2013

<u>Public Acts 97-0725, 97-0730</u>	Appropriations (Net After Transfers)	Expenditures Through June 30, 2013	Lapse Period Expenditures July 1 to August 31, 2013	Total Expenditures	Balances Reappropriated July 1, 2013	Lapsed Balances
<b>APPROPRIATED FUNDS</b>						
General Revenue Fund - 0001	\$ 125,415,000	\$ 92,042,941	\$ 29,408,245	\$ 121,451,186	\$ -	\$ 3,963,814
Food and Drug Safety Fund - 0014	1,400,000	1,089,445	284,063	1,373,508	-	26,492
Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015	600,000	-	-	-	-	600,000
Fire Prevention Fund - 0047	830,000	692,753	92,668	785,421	-	44,579
Alzheimer's Disease Research Fund - 0060	350,000	97,113	59,579	156,692	-	193,308
Public Health Services Fund - 0063	216,103,700	118,648,215	19,803,803	138,452,018	-	77,651,682
Community Health Center Care Fund - 0113	1,000,000	422,047	3,125	425,172	-	574,828
Safe Bottled Water Fund - 0115	75,000	-	-	-	-	75,000
Facility Licensing Fund - 0118	750,000	661,239	70,227	731,466	-	18,534
Heartsaver AED Fund - 0135	310,000	47,220	10,836	58,056	-	251,944
Illinois School Asbestos Abatement Fund - 0175	1,000,000	810,245	187,025	997,270	-	2,730
Diabetes Research Checkoff Fund - 0198	250,000	-	53,755	53,755	-	196,245
Carolyn Adams Ticket for the Cure Grant Fund - 0208	3,000,000	60,672	100,248	160,920	-	2,839,080
Illinois Health Facilities Planning Fund - 0238	2,800,000	1,540,471	135,158	1,675,629	-	1,124,371
Emergency Public Health Fund - 0240	5,100,000	2,963,338	1,220,320	4,183,658	-	916,342
Public Health Water Permit Fund - 0256	100,000	36,148	8,775	44,923	-	55,077
Nursing Dedicated and Professional Fund - 0258	1,200,000	1,177,645	14,291	1,191,936	-	8,064
Long-Term Care Monitor/Receiver Fund - 0285	14,400,000	9,742,407	1,499,015	11,241,422	-	3,158,578
Home Care Services Agency Licensure Fund - 0287	950,000	796,602	89,848	886,450	-	63,550
Used Tire Management Fund - 0294	500,000	423,279	50,665	473,944	-	26,056
African-American HIV/AIDS Response Fund - 0326	1,500,000	-	-	-	-	1,500,000
Tattoo and Body Piercing Establishment Registration Fund - 0327	300,000	21,337	99,683	121,020	-	178,980
Public Health Laboratory Services Revolving Fund - 0340	3,000,000	1,084,711	159,488	1,244,199	-	1,755,801
Long-Term Care Provider Fund - 0345	2,000,000	1,013,008	114,621	1,127,629	-	872,371
Lead Poisoning Screening, Prevention and Abatement Fund - 0360	5,740,200	2,947,267	659,536	3,606,803	-	2,133,397
Tanning Facility Permit Fund - 0370	500,000	191,654	69,626	261,280	-	238,720
Equity in Long-Term Care Quality Fund - 0371	2,000,000	-	-	-	-	2,000,000
Plumbing Licensure and Program Fund - 0372	1,950,000	1,353,375	197,692	1,551,067	-	398,933
Regulatory Evaluation and Basic Enforcement Fund - 0388	150,000	23,933	-	23,933	-	126,067
Trauma Center Fund - 0397	7,000,000	44,762	5,084,233	5,128,995	-	1,871,005
EMS Assistance Fund - 0398	1,100,000	308,029	40,043	348,072	-	751,928
Multiple Sclerosis Research Fund - 0429	1,000,000	490,019	90,495	580,514	-	419,486
Quality of Life Endowment Fund - 0437	2,400,000	797,051	465,786	1,262,837	-	1,137,163
Autoimmune Disease Research Fund - 0469	45,000	-	-	-	-	45,000
Health Facility Plan Review Fund - 0524	1,700,000	873,908	203,705	1,077,613	-	622,387
Pesticide Control Fund - 0576	400,000	285,270	20,960	306,230	-	93,770
Hospice Fund - 0586	15,000	-	-	-	-	15,000
Prostate Cancer Research Fund - 0626	30,000	-	-	-	-	30,000

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
Appropriations for Fiscal Year 2013

Fourteen Months Ended August 31, 2013

	Appropriations (Net After Transfers)	Expenditures Through June 30, 2013	Lapse Period Expenditures July 1 to August 31, 2013	Total Expenditures	Balances Reappropriated July 1, 2013	Lapsed Balances
<u>Public Acts 97-0725, 97-0730</u>						
Death Certificate Surcharge Fund - 0635	\$ 2,500,000	\$ 1,136,632	\$ 50,836	\$ 1,187,468	\$ -	\$ 1,312,532
Illinois Adoption Registry and Medical Information Exchange Fund - 0638	125,000	-	-	-	-	125,000
Healthy Smiles Fund - 0654	250,000	225,410	10,935	236,345	-	13,655
DHS Private Resource Fund - 0690	2,533,000	259,134	95,730	354,864	-	2,178,136
Assisted Living and Shared Housing Regulatory Fund - 0702	500,000	389,154	54,584	443,738	-	56,262
Spinal Cord Injury Paralysis Cure Research Trust Fund - 0714	250,000	-	-	-	-	250,000
Tobacco Settlement Recovery Fund - 0733	12,464,600	6,916,838	4,970,195	11,887,033	-	577,567
Pet Population Control Fund - 0764	250,000	177,229	6,622	183,851	-	66,149
Private Sewage Disposal Program Fund - 0790	250,000	164,723	39,155	203,878	-	46,122
Public Health Federal Projects Fund - 0838	612,000	110,973	7,941	118,914	-	493,086
Maternal and Child Health Services Block Grant Fund - 0872	3,500,000	1,564,865	1,195,686	2,760,551	-	739,449
Preventive Health and Health Services Block Grant Fund - 0873	3,831,800	1,331,310	357,339	1,688,649	-	2,143,151
Public Health Special State Projects Fund - 0896	14,821,400	4,999,651	1,271,612	6,271,263	-	8,550,137
Metabolic Screening and Treatment Fund - 0920	17,515,500	11,499,881	2,627,743	14,127,624	-	3,387,876
Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938	100,000	85,514	7,279	92,793	-	7,207
Illinois State Podiatric Disciplinary Fund - 0954	100,000	-	-	-	-	100,000
Build Illinois Bond Fund - 0971	82,391,692	20,453,750	247,003	20,700,753	61,690,939	-
Total Fiscal Year 2013	<u>\$ 548,958,892</u>	<u>\$ 290,001,168</u>	<u>\$ 71,240,174</u>	<u>\$ 361,241,342</u>	<u>\$ 61,690,939</u>	<u>\$ 126,026,611</u>
<b>NON-APPROPRIATED FUNDS</b>						
CMS vs AFSCME Wages Trust Fund - 0168		<u>\$ 2,713,788</u>	<u>\$ 3,346</u>	<u>\$ 2,717,134</u>		
TOTAL NON-APPROPRIATED FUNDS		<u>\$ 2,713,788</u>	<u>\$ 3,346</u>	<u>\$ 2,717,134</u>		
GRAND TOTAL ALL FUNDS		<u>\$ 292,714,956</u>	<u>\$ 71,243,520</u>	<u>\$ 363,958,476</u>		

Note: Appropriations, expenditures, and lapsed balances were obtained from Comptroller records and have been reconciled to records of the Department.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
Appropriations for Fiscal Year 2012

Eighteen Months Ended December 31, 2012

	Appropriations (Net After Transfers)	Expenditures Through June 30, 2012	Lapse Period Expenditures July 1 to December 31, 2012	Total Expenditures	Balances Reappropriated July 1, 2012	Lapsed Balances
Public Acts 97-0070, 97-0076, 97-0642						
<b>APPROPRIATED FUNDS</b>						
General Revenue Fund - 0001	\$ 134,777,400	\$ 105,778,084	\$ 25,463,777	\$ 131,241,861	\$ -	\$ 3,535,539
Food and Drug Safety Fund - 0014	1,400,000	796,285	164,996	961,281	-	438,719
Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015	600,000	-	-	-	-	600,000
Fire Prevention Fund - 0047	1,123,000	978,879	144,112	1,122,991	-	9
Alzheimer's Disease Research Fund - 0060	350,000	102,570	59,703	162,273	-	187,727
Public Health Services Fund - 0063	247,463,400	118,149,335	14,906,584	133,055,919	-	114,407,481
Community Health Center Care Fund - 0113	1,000,000	454,651	74,718	529,369	-	470,631
Safe Bottled Water Fund - 0115	75,000	-	-	-	-	75,000
Facility Licensing Fund - 0118	660,000	633,283	26,717	660,000	-	-
Heartsaver AED Fund - 0135	100,000	-	-	-	-	100,000
Illinois School Asbestos Abatement Fund - 0175	952,500	674,001	176,430	850,431	-	102,069
Diabetes Research Checkoff Fund - 0198	250,000	53,757	107,513	161,270	-	88,730
Carolyn Adams Ticket for the Cure Grant Fund - 0208	3,000,000	300,000	-	300,000	-	2,700,000
Illinois Health Facilities Planning Fund - 0238	2,800,000	1,640,347	134,369	1,774,716	-	1,025,284
Emergency Public Health Fund - 0240	3,200,000	2,481,269	639,102	3,120,371	-	79,629
Public Health Water Permit Fund - 0256	100,000	15,184	26,435	41,619	-	58,381
Nursing Dedicated and Professional Fund - 0258	1,200,000	921,288	6,101	927,389	-	272,611
Long-Term Care Monitor/Receiver Fund - 0285	14,400,000	4,094,856	862,952	4,957,808	-	9,442,192
Home Care Services Agency Licensure Fund - 0287	750,000	701,797	48,203	750,000	-	-
Used Tire Management Fund - 0294	500,000	378,665	48,372	427,037	-	72,963
African-American HIV/AIDS Response Fund - 0326	1,500,000	-	-	-	-	1,500,000
Tattoo and Body Piercing Establishment Registration Fund - 0327	300,000	25,300	85,688	110,988	-	189,012
Public Health Laboratory Services Revolving Fund - 0340	1,500,000	591,002	17,310	608,312	-	891,688
Long-Term Care Provider Fund - 0345	2,000,000	1,624,144	374,624	1,998,768	-	1,232
Lead Poisoning Screening, Prevention and Abatement Fund - 0360	5,240,200	2,526,093	233,154	2,759,247	-	2,480,953
Tanning Facility Permit Fund - 0370	500,000	63,200	53,040	116,240	-	383,760
Equity in Long-Term Care Quality Fund - 0371	2,000,000	-	-	-	-	2,000,000
Plumbing Licensure and Program Fund - 0372	1,950,000	1,531,153	176,406	1,707,559	-	242,441
End Stage Renal Disease Facility Fund - 0381	385,000	-	-	-	-	385,000
Regulatory Evaluation and Basic Enforcement Fund - 0388	150,000	19,982	1,012	20,994	-	129,006
Trauma Center Fund - 0397	7,000,000	104,551	4,275,931	4,380,482	-	2,619,518
EMS Assistance Fund - 0398	300,000	129,218	10,038	139,256	-	160,744
Multiple Sclerosis Research Fund - 0429	1,000,000	219,618	(60,615)	159,003	-	840,997
Quality of Life Endowment Fund - 0437	1,400,000	819,629	359,732	1,179,361	-	220,639
Autoimmune Disease Research Fund - 0469	40,000	-	-	-	-	40,000
Health Facility Plan Review Fund - 0524	1,700,000	1,603,426	96,460	1,699,886	-	114
Pesticide Control Fund - 0576	300,000	297,815	2,184	299,999	-	1
Hospice Fund - 0586	10,000	-	-	-	-	10,000
Prostate Cancer Research Fund - 0626	30,000	-	-	-	-	30,000
Death Certificate Surcharge Fund - 0635	2,500,000	858,822	210,988	1,069,810	-	1,430,190

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
Appropriations for Fiscal Year 2012

Eighteen Months Ended December 31, 2012

	Appropriations (Net After Transfers)	Expenditures Through June 30, 2012	Lapse Period Expenditures July 1 to December 31, 2012	Total Expenditures	Balances Reappropriated July 1, 2012	Lapsed Balances
Public Acts 97-0070, 97-0076, 97-0642						
Healthy Smiles Fund - 0654	\$ 250,000	\$ 79,413	\$ 31,705	\$ 111,118	\$ -	\$ 138,882
DHS Private Resource Fund - 0690	2,700,000	124,763	50,513	175,276	-	2,524,724
Assisted Living and Shared Housing Regulatory Fund - 0702	325,000	324,881	118	324,999	-	1
Spinal Cord Injury Paralysis Cure Research Trust Fund - 0714	250,000	-	-	-	-	250,000
Tobacco Settlement Recovery Fund - 0733	15,000,000	7,908,735	4,514,349	12,423,084	-	2,576,916
Pet Population Control Fund - 0764	250,000	195,862	53,872	249,734	-	266
Performance-Enhancing Substance Testing Fund - 0784	250,000	-	-	-	-	250,000
Private Sewage Disposal Program Fund - 0790	150,000	65,701	8,068	73,769	-	76,231
Public Health Federal Projects Fund - 0838	612,000	158,513	14,129	172,642	-	439,358
Maternal and Child Health Services Block Grant Fund - 0872	5,100,000	1,939,604	839,156	2,778,760	-	2,321,240
Preventive Health and Health Services Block Grant Fund - 0873	3,831,800	1,162,276	453,862	1,616,138	-	2,215,662
Public Health Special State Projects Fund - 0896	14,721,400	6,525,851	1,794,655	8,320,506	-	6,400,894
Metabolic Screening and Treatment Fund - 0920	17,515,500	11,117,570	1,780,270	12,897,840	-	4,617,660
Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938	100,000	74,309	7,843	82,152	-	17,848
Illinois State Podiatric Disciplinary Fund - 0954	100,000	95,867	(2,490)	93,377	-	6,623
Build Illinois Bond Fund - 0971	154,923,226	72,531,535	-	72,531,535	82,391,691	-
Total Fiscal Year 2012	<u>\$ 660,585,426</u>	<u>\$ 350,873,084</u>	<u>\$ 58,272,086</u>	<u>\$ 409,145,170</u>	<u>\$ 82,391,691</u>	<u>\$ 169,048,565</u>

Note: Appropriations, expenditures, and lapsed balances were obtained from Comptroller records and have been reconciled to records of the Department.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>APPROPRIATED FUNDS</b>			
<b>General Revenue Fund - 0001</b>			
Appropriations (net after transfers)	\$ 125,415,000	\$ 134,777,400	\$ 141,003,900
Expenditures			
Personal services	37,701,729	38,325,820	-
Contribution to social security	2,791,039	2,868,339	-
Contractual services	7,317,608	7,573,918	-
Travel	946,588	1,002,845	-
Commodities	223,063	348,753	-
Printing	118,164	111,694	-
Equipment	761	2,493	-
Electronic data processing	430,986	460,281	-
Telecommunications services	588,391	577,942	-
Operation of automotive equipment	23,835	34,646	-
Lump sums and other purposes	43,922,705	49,077,613	82,389,200
Lump sums, operations	2,766,527	3,533,068	51,230,964
Interfund cash transfers	700,000	700,000	-
Awards and grants	6,442,114	9,315,763	-
Medical services, payments to providers	365,320	368,490	-
Grants to local governments	17,098,500	16,927,500	-
Other refunds	13,856	12,696	-
Total expenditures	121,451,186	131,241,861	133,620,164
Lapsed balances	3,963,814	3,535,539	7,383,736
<b>Food and Drug Safety Fund - 0014</b>			
Appropriations (net after transfers)	1,400,000	1,400,000	1,400,000
Expenditures			
Lump sums and other purposes	1,373,508	961,281	1,028,513
Total expenditures	1,373,508	961,281	1,028,513
Lapsed balances	26,492	438,719	371,487
<b>Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015</b>			
Appropriations (net after transfers)	600,000	600,000	600,000
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	600,000	600,000	600,000
<b>Fire Prevention Fund - 0047</b>			
Appropriations (net after transfers)	830,000	1,123,000	1,123,000
Expenditures			
Lump sums and other purposes	785,421	1,122,991	1,080,280
Total expenditures	785,421	1,122,991	1,080,280
Lapsed balances	44,579	9	42,720
<b>Alzheimer's Disease Research Fund - 0060</b>			
Appropriations (net after transfers)	350,000	350,000	350,000
Expenditures			
Awards and grants	156,692	162,273	-
Total expenditures	156,692	162,273	-
Lapsed balances	193,308	187,727	350,000

