

**STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
COMPLIANCE EXAMINATION**

For the Two Years Ended June 30, 2009

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2009

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STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
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For the Two Years Ended June 30, 2009

**AGENCY OFFICIALS**

**ILLINOIS COMMERCE COMMISSION**

Acting Chairman (effective 1/18/2010)	Manuel Flores
Chairman (until 1/18/2010)	Charles Box
Commissioner	Lula Ford
Commissioner	Erin O'Connell-Diaz
Commissioner (effective 1/1/2008)	Sherman Elliott
Commissioner (until 5/31/2009)	Robert Lieberman
Commissioner (6/1/2009 to 6/30/2009)	Vacant
Executive Director	Tim Anderson
Bureau Chief Planning and Operations	Ken Hundrieser
Director of Administrative Services	Jane Fields
Fiscal Officer	Sue McCormick
General Counsel	Mary Stephenson-Schroeder
Chief Internal Auditor (until 12/31/2008)	Jane Hughes-Jackson
Chief Internal Auditor (1/1/2009 to 6/30/2009)	Vacant

The Commission is located at:

527 E. Capitol Avenue  
Springfield, Illinois 62701

160 N. LaSalle  
Suite C-800  
Chicago, Illinois 60601

The Police Station is located at:

9511 West Harrison Street  
Des Plaines, Illinois 60016



## ILLINOIS COMMERCE COMMISSION

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May 12, 2010

Honorable William G. Holland  
Auditor General  
740 East Ash Street  
Springfield, IL 62703  
Attention: Lisa Warden

Auditor General Holland:

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 Agency. 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 Agency's compliance with the following assertions during the two-year period ended June 30, 2009. Based on this evaluation, we assert that during the year(s) ended June 30, 2008 and June 30, 2009, the Agency has materially complied with the assertions below.

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


Yours very truly,

Illinois Commerce Commission



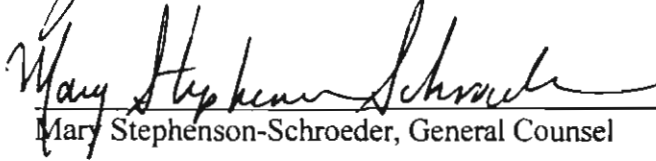
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Tim Anderson, Executive Director



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Jane Fields, Director of Administrative Services



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Mary Stephenson-Schroeder, General Counsel

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2009

**COMPLIANCE REPORT**

**SUMMARY**

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

**ACCOUNTANTS' REPORTS**

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

**SUMMARY OF FINDINGS**

<u>Number of</u>	<u>Current</u>	<u>Prior</u>
Findings	Report	Report
Repeated findings	3	6
Prior recommendations implemented or not repeated	0	3
	6	6

Details of findings are presented in a separately section of this report.

**SCHEDULE OF FINDINGS**

<u>Item</u> <u>No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)			
09-1	9	Untimely revocation of signature authorization	Significant Deficiency Noncompliance
09-2	10	Untimely and inaccurate Agency Workforce Reports	Significant Deficiency Noncompliance
09-3	11	Inadequate controls over employee time	Significant Deficiency Noncompliance

**PRIOR FINDINGS NOT REPEATED**

A	13	Noncompliance with expenditure allocation requirements
B	13	Required information not timely reported
C	13	Utility cost recovery
D	13	Employee evaluations not completed timely
E	14	No program in place to monitor telecommunications subscribers
F	14	Inadequate support for receipt transactions

**EXIT CONFERENCE**

The findings and recommendations appearing in this report were discussed with Commission personnel at an exit conference on May 4, 2010. Attending were:

Illinois Commerce Commission

Tim Anderson, Executive Director  
Jodie Hovey, Assistant to the Executive Director  
Aaron Rife, Chief Internal Auditor  
Jane Fields, Administrative Services Director  
Leigh Ann Meyers, Human Resources Director  
Dawn Denny, Human Resources Coordinator  
Manuel Flores, Acting Chairman, via video conference

Office of the Auditor General

Lisa Warden, Audit Manager  
Heather York, Audit Supervisor  
Winnie Xu, Auditor  
Meredith Dean, Auditor  
Angela Coleman, Auditor

Responses to the recommendations were provided by Tim Anderson in a letter dated May 12, 2010.

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OFFICE OF THE AUDITOR GENERAL  
WILLIAM G. HOLLAND

**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**

We have examined the State of Illinois, Illinois Commerce Commission's (Commission) 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, 2009. The management of the Commission is responsible for compliance with these requirements. Our responsibility is to express an opinion on the Commission's compliance based on our examination.

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



We conducted our examination 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 Illinois Commerce Commission'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 Illinois Commerce Commission's compliance with specified requirements.

In our opinion, the Illinois Commerce Commission complied, in all material respects, with the requirements listed in the first paragraph of this report during the two years ended June 30, 2009. However, the results of our procedures disclosed instances of noncompliance, 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 findings 09-1, 09-2, and 09-3.

### **Internal Control**

The management of the Illinois Commerce Commission 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 Illinois Commerce Commission's internal control over compliance with the requirements listed in the first paragraph of this report as a basis for designing our examination procedures 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 Illinois Commerce Commission's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Illinois Commerce Commission's internal control over compliance.

A deficiency in an entity's internal control over compliance exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct noncompliance with the requirements listed in the first paragraph of this report on a timely basis. A *material weakness* is a deficiency, or combination of deficiencies, in internal control over compliance such that there is a reasonable possibility that 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.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

However, we identified certain deficiencies in internal control over compliance described in findings 09-1, 09-2 and 09-3 in the accompanying schedule of findings that we consider to be significant deficiencies in internal control over compliance. A *significant deficiency* is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

There were no immaterial findings that have been excluded from this report.