STATE OF ILLINOIS  
 DEPARTMENT OF PUBLIC HEALTH  
 COMPLIANCE EXAMINATION  
 For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Public Health Services Fund - 0063</b>			
Appropriations (net after transfers)	\$ 216,103,700	\$ 247,463,400	\$ 238,498,800
Expenditures			
Personal services	14,576,627	14,146,780	13,007,064
Contribution to SERS	5,544,996	4,846,809	3,643,546
Contribution to social security	1,081,004	1,045,458	956,283
Employer contributions to group insurance	4,147,023	3,269,558	2,699,025
Contractual services	3,023,274	1,890,247	1,488,217
Travel	860,827	909,320	990,285
Commodities	468,582	1,027,342	1,310,851
Printing	15,468	899	11,255
Equipment	104,754	74,310	51,620
Telecommunications services	114,773	104,487	57,021
Operation of automotive equipment	6,795	7,137	14,396
Lump sums and other purposes	95,816,834	91,721,446	85,739,177
Lump sums, operations	437,514	451,179	385,812
Awards and grants	6,910,808	6,857,723	7,732,320
Awards and grants - lump sums	5,342,739	6,703,224	5,759,634
Total expenditures	<u>138,452,018</u>	<u>133,055,919</u>	<u>123,846,506</u>
Lapsed balances	<u>77,651,682</u>	<u>114,407,481</u>	<u>114,652,294</u>
<b>Community Health Center Care Fund - 0113</b>			
Appropriations (net after transfers)	1,000,000	1,000,000	621,200
Expenditures			
Lump sums and other purposes	425,172	529,369	525,660
Total expenditures	<u>425,172</u>	<u>529,369</u>	<u>525,660</u>
Lapsed balances	<u>574,828</u>	<u>470,631</u>	<u>95,540</u>
<b>Safe Bottled Water Fund - 0115</b>			
Appropriations (net after transfers)	75,000	75,000	15,000
Expenditures			
Lump sums and other purposes	-	-	-
Total expenditures	<u>-</u>	<u>-</u>	<u>-</u>
Lapsed balances	<u>75,000</u>	<u>75,000</u>	<u>15,000</u>
<b>Facility Licensing Fund - 0118</b>			
Appropriations (net after transfers)	750,000	660,000	660,000
Expenditures			
Lump sums and other purposes	731,466	660,000	437,224
Total expenditures	<u>731,466</u>	<u>660,000</u>	<u>437,224</u>
Lapsed balances	<u>18,534</u>	<u>-</u>	<u>222,776</u>
<b>Heartsaver AED Fund - 0135</b>			
Appropriations (net after transfers)	310,000	100,000	-
Expenditures			
Lump sums and other purposes	58,056	-	-
Total expenditures	<u>58,056</u>	<u>-</u>	<u>-</u>
Lapsed balances	<u>251,944</u>	<u>100,000</u>	<u>-</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Illinois School Asbestos Abatement Fund - 0175</b>			
Appropriations (net after transfers)	\$ 1,000,000	\$ 952,500	\$ 952,500
Expenditures			
Lump sums and other purposes	997,270	850,431	449,321
Total expenditures	997,270	850,431	449,321
Lapsed balances	2,730	102,069	503,179
<b>Diabetes Research Checkoff Fund - 0198</b>			
Appropriations (net after transfers)	250,000	250,000	100,000
Expenditures			
Awards and grants	53,755	161,270	-
Total expenditures	53,755	161,270	-
Lapsed balances	196,245	88,730	100,000
<b>Carolyn Adams Ticket for the Cure Grant Fund - 0208</b>			
Appropriations (net after transfers)	3,000,000	3,000,000	5,500,000
Expenditures			
Awards and grants	160,920	300,000	680,013
Total expenditures	160,920	300,000	680,013
Lapsed balances	2,839,080	2,700,000	4,819,987
<b>Illinois Health Facilities Planning Fund - 0238</b>			
Appropriations (net after transfers)	2,800,000	2,800,000	1,800,000
Expenditures			
Lump sums and other purposes	1,675,629	1,774,716	1,369,338
Total expenditures	1,675,629	1,774,716	1,369,338
Lapsed balances	1,124,371	1,025,284	430,662
<b>Emergency Public Health Fund - 0240</b>			
Appropriations (net after transfers)	5,100,000	3,200,000	570,640
Expenditures			
Lump sums and other purposes	4,183,658	3,120,371	508,616
Total expenditures	4,183,658	3,120,371	508,616
Lapsed balances	916,342	79,629	62,024
<b>Public Health Water Permit Fund - 0256</b>			
Appropriations (net after transfers)	100,000	100,000	200,000
Expenditures			
Lump sums and other purposes	44,923	41,619	27,142
Total expenditures	44,923	41,619	27,142
Lapsed balances	55,077	58,381	172,858
<b>Nursing Dedicated and Professional Fund - 0258</b>			
Appropriations (net after transfers)	1,200,000	1,200,000	1,200,000
Expenditures			
Lump sums and other purposes	1,191,936	927,389	1,139,915
Total expenditures	1,191,936	927,389	1,139,915
Lapsed balances	8,064	272,611	60,085

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Long-Term Care Monitor/Receiver Fund - 0285</b>			
Appropriations (net after transfers)	\$ 14,400,000	\$ 14,400,000	\$ 2,400,000
Expenditures			
Lump sums and other purposes	11,241,422	4,957,808	1,326,898
Total expenditures	11,241,422	4,957,808	1,326,898
Lapsed balances	3,158,578	9,442,192	1,073,102
<b>Home Care Services Agency Licensure Fund - 0287</b>			
Appropriations (net after transfers)	950,000	750,000	750,000
Expenditures			
Lump sums and other purposes	886,450	750,000	729,552
Total expenditures	886,450	750,000	729,552
Lapsed balances	63,550	-	20,448
<b>Used Tire Management Fund - 0294</b>			
Appropriations (net after transfers)	500,000	500,000	500,000
Expenditures			
Lump sums and other purposes	473,944	427,037	388,867
Total expenditures	473,944	427,037	388,867
Lapsed balances	26,056	72,963	111,133
<b>African-American HIV/AIDS Response Fund - 0326</b>			
Appropriations (net after transfers)	1,500,000	1,500,000	-
Expenditures			
Awards and grants - lump sums	-	-	-
Total expenditures	-	-	-
Lapsed balances	1,500,000	1,500,000	-
<b>Tattoo and Body Piercing Establishment Registration Fund - 0327</b>			
Appropriations (net after transfers)	300,000	300,000	130,000
Expenditures			
Lump sums and other purposes	121,020	110,988	93,856
Total expenditures	121,020	110,988	93,856
Lapsed balances	178,980	189,012	36,144
<b>Public Health Laboratory Services Revolving Fund - 0340</b>			
Appropriations (net after transfers)	3,000,000	1,500,000	1,500,000
Expenditures			
Lump sums and other purposes	1,244,199	608,312	171,721
Total expenditures	1,244,199	608,312	171,721
Lapsed balances	1,755,801	891,688	1,328,279
<b>Long-Term Care Provider Fund - 0345</b>			
Appropriations (net after transfers)	2,000,000	2,000,000	2,000,000
Expenditures			
Lump sums and other purposes	1,127,629	1,998,768	1,199,071
Total expenditures	1,127,629	1,998,768	1,199,071
Lapsed balances	872,371	1,232	800,929

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Lead Poisoning Screening, Prevention and Abatement Fund - 0360</b>			
Appropriations (net after transfers)	\$ 5,740,200	\$ 5,240,200	\$ 3,640,200
Expenditures			
Lump sums and other purposes	3,400,219	2,373,863	1,639,790
Awards and grants	206,584	385,384	616,708
Total expenditures	3,606,803	2,759,247	2,256,498
Lapsed balances	2,133,397	2,480,953	1,383,702
<b>Tanning Facility Permit Fund - 0370</b>			
Appropriations (net after transfers)	500,000	500,000	58,800
Expenditures			
Lump sums and other purposes	261,280	116,240	58,731
Total expenditures	261,280	116,240	58,731
Lapsed balances	238,720	383,760	69
<b>Equity in Long-Term Care Quality Fund - 0371</b>			
Appropriations (net after transfers)	2,000,000	2,000,000	2,500,000
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	2,000,000	2,000,000	2,500,000
<b>Plumbing Licensure and Program Fund - 0372</b>			
Appropriations (net after transfers)	1,950,000	1,950,000	1,950,000
Expenditures			
Lump sums and other purposes	1,551,067	1,707,559	1,301,930
Total expenditures	1,551,067	1,707,559	1,301,930
Lapsed balances	398,933	242,441	648,070
<b>End Stage Renal Disease Facility Fund - 0381</b>			
Appropriations (net after transfers)	-	385,000	385,000
Expenditures			
Lump sums and other purposes	-	-	-
Total expenditures	-	-	-
Lapsed balances	-	385,000	385,000
<b>Regulatory Evaluation and Basic Enforcement Fund - 0388</b>			
Appropriations (net after transfers)	150,000	150,000	120,000
Expenditures			
Lump sums and other purposes	23,933	20,994	21,285
Total expenditures	23,933	20,994	21,285
Lapsed balances	126,067	129,006	98,715
<b>Trauma Center Fund - 0397</b>			
Appropriations (net after transfers)	7,000,000	7,000,000	7,000,000
Expenditures			
Lump sums and other purposes	5,128,995	4,380,482	4,646,589
Total expenditures	5,128,995	4,380,482	4,646,589
Lapsed balances	1,871,005	2,619,518	2,353,411

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>EMS Assistance Fund - 0398</b>			
Appropriations (net after transfers)	\$ 1,100,000	\$ 300,000	\$ 10,000
Expenditures			
Lump sums and other purposes	348,072	139,256	-
Total expenditures	348,072	139,256	-
Lapsed balances	751,928	160,744	10,000
<b>Multiple Sclerosis Research Fund - 0429</b>			
Appropriations (net after transfers)	1,000,000	1,000,000	-
Expenditures			
Awards and grants	580,514	159,003	-
Total expenditures	580,514	159,003	-
Lapsed balances	419,486	840,997	-
<b>Quality of Life Endowment Fund - 0437</b>			
Appropriations (net after transfers)	2,400,000	1,400,000	1,400,000
Expenditures			
Awards and grants - lump sums	1,262,837	1,179,361	304,440
Total expenditures	1,262,837	1,179,361	304,440
Lapsed balances	1,137,163	220,639	1,095,560
<b>Autoimmune Disease Research Fund - 0469</b>			
Appropriations (net after transfers)	45,000	40,000	40,000
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	45,000	40,000	40,000
<b>Health Facility Plan Review Fund - 0524</b>			
Appropriations (net after transfers)	1,700,000	1,700,000	1,700,000
Expenditures			
Lump sums and other purposes	1,077,613	1,699,886	991,049
Total expenditures	1,077,613	1,699,886	991,049
Lapsed balances	622,387	114	708,951
<b>Pesticide Control Fund - 0576</b>			
Appropriations (net after transfers)	400,000	300,000	200,000
Expenditures			
Lump sums and other purposes	306,230	299,999	179,027
Total expenditures	306,230	299,999	179,027
Lapsed balances	93,770	1	20,973
<b>Hospice Fund - 0586</b>			
Appropriations (net after transfers)	15,000	10,000	10,000
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	15,000	10,000	10,000

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Prostate Cancer Research Fund - 0626</b>			
Appropriations (net after transfers)	\$ 30,000	\$ 30,000	\$ 30,000
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	30,000	30,000	30,000
<b>Death Certificate Surcharge Fund - 0635</b>			
Appropriations (net after transfers)	2,500,000	2,500,000	2,500,000
Expenditures			
Lump sums and other purposes	1,187,468	1,069,810	231,582
Total expenditures	1,187,468	1,069,810	231,582
Lapsed balances	1,312,532	1,430,190	2,268,418
<b>Illinois Adoption Registry and Medical Information Exchange Fund - 0638</b>			
Appropriations (net after transfers)	125,000	-	-
Expenditures			
Lump sums and other purposes	-	-	-
Total expenditures	-	-	-
Lapsed balances	125,000	-	-
<b>Healthy Smiles Fund - 0654</b>			
Appropriations (net after transfers)	250,000	250,000	500,000
Expenditures			
Lump sums and other purposes	236,345	111,118	-
Total expenditures	236,345	111,118	-
Lapsed balances	13,655	138,882	500,000
<b>DHS Private Resource Fund - 0690</b>			
Appropriations (net after transfers)	2,533,000	2,700,000	-
Expenditures			
Awards and grants - lump sums	354,864	175,276	-
Total expenditures	354,864	175,276	-
Lapsed balances	2,178,136	2,524,724	-
<b>Assisted Living and Shared Housing Regulatory Fund - 0702</b>			
Appropriations (net after transfers)	500,000	325,000	325,000
Expenditures			
Lump sums, operations	443,738	324,999	295,007
Total expenditures	443,738	324,999	295,007
Lapsed balances	56,262	1	29,993
<b>Spinal Cord Injury Paralysis Cure Research Trust Fund - 0714</b>			
Appropriations (net after transfers)	250,000	250,000	-
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	250,000	250,000	-

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Tobacco Settlement Recovery Fund - 0733</b>			
Appropriations (net after transfers)	\$ 12,464,600	\$ 15,000,000	\$ 15,000,000
Expenditures			
Awards and grants	8,113,574	9,702,527	9,610,808
Awards and grants - lump sums	3,773,459	2,720,557	1,516,079
Total expenditures	11,887,033	12,423,084	11,126,887
Lapsed balances	577,567	2,576,916	3,873,113
<b>Pet Population Control Fund - 0764</b>			
Appropriations (net after transfers)	250,000	250,000	250,000
Expenditures			
Lump sums and other purposes	183,851	249,734	218,396
Total expenditures	183,851	249,734	218,396
Lapsed balances	66,149	266	31,604
<b>Performance-Enhancing Substance Testing Fund - 0784</b>			
Appropriations (net after transfers)	-	250,000	-
Expenditures			
Awards and grants	-	-	-
Total expenditures	-	-	-
Lapsed balances	-	250,000	-
<b>Private Sewage Disposal Program Fund - 0790</b>			
Appropriations (net after transfers)	250,000	150,000	150,000
Expenditures			
Lump sums and other purposes	203,878	73,769	111,901
Total expenditures	203,878	73,769	111,901
Lapsed balances	46,122	76,231	38,099
<b>Public Health Federal Projects Fund - 0838</b>			
Appropriations (net after transfers)	612,000	612,000	612,000
Expenditures			
Lump sums and other purposes	118,914	172,642	118,359
Total expenditures	118,914	172,642	118,359
Lapsed balances	493,086	439,358	493,641
<b>Maternal and Child Health Services Block Grant Fund - 0872</b>			
Appropriations (net after transfers)	3,500,000	5,100,000	5,100,000
Expenditures			
Lump sums, operations	135,589	145,626	140,967
Awards and grants	2,624,962	2,633,134	2,686,244
Total expenditures	2,760,551	2,778,760	2,827,211
Lapsed balances	739,449	2,321,240	2,272,789

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Preventive Health and Health Services Block Grant Fund - 0873</b>			
Appropriations (net after transfers)	\$ 3,831,800	\$ 3,831,800	\$ 3,831,800
Expenditures			
Lump sums and other purposes	1,402,018	1,464,075	1,668,308
Awards and grants - lump sums	286,631	152,063	228,095
Total expenditures	1,688,649	1,616,138	1,896,403
Lapsed balances	2,143,151	2,215,662	1,935,397
<b>Public Health Special State Projects Fund - 0896</b>			
Appropriations (net after transfers)	14,821,400	14,721,400	14,421,400
Expenditures			
Lump sums and other purposes	4,450,481	5,647,180	4,336,156
Lump sums, operations	1,820,782	2,673,326	2,589,364
Total expenditures	6,271,263	8,320,506	6,925,520
Lapsed balances	8,550,137	6,400,894	7,495,880
<b>Metabolic Screening and Treatment Fund - 0920</b>			
Appropriations (net after transfers)	17,515,500	17,515,500	16,315,500
Expenditures			
Lump sums and other purposes	7,889,523	6,600,586	6,563,518
Lump sums, operations	2,049,455	1,992,819	1,990,952
Awards and grants	2,206,682	2,315,638	2,222,712
Medical and food supplies for free distribution	1,981,964	1,988,797	1,846,800
Total expenditures	14,127,624	12,897,840	12,623,982
Lapsed balances	3,387,876	4,617,660	3,691,518
<b>Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938</b>			
Appropriations (net after transfers)	100,000	100,000	135,000
Expenditures			
Lump sums and other purposes	92,793	82,152	59,502
Total expenditures	92,793	82,152	59,502
Lapsed balances	7,207	17,848	75,498
<b>Illinois State Podiatric Disciplinary Fund - 0954</b>			
Appropriations (net after transfers)	100,000	100,000	100,000
Expenditures			
Lump sums and other purposes	-	93,377	78,061
Total expenditures	-	93,377	78,061
Lapsed balances	100,000	6,623	21,939
<b>Build Illinois Bond Fund - 0971</b>			
Appropriations (net after transfers)	82,391,692	154,923,226	76,729,228
Expenditures			
Awards and grants	19,361,898	71,615,375	-
Awards and grants - lump sums	1,338,855	916,160	76,774
Total expenditures	20,700,753	72,531,535	76,774
Reappropriations	61,690,939	82,391,691	76,652,454
Lapsed balances	-	-	-

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES

For the Years Ended June 30,

	2013	2012	2011
	P.A. 97-0725 P.A. 97-0730	P.A. 97-0070 P.A. 97-0076 P.A. 97-0642	P.A. 96-0819 P.A. 96-0956 Gov. Disc. Approp.
<b>Total - All Appropriated Funds</b>			
Appropriations (net after transfers)	\$ 548,958,892	\$ 660,585,426	\$ 556,888,968
Expenditures	361,241,342	409,145,170	314,971,791
Reappropriations	61,690,939	82,391,691	76,652,454
Lapsed balances	\$ 126,026,611	\$ 169,048,565	\$ 165,264,723
<b>NON-APPROPRIATED FUNDS</b>			
<b>CMS vs AFSCME Wages Trust Fund - 0168</b>			
Expenditures			
Lump sums, operations	\$ 2,717,134	\$ -	\$ -
Total expenditures	2,717,134	-	-
<b>DHS Private Resource Fund - 0690</b>			
Expenditures			
Awards and grants - lump sums	-	-	748,313
Total expenditures	-	-	748,313
<b>Total - All Non- Appropriated Funds</b>			
Total expenditures	\$ 2,717,134	\$ -	\$ 748,313
<b>ALL FUNDS</b>			
<b>Total - All Funds</b>			
Appropriations (net after transfers)	\$ 548,958,892	\$ 660,585,426	\$ 556,888,968
Expenditures	363,958,476	409,145,170	315,720,104
Reappropriations	61,690,939	82,391,691	76,652,454
Lapsed balances	\$ 126,026,611	\$ 169,048,565	\$ 165,264,723

Note: The comparative schedule of net appropriations, expenditures, and lapsed balances does not include the State Officers' salaries paid by the Office of the Comptroller. For the years ended June 30, 2013, 2012, and 2011, State Officers' salaries were as follows:

Director	\$ 150,228	\$ 125,670	\$ 143,321
Assistant Director	42,084	127,243	121,866
Total expenditures	\$ 192,312	\$ 252,913	\$ 265,187

Note: The fiscal year 2011 expenditures and related lapsed balances do not reflect any interest payments approved for payment by the Department and submitted to the Office of the Comptroller for payment after August.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES - BY FUND

For the Years Ended June 30,

2013	2012	2011
		P.A. 96-0819
	P.A. 97-0070	P.A. 96-0956
P.A. 97-0725	P.A. 97-0076	Gov. Disc.
P.A. 97-0730	P.A. 97-0642	Approp.