The Illinois Commerce Commission's responses to the findings identified in our examination are described in the accompanying schedule of findings. We did not examine the Illinois Commerce Commission's responses and, accordingly, we express no opinion on them.

**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 as listed in the table of contents as Supplementary Information for State Compliance Purposes 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 2008 and 2009 Supplementary Information for State Compliance Purposes, except for Memorandums of Understanding, and Service Efforts and Accomplishments on which we did not perform any procedures. However, we do not express an opinion on the supplementary information.

We have not applied procedures to the 2007 Supplementary Information for State Compliance Purposes, and accordingly, we do not express an opinion thereon.

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

  
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BRUCE L. BULLARD, CPA  
Director of Financial and Compliance Audits

May 12, 2010

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2009

09-01. **FINDING** (Untimely revocation of signature authorization)

The Illinois Commerce Commission (Commission) did not timely cancel signature authorization for a former employee.

One of 4 (25%) signature authorization cards on file at the Office of the Comptroller at the end of FY09 was for an individual no longer employed with the Commission. The individual departed from the Commission on August 20, 2008; however, the signature authorization card was not revoked until August 19, 2009. Signature authorization cards are used by agencies to notify the Office of the Comptroller (Comptroller) when the responsible agency officer has delegated or revoked authority for voucher certification and approval.

The State Finance Act (30 ILCS 105/9.02) states that it is the responsibility of the agency to notify the Comptroller when delegation of signature authority is revoked.

Commission management stated the employee's signature stamp was reclaimed upon separation; however, the employee's signature authority was not timely revoked due to oversight.

Failure to timely cancel signature authorizations for individuals no longer employed increases the risk of improper authorization of expenditures. (Finding Code No. 09-1)

**RECOMMENDATION**

We recommend the Commission cancel signature authorizations timely for individuals no longer employed and develop policies to monitor signature authorizations on file with the Comptroller.

**COMMISSION RESPONSE**

The Commission agrees with this finding. The signature authority with the Comptroller's Office should have been revoked immediately upon her resignation. It was an oversight that it wasn't revoked timely. The risk was mitigated because the authority required the Executive Director's signature stamp plus her signature on any document. We kept and controlled the signature stamp upon her departure. A system to review signature authorities with the Comptroller's Office has been implemented.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2009

09-02. **FINDING** (Untimely and inaccurate Agency Workforce Reports)

The Illinois Commerce Commission (Commission) did not timely prepare and submit accurate Agency Workforce Reports (Reports) to the Secretary of State and the Office of the Governor.

We noted the Commission did not prepare and submit its 2007 Report. In addition, the 2008 Report understated by one person the total number of minorities with an income between \$60,000 and \$69,999.

The State Employment Records Act (Act) (5 ILCS 410/1 et seq.) requires State agencies to collect, classify, maintain and report certain employment statistics for women, disabled and minority groups. Annual reports summarizing the information in a prescribed format are required to be filed with the Office of the Governor and the Secretary of State by January 1<sup>st</sup> of each year for the preceding fiscal year.

Commission personnel stated the assigned employee resigned before the 2007 Report was due and the Commission was not notified the report had not been completed. The misstatement in the 2008 Report was due to a mathematical error in the supporting schedule.

Failure to file and ensure accuracy of Reports prevents fulfillment of the purpose of the State Employment Records Act, which is to provide information to help guide efforts to achieve a more diversified State workforce. (Finding Code No. 09-2)

**RECOMMENDATION**

We recommend that the Commission implement internal controls to ensure Reports are prepared accurately and filed with the Secretary of State and the Office of the Governor by January 1<sup>st</sup> of each year in compliance with the State Employment Records Act. Further, the Commission should prepare and file the 2007 Report and the corrected 2008 Report with the Secretary of State and the Office of the Governor within 30 days of audit release as required by the Illinois State Auditing Act.

**COMMISSION RESPONSE**

In regards to the Agency Workforce Reports, an amended report was filed on January 22, 2010 for the 2008 Report. On that same date, the 2007 Agency Workforce Report was also filed with the Secretary of State's Office. In the future, an electronic reminder has been established to remind the HR manager this Report is due. This Report will also be double checked by another individual for accuracy.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2009

09-3. **FINDING** (Inadequate controls over employee time)

The Illinois Commerce Commission (Commission) did not exercise adequate controls over employee time.

We tested timekeeping records for two months and noted the following:

- Four of 25 (16%) employees tested did not work their scheduled work hours during the two months in our sample. For three of the four employees, their hours worked deviated from projected work schedules by 30 minutes to three hours. Those employees did not submit required documentation for the deviations to their supervisor and Division timekeeper. In addition, we noted two instances for one employee where the employee's time worked deviated from the standard work schedule without being supported by a leave request form.

We tested Equivalent Earned Time (EET) records for 4 months and noted the following:

- One of 7 (14%) employees tested reported earning EET which differed from the time reported on the employee's Official State Time Record.
- One of 7 (14%) employees tested did not accrue EET in accordance with the Commission's policy. We noted two instances of the employee accruing EET in one-quarter hour increments. Subsequent to our testing, management corrected the erroneous EET accrual to comply with policy.

The Commission's Employee Manual (Manual) states that any deviation between the projected two-week schedule and the daily attendance form that is not recorded as approved leave time must be accounted for and documented by sending an electronic mail (email) to the immediate supervisor and Division timekeeper. The Manual also requires employees to submit an accurate daily record of the time they spent on official State business on the approved "Daily Attendance" form which includes authorized absences that have already been requested and approved. Furthermore, the Manual states that EET is to be accrued in one-half hour increments at straight time.

Commission personnel stated these exceptions were due to employee oversight and recording errors.

Failure to follow the Commission's personnel policies regarding attendance and EET increases the risk the Department will pay for services not rendered by employees. (Finding Code No. 09-3)

## **RECOMMENDATION**

We recommend the Commission ensure employees are working the hours they are scheduled. In addition, we recommend staff ensure each employee's Equivalent Earned Time accruals agree with the employee's Official State Time Record and are in accordance with Commission policies.

## **COMMISSION RESPONSE**

Both the Adaptable Schedule and Equivalent Earned Time are relatively new policies to the Commission. In order to ensure employees are working the hours they are scheduled and accruing time at the correct rate:

- I. Human Resources has developed and implemented a weekly attendance sheet that spans a two week period so employees will know how many hours they have worked in their two week schedule. We introduced this timesheet at a timekeeper's meeting prior to implementation agency wide.
- II. Human Resources will continue to meet with timekeepers to discuss the importance of employees only working their approved schedules, unless approved to work overtime, and documenting only time worked.
- III. Human Resources will discuss the audit findings with timekeepers and will once again re-iterate the Adaptable Schedule and the Equivalent Earned Time policy to ensure compliance.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**PRIOR FINDING NOT REPEATED (STATE COMPLIANCE)**  
For the Two Years Ended June 30, 2009

A. **FINDING** (Noncompliance with expenditure allocation requirements)

During the prior period, the Illinois Commerce Commission (Commission) did not properly allocate salary expenditures or timely complete time studies for charges to the Transportation Regulatory Fund (TRF).

During the current period, the Commission properly allocated salary expenditures and timely completed time studies for the TRF. (Prior Finding Code No. 07-01)

B. **FINDING** (Required information not timely reported)

During the prior year period, we found that the Commission did not timely certify to the State Treasurer the amount of funding to be paid out of the Digital Divide Elimination Infrastructure Fund. Further, the Commission did not post consumer rights on the internet, as required and did not timely file required reports.

During the current period, we found that the Commission did timely certify the amount of necessary funding. Further, the Commission has posted consumer rights on the internet, as required and has filed required reports timely. (Prior Finding Code No. 07-02)

C. **FINDING** (Utility cost recovery)

During the prior period, the Commission had not established rules to be utilized in evaluating how utilities are to recover and allocate costs incurred from the construction of generation or production facilities which have been cancelled.

During the current period, no generation or production facilities had been cancelled, were under construction, or were expected to be constructed. Since utility cost recovery rules are not currently necessary and the statute establishes no deadline for adoption of such rules, this prior finding is not repeated. (Prior Finding Code No. 07-3, 05-4, 03-3)

D. **FINDING** (Employee evaluations not completed timely)

During the prior period, the Commission did not complete annual employee performance evaluations for 10 of 25 (40%) employees tested. Additionally, the Commission completed annual evaluations for 4 of 25 (16%) employees tested from 65 to 263 days late.

During the current period, the Commission timely completed annual employee performance evaluations for the employees we tested. (Prior Finding Code No. 07-4, 05-6)

E. **FINDING** (No program in place to monitor telecommunications subscribers)

During the prior period, the Commission did not have a program in place to monitor the level of telecommunication subscriber connections within each exchange in Illinois, and a report with the results of such monitoring was not filed with the General Assembly, as required.

During the current period, we found that the Commission did establish a program to monitor the level of telecommunication subscriber connections within each exchange and provided the results in a report filed with the General Assembly. (Prior Finding Code No. 07-5, 05-9)

F. **FINDING** (Inadequate support for receipt transactions)

During the prior period, the Commission could not provide adequate supporting documentation for 9 of 25 (36%) administrative citations totaling \$5,207 where fees were waived, reduced, or dismissed.

During the current period, the Commission provided adequate support for waived fees we tested and had formal procedures in place to ensure proper approval. (Prior Finding Code No. 07-6)



STATE OF ILLINOIS  
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COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2009

**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 Expenditures of Federal Awards
- Notes to the Schedule of Expenditures of Federal Awards
- Schedule of Appropriations, Expenditures and Lapsed Balances
- Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances
- 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
- Schedule of Indirect Cost Reimbursements

- Analysis of Operations:

- Agency Functions and Planning Program
- Average Number of Employees
- Memorandums of Understanding (Not examined)
- Service Efforts and Accomplishments (Not examined)

The accountants' report that covers the Supplementary Information for State Compliance Purposes presented in the Compliance Report Section states the auditors have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General, except for information on the Memorandums of Understanding and Service Efforts and Accomplishments on which they did not perform any procedures. However, the accountants do not express an opinion on the supplementary information.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
For the Two Years Ended June 30, 2009  
(Amounts Expressed in Thousands)

<u>Grantor Agency</u>	<u>Program Title</u>	<u>Federal CFDA Number</u>	<u>2009</u>	<u>2008</u>
<b>Public Utility Fund - 059</b>				
U.S. Department of Transportation - Pipeline and Hazardous Materials Safety Administration	Pipeline Safety Program Base Grants	20.700	\$ 644	\$ 491
U.S. Department of Transportation - Pipeline and Hazardous Materials Safety Administration	Pipeline Safety Program Base Grants - (One Call Grant)	20.700	36	41
<b>Federal Grants Trust Fund - 379</b>				
U.S. Department of Transportation - Federal Railroad Administration	Railroad Safety (Public Education and Enforcement Research Study)	20.301	110	-
<b>Total Expenditures of Federal Awards</b>			<u>\$ 790</u>	<u>\$ 532</u>

Note: The accompanying notes to the Schedule of Expenditures of Federal Awards are an integral part of this schedule.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
For the Two Years Ended June 30, 2009

**NOTE 1 - Significant Accounting Policies**

**A. Basis of Presentation**

The Schedule of Expenditures of Federal Awards presents the activity of all federal award programs of the Illinois Commerce Commission (Commission) for the years ended June 30, 2008 and June 30, 2009.