**APPROPRIATED FUNDS**

	\$ 548,958,892	\$ 660,585,426	\$ 556,888,968
Appropriations (net after transfers)			
Expenditures			
General Revenue Fund - 0001	121,451,186	131,241,861	133,620,164
Food and Drug Safety Fund - 0014	1,373,508	961,281	1,028,513
Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015	-	-	-
Fire Prevention Fund - 0047	785,421	1,122,991	1,080,280
Alzheimer's Disease Research Fund - 0060	156,692	162,273	-
Public Health Services Fund - 0063	138,452,018	133,055,919	123,846,506
Community Health Center Care Fund - 0113	425,172	529,369	525,660
Safe Bottled Water Fund - 0115	-	-	-
Facility Licensing Fund - 0118	731,466	660,000	437,224
Heartsaver AED Fund - 0135	58,056	-	-
Illinois School Asbestos Abatement Fund - 0175	997,270	850,431	449,321
Diabetes Research Checkoff Fund - 0198	53,755	161,270	-
Carolyn Adams Ticket for the Cure Grant Fund - 0208	160,920	300,000	680,013
Illinois Health Facilities Planning Fund - 0238	1,675,629	1,774,716	1,369,338
Emergency Public Health Fund - 0240	4,183,658	3,120,371	508,616
Public Health Water Permit Fund - 0256	44,923	41,619	27,142
Nursing Dedicated and Professional Fund - 0258	1,191,936	927,389	1,139,915
Long-Term Care Monitor/Receiver Fund - 0285	11,241,422	4,957,808	1,326,898
Home Care Services Agency Licensure Fund - 0287	886,450	750,000	729,552
Used Tire Management Fund - 0294	473,944	427,037	388,867
African-American HIV/AIDS Response Fund - 0326	-	-	-
Tattoo and Body Piercing Establishment Registration Fund - 0327	121,020	110,988	93,856
Public Health Laboratory Services Revolving Fund - 0340	1,244,199	608,312	171,721
Long Term Care Provider Fund - 0345	1,127,629	1,998,768	1,199,071
Lead Poisoning Screening, Prevention and Abatement Fund - 0360	3,606,803	2,759,247	2,256,498
Tanning Facility Permit Fund - 0370	261,280	116,240	58,731
Equity in Long-Term Care Quality Fund - 0371	-	-	-
Plumbing Licensure and Program Fund - 0372	1,551,067	1,707,559	1,301,930
End Stage Renal Disease Facility Fund - 0381	-	-	-
Regulatory Evaluation and Basic Enforcement Fund - 0388	23,933	20,994	21,285
Trauma Center Fund - 0397	5,128,995	4,380,482	4,646,589
EMS Assistance Fund - 0398	348,072	139,256	-
Multiple Sclerosis Research Fund - 0429	580,514	159,003	-
Quality of Life Endowment Fund - 0437	1,262,837	1,179,361	304,440
Autoimmune Disease Research Fund - 0469	-	-	-
Health Facility Plan Review Fund - 0524	1,077,613	1,699,886	991,049
Pesticide Control Fund - 0576	306,230	299,999	179,027
Hospice Fund - 0586	-	-	-
Prostate Cancer Research Fund - 0626	-	-	-
Death Certificate Surcharge Fund - 0635	1,187,468	1,069,810	231,582
Illinois Adoption Registry and Medical Information Exchange Fund - 0638	-	-	-
Healthy Smiles Fund - 0654	236,345	111,118	-
DHS Private Resource Fund - 0690	354,864	175,276	-
Assisted Living and Shared Housing Regulatory Fund - 0702	443,738	324,999	295,007
Spinal Cord Injury Paralysis Cure Research Trust Fund - 0714	-	-	-
Tobacco Settlement Recovery Fund - 0733	11,887,033	12,423,084	11,126,887
Pet Population Control Fund - 0764	183,851	249,734	218,396
Performance-Enhancing Substance Testing Fund - 0784	-	-	-

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES - BY FUND

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
		P.A. 97-0070	P.A. 96-0819
	P.A. 97-0725	P.A. 97-0076	P.A. 96-0956
	P.A. 97-0730	P.A. 97-0642	Gov. Disc. Approp.
Private Sewage Disposal Program Fund - 0790	\$ 203,878	\$ 73,769	\$ 111,901
Public Health Federal Projects Fund - 0838	118,914	172,642	118,359
Maternal and Child Health Services Block Grant Fund - 0872	2,760,551	2,778,760	2,827,211
Preventive Health and Health Services Block Grant Fund - 0873	1,688,649	1,616,138	1,896,403
Public Health Special State Projects Fund - 0896	6,271,263	8,320,506	6,925,520
Metabolic Screening and Treatment Fund - 0920	14,127,624	12,897,840	12,623,982
Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938	92,793	82,152	59,502
Illinois State Podiatric Disciplinary Fund - 0954	-	93,377	78,061
Build Illinois Bond Fund - 0971	20,700,753	72,531,535	76,774
<b>Total - All Appropriated Funds</b>			
Expenditures	<u>361,241,342</u>	<u>409,145,170</u>	<u>314,971,791</u>
Reappropriations	<u>61,690,939</u>	<u>82,391,691</u>	<u>76,652,454</u>
Lapsed balances	<u>\$ 126,026,611</u>	<u>\$ 169,048,565</u>	<u>\$ 165,264,723</u>
<b>NON-APPROPRIATED FUNDS</b>			
Expenditures			
CMS vs AFSCME Wages Trust Fund - 0168	\$ 2,717,134	\$ -	\$ -
DHS Private Resource Fund - 0690	-	-	748,313
<b>Total - All Non-Appropriated Funds</b>			
Expenditures	<u>\$ 2,717,134</u>	<u>\$ -</u>	<u>\$ 748,313</u>
<b>ALL FUNDS</b>			
<b>Total - All Funds</b>			
Expenditures	<u>\$ 363,958,476</u>	<u>\$ 409,145,170</u>	<u>\$ 315,720,104</u>
Reappropriations	<u>61,690,939</u>	<u>82,391,691</u>	<u>76,652,454</u>
Lapsed balances	<u>\$ 126,026,611</u>	<u>\$ 169,048,565</u>	<u>\$ 165,264,723</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF RECEIPTS, DISBURSEMENTS  
AND FUND BALANCE (CASH BASIS) - LOCALLY HELD FUND

For the Years Ended June 30,

<u>Vital Records Refund Account - Fund 1322</u>	<u>2013</u>	<u>2012</u>
Balance, beginning of year	\$ -	\$ -
Total Deposits and Additions	330	621
Total Checks and Deductions	<u>330</u>	<u>621</u>
Balance, end of year	<u>\$ -</u>	<u>\$ -</u>

The Vital Records Refund Activity is maintained at Illini Bank and is used to issue refunds to individuals who have submitted payment and a request for a birth certificate or other records and the request cannot be fulfilled.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SCHEDULE OF CHANGES IN STATE PROPERTY

	<u>Equipment</u>	<u>Building and Building Improvements</u>	<u>Capital Lease Equipment</u>	<u>Total</u>
Balance at July 1, 2011	\$ 25,445,797	\$ -	\$ -	\$ 25,445,797
Additions	1,496,090	-	-	1,496,090
Deletions	(79,144)	-	-	(79,144)
Net Transfers	<u>(1,056,334)</u>	<u>-</u>	<u>-</u>	<u>(1,056,334)</u>
Balance at June 30, 2012	<u>\$ 25,806,409</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 25,806,409</u>
Balance at July 1, 2012	\$ 25,806,409	\$ -	\$ -	\$ 25,806,409
Additions	869,753	-	-	869,753
Deletions	(474,632)	-	-	(474,632)
Net Transfers	<u>(1,998,521)</u>	<u>-</u>	<u>-</u>	<u>(1,998,521)</u>
Balance at June 30, 2013	<u>\$ 24,203,009</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 24,203,009</u>

Note: The above schedule is derived from the property records submitted to the Office of the Comptroller which have been reconciled to Department records.

Note: The Department incorrectly reported \$83,070 as a Net Transfers-In for Buildings and Building Improvements on their fiscal year 2013 property reports to the Office of the Comptroller. This was noted as a discrepancy during the auditors' testing and removed from the Schedule of Changes in State Property. See finding 2013-007.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>General Revenue Fund - 0001</b>			
Federal Operating Grants			\$ 748,605
Consumer Product Safety Commission	\$ 1,800	\$ -	-
Health & Human Services	127,111	196,716	-
Total Federal Operating Grants	<u>128,911</u>	<u>196,716</u>	748,605
Licenses, Fees or Registrations			
Division of Vital Records	982,434	944,677	1,101,642
Baccalaureate Nursing Degree Loan Repayment	-	-	824
Life Care Facilities Act Fees	700	600	800
Smoke Free Illinois Act	-	-	7,156
Youth Camp Fees	-	-	2,475
Modular Safety Fees	-	-	28,675
Water Well License Fees	-	-	15,870
Recreational Area Fees	-	-	34,400
Salvage Warehouse Fees	-	-	11,060
Long-Term Care Directory Fees	-	-	188
Hospice Fees	-	-	69,750
Home Health Agency Fees	-	-	25,350
Ambulatory Surgical Treatment Center Fees	-	-	49,200
Health Maintenance Organization Fees	-	-	38,529
Division of Environmental Health	68,450	74,775	-
Division of Food, Drugs & Dairies	11,830	12,230	-
Health Care Facilities & Programs	218,409	187,238	-
Total Licenses, Fees or Registrations	<u>1,281,823</u>	<u>1,219,520</u>	1,385,919
Other Revenue			
Freedom of Information Act fees	-	-	5,743
Copy Charges	-	-	1,098
Jury Duty/Witness Fees	-	-	4,983
Smoke Free Illinois Act	10,388	8,350	-
Miscellaneous	47,691	19,176	11,489
Baccalaureate Nursing Degree Loan Repayment	-	97	-
Total Other Revenue	<u>58,079</u>	<u>27,623</u>	23,313

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	2013	2012	2011
<b>General Revenue Fund - 0001 - Continued</b>			
Non-Operating			
Prior Year Refund	\$ 101,207	\$ 2,296	\$ 64,983
Licenses & Fees	(300)	-	-
Total Non-Operating	<u>100,907</u>	<u>2,296</u>	<u>64,983</u>
Total General Revenue Fund	<u>1,569,720</u>	<u>1,446,155</u>	<u>2,222,820</u>
<b>Food and Drug Safety Fund - 0014</b>			
Licenses, Fees or Registrations			
Food Managers	1,284,674	1,298,072	1,258,994
Milk Licensing	36,155	35,855	38,993
Free Sales; Health Certificates	60,571	51,620	49,420
Total Licenses, Fees or Registrations	<u>1,381,400</u>	<u>1,385,547</u>	<u>1,347,407</u>
Other Revenue			
Fines, Penalties or Violations	-	676	-
Interest	3,883	2,695	2,035
Total Other Revenue	<u>3,883</u>	<u>3,371</u>	<u>2,035</u>
Total Food and Drug Safety Fund	<u>1,385,283</u>	<u>1,388,918</u>	<u>1,349,442</u>
<b>Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015</b>			
Other Revenue			
Private Organizations or Individuals	50	-	-
Total Other Revenue	<u>50</u>	<u>-</u>	<u>-</u>
Non-Operating			
Prior Year Refund	-	5,378	440
Total Non-Operating	<u>-</u>	<u>5,378</u>	<u>440</u>
Total Penny Severns Breast, Cervical and Ovarian Cancer Research Fund	<u>50</u>	<u>5,378</u>	<u>440</u>
<b>Alzheimer's Disease Research Fund - 0060</b>			
Other Revenue			
Private Organizations or Individuals	-	-	1,450
Total Other Revenue	<u>-</u>	<u>-</u>	<u>1,450</u>
Non-Operating			
Prior Year Refund	-	1,339	1,291
Total Non-Operating	<u>-</u>	<u>1,339</u>	<u>1,291</u>
Total Alzheimer's Disease Research Fund	<u>-</u>	<u>1,339</u>	<u>2,741</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Public Health Services Fund - 0063</b>			
Federal Operating Grants			\$ 136,120,666
Department of Commerce	\$ 14,947	\$ 7,473	-
Environmental Protection Agency	1,188,145	1,091,860	-
Emergency Management Agency	-	85,643	-
Health & Human Services	126,857,737	119,869,949	-
Housing & Urban Development	336,937	660,910	-
Department of Labor	183,772	116,057	-
Federal Stimulus Package	943,577	2,902,240	-
Michigan State University	207,816	81,404	-
US Environmental Protection Agency	455,334	710,397	-
Special Purpose Trust Fund	935,846	1,781,849	-
State Board of Education - Federal Department of Agriculture	135,000	138,000	-
DHS - Fed Projects Fund	43,750	-	-
Total Federal Operating Grants	<u>131,302,861</u>	<u>127,445,782</u>	<u>136,120,666</u>
Other Revenue			
Fines, Penalties or Violations	689,579	658,653	-
Pharmaceutical Rebates	3,936,463	2,548,062	-
Total Other Revenue	<u>4,626,042</u>	<u>3,206,715</u>	<u>-</u>
Non-Operating			
Prior Year Refund	69,200	540,426	180,315
Prior Year Warrant Voids	9,315	14,682	-
Federal Government	2,860	-	-
Total Non-Operating	<u>81,375</u>	<u>555,108</u>	<u>180,315</u>
Total Public Health Services Fund	<u>136,010,278</u>	<u>131,207,605</u>	<u>136,300,981</u>
<b>Community Health Center Care Fund - 0113</b>			
Other Revenue			
Residency Scholarship Collections	-	-	290,911
Family Practice Scholarships	239,642	321,745	-
Total Other Revenue	<u>239,642</u>	<u>321,745</u>	<u>290,911</u>
Non-Operating			
Prior Year Refund	-	16,666	-
Total Non-Operating	<u>-</u>	<u>16,666</u>	<u>-</u>
Total Community Health Center Care Fund	<u>239,642</u>	<u>338,411</u>	<u>290,911</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	2013	2012	2011
<b>Safe Bottled Water Fund - 0115</b>			
Licenses, Fees or Registrations			
Fees and Licenses	\$ -	\$ -	\$ 26,650
Safe Bottled Water Act Fees	25,800	26,950	-
Total Licenses, Fees or Registrations	<u>25,800</u>	<u>26,950</u>	<u>26,650</u>
Total Safe Bottled Water Fund	<u>25,800</u>	<u>26,950</u>	<u>26,650</u>
<b>Facility Licensing Fund - 0118</b>			
Licenses, Fees or Registrations			
Original & Renewal License	2,800	3,100	-
Migrant Camp	-	-	3,600
Swimming Facilities	1,131,931	159,475	224,473
Manufactured Home License	57,174	65,700	76,387
Mobile Home Park Spaces	257,456	277,067	254,269
Total Licenses, Fees or Registrations	<u>1,449,361</u>	<u>505,342</u>	<u>558,729</u>
Other Revenue			
Swimming Facilities	264,292	559,450	-
Total Other Revenue	<u>264,292</u>	<u>559,450</u>	<u>-</u>
Non-Operating			
Prior Year Refund	300	-	-
Total Non-Operating	<u>300</u>	<u>-</u>	<u>-</u>
Total Facility Licensing Fund	<u>1,713,953</u>	<u>1,064,792</u>	<u>558,729</u>
<b>CMS vs AFSCME Wages Trust Fund - 0168</b>			
Other Revenue			
General Revenue Fund	886,431	-	-
Other State Fund	829,870	-	-
Federal Fund	1,164,720	-	-
Total Other Revenue	<u>2,881,021</u>	<u>-</u>	<u>-</u>
Total CMS vs AFSCME Wages Trust Fund	<u>2,881,021</u>	<u>-</u>	<u>-</u>
<b>Illinois School Asbestos Abatement Fund - 0175</b>			
Licenses, Fees or Registrations			
Asbestos fees	-	-	516,681
Asbestos Removal - Personnel	499,990	516,138	-
Total Licenses, Fees or Registrations	<u>499,990</u>	<u>516,138</u>	<u>516,681</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	2013	2012	2011
<b>Illinois School Asbestos Abatement Fund - 0175 - Continued</b>			
Other Revenue			
Asbestos Fines	\$ -	\$ -	\$ 331,276
Fines, Penalties or Violations	355,482	615,520	-
Total Other Revenue	<u>355,482</u>	<u>615,520</u>	<u>331,276</u>
Non-Operating			
Prior Year Refund	-	-	31,936
Total Non-Operating	<u>-</u>	<u>-</u>	<u>31,936</u>
Total Illinois School Asbestos Abatement Fund	<u>855,472</u>	<u>1,131,658</u>	<u>879,893</u>
<b>Carolyn Adams Ticket for the Cure Grant Fund - 0208</b>			
Non-Operating			
Interest	7,767	4,472	4,032
Total Non-Operating	<u>7,767</u>	<u>4,472</u>	<u>4,032</u>
Total Carolyn Adams Ticket for the Cure Grant Fund	<u>7,767</u>	<u>4,472</u>	<u>4,032</u>
<b>Illinois Health Facilities Planning Fund - 0238</b>			
Licenses, Fees or Registrations			
Certification of Need	2,310,926	3,518,327	2,269,818
Total Licenses, Fees or Registrations	<u>2,310,926</u>	<u>3,518,327</u>	<u>2,269,818</u>
Total Illinois Health Facilities Planning Fund	<u>2,310,926</u>	<u>3,518,327</u>	<u>2,269,818</u>
<b>Emergency Public Health Fund - 0240</b>			
Non-Operating			
Prior Year Refund	-	1,450	6,022
Total Non-Operating	<u>-</u>	<u>1,450</u>	<u>6,022</u>
Total Emergency Public Health Fund	<u>-</u>	<u>1,450</u>	<u>6,022</u>
<b>Public Health Water Permit Fund - 0256</b>			
Licenses, Fees or Registrations			
Water Permit	74,670	51,245	32,700
Total Licenses, Fees or Registrations	<u>74,670</u>	<u>51,245</u>	<u>32,700</u>
Total Public Health Water Permit Fund	<u>74,670</u>	<u>51,245</u>	<u>32,700</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Nursing Dedicated and Professional Fund - 0258</b>			
Non-Operating			
Prior Year Refund	\$ 18,663	\$ -	\$ -
Total Non-Operating	<u>18,663</u>	<u>-</u>	<u>-</u>
Total Nursing Dedicated and Professional Fund	<u>18,663</u>	<u>-</u>	<u>-</u>
<b>Long-Term Care Monitor/Receiver Fund - 0285</b>			
Licenses, Fees or Registrations			
Long Term Care Fees	-	-	1,696,975
Long Term Care	1,803,693	1,653,617	-
Total Licenses, Fees or Registrations	<u>1,803,693</u>	<u>1,653,617</u>	<u>1,696,975</u>
Other Revenue			
Long Term Care Fines	-	-	1,276,195
Long Term Care	1,153,053	937,553	-
Total Other Revenue	<u>1,153,053</u>	<u>937,553</u>	<u>1,276,195</u>
Total Long-Term Care Monitor/Receiver Fund	<u>2,956,746</u>	<u>2,591,170</u>	<u>2,973,170</u>
<b>Home Care Services Agency Licensure Fund - 0287</b>			
Licenses, Fees or Registrations			
Licenses, Fees or Registrations	1,074,675	946,725	882,975
Total Licenses, Fees or Registrations	<u>1,074,675</u>	<u>946,725</u>	<u>882,975</u>
Total Home Care Services Agency Licensure Fund	<u>1,074,675</u>	<u>946,725</u>	<u>882,975</u>
<b>Tattoo and Body Piercing Establishment Registration Fund - 0327</b>			
Licenses, Fees or Registrations			
Tattoo & Body Piercing Establishments	244,670	217,950	197,700
Total Licenses, Fees or Registrations	<u>244,670</u>	<u>217,950</u>	<u>197,700</u>
Total Tattoo and Body Piercing Establishment Registration Fund	<u>244,670</u>	<u>217,950</u>	<u>197,700</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Public Health Laboratory Services Revolving Fund - 0340</b>			
Licenses, Fees or Registrations			
Laboratory Fees	\$ 2,957,484	\$ 598,951	\$ 590,361
Total Licenses, Fees or Registrations	<u>2,957,484</u>	<u>598,951</u>	<u>590,361</u>
Non-Operating			
Prior Year Refund	-	144	-
Prior Year Warrant Voids	-	(232)	-
Interest	3,949	1,052	807
Total Non-Operating	<u>3,949</u>	<u>964</u>	<u>807</u>
Total Public Health Laboratory Services Revolving Fund	<u>2,961,433</u>	<u>599,915</u>	<u>591,168</u>
<b>Lead Poisoning Screening, Prevention and Abatement Fund - 0360</b>			
Licenses, Fees or Registrations			
Eligible Medicaid Children	1,100,863	1,211,361	-
Medicaid - Children	-	-	2,917,760
Laboratory Analysis	5,901	20,494	13,367
Lead Inspector Fees	306,496	334,847	373,700
Total Licenses, Fees or Registrations	<u>1,413,260</u>	<u>1,566,702</u>	<u>3,304,827</u>
Other Revenue			
General Revenue Fund	700,000	1,000,000	1,350,000
Total Other Revenue	<u>700,000</u>	<u>1,000,000</u>	<u>1,350,000</u>
Non-Operating			
Licenses & Fees	-	232	-
Total Non-Operating	<u>-</u>	<u>232</u>	<u>-</u>
Total Lead Poisoning Screening, Prevention and Abatement Fund	<u>2,113,260</u>	<u>2,566,934</u>	<u>4,654,827</u>
<b>Tanning Facility Permit Fund - 0370</b>			
Licenses, Fees or Registrations			
Tanning Facilities	186,600	210,525	219,100
Total Licenses, Fees or Registrations	<u>186,600</u>	<u>210,525</u>	<u>219,100</u>
Total Tanning Facility Permit Fund	<u>186,600</u>	<u>210,525</u>	<u>219,100</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	2013	2012	2011
<b>Equity in Long Term Care Quality Fund - 0371</b>			
Other Revenue			
Civil Penalties - Long Term Care	\$ 689,579	\$ 658,653	\$ 558,190
Total Other Revenue	<u>689,579</u>	<u>658,653</u>	<u>558,190</u>
Non-Operating			
Prior Year Refund	-	450	101,985
Interest	13,412	12,758	10,891
Total Non-Operating	<u>13,412</u>	<u>13,208</u>	<u>112,876</u>
Total Equity in Long Term Care Quality Fund	<u>702,991</u>	<u>671,861</u>	<u>671,066</u>
<b>Plumbing Licensure and Program Fund - 0372</b>			
Licenses, Fees or Registrations			
Plumbing Licensure Program	1,537,783	1,542,340	1,538,936
Total Licenses, Fees or Registrations	<u>1,537,783</u>	<u>1,542,340</u>	<u>1,538,936</u>
Other Revenue			
Plumbing Violations	24,293	38,932	32,842
Total Other Revenue	<u>24,293</u>	<u>38,932</u>	<u>32,842</u>
Non-Operating			
Prior Year Refund	-	50	-
Licenses & Fees	(4,000)	-	-
Other Revenues	4,000	-	-
Total Non-Operating	<u>-</u>	<u>50</u>	<u>-</u>
Total Plumbing Licensure and Program Fund	<u>1,562,076</u>	<u>1,581,322</u>	<u>1,571,778</u>
<b>Regulatory Evaluation and Basic Enforcement Fund - 0388</b>			
Licenses, Fees or Registrations			
Sub-Acute Care Facilities	40,900	40,900	39,800
Total Licenses, Fees or Registrations	<u>40,900</u>	<u>40,900</u>	<u>39,800</u>
Total Regulatory Evaluation and Basic Enforcement Fund	<u>40,900</u>	<u>40,900</u>	<u>39,800</u>
<b>EMS Assistance Fund - 0398</b>			
Licenses, Fees or Registrations			
EMS Ambulance Companies	12,500	-	-
EMS Ambulance Companies	566,033	206,756	212,402
Total Licenses, Fees or Registrations	<u>578,533</u>	<u>206,756</u>	<u>212,402</u>
Total EMS Assistance Fund	<u>578,533</u>	<u>206,756</u>	<u>212,402</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Multiple Sclerosis Research Fund - 0429</b>			
Non-Operating			
Interest	\$ 12,851	\$ 6,195	\$ 5,374
Total Non-Operating	<u>12,851</u>	<u>6,195</u>	<u>5,374</u>
Total Multiple Sclerosis Research Fund	<u>12,851</u>	<u>6,195</u>	<u>5,374</u>
<b>Quality of Life Endowment Fund - 0437</b>			
Non-Operating			
Interest	11,014	8,490	8,093
Total Non-Operating	<u>11,014</u>	<u>8,490</u>	<u>8,093</u>
Total Quality of Life Endowment Fund	<u>11,014</u>	<u>8,490</u>	<u>8,093</u>
<b>Autoimmune Disease Research Fund - 0469</b>			
Non-Operating			
Interest	173	182	141
Total Non-Operating	<u>173</u>	<u>182</u>	<u>141</u>
Total Autoimmune Disease Research Fund	<u>173</u>	<u>182</u>	<u>141</u>
<b>Health Facility Plan Review Fund - 0524</b>			
Licenses, Fees or Registrations			
Certificate of Need - Nursing Home	379,741	380,263	305,522
Certificate of Need - Hospital	1,591,107	1,035,332	1,237,128
Total Licenses, Fees or Registrations	<u>1,970,848</u>	<u>1,415,595</u>	<u>1,542,650</u>
Total Health Facility Plan Review Fund	<u>1,970,848</u>	<u>1,415,595</u>	<u>1,542,650</u>
<b>Pesticide Control Fund - 0576</b>			
Licenses, Fees or Registrations			
Fines and Fees	-	-	258,800
Original & Renewal License	240,355	263,941	-
Total Licenses, Fees or Registrations	<u>240,355</u>	<u>263,941</u>	<u>258,800</u>
Other Revenue			
Civil Penalties	123,846	7,289	-
Total Other Revenue	<u>123,846</u>	<u>7,289</u>	<u>-</u>
Total Pesticide Control Fund	<u>364,201</u>	<u>271,230</u>	<u>258,800</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	2013	2012	2011
<b>Death Certificate Surcharge Fund - 0635</b>			
Licenses, Fees or Registrations			
Vital Records	\$ 1,835,997	\$ 1,897,153	\$ 2,156,060
Total Licenses, Fees or Registrations	<u>1,835,997</u>	<u>1,897,153</u>	<u>2,156,060</u>
Non-Operating			
Prior Year Refund	6,441	-	-
Total Non-Operating	<u>6,441</u>	<u>-</u>	<u>-</u>
Total Death Certificate Surcharge Fund	<u>1,842,438</u>	<u>1,897,153</u>	<u>2,156,060</u>
<b>Illinois Adoption Registry and Medical Information Exchange Fund - 0638</b>			
Licenses, Fees or Registrations			
Adoption Registry	46,875	111,170	31,920
Total Licenses, Fees or Registrations	<u>46,875</u>	<u>111,170</u>	<u>31,920</u>
Total Illinois Adoption Registry and Medical Information Exchange Fund	<u>46,875</u>	<u>111,170</u>	<u>31,920</u>
<b>Healthy Smiles Fund - 0654</b>			
Other Revenue			
Private Organizations or Individuals	-	-	31,500
Total Other Revenue	<u>-</u>	<u>-</u>	<u>31,500</u>
Non-Operating			
Other Revenues	-	(31,500)	-
Total Non-Operating	<u>-</u>	<u>(31,500)</u>	<u>-</u>
Total Healthy Smiles Fund	<u>-</u>	<u>(31,500)</u>	<u>31,500</u>
<b>Assisted Living and Shared Housing Regulatory Fund - 0702</b>			
Licenses, Fees or Registrations			
Licenses, Fees or Registrations	440,370	444,079	487,920
Total Licenses, Fees or Registrations	<u>440,370</u>	<u>444,079</u>	<u>487,920</u>
Other Revenue			
Civil Penalties	40,124	18,037	-
Total Other Revenue	<u>40,124</u>	<u>18,037</u>	<u>-</u>
Non-Operating			
Interest	1,919	1,189	1,188
Total Non-Operating	<u>1,919</u>	<u>1,189</u>	<u>1,188</u>
Total Assisted Living and Shared Housing Regulatory Fund	<u>482,413</u>	<u>463,305</u>	<u>489,108</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	2013	2012	2011
<b>Tobacco Settlement Recovery Fund - 0733</b>			
Non-Operating			
Prior Year Refund	\$ 199,777	\$ 14,783	\$ 1,627
Total Non-Operating	<u>199,777</u>	<u>14,783</u>	<u>1,627</u>
Total Tobacco Settlement Recovery Fund	<u>199,777</u>	<u>14,783</u>	<u>1,627</u>
<b>Pet Population Control Fund - 0764</b>			
Other Revenue			
Circuit Clerk	15,311	13,281	16,248
Total Other Revenue	<u>15,311</u>	<u>13,281</u>	<u>16,248</u>
Total Pet Population Control Fund	<u>15,311</u>	<u>13,281</u>	<u>16,248</u>
<b>Private Sewage Disposal Program Fund - 0790</b>			
Licenses, Fees or Registrations			
Fines and Penalties	-	-	119,825
Private Sewage Disposal Program Fees	109,945	115,149	-
Total Licenses, Fees or Registrations	<u>109,945</u>	<u>115,149</u>	<u>119,825</u>
Other Revenue			
Private Sewage Disposal Program Fines	-	2,000	-
Total Other Revenue	<u>-</u>	<u>2,000</u>	<u>-</u>
Non-Operating			
Interest	502	347	-
Total Non-Operating	<u>502</u>	<u>347</u>	<u>-</u>
Total Private Sewage Disposal Program Fund	<u>110,447</u>	<u>117,496</u>	<u>119,825</u>
<b>Cemetery Oversight Licensing and Disciplinary Fund - 0792</b>			
Licenses, Fees or Registrations			
Vital Records	1,670,395	-	-
Total Licenses, Fees or Registrations	<u>1,670,395</u>	<u>-</u>	<u>-</u>
Total Cemetery Oversight Licensing and Disciplinary Fund	<u>1,670,395</u>	<u>-</u>	<u>-</u>
<b>Public Health Federal Projects Fund - 0838</b>			
Federal Operating Grants			
Health & Human Services	141,868	133,087	115,797
Total Federal Operating Grants	<u>141,868</u>	<u>133,087</u>	<u>115,797</u>
Total Public Health Federal Projects Fund	<u>141,868</u>	<u>133,087</u>	<u>115,797</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Maternal and Child Health Services Block Grant Fund - 0872</b>			
Federal Operating Grants			\$ 3,380,450
HHS Federal Block Grant	\$ 2,498,736	\$ 2,693,869	-
Total Federal Operating Grants	<u>2,498,736</u>	<u>2,693,869</u>	<u>3,380,450</u>
Total Maternal and Child Health Services Block Grant Fund	<u>2,498,736</u>	<u>2,693,869</u>	<u>3,380,450</u>
<b>Preventive Health and Health Services Block Grant Fund - 0873</b>			
Federal Operating Grants			1,517,828
HHS Federal Block Grant	1,436,301	2,306,964	-
Total Federal Operating Grants	<u>1,436,301</u>	<u>2,306,964</u>	<u>1,517,828</u>
Non-Operating			
Prior Year Refund	-	-	4,687
Total Non-Operating	<u>-</u>	<u>-</u>	<u>4,687</u>
Total Preventive Health and Health Services Block Grant Fund	<u>1,436,301</u>	<u>2,306,964</u>	<u>1,522,515</u>
<b>Public Health Special State Projects Fund - 0896</b>			
Federal Operating Grants			
Indirect Cost Reimbursement	6,081,557	5,822,381	5,841,692
Total Federal Operating Grants	<u>6,081,557</u>	<u>5,822,381</u>	<u>5,841,692</u>
Other Revenue			
Healthcare & Family Services	18,874,112	8,005,897	-
Special State Projects	-	-	3,653,951
Illinois Violence Prevention Authority	-	-	22,500
Private Organizations or Individuals	674,841	385,108	300,444
Total Other Revenue	<u>19,548,953</u>	<u>8,391,005</u>	<u>3,976,895</u>
Non-Operating			
Prior Year Refund	18,563	-	3,605
Prior Year Warrant Voids	78	-	-
Federal Government	(2,860)	-	-
Other Revenues	-	31,500	-
Total Non-Operating	<u>15,781</u>	<u>31,500</u>	<u>3,605</u>
Total Public Health Special State Projects Fund	<u>25,646,291</u>	<u>14,244,886</u>	<u>9,822,192</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

COMPARATIVE SCHEDULE OF CASH RECEIPTS

For the Years Ended June 30,

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Metabolic Screening and Treatment Fund - 0920</b>			
Licenses, Fees or Registrations			
Laboratory Analysis	\$ 14,814,060	\$ 13,624,820	\$ 13,401,003
Total Licenses, Fees or Registrations	<u>14,814,060</u>	<u>13,624,820</u>	<u>13,401,003</u>
Other Revenue			
Third Party Reimbursement	612,576	365,162	360,408
Total Other Revenue	<u>612,576</u>	<u>365,162</u>	<u>360,408</u>
Non-Operating			
Prior Year Refund	-	391	284
Total Non-Operating	<u>-</u>	<u>391</u>	<u>284</u>
Total Metabolic Screening and Treatment Fund	<u>15,426,636</u>	<u>13,990,373</u>	<u>13,761,695</u>
<b>Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938</b>			
Licenses, Fees or Registrations			
Certification - Hearing Aid Dispenser	72,235	75,810	49,900
Total Licenses, Fees or Registrations	<u>72,235</u>	<u>75,810</u>	<u>49,900</u>
Non-Operating			
Interest	80	180	131
Total Non-Operating	<u>80</u>	<u>180</u>	<u>131</u>
Total Hearing Instrument Dispenser Examining and Disciplinary Fund	<u>72,315</u>	<u>75,990</u>	<u>50,031</u>
Total All Funds	<u>\$ 211,464,019</u>	<u>\$ 187,553,307</u>	<u>\$ 189,273,191</u>
<b>All Funds - Revenue Category</b>			
Licenses, Fees or Registrations	\$ 38,062,648	\$ 32,155,252	\$ 32,869,058
Federal Operating Grants	141,590,234	138,598,799	147,725,038
Other Revenue	31,336,226	16,166,336	8,251,263
Non-Operating	<u>474,911</u>	<u>632,920</u>	<u>427,832</u>
Total All Funds	<u>\$ 211,464,019</u>	<u>\$ 187,553,307</u>	<u>\$ 189,273,191</u>

**Note:** The fiscal years 2012 and 2013 information has been presented to match the presentation of the Illinois Office of the Comptroller. The fiscal year 2011 information has been presented to match the presentation of the Compliance Examination Report for the Two Years Ended June 30, 2011 with exception of the totals for all funds by revenue category which has been presented in the same categories for each fiscal year presented in order to report comparable information.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

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

For the Year Ended June 30, 2013

Fund	Receipts per Department Records	Interest collected by the State Treasury	Deposits in-transit to the Comptroller		Adjustments due to differences in treatment	Receipts per Comptroller Records
			Beginning of Year	End of Year		
General Revenue Fund - 0001	\$ 1,569,720	\$ -	\$ 48,158	\$ (32,602)	\$ -	\$ 1,585,276
Food and Drug Safety Fund - 0014	1,385,283	(3,883)	41,150	(28,955)	-	1,393,595
Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015	50	-	-	-	-	50
Alzheimer's Disease Research Fund - 0060	-	-	-	-	-	-
Public Health Services Fund - 0063	136,010,278	-	30,553	-	-	136,040,831
Community Health Center Care Fund - 0113	239,642	-	6,005	(1,037)	-	244,610
Safe Bottled Water Fund - 0115	25,800	-	-	(300)	-	25,500
Facility Licensing Fund - 0118	1,713,953	-	2,860	(43,976)	-	1,672,837
CMS vs AFSCME Wages Trust Fund - 0168	2,881,021	-	-	-	-	2,881,021
Illinois School Asbestos Abatement Fund - 0175	855,472	-	3,265	(17,755)	-	840,982
Carolyn Adams Ticket for the Cure Grant Fund - 0208	7,767	(7,767)	-	-	-	-
Illinois Health Facilities Planning Fund - 0238	2,310,926	-	12,455	(97,160)	-	2,226,221
Emergency Public Health Fund - 0240	-	-	-	-	-	-
Public Health Water Permit Fund - 0256	74,670	-	2,200	(1,300)	-	75,570
Nursing Dedicated and Professional Fund - 0258	18,663	-	-	-	-	18,663
Long-Term Care Monitor/Receiver Fund - 0285	2,956,746	-	87,368	(90,705)	-	2,953,409
Home Care Services Agency Licensure Fund - 0287	1,074,675	-	25,875	(29,800)	-	1,070,750
Tattoo and Body Piercing Establishment Registration Fund - 0327	244,670	-	10,750	(17,150)	-	238,270
Public Health Laboratory Services Revolving Fund - 0340	2,961,433	(3,949)	521	(12)	-	2,957,993
Lead Poisoning Screening, Prevention and Abatement Fund - 0360	2,113,260	-	123,119	(1,350)	-	2,235,029
Tanning Facility Permit Fund - 0370	186,600	-	4,400	(5,000)	-	186,000
Equity in Long-Term Care Quality Fund - 0371	702,991	(13,412)	23,294	-	-	712,873
Plumbing Licensure and Program Fund - 0372	1,562,076	-	11,650	(8,440)	-	1,565,286
Regulatory Evaluation and Basic Enforcement Fund - 0388	40,900	-	1,100	-	-	42,000
EMS Assistance Fund - 0398	578,533	-	5,725	(23,167)	-	561,091
Multiple Sclerosis Research Fund - 0429	12,851	(12,851)	-	-	-	-
Quality of Life Endowment Fund - 0437	11,014	(11,014)	-	-	-	-
Autoimmune Disease Research Fund - 0469	173	(173)	-	-	-	-
Health Facility Plan Review Fund - 0524	1,970,848	-	7,800	(46,323)	-	1,932,325
Pesticide Control Fund - 0576	364,201	-	1,275	(4,900)	-	360,576
Death Certificate Surcharge Fund - 0635	1,842,438	-	31,276	(104,940)	-	1,768,774
Illinois Adoption Registry and Medical Information Exchange Fund - 0638	46,875	-	6,735	(480)	-	53,130
Healthy Smiles Fund - 0654	-	-	-	-	-	-
Assisted Living and Shared Housing Regulatory Fund - 0702	482,413	(1,919)	11,009	(17,820)	-	473,683
Tobacco Settlement Recovery Fund - 0733	199,777	-	-	-	-	199,777
Pet Population Control Fund - 0764	15,311	-	-	-	-	15,311

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

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

For the Year Ended June 30, 2013

Fund	Receipts per Department Records	Interest collected by the State Treasury	Deposits in-transit to the Comptroller		Adjustments due to differences in treatment	Receipts per Comptroller Records
			Beginning of Year	End of Year		
Private Sewage Disposal Program Fund - 0790	\$ 110,447	\$ (502)	\$ 420	\$ (585)	\$ -	\$ 109,780
Cemetery Oversight Licensing and Disciplinary Fund - 0792	1,670,395	-	-	(104,940)	-	1,565,455
Public Health Federal Projects Fund - 0838	141,868	-	-	-	-	141,868
Maternal and Child Health Services Block Grant Fund - 0872	2,498,736	-	-	-	-	2,498,736
Preventive Health and Health Services Block Grant Fund - 0873	1,436,301	-	-	-	-	1,436,301
Public Health Special State Projects Fund - 0896	25,646,291	-	31,730	(4,830)	-	25,673,191
Metabolic Screening and Treatment Fund - 0920	15,426,636	-	180,654	(257,514)	-	15,349,776
Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938	72,315	(80)	3,280	(2,460)	-	73,055
Total Fiscal Year 2013	<u>\$ 211,464,019</u>	<u>\$ (55,550)</u>	<u>\$ 714,627</u>	<u>\$ (943,501)</u>	<u>\$ -</u>	<u>\$ 211,179,595</u>