**B. Basis of Accounting**

The Schedule of Expenditures of Federal Awards is prepared on the cash basis of accounting.

**C. Programs**

All federal award programs have been included in the Schedule of Expenditures of Federal Awards. The Commission also receives grant awards funded by the State of Illinois. These funds are not included in the Schedule of Expenditures of Federal Awards.

None of the federal awards received by the Commission are for major programs to the State of Illinois.

**NOTE 2 - Description of Grant Programs**

The following is a brief description of the grant programs included in the Schedule of Expenditures of Federal Awards:

**A. U.S. Department of Transportation – Pipeline and Hazardous Materials Safety Administration**

Pipeline Safety Program Base Grants – CFDA No. 20.700

This grant was awarded to the Commission to enforce safety standards for the transportation of natural and other gas by pipeline. This grant funds a portion of the cost for the Commission to conduct on-site inspections of gas operators every two years in the State of Illinois to determine compliance with all applicable federal and/or State pipeline safety regulations. In addition, this grant will allow the Commission to monitor all noncompliance through follow-up inspections, informal hearings, show cause actions, or civil penalties.

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**NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**  
For the Two Years Ended June 30, 2009

**A. U.S. Department of Transportation – Pipeline and Hazardous Materials Safety Administration (Continued)**

Pipeline Safety Program Base Grants (One Call Grant) – CFDA No. 20.700

This grant was awarded to the Commission to enforce the Illinois Underground Utility Facilities Damage Prevention Act. This grant was used to offset part of the expense of two full-time investigators and costs associated with investigations. The Commission also plans to use this grant for enforcement and training costs.

**B. U.S. Department of Transportation – Federal Railroad Administration**

Railroad Safety (Public Education and Enforcement Research Study) – CFDA No. 20.301

This grant was awarded to the Commission to develop, implement and test a core highway-rail grade crossing safety program based on education and enforcement, which could be easily adaptable to numerous communities. All monies received were passed through various Illinois communities based on approved project proposals.

**NOTE 3 - Pass Through and Sub-recipient Awards**

The Commission did not receive any pass-through funds. The Commission provided amounts to sub-recipients as follows:

<b>Program Title</b>	<b>CFDA Number</b>	<b>2009 Amount Provided to Sub-Recipients</b>	<b>2008 Amount Provided to SubRecipients</b>
Railroad Safety (Public Education and Enforcement Research Study)	20.301	\$110,000	-

**NOTE 4 - Noncash Awards**

The Commission did not receive any noncash awards.

**NOTE 5 - Cash Returned to Grantor**

The Commission returned \$4,298 to grantors during Fiscal Year 2008 lapse period.

STATE OF ILLINOIS  
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**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2009

P.A. 95-0732 FISCAL YEAR 2009	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>APPROPRIATED FUNDS</b>					
<b>Transportation Regulatory Fund - 0018</b>					
<b>Chairman and Commissioners (Division 20)</b>					
Personal Services	\$ 88,600	\$ 40,837	\$ -	\$ 40,837	\$ 47,763
State Contribution to State Employees' Retirement System	15,800	8,626	479	9,105	6,695
State Contributions to Social Security	6,800	3,081	(479)	2,602	4,198
Group Insurance	16,200	6,233	-	6,233	9,967
Contractual Services	1,000	854	-	854	146
Travel	2,100	1,897	-	1,897	203
Equipment	5,000	-	-	-	5,000
Telecommunications	7,200	4,206	-	4,206	2,994
Operation of Automotive Equipment	1,600	1,089	132	1,221	379
<b>Total Division 20</b>	<u>\$ 144,300</u>	<u>\$ 66,823</u>	<u>\$ 132</u>	<u>\$ 66,955</u>	<u>\$ 77,345</u>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2009

P.A. 95-0732 FISCAL YEAR 2009	Appropriations (Net of Transfers)	Expenditures Through June 30	Expenditures July 1 to August 31	Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Transportation Regulatory Fund - 0018 (Continued)</b>					
<b>Transportation (Division 40)</b>					
Personal Services	\$ 4,962,600	\$ 4,636,488	\$ 321,429	\$ 4,957,917	\$ 4,683
State Contribution to State Employees' Retirement System	1,042,500	951,581	89,339	1,040,920	1,580
State Contributions to Social Security	373,600	298,835	31,845	330,680	42,920
Group Insurance	996,500	893,877	100,371	994,248	2,252
Contractual Services	710,000	425,818	48,541	474,359	235,641
Travel	177,100	64,700	9,443	74,143	102,957
Commodities	40,000	13,041	2,137	15,178	24,822
Printing	25,000	6,017	1,765	7,782	17,218
Equipment	116,000	88,242	2,091	90,333	25,667
Electronic Data Processing	356,900	185,526	5,853	191,379	165,521
Telecommunications	250,000	141,753	30,451	172,204	77,796
Operation of Automotive Equipment	165,000	112,320	17,421	129,741	35,259
Railroad Crossing Improvement Initiatives	600,000	263,919	64,484	328,403	271,597
Single State Insurance Registration Program and/or Unified Carrier Registration System	7,000,000	1,534,796	156,869	1,691,665	5,308,335
The Illinois Commercial Safety Towing Law	2,090,800	547,095	55,547	602,642	1,488,158
Refunds	50,000	12,741	-	12,741	37,259
<b>Total Division 40</b>	<b>\$ 18,956,000</b>	<b>\$ 10,176,749</b>	<b>\$ 937,586</b>	<b>\$ 11,114,335</b>	<b>\$ 7,841,665</b>
<b>Total Transportation Fund</b>	<b>\$ 19,100,300</b>	<b>\$ 10,243,572</b>	<b>\$ 937,718</b>	<b>\$ 11,181,290</b>	<b>\$ 7,919,010</b>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2009