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

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

For the Year Ended June 30, 2012

Fund	Receipts per Department Records	Interest collected by the State Treasury	Deposits in-transit to the Comptroller		Adjustments due to differences in treatment *	Receipts per Comptroller Records
			Beginning of Year	End of Year		
General Revenue Fund - 0001	\$ 1,446,155	\$ -	\$ 44,068	\$ (48,158)	\$ -	\$ 1,442,065
Food and Drug Safety Fund - 0014	1,388,918	(2,695)	28,001	(41,150)	-	1,373,074
Penny Severns Breast, Cervical and Ovarian Cancer Research Fund - 0015	5,378	-	-	-	-	5,378
Alzheimer's Disease Research Fund - 0060	1,339	-	-	-	-	1,339
Public Health Services Fund - 0063	131,207,605	-	220,012	(30,553)	-	131,397,064
Community Health Center Care Fund - 0113	338,411	-	-	(6,005)	-	332,406
Safe Bottled Water Fund - 0115	26,950	-	350	-	-	27,300
Facility Licensing Fund - 0118	1,064,792	-	2,574	(2,860)	-	1,064,506
Illinois School Asbestos Abatement Fund - 0175	1,131,658	-	7,400	(3,265)	-	1,135,793
Carolyn Adams Ticket for the Cure Grant Fund - 0208	4,472	(4,472)	-	-	-	-
Illinois Health Facilities Planning Fund - 0238	3,518,327	-	2,500	(12,455)	-	3,508,372
Emergency Public Health Fund - 0240	1,450	-	-	-	-	1,450
Public Health Water Permit Fund - 0256	51,245	-	500	(2,200)	-	49,545
Long-Term Care Monitor/Receiver Fund - 0285	2,591,170	-	31,298	(87,368)	-	2,535,100
Home Care Services Agency Licensure Fund - 0287	946,725	-	9,000	(25,875)	-	929,850
Tattoo and Body Piercing Establishment Registration Fund - 0327	217,950	-	16,400	(10,750)	-	223,600
Public Health Laboratory Services Revolving Fund - 0340	599,915	(1,052)	58,427	(521)	-	656,769
Lead Poisoning Screening, Prevention and Abatement Fund - 0360	2,566,934	-	11,321	(123,119)	(232)	2,454,904
Tanning Facility Permit Fund - 0370	210,525	-	5,700	(4,400)	-	211,825
Equity in Long-Term Care Quality Fund - 0371	671,861	(12,758)	7,500	(23,294)	-	643,309
Plumbing Licensure and Program Fund - 0372	1,581,322	-	9,626	(11,650)	-	1,579,298
Regulatory Evaluation and Basic Enforcement Fund - 0388	40,900	-	1,100	(1,100)	-	40,900
EMS Assistance Fund - 0398	206,756	-	1,450	(5,725)	-	202,481
Multiple Sclerosis Research Fund - 0429	6,195	(6,195)	-	-	-	-
Quality of Life Endowment Fund - 0437	8,490	(8,490)	-	-	-	-
Autoimmune Disease Research Fund - 0469	182	(182)	-	-	-	-
Health Facility Plan Review Fund - 0524	1,415,595	-	74,991	(7,800)	-	1,482,786
Pesticide Control Fund - 0576	271,230	-	1,215	(1,275)	-	271,170
Death Certificate Surcharge Fund - 0635	1,897,153	-	21,086	(31,276)	-	1,886,963
Illinois Adoption Registry and Medical Information Exchange Fund - 0638	111,170	-	400	(6,735)	-	104,835
Healthy Smiles Fund - 0654	(31,500)	-	-	-	-	(31,500)
Assisted Living and Shared Housing Regulatory Fund - 0702	463,305	(1,189)	4,670	(11,009)	-	455,777
Tobacco Settlement Recovery Fund - 0733	14,783	-	-	-	-	14,783
Pet Population Control Fund - 0764	13,281	-	-	-	-	13,281
Private Sewage Disposal Program Fund - 0790	117,496	(347)	300	(420)	-	117,029

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

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

For the Year Ended June 30, 2012

Fund	Receipts per Department Records	Interest collected by the State Treasury	Deposits in-transit to the Comptroller		Adjustments due to differences in treatment *	Receipts per Comptroller Records
			Beginning of Year	End of Year		
Public Health Federal Projects Fund - 0838	\$ 133,087	\$ -	\$ -	\$ -	\$ -	\$ 133,087
Maternal and Child Health Services Block Grant Fund - 0872	2,693,869	-	-	-	-	2,693,869
Preventive Health and Health Services Block Grant Fund - 0873	2,306,964	-	-	-	-	2,306,964
Public Health Special State Projects Fund - 0896	14,244,886	-	12,870	(31,730)	-	14,226,026
Metabolic Screening and Treatment Fund - 0920	13,990,373	-	420,420	(180,654)	-	14,230,139
Hearing Instrument Dispenser Examining and Disciplinary Fund - 0938	75,990	(180)	1,283	(3,280)	-	73,813
Total Fiscal Year 2012	<u>\$ 187,553,307</u>	<u>\$ (37,560)</u>	<u>\$ 994,462</u>	<u>\$ (714,627)</u>	<u>\$ (232)</u>	<u>\$ 187,795,350</u>

\* Amount was recorded incorrectly in June 2011 to Fund 0340 instead of Fund 0360. Amount was subsequently reversed in August of 2012. It is subtracted to properly reflect the cash was received in 2011.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES

The Department of Public Health's (Department) explanations for significant fluctuations in expenditures as presented in the Comparative Schedule of Appropriations, Expenditures, and Lapsed Balances are detailed below. For the purpose of this analysis, a significant fluctuation is defined as a variation that equaled or exceeded \$250,000 and 10% as compared to the prior year.

**Variance 2011 to 2012**

Illinois School Asbestos Abatement Fund – 0175

Increase of \$401,110 (89%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to a \$299,600 fund sweep out of the Fund authorized by Public Act 96-0044 in Fiscal Year 2010.

Carolyn Adams Ticket for the Cure Grant Fund – 0208

Decrease of \$380,013 (56%) in fiscal year 2012 was due to a \$1,200,000 fund sweep out of the Fund in fiscal year 2010 authorized by Public Act 96-0044 and \$1,018,700 "borrowed" from the Fund in fiscal year 2011 authorized by Public Act 96-0958. As a result, the Fund started fiscal year 2012 with only \$1,017 and the Office of Women's Health reduced grants based upon the low cash balance.

Illinois Health Facilities Planning Fund – 0238

Increase of \$405,378 (30%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to a \$1,392,400 fund sweep out of the Fund in fiscal year 2010 authorized by Public Act 96-0044 and \$2,463,400 "borrowed" from the Fund in fiscal year 2011 authorized by Public Act 96-0958.

Emergency Public Health Fund – 0240

Increase of \$2,611,755 (514%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to an \$875,000 fund sweep out of the Fund in fiscal year 2010 authorized by Public Act 96-0044 and \$1,966,300 "borrowed" from the Fund in fiscal year 2011 authorized by Public Act 96-0958.

Long-Term Care Monitor/Receiver Fund – 0285

Increase of \$3,690,910 (274%) in fiscal year 2012 was due to increased personal services expenditures related to an increase in long term care facility surveyors mandated by Public Act 96-1372.

Public Health Laboratory Services Revolving Fund – 0340

Increase of \$436,591 (254%) in fiscal year 2012 was due to an increase in expenditures for laboratory supplies and an increase in freight charges.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTHCOMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES - Continued

Long-Term Care Provider Fund – 0345

Increase of \$799,697 (67%) in fiscal year 2012 was due to an increase in personal services expenditures as a result of more employees paid from the Fund. In the last quarter of fiscal year 2012, employees previously paid from the Long-Term Care Monitor/Receiver Fund 0285 were moved to the Long-Term Care Provider Fund 0345 as deposits in Fund 0285 were delayed.

Lead Poisoning Screening, Prevention and Abatement Fund – 0360

Increase of \$502,749 (22%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to a \$100,000 fund sweep out of the Fund in fiscal year 2010 authorized by Public Act 96-0044 and \$1,102,500 “borrowed” from the Fund in fiscal year 2011 authorized by Public Act 96-0958.

Plumbing Licensure and Program Fund – 0372

Increase of \$405,629 (31%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to a \$1,585,600 fund sweep out of the Fund authorized by Public Act 96-0044 in Fiscal Year 2010.

Quality of Life Endowment Fund – 0437

Increase of \$874,921 (287%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were low due to \$2,116,000 “borrowed” from the Fund in fiscal year 2011 authorized by Public Act 96-0958.

Health Facility Plan Review Fund – 0524

Increase of \$708,837 (72%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to a \$1,543,600 fund sweep out of the Fund authorized by Public Act 96-0044 in Fiscal Year 2010.

Death Certificate Surcharge Fund – 0635

Increase of \$838,228 (362%) in fiscal year 2012 was due to the low level of expenditures in fiscal year 2011. Fiscal year 2011 expenditures were lower than typical due to a \$900,000 fund sweep out of the Fund in fiscal year 2010 authorized by Public Act 96-0044 and \$1,053,000 “borrowed” from the Fund in fiscal year 2011 authorized by Public Act 96-0958.

Tobacco Settlement Recovery Fund – 0733

Increase of \$1,296,197 (12%) in fiscal year 2012 was due to an increase in grants amounts related to tobacco use prevention.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES - Continued

Preventive Health and Health Services Block Grant Fund – 0873

Decrease of \$280,265 (15%) in fiscal year 2012 was due to a decrease in personal services expenditures as a result of a reduction in the Preventive Health and Health Services Block Grant.

Public Health Special State Projects Fund – 0896

Increase of \$1,394,986 (20%) in fiscal year 2012 was due to an increase in the amount paid to the Department of Central Management Services (DCMS) for facility management and statistical services charges due to General Revenue Fund cuts to operations, and also, an increase in grant payment amounts.

Build Illinois Bond Fund – 0971

Increase of \$72,454,761 (94,374%) in fiscal year 2012 was due to scheduled hospital construction grants initiated in fiscal year 2012 as part of the three year capital budget.

**Variance 2012 to 2013**

Food and Drug Safety Fund – 0014

Increase of \$412,227 (43%) in fiscal year 2013 was due to an increase in personal services expenditures as a result of more employees paid from the Fund and an increase in data center charges paid to DCMS. As part of the Department's efforts to identify resources in fiscal year 2013 to pay for the court required AFSCME back wages, certain staff were moved from being paid from General Revenue Fund 0001 to other appropriate special state funds within their respective program area.

Fire Prevention Fund – 0047

Decrease of \$337,570 (30%) in fiscal year 2013 was due to a reduction in total appropriations to the Fund from \$1,123,000 in fiscal year 2012 to \$830,000 in fiscal year 2013.

Emergency Public Health Fund – 0240

Increase of \$1,063,287 (34%) in fiscal year 2013 was due to an increase in the amount of vector control grants to local health departments as a result of the return of the \$1,966,300 "borrowed" from the Fund in fiscal year 2011.

Nursing Dedicated and Professional Fund – 0258

Increase of \$264,547 (29%) in fiscal year 2013 was due to an increase in the number of nursing scholarships applications received and awarded.

Long-Term Care Monitor/Receiver Fund – 0285

Increase of \$6,283,614 (127%) in fiscal year 2013 was due to increased personal services expenditures related to an increase in long term care facility surveyors mandated by Public Act 96-1372.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTHCOMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES - Continued

Public Health Laboratory Services Revolving Fund – 0340

Increase of \$635,887 (105%) in fiscal year 2013 was due to an increase in expenditures for laboratory supplies and an increase in personal services expenditures as a result of more employees paid from the Fund. As part of the Department's efforts to identify resources in fiscal year 2013 to pay for the court required AFSCME back wages, certain staff were moved from being paid from General Revenue Fund 0001 to other appropriate special state funds within their respective program area.

Long-Term Care Provider Fund – 0345

Decrease of \$871,139 (44%) in fiscal year 2013 was due to a decrease in personal services expenditures as a result of fewer employees paid from the Fund. In the last quarter of fiscal year 2012, employees previously paid from the Long-Term Care Monitor/Receiver Fund 0285 were moved to the Long-Term Care Provider Fund 0345 as deposits in Fund 0285 were delayed. In fiscal year 2013, the employees were moved back to being paid from Fund 0285.

Lead Poisoning Screening, Prevention and Abatement Fund – 0360

Increase of \$847,556 (31%) in fiscal year 2013 was due to an increase in the amount of grants to local health departments as a result of the return of the \$1,102,500 "borrowed" from the Fund in fiscal year 2011.

Trauma Center Fund – 0397

Increase of \$748,513 (17%) in fiscal year 2013 was due to an increase in the amount of grants issued to trauma centers.

Multiple Sclerosis Research Fund – 0429

Increase of \$421,511 (265%) in fiscal year 2013 was due to an increase in the amount of multiple sclerosis research grants.

Health Facility Plan Review Fund – 0524

Decrease of \$622,273 (37%) in fiscal year 2013 was due to a decrease in personal services expenditures as a result of fewer employees paid from the Fund as a result of staff turnover and delay in replacing positions.

Public Health Special State Projects Fund – 0896

Decrease of \$2,049,243 (25%) in fiscal year 2013 was due to a decrease in expenditures for laboratory supplies and also, a decrease in the amount of grant payments.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES - Continued

Metabolic Screening and Treatment Fund – 0920

Increase of \$1,229,784 (10%) in fiscal year 2013 was due to an increase in expenditures for laboratory supplies for the genetic screening program.

Build Illinois Bond Fund – 0971

Decrease of \$51,830,782 (71%) in fiscal year 2013 was due to a decrease in the amount of capital funds released for payment in fiscal year 2013.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS

The Department of Public Health's (Department) explanations for significant fluctuations in receipts as presented in the Comparative Schedule of Cash Receipts are detailed below. For the purpose of this analysis, a significant fluctuation is defined as a variation that equaled or exceeded \$250,000 and 10% as compared to the prior year.

**Variance 2011 to 2012**

General Revenue Fund – 0001

Decrease of \$776,665 (35%) in fiscal year 2012 was due to a decrease in reimbursements for vital records data from the U.S. Department of Health and Human Services. The fiscal year 2011 amount was higher because there were prior year reimbursements received during that year.

Facility Licensing Fund – 0118

Increase of \$506,063 (91%) in fiscal year 2012 was due to an increase in the number and amount of fines related to swimming facilities.

Illinois School Asbestos Abatement Fund – 0175

Increase of \$251,765 (29%) in fiscal year 2012 was due to an increase in the number and amount of fines related to asbestos abatement.

Illinois Health Facilities Planning Fund – 0238

Increase of \$1,248,509 (55%) in fiscal year 2012 was due to an increase in the number and amount of certificate of need fees for health facilities.

Long-Term Care Monitor/Receiver Fund – 0285

Decrease of \$382,000 (13%) in fiscal year 2012 was due to a decrease in long term care fine receipts that have a tendency to fluctuate among fiscal years due to timing.

Lead Poisoning Screening, Prevention and Abatement Fund – 0360

Decrease of \$2,087,893 (45%) in fiscal year 2012 was due to a decrease in Medicaid reimbursement payments from the Illinois Department of Healthcare and Family Services and a decrease in the amount transferred into the Fund from the General Revenue Fund.

Death Certificate Surcharge Fund – 0635

Decrease of \$258,907 (12%) in fiscal year 2012 was due to the higher than normal amount of receipts in fiscal year 2011. Fiscal year 2011 receipts included a \$262,824 payment from the City of Chicago for certificates issued from August 2008 to August 2009.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS - Continued

Maternal and Child Health Services Block Grant Fund – 0872

Decrease of \$686,581 (20%) in fiscal year 2012 was due to the timing of reimbursement requests submitted by the Department to the U.S. Department of Health and Human Services

Preventive Health and Health Services Block Grant Fund – 0873

Increase of \$784,449 (52%) in fiscal year 2012 was due to the timing of reimbursement requests submitted by the Department to the U.S. Department of Health and Human Services.

Public Health Special State Projects Fund – 0896

Increase of \$4,422,694 (45%) in fiscal year 2012 was due to an increase in the amount of funding for vaccines received from the Illinois Department of Healthcare and Family Services for the Early and Periodic Screening, Diagnostic and Treatment (EPSDT) Program.

**Variance 2012 to 2013**

Facility Licensing Fund – 0118

Increase of \$649,161 (61%) in fiscal year 2013 was due to an increase in the number of and amount of fees for swimming facilities and bathing beaches.

CMS vs AFSCME Wages Trust Fund – 0168

Increase of \$2,881,021 (100%) in fiscal year 2013 was due to the Department complying with the court order in the CMS vs. AFSCME Wages Trust case related to fiscal year 2012 wages owed to union employees.

Illinois School Asbestos Abatement Fund – 0175

Decrease of \$276,186 (24%) in fiscal year 2013 was due to a decrease in the number of and amount of fines related to asbestos abatement.

Illinois Health Facilities Planning Fund – 0238

Decrease of \$1,207,401 (34%) in fiscal year 2013 was due to a decrease in the number of and amount of certificate of need fees for health facilities.

Long-Term Care Monitor/Receiver Fund – 0285

Increase of \$365,576 (14%) in fiscal year 2013 was due to an increase in long term care fine receipts and an increase in fees due to an increase in the number of long term care licenses issued.

Public Health Laboratory Services Revolving Fund – 0340

Increase of \$2,361,518 (394%) in fiscal year 2013 was due to an increase in Medicaid reimbursement payments for laboratory testing from the Illinois Department of Healthcare and Family Services.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS - Continued

Lead Poisoning Screening, Prevention and Abatement Fund – 0360

Decrease of \$453,674 (18%) in fiscal year 2013 was due to a decrease in Medicaid reimbursement payments from the Illinois Department of Healthcare and Family Services and a decrease in the amount transferred into the Fund from the General Revenue Fund.

EMS Assistance Fund – 0398

Increase of \$371,777 (180%) in fiscal year 2013 was due to an increase in new EMS fees instituted in fiscal year 2013.

Health Facility Plan Review Fund – 0524

Increase of \$555,253 (39%) in fiscal year 2013 was due to an increase in the number of plan reviews performed for hospitals.

Cemetery Oversight Licensing and Disciplinary Fund – 0792

Increase of \$1,670,395 (100%) in fiscal year 2013 was due to fees received into the newly established (FY2013) Cemetery Oversight License & Discipline Fund for a \$2 charge on the issuance of death certificates.