P.A. 95-0732 FISCAL YEAR 2009	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Public Utility Fund - 0059</b>					
<b>Chairman and Commissioner's Office (Division 20)</b>					
Personal Services	\$ 921,300	\$ 755,746	\$ 32,412	\$ 788,158	\$ 133,142
State Contribution to State Employees' Retirement System	174,000	159,208	6,751	165,959	8,041
State Contributions to Social Security	70,500	56,035	2,414	58,449	12,051
Group Insurance	226,800	147,663	5,824	153,487	73,313
Contractual Services	27,700	23,757	339	24,096	3,604
Travel	69,900	39,414	1,499	40,913	28,987
Commodities	2,100	-	-	-	2,100
Equipment	2,300	-	-	-	2,300
Telecommunications	20,000	12,510	3,273	15,783	4,217
Operation of Automotive Equipment	1,800	1,688	-	1,688	112
<b>Total Division 20</b>	<u>\$ 1,516,400</u>	<u>\$ 1,196,021</u>	<u>\$ 52,512</u>	<u>\$ 1,248,533</u>	<u>\$ 267,867</u>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2009

P.A. 95-0732 FISCAL YEAR 2009	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Public Utility Fund - 0059 (Continued)</b>					
<b>Public Utilities (Division 30)</b>					
Personal Services	\$ 15,180,000	\$ 13,176,397	\$ 595,574	\$ 13,771,971	\$ 1,408,029
State Contribution to State Employees' Retirement System	2,956,500	2,655,442	251,362	2,906,804	49,696
State Contributions to Social Security	1,161,200	981,443	28,422	1,009,865	151,335
Group Insurance	3,255,000	2,678,836	121,802	2,800,638	454,362
Contractual Services	1,924,200	1,297,687	69,928	1,367,615	556,585
Travel	240,000	139,083	4,667	143,750	96,250
Commodities	46,700	17,627	3,449	21,076	25,624
Printing	35,500	13,744	-	13,744	21,756
Equipment	80,000	10,070	39,058	49,128	30,872
Electronic Data Processing	792,300	443,085	8,240	451,325	340,975
Telecommunications	425,000	257,025	91,175	348,200	76,800
Operation of Automotive Equipment	81,100	34,671	5,935	40,606	40,494
Refunds	17,000	1,585	2,896	4,481	12,519
<b>Total Division 30</b>	<b>\$ 26,194,500</b>	<b>\$ 21,706,695</b>	<b>\$ 1,222,508</b>	<b>\$ 22,929,203</b>	<b>\$ 3,265,297</b>
<b>Total Public Utility Fund</b>	<b>\$ 27,710,900</b>	<b>\$ 22,902,716</b>	<b>\$ 1,275,020</b>	<b>\$ 24,177,736</b>	<b>\$ 3,533,164</b>

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



STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2009

P.A. 95-0732 FISCAL YEAR 2009	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Underground Utility Facilities Damage Prevention Fund - 0127</b>					
Statewide One-call Notice System	\$ 200,000	\$ 121,884	\$ -	\$ 121,884	\$ 78,116
Refunds	1,000	-	-	-	1,000
<b>Total Underground Utility Facilities Damage Prevention Fund</b>	<b>\$ 201,000</b>	<b>\$ 121,884</b>	<b>\$ -</b>	<b>\$ 121,884</b>	<b>\$ 79,116</b>
<b>Capital Development Fund - 0141</b>					
Train Whistle Abatement	\$ 58,073	\$ 1,950	\$ -	\$ 1,950	\$ 56,123
<b>Total Capital Development Fund</b>	<b>\$ 58,073</b>	<b>\$ 1,950</b>	<b>\$ -</b>	<b>\$ 1,950</b>	<b>\$ 56,123</b>
<b>Wireless Service Emergency Fund - 0612</b>					
Grants to Emergency Telephone System Boards, Qualified Government Entities, or Department of State Police	\$ 56,600,000	\$ 56,544,415	\$ 10,649	\$ 56,555,064	\$ 44,936
<b>Total Wireless Service Emergency Fund</b>	<b>\$ 56,600,000</b>	<b>\$ 56,544,415</b>	<b>\$ 10,649</b>	<b>\$ 56,555,064</b>	<b>\$ 44,936</b>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2009

P.A. 95-0732 FISCAL YEAR 2009	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Wireless Carrier Reimbursement Fund - 0613</b>					
Reimbursement of Wireless Carrier	\$ 12,500,000	\$ 7,293,578	\$ -	\$ 7,293,578	\$ 5,206,422
<b>Total Wireless Carrier Reimbursement Fund</b>	<b>\$ 12,500,000</b>	<b>\$ 7,293,578</b>	<b>\$ -</b>	<b>\$ 7,293,578</b>	<b>\$ 5,206,422</b>
<b>Digital Divide Elimination Infrastructure Fund - 0771</b>					
Transfer to FY09 Budget Relief Fund	\$ 5,000,000	\$ 5,000,000	\$ -	\$ 5,000,000	\$ -
Construction of High-Speed Data Transmission Facilities	\$ 3,167,736	\$ 337,959	\$ 330,202	\$ 668,161	\$ 2,499,575
<b>Total Digital Divide Elimination Infrastructure Fund</b>	<b>\$ 8,167,736</b>	<b>\$ 5,337,959</b>	<b>\$ 330,202</b>	<b>\$ 5,668,161</b>	<b>\$ 2,499,575</b>
<b>GRAND TOTAL, ALL APPROPRIATED FUNDS</b>	<b>\$ 124,338,009</b>	<b>\$ 102,446,074</b>	<b>\$ 2,553,589</b>	<b>\$ 104,999,663</b>	<b>\$ 19,338,346</b>
<b>NON-APPROPRIATED FUND</b>					
<b>Federal Grants Trust Fund - 379</b>					
Federal Railroad Association Grant		\$ 109,540	\$ -	\$ 109,540	
<b>Total Federal Grants Trust Fund</b>		<b>\$ 109,540</b>	<b>\$ -</b>	<b>\$ 109,540</b>	
<b>Total Non-Appropriated Fund</b>		<b>\$ 109,540</b>	<b>\$ -</b>	<b>\$ 109,540</b>	
<b>Total All Funds</b>		<b>\$ 102,555,614</b>	<b>\$ 2,553,589</b>	<b>\$ 105,109,203</b>	

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2008	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
APPROPRIATED FUNDS					
<b>Transportation Regulatory Fund - 0018</b>					
<b>Chairman and Commissioners (Division 20)</b>					
Personal Services	\$ 84,000	\$ 79,925	\$ 3,592	\$ 83,517	\$ 483
State Contribution to State Employees' Retirement System	13,900	13,278	597	13,875	25
State Contributions to Social Security	6,400	5,904	271	6,175	225
Group Insurance	14,800	10,298	529	10,827	3,973
Contractual Services	400	248	-	248	152
Travel	2,100	1,872	-	1,872	228
Equipment	5,800	-	5,691	5,691	109
Telecommunications	7,200	2,412	1,502	3,914	3,286
Operation of Automotive Equipment	1,600	1,372	215	1,587	13
<b>Total Division 20</b>	<u>\$ 136,200</u>	<u>\$ 115,309</u>	<u>\$ 12,397</u>	<u>\$ 127,706</u>	<u>\$ 8,494</u>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2008	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Transportation Regulatory Fund - 0018 (Continued)</b>					
<b>Transportation (Division 40)</b>					
Personal Services	\$ 5,282,600	\$ 4,685,713	\$ 201,600	\$ 4,887,313	\$ 395,287
State Contribution to State Employees' Retirement System	876,900	776,586	33,410	809,996	66,904
State Contributions to Social Security	404,200	313,002	13,387	326,389	77,811
Group Insurance	1,000,500	894,905	61,609	956,514	43,986
Contractual Services	710,000	380,387	49,946	430,333	279,667
Travel	177,100	78,227	6,431	84,658	92,442
Commodities	30,000	13,798	2,928	16,726	13,274
Printing	20,000	14,803	772	15,575	4,425
Equipment	116,000	31,686	37,886	69,572	46,428
Electronic Data Processing	407,200	100,644	79,383	180,027	227,173
Telecommunications	300,000	98,548	29,363	127,911	172,089
Operation of Automotive Equipment Single State Insurance Registration Program and/or Unified Carrier Registration System	140,000	106,193	19,669	125,862	14,138
Railroad Crossing Improvement Initiatives	7,000,000	2,875,822	-	2,875,822	4,124,178
The Illinois Commercial Safety Towing Law Refunds	600,000	259,371	53,514	312,885	287,115
	1,300,000	-	200,638	200,638	1,099,362
	50,000	17,571	1,239	18,810	31,190
<b>Total Division 40</b>	<u>\$ 18,414,500</u>	<u>\$ 10,647,256</u>	<u>\$ 791,775</u>	<u>\$ 11,439,031</u>	<u>\$ 6,975,469</u>
<b>Total Transportation Fund</b>	<u>\$ 18,550,700</u>	<u>\$ 10,762,565</u>	<u>\$ 804,172</u>	<u>\$ 11,566,737</u>	<u>\$ 6,983,963</u>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2008	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Public Utility Fund - 0059</b>					
<b>Chairman and Commissioner's Office (Division 20)</b>					
Personal Services	\$ 884,400	\$ 593,763	\$ 28,647	\$ 622,410	\$ 261,990
State Contribution to State Employees' Retirement System	146,800	98,370	4,746	103,116	43,684
State Contributions to Social Security	67,700	44,193	2,133	46,326	21,374
Group Insurance	214,900	114,748	5,876	120,624	94,276
Contractual Services	22,700	20,193	1,954	22,147	553
Travel	64,900	50,361	4,326	54,687	10,213
Commodities	2,100	-	-	-	2,100
Equipment	2,300	-	1,072	1,072	1,228
Telecommunications	20,000	9,883	1,279	11,162	8,838
Operation of Automotive Equipment	800	755	45	800	-
<b>Total Division 20</b>	<u>\$ 1,426,600</u>	<u>\$ 932,266</u>	<u>\$ 50,078</u>	<u>\$ 982,344</u>	<u>\$ 444,256</u>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2008	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Public Utility Fund - 0059 (Continued)</b>					
<b>Public Utilities (Division 30)</b>					
Personal Services	\$ 15,480,000	\$ 12,805,797	\$ 565,151	\$ 13,370,948	\$ 2,109,052
State Contribution to State					
Employees' Retirement System	2,569,700	2,158,163	109,232	2,267,395	302,305
State Contributions to Social Security	1,184,200	940,530	41,794	982,324	201,876
Group Insurance	3,255,000	2,503,229	112,508	2,615,737	639,263
Contractual Services	1,914,200	1,314,144	120,756	1,434,900	479,300
Travel	240,000	114,927	6,292	121,219	118,781
Commodities	46,700	12,851	1,787	14,638	32,062
Printing	35,500	13,202	2,063	15,265	20,235
Equipment	80,000	3,225	75,028	78,253	1,747
Electronic Data Processing	975,800	282,936	400,877	683,813	291,987
Telecommunications	425,000	232,643	41,990	274,633	150,367
Operation of Automotive Equipment	60,000	37,396	7,598	44,994	15,006
Refunds	27,000	16,352	10,176	26,528	472
Total Division 30	<u>\$ 26,293,100</u>	<u>\$ 20,435,395</u>	<u>\$ 1,495,252</u>	<u>\$ 21,930,647</u>	<u>\$ 4,362,453</u>
<b>Total Public Utility Fund</b>	<u>\$ 27,719,700</u>	<u>\$ 21,367,661</u>	<u>\$ 1,545,330</u>	<u>\$ 22,912,991</u>	<u>\$ 4,806,709</u>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2008	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Underground Utility Facilities Damage Prevention Fund - 0127</b>					
Statewide One-call Notice System Refunds	\$ 74,000 <u>1,000</u>	\$ 74,000 <u>-</u>	\$ - <u>-</u>	\$ 74,000 <u>-</u>	\$ - <u>1,000</u>
<b>Total Underground Utility Facilities Damage Prevention Fund</b>	<b>\$ 75,000</b> <b><u>                    </u></b>	<b>\$ 74,000</b> <b><u>                    </u></b>	<b>\$ -</b> <b><u>                    </u></b>	<b>\$ 74,000</b> <b><u>                    </u></b>	<b>\$ 1,000</b> <b><u>                    </u></b>
<b>Capital Development Fund - 0141</b>					
Train Whistle Abatement	\$ 74,275 <u>                    </u>	\$ 15,602 <u>                    </u>	\$ 600 <u>                    </u>	\$ 16,202 <u>                    </u>	\$ 58,073 <u>                    </u>
<b>Total Capital Development Fund</b>	<b>\$ 74,275</b> <b><u>                    </u></b>	<b>\$ 15,602</b> <b><u>                    </u></b>	<b>\$ 600</b> <b><u>                    </u></b>	<b>\$ 16,202</b> <b><u>                    </u></b>	<b>\$ 58,073</b> <b><u>                    </u></b>
<b>Wireless Service Emergency Fund - 0612</b>					
Grants to Emergency Telephone System Boards, Qualified Government Entities, or Department of State Police	\$ 45,900,000 <u>                    </u>	\$ 45,833,570 <u>                    </u>	\$ 12,476 <u>                    </u>	\$ 45,846,046 <u>                    </u>	\$ 53,954 <u>                    </u>
<b>Total Wireless Service Emergency Fund</b>	<b>\$ 45,900,000</b> <b><u>                    </u></b>	<b>\$ 45,833,570</b> <b><u>                    </u></b>	<b>\$ 12,476</b> <b><u>                    </u></b>	<b>\$ 45,846,046</b> <b><u>                    </u></b>	<b>\$ 53,954</b> <b><u>                    </u></b>