Preventive Health and Health Services Block Grant Fund – 0873

Decrease of \$870,663 (38%) in fiscal year 2013 was due to timing of reimbursement requests submitted by the Department to the U.S. Department of Health and Human Services.

Public Health Special State Projects Fund – 0896

Increase of \$11,401,405 (80%) in fiscal year 2013 was due to an increase in the amount of funding for vaccines received from the Illinois Department of Healthcare and Family Services for the Early and Periodic Screening, Diagnostic and Treatment (EPSDT) Program.

Metabolic Screening and Treatment Fund – 0920

Increase of \$1,436,263 (10%) in fiscal year 2013 was due to an increase in the test fee for metabolic screening. The fee was raised in January 2012 and fiscal year 2013 represents a full year under the new fee amount.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING

The Department of Public Health's (Department) explanations for significant lapse period spending as presented in the Schedule of Appropriations, Expenditures, and Lapsed Balances are detailed below. For the purpose of this analysis, significant lapse period spending is defined as spending that equaled or exceeded \$250,000 and 10% of the total expenditures for the respective fiscal year.

**Fiscal Year 2012**

General Revenue Fund - 0001

Spending of \$25,463,777 (19%) during fiscal year 2012 lapse period was due to various grant program payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>. Also, several pharmaceutical orders related to the treatment of HIV/AIDS were not paid until during the lapse period.

Public Health Services Fund – 0063

Spending of \$14,906,584 (11%) during fiscal year 2012 lapse period was due to federal grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Emergency Public Health Fund – 0240

Spending of \$639,102 (20%) during fiscal year 2012 lapse period was due to mosquito abatement/West Nile Virus prevention grant payments. The grants are awarded late in the fiscal year to coincide with the "mosquito season". Some of the grants were not finalized and processed until the lapse period.

Long-Term Care Monitor/Receiver Fund – 0285

Spending of \$862,952 (17%) during fiscal year 2012 lapse period was due to personal services costs related to the June B payroll period and a supplemental payroll for unused compensation time processed in July.

Long Term Care Provider Fund – 0345

Spending of \$374,624 (19%) during fiscal year 2012 lapse period was due to personal services costs related to the June B payroll period. The June B payroll period is not processed until July and there were more staff on the payroll during this period than other periods during the fiscal year.

Trauma Center Fund – 0397

Spending of \$4,275,931 (98%) during fiscal year 2012 lapse period was due to grant payments made to hospitals designated as trauma centers. The grants are allocated based on revenue collected and actual trauma case data for the fiscal year. The required data is not available prior to June 30<sup>th</sup>; therefore, the grant payments occur during the lapse period.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTHCOMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING - Continued

Quality of Life Endowment Fund – 0437

Spending of \$359,732 (31%) during fiscal year 2012 lapse period was due to grant payments related to HIV/AIDS prevention and education that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Tobacco Settlement Recovery Fund – 0733

Spending of \$4,514,349 (36%) during fiscal year 2012 lapse period was due to grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Maternal and Child Health Services Block Grant Fund – 0872

Spending of \$839,156 (30%) during fiscal year 2012 lapse period was due to federal grant payments related to the perinatal program that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Preventive Health and Health Services Block Grant Fund – 0873

Spending of \$453,862 (28%) during fiscal year 2012 lapse period was due to federal grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Public Health Special State Projects Fund – 0896

Spending of \$1,794,655 (22%) during fiscal year 2012 lapse period was due to contractual services expenditures related to payments to the Department of Central Management Services for Statistical Services Revolving Fund and Facilities Management Revolving Fund billings not received prior to June 30<sup>th</sup>.

Metabolic Screening and Treatment Fund – 0920

Spending of \$1,780,270 (14%) during fiscal year 2012 lapse period was due to grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTHCOMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

## ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING - Continued

**Fiscal Year 2013**General Revenue Fund – 0001

Spending of \$29,408,245 (24%) during fiscal year 2013 lapse period was due to various grant program payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>. Also, several pharmaceutical orders placed prior to June 30 related to the treatment of HIV/AIDS were not paid until during the lapse period.

Food and Drug Safety Fund – 0014

Spending of \$284,063 (21%) during fiscal year 2013 lapse period was due to contractual services expenditures related to payments to the Department of Central Management Services for Statistical Services Revolving Fund billings not received prior to June 30<sup>th</sup>.

Public Health Services Fund – 0063

Spending of \$19,803,803 (14%) during fiscal year 2013 lapse period was due to federal grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Emergency Public Health Fund – 0240

Spending of \$1,220,320 (29%) during fiscal year 2013 lapse period was due to mosquito abatement/West Nile Virus prevention grant payments. The grants are awarded late in the fiscal year to coincide with the “mosquito season”. Some of the grants were not finalized and processed until the lapse period.

Long-Term Care Monitor/Receiver Fund – 0285

Spending of \$1,499,015 (13%) during fiscal year 2013 lapse period was due to personal services costs related to the June B payroll period and a supplemental payroll for unused compensation time processed in July.

Lead Poisoning Screening, Prevention and Abatement Fund – 0360

Spending of \$659,536 (18%) during fiscal year 2013 lapse period was due to childhood lead poisoning prevention grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Trauma Center Fund – 0397

Spending of \$5,084,233 (99%) during fiscal year 2013 lapse period was due to grant payments made to hospitals designated as trauma centers. The grants are allocated based on revenue collected and actual trauma case data for the fiscal year. The required data is not available prior to June 30<sup>th</sup>; therefore, the grant payments occur during the lapse period.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING - Continued

Quality of Life Endowment Fund – 0437

Spending of \$465,786 (37%) during fiscal year 2013 lapse period was due to grant payments related to HIV/AIDS prevention and education that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Tobacco Settlement Recovery Fund – 0733

Spending of \$4,970,195 (42%) during fiscal year 2013 lapse period was due to grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Maternal and Child Health Services Block Grant Fund – 0872

Spending of \$1,195,686 (43%) during fiscal year 2013 lapse period was due to federal grant payments related to the perinatal program that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Preventive Health and Child Health Services Block Grant Fund – 0873

Spending of \$357,339 (21%) during fiscal year 2013 lapse period was due to federal grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>.

Public Health Special State Projects Fund – 0896

Spending of \$1,271,612 (20%) during fiscal year 2013 lapse period was due to contractual services and telecommunications expenditures related to payments to the Department of Central Management services for Statistical Services Revolving Fund, Facilities Management Revolving Fund and Communications billings not received prior to June 30<sup>th</sup>.

Metabolic Screening and Treatment Fund – 0920

Spending of \$2,627,743 (19%) during fiscal year 2013 lapse period was due to grant payments that are made on a reimbursement basis. These grant payments occurred in the lapse period because the requests for reimbursement were not received from grantees until after June 30<sup>th</sup>. Also, several invoices for laboratory supply orders prior to June 30 were not paid until during the lapse period.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF ACCOUNTS RECEIVABLE

For the Years Ended June 30,  
(In Thousands)

Aging of Accounts Receivable, per Department records, were as follows:

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Current	\$ 5,190	\$ 5,121	\$ 5,371
1-30 days	573	563	371
31-90 days	633	1,029	413
91-180 days	541	432	421
181-1 year	776	692	807
Over 1 year	<u>7,691</u>	<u>6,718</u>	<u>6,710</u>
Accounts Receivable Gross Balance	15,404	14,555	14,093
Less: Estimated Uncollectibles	<u>(2,886)</u>	<u>(2,753)</u>	<u>(3,056)</u>
Accounts Receivable Net Balance	<u>\$ 12,518</u>	<u>\$ 11,802</u>	<u>\$ 11,037</u>

Note: These amounts represent outstanding federal reimbursements, licenses and fees, fines and penalties, and loan repayments. The Department uses the Office of the Comptroller's offset system, the Office of the Attorney General and private collection services to collect overdue receivable balances.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF OPERATIONS

AGENCY FUNCTIONS AND PLANNING PROGRAM

(Not Examined)

Agency Functions

The Department of Public Health (Department), one of the state's oldest agencies, was created in 1877 to regulate medical practitioners and to promote sanitation. Among other things, general health and sanitation conditions in Illinois are monitored by Department-established standards and regulations. The Department has headquarters in Springfield and Chicago, operates seven regional offices and three laboratories and employs approximately 1,100 employees. Each office operates and supports many ongoing programs and is prepared to respond to emergencies as may be needed.

The mission of the Department is to promote the health and wellness of the people of Illinois through the prevention and control of disease and injury. The Department, in partnership with local health departments and other agencies, employs population-based approaches in its prevention programs. The Department carries out its mission through seven major program areas: Health Care Regulation; Health Promotion; Health Protection; Men's Health; Policy, Planning and Statistics; Women's Health; and Preparedness and Response. The Men's Health program area was added during fiscal year 2011.

The Department is responsible for protecting the State's 12.9 million residents, as well as countless visitors, through the prevention and control of disease and injury. With more than 200 program components organized in 12 offices, the Department provides or supports a broad range of services, including inspecting restaurants; vaccinating children to protect them against disease; testing to assure the safety of food, water, and drugs; licensing to ensure quality health care in hospitals and nursing homes; conducting investigations to control the outbreak of infectious diseases; vital records; collecting and evaluating health statistics to support prevention and regulatory programs; analyzing and shaping public policy; emergency preparedness; screening newborns for genetic diseases; and supporting local efforts to identify breast and cervical cancers in their early, more treatable stages. These programs touch virtually every age, aspect, and cycle of life and make Illinois a safer and healthier place to live.

The State Board of Health advises the Director of the Department in meeting functions such as needs assessment, statewide health objectives, policy development, and assurance of access to necessary services. The Board is composed of 20 individuals, all of whom are appointed by the Governor. The board is composed of five physicians licensed to practice medicine in all of its branches, including: one representing a medical school faculty, one who is board certified in preventive medicine, and one who is engaged in private practice; a chiropractic physician; a dentist; an environmental health practitioner; a local public health administrator; a local board of health member; a registered nurse; a physical therapist; an optometrist; a veterinarian; a public health academician; a health care industry representative; a representative of the business community; a representative of the non-profit public interest community; and two citizens at large. Duties of the Board include advising the Department of ways to encourage public understanding and support of its programs; evaluation of boards, councils, committees, and authorities of the Department; advising the Director regarding public health policy; overseeing the periodic development of a State Health Improvement Plan and presentation of public health issues to the Director to make recommendations for the resolution of those issues.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF OPERATIONS

AGENCY FUNCTIONS AND PLANNING PROGRAM - Continued

(Not Examined)

The Department is completing a strategic plan that identifies five strategic priorities that the Department will use as the basis of planning activities:

- Develop and expand partnerships
- Improve Data quality, utilization and dissemination
- Reduce disparities in health care and increase equity in health status
- Improve Regulatory compliance
- Brand, market and communicate value

The Department identified 3 objectives for each strategic priority.

Partnerships

1. Inventory and assess existing IDPH public and private partnerships to support a strategic approach to partnership development
2. Disseminate Partnership Development Plans aligned with IDPH's strategic health priorities for 100% of IDPH offices
3. Add or enhance at least one strategic partnership for each IDPH office

Data Utilization

1. Increase utilization of data quality standards
2. Increase data dissemination and utilization
3. Improve the Agency's ability to collect and use data by transitioning to emerging technology by creating a public health informatics structure

Disparities

1. Define disparities, establish specific targets for reduction, and monitor progress in reducing disparities based on quantifiable data
2. Embed the promotion of health equity and reduction of designated disparities among all offices
3. Develop and enhance partnerships to add

Regulatory Compliance

1. Identify, compile, and assess IDPH statutory and regulatory enforcement authorities
2. Increase operational efficiency of regulatory programs through improvements to inspection, technology, training, prosecution and collaborative activities with regulated entities
3. Enhance regulatory compliance by increasing the awareness and education of IDPH licensees applicants, and the general public

Branding

1. Develop and recommend branding activities to influence perceptions and increase knowledge of the Department's vision, mission, values, and strategic priorities

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF OPERATIONS

AGENCY FUNCTIONS AND PLANNING PROGRAM - Continued

(Not Examined)

2. Consolidate all IDPH communications internally and externally with the news media, key stakeholders, vertically between senior management and employees and horizontally across all offices to optimize the Department's message through increased awareness and understanding of programs and regulatory activities
3. Increase public recognition of IDPH, its programs, and its regulatory activities.

The Department is committed to twenty key initiatives related to these priorities:

- Assess community needs and improve community ties, including outreach in minority communities
- Examine, review and analyze activities in Illinois communities
- Make public health information and data more accessible
- Enhance health services in medically under-served areas
- Improve Illinois' local health departments capacity to manage complex/extreme situations related to bioterrorism and emergency readiness
- Improve State health department preparedness to manage complex/extreme situations related to bioterrorism and emergency readiness
- Hospital preparedness
- Address health disparities through targeted funding
- Address health disparities through the development of culturally sensitive staff
- Improve the health of women and girls throughout the lifespan
- Increase screenings for newborn metabolic disorders/abnormalities
- Create a more culturally sensitive public health workforce
- Increase knowledge and skill sets of departmental staff to ensure continued provision of programs and services to citizens of Illinois
- Develop and implement training and exercise plans with local health departments for each of their jurisdictions
- Assure the effectiveness and efficiency of inspections of nursing homes
- Expand information accessibility and use with regard to Patient Safety issues
- Reduce medical errors thereby improving patient safety
- Develop and implement the Adverse Health Care Events Reporting system
- Reduce the incidence of disease and injury related to the environmental factors of lead poisoning and asbestos
- Ensure the safety of private and non-community water supplies

The Department has established a formal ongoing system for monitoring program performance. The program monitoring system comprises a variety of administrative and reporting systems that enable leadership in the Department to be knowledgeable about program implementation, problems and progress. This system facilitates early detection of problems in program performance and supports prompt administrative action. Following the award of a Federal grant in 2010, the Department established an Office of Performance Management.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ANALYSIS OF OPERATIONS

AGENCY FUNCTIONS AND PLANNING PROGRAM - Continued

(Not Examined)

The Department has established a State Health Improvement Plan (SHIP) process as required by Public Act 93-0975. In 2005 and again in 2009, planning teams were appointed by the Director of the Department charged with the development of the SHIP, under the leadership of the State Board of Health. The SHIP recommends priorities and strategies to improve the Illinois public health system and Illinois residents' health status. The most recent plan, which was completed in May 2010, developed a vision, fourteen strategic issues with associated long and intermediate-term outcomes, and recommendations of strategies and actions for the sectors that make up the public health system. The SHIP Implementation Coordination Council (SHIP ICC) completed an implementation plan in October 2012, *Aligning Illinois for Health Improvement and Equity*. The SHIP ICC is working with the Governor's Health Care Reform Implementation Council to promote statewide improvements in public health and prevention and also working closely with the implementation of the We Choose Health initiative, a Community Transformation Grant funded by the Centers for Disease Control and Prevention (CDC).

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

AVERAGE NUMBER OF EMPLOYEES

For the Years Ended June 30,

(Not Examined)

The average number of employees employed by the Department is as follows:

Division	2013	2012	2011
Director's Office	74	70	69
Office of Preparedness and Response	46	47	46
Office of Finance and Administration (Including Information Technology)	115	114	118
Office of Policy, Planning, and Statistics	72	73	73
Office of Health Promotion	54	53	50
Office of Health Care Regulation	340	335	315
Office of Health Protection (Including Laboratories)	355	376	389
Office of Women's Health	19	20	22
 Total average full-time employees	 <u>1,075</u>	 <u>1,088</u>	 <u>1,082</u>

Note: The Average Number of Employees schedule includes only the Department's Offices appropriated by the Illinois General Assembly. In addition, the fiscal year 2011 numbers do not agree to the Compliance Examination Report for the Two Years Ended June 30, 2011 in order to report comparable data for the three years presented.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

EMERGENCY PURCHASES

(Not Examined)

The Department reported the following emergency purchases to the Office of the Auditor General during fiscal years 2012 and 2013:

Description	Amount
<b>Fiscal Year 2012</b>	
No Fiscal Year 2012 Emergency Purchases	\$ -
<b>Total fiscal year 2012</b>	<b>\$ -</b>
<b>Fiscal Year 2013</b>	
For continued overnight and ground delivery services between contracts to avoid the disruption of critical services including the delivery of newborn blood samples to the IDPH laboratories for genetic testing.	\$ 126,857
For continued obtainment of laboratory supplies between contracts to avoid the disruption of testing by the IDPH laboratories that protects the life, health and safety of Illinoisans.	1,052,102
To obtain assistance with the accomplishment of enhancements and repairs to the Department's Health Care Worker Registry required by a Federal Grant to avoid loss of funding.	193,250
To obtain medical treatment formulas critical to the health of individuals diagnosed with certain metabolic disorders for distribution between contracts to comply with 77 III. Adm. Code Part 661 Newborn Metabolic Screening Code.	319,000 *
To obtain medical treatment formulas critical to the health of individuals diagnosed with certain metabolic disorders for distribution between contracts to comply with 77 III. Adm. Code Part 661 Newborn Metabolic Screening Code.	193,400 *
To obtain medical treatment formulas critical to the health of individuals diagnosed with certain metabolic disorders for distribution between contracts to comply with 77 III. Adm. Code Part 661 Newborn Metabolic Screening Code.	205,000 *
To obtain medical treatment formulas critical to the health of individuals diagnosed with certain metabolic disorders for distribution between contracts to comply with 77 III. Adm. Code Part 661 Newborn Metabolic Screening Code.	180,000 *
To obtain medical treatment formulas critical to the health of individuals diagnosed with certain metabolic disorders for distribution between contracts to comply with 77 III. Adm. Code Part 661 Newborn Metabolic Screening Code.	297,000 *
<b>Total fiscal year 2013</b>	<b>\$ 2,566,609</b>

\*Note: These amounts are estimated.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ILLINOIS FIRST PROJECTS

(Not Examined)

FISCAL YEAR	Appropriation Code	GRANTEE NAME	GRANT AMOUNT	EXPENDED TO DATE	LAPSED BALANCES	GRANT DESCRIPTION
FY12-FY11	971-48250-4900-0110	City of Peoria	\$ 1,500,000	\$ 798,749	\$ 701,251	Installing new, high efficiency windows in low-income homes in Peoria
FY12-FY12	971-48250-4900-0110	CNT Energy	1,500,000	1,186,900	313,100	Installing new, high efficiency windows in low-income homes in Chicago
FY12-FY13	971-48210-4400-0010	Norwegian American Hospital	7,000,000	7,000,000	-	Building Renovation / Equipment Upgrades
FY12-FY13	971-48210-4400-0010	Loretto Hospital	7,000,000	7,000,000	-	Renovate Clinical Space & Equipment Upgrades
FY12-FY13	971-48210-4400-0010	Swedish Covenant Hospital	7,000,000	7,000,000	-	Construct Ambulatory Care Building
FY12-FY13	971-48210-4400-0010	Abraham Lincoln Memorial Hospital	383,650	191,825	191,825	New Diagnostic Equipment
FY12-FY13	971-48210-4400-0010	Adventist Glen Oaks Hospital	637,865	318,932	318,933	New Cardiac Monitoring System
FY12-FY13	971-48210-4400-0010	Advocate BroMenn Medical Center	421,550	210,775	210,775	Roof Repair, Acquire Medical Equip
FY12-FY13	971-48210-4400-0010	Advocate Condell Medical Center	651,050	325,525	325,525	New Nurse Call System, New Neuro Microscope
FY12-FY13	971-48210-4400-0010	Advocate Good Samaritan Hospital	435,000	217,500	217,500	Acquire New Generator
FY12-FY13	971-48210-4400-0010	Alton Memorial Hospital	264,050	132,025	132,025	Acquire New Air Handling Unit
FY12-FY13	971-48210-4400-0010	Anderson Hospital	298,799	149,400	149,399	New Canopy Over Emergency Department
FY12-FY13	971-48210-4400-0010	Blessing Hospital	719,845	359,922	359,923	New Laboratory Automation System
FY12-FY13	971-48210-4400-0010	Carle Foundation Hospital	847,610	423,805	423,805	Renovate Clinical Decision Unit, Expand ER
FY12-FY13	971-48210-4400-0010	Carlinville Area Hospital	345,490	172,745	172,745	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	Centegra Hospital - McHenry	314,360	157,180	157,180	Relocate / Renovate Infusion Center
FY12-FY13	971-48210-4400-0010	Centegra Hospital - Woodstock	410,030	205,015	205,015	Renovate Radiography & Fluoroscopy Rooms
FY12-FY13	971-48210-4400-0010	Central DuPage Hospital	584,000	292,000	292,000	New Bedside Monitors
FY12-FY13	971-48210-4400-0010	CGH Medical Center	443,815	221,908	221,907	Fire Suppression System for Clinic Building
FY12-FY13	971-48210-4400-0010	Clay County Hospital	337,607	168,803	168,804	Replace Rooftop Cooling System
FY12-FY13	971-48210-4400-0010	Community Memorial Hospital	342,205	171,103	171,102	Life / Safety Code Upgrades
FY12-FY13	971-48210-4400-0010	Crawford Memorial Hospital	381,000	190,500	190,500	Renovate / Expand Operating Rooms
FY12-FY13	971-48210-4400-0010	Decatur Memorial Hospital	565,730	282,865	282,865	New Patient Call System
FY12-FY13	971-48210-4400-0010	Dr. John Warner Hospital	345,130	172,565	172,565	Fire Suppression System
FY12-FY13	971-48210-4400-0010	Fairfield Memorial Hospital	367,360	183,680	183,680	Acquire New Generator
FY12-FY13	971-48210-4400-0010	Fayette County Hospital	356,470	178,235	178,235	Acquire Digital Mammography Equipment
FY12-FY13	971-48210-4400-0010	Ferrell Hospital	362,320	181,160	181,160	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	Franklin Hospital	352,690	176,345	176,345	Replace Water Plumbing System
FY12-FY13	971-48210-4400-0010	Freeport Memorial Hospital	470,635	235,317	235,318	Reconfigure & Resurface Visitor Parking Lot
FY12-FY13	971-48210-4400-0010	Genesis Medical Center	322,820	161,410	161,410	Establish Cardiac Outpatient Unit
FY12-FY13	971-48210-4400-0010	Gibson Community Hospital	356,785	178,393	178,392	Acquire Radiology Equipment
FY12-FY13	971-48210-4400-0010	Good Samaritan Regional Health Center	515,500	257,750	257,750	Operating Room Integration System
FY12-FY13	971-48210-4400-0010	Graham Hospital	445,795	222,897	222,898	Renovate Intensive Care Unit
FY12-FY13	971-48210-4400-0010	Greenville Regional Hospital	368,350	184,175	184,175	Update Wall Suction System
FY12-FY13	971-48210-4400-0010	Hamilton Memorial Hospital	352,240	176,120	176,120	New Fire Suppression System, New Loading Dock
FY12-FY13	971-48210-4400-0010	Hardin County General Hospital	354,175	177,088	177,087	New Lab Equipment, Renovate Clinical Space
FY12-FY13	971-48210-4400-0010	Harrisburg Medical Center	446,965	223,482	223,483	Equipment Upgrades
FY12-FY13	971-48210-4400-0010	Herrin Hospital	420,460	210,230	210,230	Automated Pharmacy Dispensing System
FY12-FY13	971-48210-4400-0010	Hillsboro Area Hospital	345,355	172,678	172,677	New MRI Machine
FY12-FY13	971-48210-4400-0010	Holy Cross Hospital	7,000,000	3,500,000	3,500,000	Equipment Upgrades
FY12-FY13	971-48210-4400-0010	Hoopeston Comm Memorial Hospital	341,440	170,720	170,720	Equipment Upgrades for Surgery & ER
FY12-FY13	971-48210-4400-0010	Illini Community Hospital	344,905	172,452	172,453	Renovate Space for Physical Therapy Department
FY12-FY13	971-48210-4400-0010	Illinois Valley Community Hospital	457,090	228,545	228,545	New CT Scanner
FY12-FY13	971-48210-4400-0010	Ingalls Memorial Hospital	4,600,000	2,300,000	2,300,000	New Equipment, HVAC Upgrades
FY12-FY13	971-48210-4400-0010	Iroquois Memorial Hospital	383,470	191,735	191,735	Life / Safety Code Upgrades
FY12-FY13	971-48210-4400-0010	Jackson Park Hospital	7,000,000	3,500,000	3,500,000	Renovate Women's Health Services
FY12-FY13	971-48210-4400-0010	Jersey Community Hospital	379,375	189,688	189,687	Renovate / Expand Emergency Department
FY12-FY13	971-48210-4400-0010	Katherine Shaw Bethea Hospital	430,000	215,000	215,000	New Equipment
FY12-FY13	971-48210-4400-0010	Kewanee Hospital	380,545	190,272	190,273	New Medical Equipment and IT Upgrades
FY12-FY13	971-48210-4400-0010	Kirby Medical Center	340,855	170,428	170,427	Cardiac Catheterization Lab Expansion

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ILLINOIS FIRST PROJECTS

(Not Examined)

FISCAL YEAR	Appropriation Code	GRANTEE NAME	GRANT AMOUNT	EXPENDED TO DATE	LAPSED BALANCES	GRANT DESCRIPTION
FY12-FY13	971-48210-4400-0010	Kishwaukee Comm Hospital	444,805	222,402	222,403	Renovate Patient Registration Area
FY12-FY13	971-48210-4400-0010	La Rabada Children's Hospital	4,600,000	2,300,000	2,300,000	Construct New Building & Renovate Existing Space
FY12-FY13	971-48210-4400-0010	Lawrence County Memorial Hospital	\$ 358,090	\$ 179,045	\$ 179,045	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	MacNeal Hospital	4,600,000	2,300,000	2,300,000	Renovate Medical / Surgical Units
FY12-FY13	971-48210-4400-0010	Marshall Browning Hospital	344,815	172,408	172,407	Equipment Upgrades, HVAC Upgrades
FY12-FY13	971-48210-4400-0010	Mason District Hospital	344,275	172,137	172,138	New Digital Mammography Equipment
FY12-FY13	971-48210-4400-0010	Massac Memorial Hospital	347,560	173,780	173,780	Renovate Rural Health Clinic Building
FY12-FY13	971-48210-4400-0010	McDonough District Hospital	406,600	203,300	203,300	New CT Scanner
FY12-FY13	971-48210-4400-0010	Memorial Hospital	551,150	275,575	275,575	New MRI Machine
FY12-FY13	971-48210-4400-0010	Memorial Hospital	356,110	178,055	178,055	Equipment Replacement and IT Upgrades
FY12-FY13	971-48210-4400-0010	Memorial Hospital	347,200	173,600	173,600	Upgrade Emergency Generator Backup System
FY12-FY13	971-48210-4400-0010	Memorial Hospital of Carbondale	676,780	338,390	338,390	Automated Pharmacy Dispensing System
FY12-FY13	971-48210-4400-0010	Memorial Medical Center	797,975	398,988	398,987	New Hospital Beds
FY12-FY13	971-48210-4400-0010	Mendota Community Hospital	348,800	174,400	174,400	IT Upgrades
FY12-FY13	971-48210-4400-0010	Mercer County Hospital	340,720	170,360	170,360	Acquire Digital Mammography Equipment
FY12-FY13	971-48210-4400-0010	Mercy Hospital	7,000,000	3,500,000	3,500,000	Patient Tower Renovation
FY12-FY13	971-48210-4400-0010	Methodist Medical Center	992,060	496,030	496,030	New Linear Accelerator
FY12-FY13	971-48210-4400-0010	Morris Hospital	418,345	209,172	209,173	New Cardiac Catheterization Equipment
FY12-FY13	971-48210-4400-0010	Morrison Community Hospital	340,900	170,450	170,450	Fire Suppression System
FY12-FY13	971-48210-4400-0010	Mt. Sinai Hospital	7,000,000	3,500,000	3,500,000	Building Renovation
FY12-FY13	971-48210-4400-0010	OSF Holy Family Medical Center	348,820	174,410	174,410	Renovate Operating Rooms
FY12-FY13	971-48210-4400-0010	OSF St. Anthony Hospital	335,330	167,665	167,665	New Radiology Equipment
FY12-FY13	971-48210-4400-0010	OSF St. Francis Medical Center	1,666,970	833,485	833,485	Create Surgical Holding Area
FY12-FY13	971-48210-4400-0010	OSF St. James Hospital	383,605	191,803	191,802	Establish Sleep Center and Pulmonology Clinic
FY12-FY13	971-48210-4400-0010	OSF St. Joseph Medical Center	293,885	146,942	146,943	Equipment Upgrades
FY12-FY13	971-48210-4400-0010	OSF St. Mary Medical Center	468,970	234,485	234,485	Renovate Fluoroscopy Suites
FY12-FY13	971-48210-4400-0010	Ottawa Regional Hospital	464,470	232,235	232,235	Meditech Patient Care System
FY12-FY13	971-48210-4400-0010	Pana Community Hospital	344,770	172,385	172,385	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	Paris Community Hospital	345,625	172,813	172,812	Construct Multi-Purpose Building
FY12-FY13	971-48210-4400-0010	Passavant Area Hospital	443,635	221,817	221,818	Acquire New IV and PCA Pumps
FY12-FY13	971-48210-4400-0010	Pekin Memorial Hospital	425,455	212,728	212,727	Renovate 7th Floor of Patient Tower
FY12-FY13	971-48210-4400-0010	Perry Memorial Hospital	370,015	185,007	185,008	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	Pinckneyville Community Hospital	345,040	172,520	172,520	Roof Replacement, New Fuel Backup System
FY12-FY13	971-48210-4400-0010	Provena Covenant Medical Center	435,005	217,503	217,502	Renovate and Expand Emergency Dept
FY12-FY13	971-48210-4400-0010	Provena Mercy Medical Center	532,610	266,305	266,305	Cardiovascular Equipment Acquisition
FY12-FY13	971-48210-4400-0010	Provena St. Joseph Hospital	374,435	187,217	187,218	New Digital X-Ray Machine
FY12-FY13	971-48210-4400-0010	Provena St. Joseph Medical Center	615,185	307,593	307,592	Replace Air Handlers
FY12-FY13	971-48210-4400-0010	Provena St. Mary's Hospital	394,207	197,103	197,104	New Telemetry Unit & Pharmacy Renovation
FY12-FY13	971-48210-4400-0010	Provena United Samaritans Medical Center	592,585	296,293	296,292	Exterior Facade Renovation
FY12-FY13	971-48210-4400-0010	Richland Memorial Hospital	460,240	230,120	230,120	Roof and Facade Repair
FY12-FY13	971-48210-4400-0010	Riverside Medical Center	607,805	303,902	303,903	Acquire Linear Accelerator
FY12-FY13	971-48210-4400-0010	Rochelle Community Hospital	346,480	173,240	173,240	IT Upgrades
FY12-FY13	971-48210-4400-0010	Rockford Memorial Hospital	1,078,685	539,343	539,342	Medical Equipment Upgrades
FY12-FY13	971-48210-4400-0010	Roseland Comm Hospital	7,000,000	7,000,000	-	Renovate OB & Surgery
FY12-FY13	971-48210-4400-0010	Rush Copley Medical Center	577,835	288,917	288,918	Phone System Hardware and Software Upgrades
FY12-FY13	971-48210-4400-0010	Salem Township Hospital	352,285	176,143	176,142	Renovate Clinical Space
FY12-FY13	971-48210-4400-0010	Sarah Bush Lincoln Health Center	548,935	274,467	274,468	New MRI Machine
FY12-FY13	971-48210-4400-0010	Sarah Culbertson Memorial Hospital	352,600	176,300	176,300	Hospital Entrance Renovation, IT Upgrades
FY12-FY13	971-48210-4400-0010	Shelby Memorial Hospital	356,650	178,325	178,325	IT Upgrades
FY12-FY13	971-48210-4400-0010	Sherman Hospital	614,150	307,075	307,075	Laboratory Equipment Upgrades

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

ILLINOIS FIRST PROJECTS

(Not Examined)

FISCAL YEAR	Appropriation Code	GRANTEE NAME	GRANT AMOUNT	EXPENDED TO DATE	LAPSED BALANCES	GRANT DESCRIPTION
FY12-FY13	971-48210-4400-0010	Silver Cross Hospital	702,215	351,108	351,107	Surgical Equipment Upgrades
FY12-FY13	971-48210-4400-0010	Sparta Community Hospital	375,370	187,685	187,685	Replace Radiology and Fluoroscopic Equipment
FY12-FY13	971-48210-4400-0010	St. Anthony Hospital	7,000,000	3,500,000	3,500,000	New Medical and IT Equipment
FY12-FY13	971-48210-4400-0010	St. Anthony's Health Center	326,645	163,322	163,323	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	St. Anthony's Memorial Hospital	\$ 470,725	\$ 235,363	\$ 235,362	Pharmacy Renovation
FY12-FY13	971-48210-4400-0010	St. Bernard Hospital	7,000,000	3,500,000	3,500,000	Roof Replacement and Building Renovation
FY12-FY13	971-48210-4400-0010	St. Elizabeth Hospital	532,340	266,170	266,170	Patient Room Renovation
FY12-FY13	971-48210-4400-0010	St. Francis Hospital	410,065	205,032	205,033	Emergency Generator Upgrade
FY12-FY13	971-48210-4400-0010	St. James Hospital	4,600,000	2,300,000	2,300,000	Replace Chillers, Air Handlers, Boiler & Generator
FY12-FY13	971-48210-4400-0010	St. John's Hospital	1,102,445	551,223	551,222	Establish Neuro-Interventional Lab
FY12-FY13	971-48210-4400-0010	St. Joseph Memorial Hospital	359,170	179,585	179,585	Automated Pharmacy Dispensing System
FY12-FY13	971-48210-4400-0010	St. Joseph's Hospital	381,445	190,722	190,723	Roof Repair, Equipment Upgrades
FY12-FY13	971-48210-4400-0010	St. Margaret's Hospital	400,300	200,150	200,150	Pharmacy Renovation
FY12-FY13	971-48210-4400-0010	St. Mary of Nazareth Hospital Center	7,000,000	3,500,000	3,500,000	Equipment Upgrades
FY12-FY13	971-48210-4400-0010	St. Mary's Hospital	591,000	295,500	295,500	New Radiology & Nuclear Medicine Equip
FY12-FY13	971-48210-4400-0010	St. Mary's Hospital	522,395	261,198	261,197	New Cardiac Catheterization Lab
FY12-FY13	971-48210-4400-0010	St. Mary's Hospital	390,580	195,290	195,290	New Heating & Cooling Pumps
FY12-FY13	971-48210-4400-0010	Swedish American Hospital	863,630	431,815	431,815	Upgrade Linear Accelerator
FY12-FY13	971-48210-4400-0010	Taylorville Memorial Hospital	375,955	187,977	187,978	Radiology Equipment Replacement
FY12-FY13	971-48210-4400-0010	Thomas Boyd Memorial Hospital	340,990	170,495	170,495	Electronic Medical Record System
FY12-FY13	971-48210-4400-0010	Southern Illinois Health Foundation / Touchette Regional Hospital	4,600,000	4,600,000	-	Emergency Department Expansion
FY12-FY13	971-48210-4400-0010	Trinity Medical Center	631,790	315,895	315,895	Exterior Building Repairs
FY12-FY13	971-48210-4400-0010	Valley West Community Hospital	366,640	183,320	183,320	Equipment Acquisition
FY12-FY13	971-48210-4400-0010	Wabash General Hospital	346,975	173,488	173,487	New Surgical Equipment
FY12-FY13	971-48210-4400-0010	Washington County Hospital	347,020	173,510	173,510	Construct Storage Building & IT Server Room

Total \$ 152,354,548 \$ 92,962,923 \$ 59,391,625

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

MEMORANDUMS OF UNDERSTANDING

(Not Examined)

The Department of Public Health (Department) had memorandums of understanding (MOUs) during the examination period with the following types of organizations:

<u>Type of Organization</u>	<u>Number of MOUs</u>
Correctional Centers	7
Federal Government	10
Individual	1
Institution of Learning	7
Local Health Departments	31
Medical Centers	42
Non-Profits	40
Private Firms	14
Research Entities	52
School Districts	5
State Agencies	15
Total	<u>224</u>

These MOUs documented the responsibilities between the parties above and the Department concerning laboratory testing (74); data sharing (120); emergency response (2); intergovernmental cooperation (10); internships (6); intra-agency agreements (2); and other areas (10).

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

Reporting Programs	FY2012		FY2013	
	Expenditures	Headcount	Expenditures	Headcount
Health Protection	\$ 157,411.40	360.0	\$ 158,188.40	344.0
Health Care Regulation	39,396.10	322.0	44,988.00	366.0
Preparedness & Response	41,139.40	51.0	40,125.50	43.0
Health Promotion	33,026.80	52.0	31,859.00	51.0
Women's Health	24,959.50	18.0	23,131.60	20.0
Policy, Planning & Statistics	17,656.30	71.0	19,666.30	71.0
<b>Non-Reporting Programs</b>				
Hospital Capital Investment	71,615.40	-	19,361.90	-
Administration	18,005.60	150.0	17,782.70	149.0
Information Technology	5,934.70	38.0	6,137.90	40.0
<b>Agency Totals</b>	<b>\$ 409,145.20</b>	<b>1,062.0</b>	<b>\$ 361,241.30</b>	<b>1,084.0</b>

The mission of the Illinois Department of Public Health is to protect the health of the population statewide through the prevention and control of disease and injury.