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Year Ended June 30, 2008

P.A. 95-0348 FISCAL YEAR 2008	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to August 31	Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
<b>Wireless Carrier Reimbursement Fund - 0613</b>					
Reimbursement of Wireless Carrier	\$ 19,500,000	\$ 3,974,609	\$ 794,599	\$ 4,769,208	\$ 14,730,792
<b>Total Wireless Carrier Reimbursement Fund</b>	<b>\$ 19,500,000</b>	<b>\$ 3,974,609</b>	<b>\$ 794,599</b>	<b>\$ 4,769,208</b>	<b>\$ 14,730,792</b>
<b>Digital Divide Elimination Infrastructure Fund - 0771</b>					
Construction of High-Speed Data Transmission Facilities	\$ 5,010,823	\$ 600,900	\$ 242,187	\$ 843,087	\$ 4,167,736
<b>Total Digital Divide Elimination Infrastructure Fund</b>	<b>\$ 5,010,823</b>	<b>\$ 600,900</b>	<b>\$ 242,187</b>	<b>\$ 843,087</b>	<b>\$ 4,167,736</b>
<b>GRAND TOTAL, ALL APPROPRIATED FUNDS</b>	<b>\$ 116,830,498</b>	<b>\$ 82,628,907</b>	<b>\$ 3,399,364</b>	<b>\$ 86,028,271</b>	<b>\$ 30,802,227</b>
<b>NON-APPROPRIATED FUND</b>					
<b>Federal Grants Trust Fund - 379</b>					
Federal Railroad Associate Grant		\$ -	\$ 4,298	\$ 4,298	
<b>Total Federal Grants Trust Fund</b>		<b>\$ -</b>	<b>\$ 4,298</b>	<b>\$ 4,298</b>	
<b>Total Non-Appropriated Fund</b>		<b>\$ -</b>	<b>\$ 4,298</b>	<b>\$ 4,298</b>	
<b>Total All Funds</b>		<b>\$ 82,628,907</b>	<b>\$ 3,403,662</b>	<b>\$ 86,032,569</b>	