1. The Office of Health Protection prevents the spread of infectious disease and illness through: Childhood Immunization program; Childhood Lead Poisoning Prevention; HIV/AIDS prevention and drug treatment; Prevention and control of food borne illnesses; Clinical and Environmental Lab Testing services; and numerous other programs.
2. The Office of Health Care Regulation promotes quality of care and patient safety in health care facilities throughout the state. The Office conducts annual licensure inspections of long-term care facilities, as well as complaint investigations, and operates a 24-hour central complaint registry. The Office also regulates other health care facilities, including hospitals, ambulatory care facilities, and assisted living facilities, to ensure compliance with state and federal standards.
3. The Office of Preparedness and Response coordinates the Department's operations for statewide public health emergencies and regulates emergency medical systems, including hospital trauma centers and emergency medical technicians/paramedics.
4. The Office of Health Promotion provides preventive health services with respect to chronic diseases as well as to metabolic and genetic disorders in newborns, vision and hearing disorders in children, oral health and injury. Services include health education, screening, counseling and follow-up.
5. The Office of Women's Health promotes women's health through the provision of free screenings for breast and cervical cancer for at-risk women in the state. The Office also promotes awareness and education on women's health issues and operates the Women's Health Helpline.
6. The Office of Policy, Planning and Statistics promotes access to health care for rural and underserved populations. The Office also promotes patient safety measures, including those focused on the reduction of medical errors and health facility acquired infections. In addition, the Office collects and evaluates a broad range of health information and develops state health care policies.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

**Health Protection**

Mission Statement: To protect individuals from infectious diseases, environmental exposures, toxic substances and dangers related to contamination of food, drugs and dairy products.

Program Goals:

Objectives:

1. To protect the citizens of Illinois from infectious diseases.
  - <sup>a</sup> By June 30, 2014, achieve statewide immunization rates for children aged 19-35 months to at least 80%.
2. To protect the public from diseases and injury due to environmental hazards.
  - <sup>a</sup> By June 2014, ensure that at least 90% of lead poisoning cases are brought to resolution within 210 days.
  - <sup>b</sup> Ensure the quality of water by maintaining the percent of non-community public water supplies without a coliform violation at least at 95% by June 30, 2013.
3. To provide accurate, reliable and timely state laboratory services and to ensure the quality of environmental and bioterrorism laboratories.
  - <sup>a</sup> By June 30, 2014, maintain turn around time within 2.5 average working days for positive newborn screening results.
4. To protect the public from dangers related to food, drug and dairy products.

Funds: General Revenue Fund, Food and Drug Safety Fund, Public Health Services Fund, Safe Bottled Water Fund, Facility Licensing Fund, Illinois School Asbestos Abatement Fund, Emergency Public Health Fund, Public Health Water Permit Fund, Used Tire Management Fund, Tattoo and Body Piercing Establishment Registration Fund, Public Health Laboratory Services Revolving Fund, Lead Poisoning, Screening, Prevention and Abatement Fund, Tanning Facility Permit Fund, Plumbing Licensure and Program Fund, Quality of Life Endowment Trust Fund, Pesticide Control Fund, Pet Population Control Fund, Private Sewage Disposal Program Fund, Public Health Special State Projects Fund, Metabolic Screening and Treatment Fund, Build Illinois Bond Fund

Statutory Authority: 20 ILCS 2310/

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

**Health Protection - continued**

<u>Input Indicators</u>	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	Fiscal Year 2013 Target/ Projected	Fiscal Year 2013 Actual	Fiscal Year 2014 Target/ Projected
Total expenditures - all sources (in thousands)	\$143,068.8	\$157,411.4	\$198,957.1	\$158,188.4	\$200,761.6
Total expenditures - state appropriated funds (in thousands)	143,068.8	157,411.4	198,957.1	158,188.4	200,761.6
Average monthly full time equivalents	389.0	360.0	382.0	344.0	382.0
<u>Output Indicators</u>					
Number of prescriptions filled through AIDS Drug Assistance Program (ADAP)	131,100	135,003	136,852	138,049	144,951
Number of children screened for blood lead poisoning	300,290	290,862	300,000	291,153	300,000
Number of lead poisoning cases investigated	271	1,434	1,300	2,296	2,000
Total newborn screening lab tests performed	1,593,782	1,693,576	1,800,000	1,893,457	1,800,000
Number of all other lab tests performed	1,383,012	1,211,033	1,200,000	851,807	1,000,000
<u>Outcome Indicators</u>					
Immunization Rate for children under two years of age - excluding Chicago	84%	77%	80%	86%	87%
Immunization Rate for children under two years of age - including Chicago (4:3:1 series)	83%	77%	80%	83%	85%
Number of children referred for lead follow-up exceeding 10 mcg/dl	3,356	3,164	3,000	3,035	3,000
Percentage of children tested with blood lead levels exceeding 10 mcg/dl	1.1%	1.1%	1.0%	1.0%	0.9%
Percent of non-community public water supplies with no coliform positive samples	97.0%	98.7%	95.0%	97.6%	95.0%
Total newborn screening lab test results reported	1,295,147	1,407,524	1,500,000	1,578,740	1,600,000
Turn-around time for positive newborn screening results (working days)	2.0	2.6	2.5	2.8	2.5

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

**Health Care Regulation**

Mission Statement: To assure a safe and healthy environment and to promote quality care for people who use primary health care agencies and services.

Program Goals:

Objectives:

1. To ensure the quality of care for residents of health care facilities and those served by ambulatory health services.

<sup>a</sup> Work with Long Term Care facilities to increase the percent in compliance with standards of care at the first revisit to 80% by June 2014.

Funds: General Revenue Fund, Public Health Services Fund, Long Term Care Monitor/Receiver Fund, Home Care Services Agency Licensure Fund, Equity In Long-term Care Quality Fund, Regulatory Evaluation and Basic Enforcement Fund, Health Facility Plan Review Fund, Hospice Fund, Assisted Living and Shared Housing Regulatory Fund, Public Health Special State Projects Fund  
Statutory Authority: 20 ILCS 2310

<u>Input Indicators</u>	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	2013 Target/ Projected	Fiscal Year 2013 Actual	Fiscal Year 2014 Target/ Projected
Total expenditures - all sources (in thousands)	\$34,100.2	\$39,396.1	\$53,729.5	\$44,988.0	\$59,178.2
Total expenditures - state appropriated funds (in thousands)	34,100.2	39,396.1	53,729.5	44,988.0	59,178.2
Average monthly full time equivalents	315.0	322.0	410.0	366.0	380.0
<u>Output Indicators</u>					
Number of licensed LTC beds	119,329	117,081	116,000	116,294	116,300
Number of complaints received LTC facilities	5,160	3,702	4,000	4,068	4,075
Number of LTC facility annual inspections	1,075	1,096	1,100	1,079	1,085
Number of LTC facility 1st and 2nd follow-ups to inspections	515.0	736.0	750.0	782.0	790.0
Number of LTC state licensed facilities (as of 7/01)	1,142	1,121	1,110	1,114	1,115
<u>Outcome Indicators</u>					
Percent of LTC facilities in annual inspection	34%	36%	36%	32%	35%
Percent of LTC facilities in first revisit of annuals	62%	64%	64%	80%	80%
Number of LTC facilities with licensure Type "A" violation	106	86	90	56	55
Percent of LTC facilities with a Type A violation	9%	8%	8%	5%	5%

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

**Preparedness and Response**

Mission Statement: To promote public health and safety through emergency preparedness and regulation of emergency medical services and providers.

Program Goals:

Objectives:

1. To ensure access to and quality of trauma care services.

<sup>a</sup> By June 30, 2014, assure that Illinois' trauma system maximizes survival and functional outcomes of trauma patients through distribution of targeted funding to maintain the trauma care network and by ensuring designated trauma hospitals are in compliance with state regulations.

Funds: General Revenue Fund, Fire Prevention Fund, Public Health Services Fund, Heartsaver AED Fund, Trauma Center Fund, EMS Assistance Fund, Spinal Cord Injury Paralysis Cure Research Trust Fund, Public Health State Projects Fund  
Statutory Authority: 20 ILCS 2310/2310-610, 615, 620

<u>Input Indicators</u>	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	2013 Target/ Projected	Fiscal Year 2013 Actual	Fiscal Year 2014 Target/ Projected
Total expenditures - all sources (in thousands)	\$ 47,316.5	\$ 41,139.4	\$ 82,457.5	\$ 40,125.5	\$ 83,233.1
Total expenditures - state appropriated funds (in thousands)	47,316.5	41,139.4	82,457.5	40,125.5	83,233.1
Average monthly full time equivalents	46.0	51.0	46.0	43.0	46.0
<u>Output Indicators</u>					
Grants to Trauma Center Hospitals (in thousands)	4,500.0	4,256.0	4,500.0	5,100.0	5,100.0
Number of Trauma Cases	52,526	52,233	52,000	50,724	50,000
Number of hospitals designated as Trauma Centers	65.0	66.0	66.0	66.0	66.0
Number of EMS resource hospitals	66.0	66.0	66.0	55.0	55.0
<u>Outcome Indicators</u>					
Percent of hospital trauma centers in compliance with state regulations	100%	100%	100%	100%	100%

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

**Health Promotion**

Mission Statement: Promoting health and safety through education, information and partnering with communities to provide quality services.

Program Goals:

Objectives:

1. Protect the health of Illinois' children.
  - <sup>a</sup> Ensure that 100% of all newborns receive appropriate metabolic newborn screening and follow-up as necessary.
2. Reduce the burden of chronic disease on Illinoisans of all ages.
3. Decrease premature death and disability resulting from unintentional injury and violence.

Funds: General Revenue Fund, Alzheimer's Disease Research Fund, Public Health Services Fund, Childhood Cancer Research, Diabetes Research Checkoff Fund, Multiple Sclerosis Research Fund, Autoimmune Disease Research Fund, Prostate Cancer Research Fund, Healthy Smiles Fund, DHS Private Resource Fund, Tobacco Settlement Recovery Fund, Maternal and Child Health Services Block Grant Fund, Preventive Health and Health Services Block Grant Fund, Public Health Special State Projects Fund, Metabolic Screening and Treatment Fund, Hearing Instrument Dispenser Examining and Disciplinary Fund  
Statutory Authority: 410 ILCS 240

<u>Input Indicators</u>	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	2013 Target/ Projected	Fiscal Year 2013 Actual	Fiscal Year 2014 Target/ Projected
Total expenditures - all sources (in thousands)	\$27,007.1	\$33,026.8	\$47,291.1	\$31,859.0	\$48,327.7
Total expenditures - state appropriated funds (in thousands)	26,258.8	33,026.8	47,291.1	31,859.0	48,327.7
Average monthly full time equivalents	50.0	52.0	53.0	51.0	53.0
<u>Output Indicators</u>					
Number of newborns screened for genetic/metabolic disorders	160,024	157,000	160,000	N/A	160,000
Number of vision and hearing performed	2,017,908	1,838,874	1,900,000	N/A	2,000,000
Number of children eligible for vision and hearing screening	1,200,000	1,500,000	1,500,000	N/A	1,500,000
<u>Outcome Indicators</u>					
Percentage of newborns screened	99.9%	99.9%	99.9%	N/A	99.9%
Number of infants confirmed with genetic/metabolic conditions	378	360	375	366	400

Footnotes

- (a) The FY 2013 output and outcome indicators were noted as N/A above as the actual data was not yet available.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**

(Appropriated Spending in Thousands)

**Women's Health**

Mission Statement: To improve the health of Illinois women, to encourage healthier lifestyles among women, and to promote equitable public policy on women's health issues.

Program Goals:

Objectives:

1. To improve women's health through screening and early detection programs.
  - <sup>a</sup> Reduce the diagnosis of late stage breast and cervical cancer through the provision of breast and cervical cancer screening to no less than 27,500 women by June 30, 2014.
2. To increase the knowledge of providers and the public about gender specific health issues and resources.
  - <sup>a</sup> Respond to 6,500 calls to the Women's Health Helpline and Women's Health Referral Network on an annual basis.

Funds: General Revenue Fund, Penny Sevens Breast, Cervical and Ovarian Cancer Research Fund, Public Health Services Fund, Carolyn Adams Ticket for the Cure Grant Fund, Tobacco Settlement Recovery Fund, Maternal and Child Health Services Block Grant Fund, Public Health Special State Projects Fund

Statutory Authority: 20 ILCS 2305/

Input Indicators	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	2013 Target/ Projected	Fiscal Year 2013 Actual	Fiscal Year 2014 Target/ Projected
Total expenditures - all sources (in thousands)	\$22,398.8	\$24,959.5	\$30,556.9	\$23,131.6	\$61,418.9
Total expenditures - state appropriated funds (in thousands)	22,398.8	24,959.5	30,556.9	23,131.6	61,418.9
Average monthly full time equivalents	22.0	18.0	25.0	20.0	28.0
<b>Output Indicators</b>					
Number of requests to Women's Health Helpline	8,160	5,846	6,000	6,145	6,500
Women's Health Initiative and Osteoporosis Grants Awards (in thousands)	\$ 500.0	\$ 183.7	\$ 228.0	\$ 223.5	\$ 200.0
Number of Women's Health Initiative and Osteoporosis Grant Awards	75	40	28	28	25
Number of women receiving screening services	39,157	37,165	33,720	34,442	27,500
<b>Outcome Indicators</b>					
Percent of women with abnormal screening results who received diagnostic follow-up	92.1%	99.1%	100.0%	98.0%	100.0%
Average turn-around time for request received through the Women's Health Helpline (business days)	3.0	4.0	4.0	3.0	4.0

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SERVICE EFFORTS AND ACCOMPLISHMENTS

(Not Examined)

**Public Health**  
(Appropriated Spending in Thousands)

**Policy, Planning & Statistics**

Mission Statement: To facilitate the development of state health policy that ensures effective, accessible and affordable health services in Illinois.

Program Goals:

Objectives:

1. Improve access to primary health services for residents of rural and underserved areas of Illinois.

Funds: General Revenue Fund, Public Health Services Fund, Community Health Center Care Fund, Illinois Health Facilities Planning Fund, Nursing Dedicated and Professional Fund, Long-Term Care Provider Fund, Regulatory Evaluation and Basic Enforcement Fund, Tobacco Settlement Recovery Fund, Public Health Federal Projects Fund, Preventive Health and Health Services Block Grant Fund, Public Health Special State Projects Fund, Illinois State Podiatric Disciplinary Fund

Statutory Authority: 20 ILCS 2310/

<u>Input Indicators</u>	<u>Fiscal Year 2011 Actual</u>	<u>Fiscal Year 2012 Actual</u>	<u>2013 Target/ Projected</u>	<u>Fiscal Year 2013 Actual</u>	<u>Fiscal Year 2014 Target/ Projected</u>
Total expenditures - all sources (in thousands)	\$15,624.1	\$17,656.3	\$28,881.9	\$19,666.3	\$33,741.8
Total expenditures - state appropriated funds (in thousands)	15,624.1	17,656.3	28,881.9	19,666.3	33,741.8
Average monthly full time equivalents	73.0	71.0	63.0	71.0	70.0
<u>Outcome Indicators</u>					
Number of Medicare certified rural health clinics	223	220	220	216	216
Number of medical scholarship recipients currently in practice in rural and underserved areas	46	61	80	61	55

Footnotes

- (a) The Medical Student Scholarship program has not been funded for several years (budget cuts); however, there are still graduates from the program fulfilling their practice obligations related to the scholarships.

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SCHEDULE OF INDIRECT COST REIMBURSEMENTS

(Not Examined)

For the Fiscal Years Ended June 30,

The Department negotiates indirect cost reimbursement rates with the U.S. Department of Health and Human Services (DHHS). These indirect cost rates are used to support claims for indirect costs pertaining to grants and contracts with the federal government. The Department contracts the rate proposal and negotiation process to a professional consultant.

The rates are approved by DHHS in accordance with OMB Circular A-87, subject to any statutory or administrative limitations. Initially, provisional rates are determined and used. Final rates are eventually determined, generating possible over/under recovery of indirect costs, which are considered in finalizing future years' rates.

Cost base: Direct salaries and wages including fringe benefits exclusive of group insurance premiums.

The Department tracks its indirect cost reimbursements by federal project. One federal project could include more than one Catalog of Federal Domestic Assistance (CFDA) number; and more likely, one CFDA number includes more than one federal project. Indirect cost reimbursements were deposited into the Public Health Special State Projects Fund (0896) for the years ended June 30, 2013 and 2012 as follows by listed federal project:

Federal Project	2013	2012
Adult Viral Hepatitis Prevention	\$ 7,038	\$ 12,681
AIDS Prevention	172,787	282,592
AIDS Surveillance	58,321	68,594
Asbestos Hazard Emergency Response	9,488	23,121
Beach Monitoring & Notification	9,409	30,672
Beach Sanitary Surveys	1,447	10,632
Bioterrorism	379,635	534,786
Bioterrorism Cities Readiness Initiative	52,379	38,771
Bioterrorism Hospital Preparedness	150,539	99,168
Cancer Registry Enhancement	129,801	211,872
Childhood Lead	11,242	(46,897) (1)
Clinical Laboratory Improvement Act	143,115	109,985
Collaborative Chronic Disease	75,163	10,729
Collaborative Chronic Disease - ARRA	-	6,830
Comprehensive Cancer	33,710	25,125
Diabetes	63,248	38,114
Disabilities Prevention	21,393	25,625
Expand HIV Testing	-	32,506
Fatal Occupational Injury	9,385	10,799
FERN Capabilities for Food Testing	2,943	12,611
Health Education & Health Assessment	48,820	67,702
Healthy Communities	-	7,091

STATE OF ILLINOIS  
DEPARTMENT OF PUBLIC HEALTH

COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2013

SCHEDULE OF INDIRECT COST REIMBURSEMENTS

(Not Examined)

For the Fiscal Years Ended June 30,

Federal Project - continued	2013	2012
HIV Care - Ryan White	\$ 337,026	\$ -
HIV Care - Ryan White - ADAP	201,022	-
Illinois Chronic Disease - ARRA	-	4,796
Illinois Fish Advisories	6,485	-
Illinois Youth Suicide Prevention	14,247	-
Immunization	411,810	444,499
IPM Head Start Project	-	2,720
Lab Capacity for Infectious Disease	21,711	48,521
MCHS Block Grant	45,259	32,765
Medicare	2,461,917	2,354,542
Morbidity & Risk Behavior Surveillance	25,647	48,752
National Breast & Cervical Cancer	115,180	139,243
New Affordable Care Act	53,168	60,894
New Community Transformation Grant	66,707	-
Occupational Safety & Health Surveillance	16,820	5,136
Older Americans	-	329
Pesticide Enforcement	34,812	28,254
PHHS Services Block Grant	165,519	285,441
Pregnancy Risk Assessment Monitor	24,307	28,713
Primary Health Care	40,393	32,954
Rape Prevention	2,998	5,826
Rural Health Care	18,700	8,092
State Asthma Plan	36,717	43,891
State Cardiovascular	51,235	27,458
State Lead Accreditation Program	23,188	52,179
State Primary Care - ARRA	35,925	25,855
State-Based Birth Defects Surveillance	33,683	21,817
STD	75,283	110,348
Strengthening Public Health Infrastructure	8,112	2,476
TB Control	109,307	146,865
Tobacco - ARRA Chronic Disease	(5,569)	16,030 (1)
Tobacco Control	183,135	152,960
Vision & Hearing Surveillance	26,492	23,212
Waukegan Harbor Fish Advisory Education	2,097	10,584
WiseWoman	56,948	42,673
<b>Total</b>	<b>\$ 6,080,144</b>	<b>\$ 5,820,934</b>

(1) The negative total relates to a correction for a prior year indirect cost adjustment.