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



STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30,

	Fiscal Year		
	2009	2008	2007
<b>Transportation Regulatory Fund - 0018</b>	P.A. 95-0732	P.A. 95-0348	P.A. 94-0798
Appropriations (Net of Transfers)	<u>\$ 19,100,300</u>	<u>\$ 18,550,700</u>	<u>\$ 16,284,500</u>
<u>Expenditures</u>			
Personal Services	\$ 4,998,754	\$ 4,970,830	\$ 4,182,869
State Contribution to State Employees' Retirement System	1,050,025	823,871	482,410
State Contributions to Social Security	333,282	332,564	274,718
Group Insurance	1,000,481	967,341	793,780
Contractual Services	475,213	430,581	427,634
Travel	76,040	86,530	85,710
Commodities	15,178	16,726	12,020
Printing	7,782	15,575	12,966
Equipment	90,333	75,263	73,242
Electronic Data Processing	191,379	180,027	181,049
Telecommunications	176,410	131,825	149,149
Operation of Automotive Equipment	130,962	127,449	100,401
Railroad Crossing Improvement Initiatives	328,403	312,885	275,779
Single State Insurance Registration Program and/or Unified Carrier Registration System	1,691,665	2,875,822	339,819
The Illinois Commercial Safety Towing Law	602,642	200,638	-
Refunds	<u>12,741</u>	<u>18,810</u>	<u>2,898</u>
Total Expenditures	<u>\$ 11,181,290</u>	<u>\$ 11,566,737</u>	<u>\$ 7,394,444</u>
Lapsed Balances	<u>\$ 7,919,010</u>	<u>\$ 6,983,963</u>	<u>\$ 8,890,056</u>

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30,

	Fiscal Year		
	2009	2008	2007
	P.A. 95-0732	P.A. 95-0348	P.A. 94 - 0798
<b>Public Utility Fund - 0059</b>			
Appropriations (Net of Transfers)	\$ 27,710,900	\$ 27,719,700	\$ 24,366,000
<u>Expenditures</u>			
Personal Services	\$ 14,560,129	\$ 13,993,358	\$ 13,357,337
State Contribution to State Employees' Retirement System	3,072,763	2,370,511	1,540,768
State Contributions to Social Security	1,068,314	1,028,650	983,368
Group Insurance	2,954,125	2,736,361	2,597,008
Contractual Services	1,391,711	1,457,047	1,213,128
Travel	184,663	175,906	160,772
Commodities	21,076	14,638	25,174
Printing	13,744	15,265	14,341
Equipment	49,128	79,325	97,904
Electronic Data Processing	451,325	683,813	631,229
Telecommunications	363,983	285,795	434,837
Operation of Automotive Equipment	42,294	45,794	40,804
Refunds	4,481	26,528	798
Total Expenditures	\$ 24,177,736	\$ 22,912,991	\$ 21,097,468
Lapsed Balances	\$ 3,533,164	\$ 4,806,709	\$ 3,268,532
<b>Underground Utility Facilities Damage Prevention Fund - 0127</b>			
Appropriations (Net of Transfers)	\$ 201,000	\$ 75,000	\$ 75,000
<u>Expenditures</u>			
Statewide One-call Notice System	\$ 121,884	\$ 74,000	\$ 45,125
Refunds	-	-	-
Total Expenditures	\$ 121,884	\$ 74,000	\$ 45,125
Lapsed Balances	\$ 79,116	\$ 1,000	\$ 29,875

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30,

	2009	Fiscal Year 2008	2007
	P.A. 95-0732	P.A. 95-0348	P.A. 94 - 0798
<b>Capital Development Fund - 0141</b>			
Appropriations (Net of Transfers)	\$ 58,073	\$ 74,275	\$ 393,985
<u>Expenditures</u>			
Train Whistle Abatement	\$ 1,950	\$ 16,202	\$ 319,710
Total Expenditures	\$ 1,950	\$ 16,202	\$ 319,710
Lapsed Balances	<u>\$ 56,123</u>	<u>\$ 58,073</u>	<u>\$ 74,275</u>
<b>Wireless Service Emergency Fund - 0612</b>			
Appropriations (Net of Transfers)	\$ 56,600,000	\$ 45,900,000	\$ 42,900,000
<u>Expenditures</u>			
Grants to Emergency Telephone System Boards, Qualified Government Entities, or Department of State Police	\$ 56,555,064	\$ 45,846,046	\$ 41,843,593
Total Expenditures	\$ 56,555,064	\$ 45,846,046	\$ 41,843,593
Lapsed Balances	<u>\$ 44,936</u>	<u>\$ 53,954</u>	<u>\$ 1,056,407</u>
<b>Wireless Carrier Reimbursement Fund - 0613</b>			
Appropriations (Net of Transfers)	\$ 12,500,000	\$ 19,500,000	\$ 27,500,000
<u>Expenditures</u>			
Reimbursement of Wireless Carrier	\$ 7,293,578	\$ 4,769,208	\$ 21,822,255
Total Expenditures	\$ 7,293,578	\$ 4,769,208	\$ 21,822,255
Lapsed Balances	<u>\$ 5,206,422</u>	<u>\$ 14,730,792</u>	<u>\$ 5,677,745</u>

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
For the Fiscal Years Ended June 30,

	2009	Fiscal Year 2008	2007
<b>Digital Divide Elimination Infrastructure Fund - 0771</b>	P.A 95-0732	P.A. 95-0348	P.A. 94 - 0798
Appropriations (Net of Transfers)	<u>\$ 8,167,736</u>	<u>\$ 5,010,823</u>	<u>\$ 5,000,000</u>
<u>Expenditures</u>			
Transfer to FY09 Budget Relief Fund	\$ 5,000,000	\$ -	\$ -
Construction of High-Speed Data Transmission Facilities	<u>668,161</u>	<u>843,087</u>	<u>989,178</u>
Total Expenditures	<u>\$ 5,668,161</u>	<u>\$ 843,087</u>	<u>\$ 989,178</u>
Lapsed Balances	<u>\$ 2,499,575</u>	<u>\$ 4,167,736</u>	<u>\$ 4,010,822</u>
<b>Grand Total - All Appropriated Funds</b>			
Total Appropriations (Net of Transfers)	<u>\$ 124,338,009</u>	<u>\$ 116,830,498</u>	<u>\$ 116,519,485</u>
Total Expenditures	<u>\$ 104,999,663</u>	<u>\$ 86,028,271</u>	<u>\$ 93,511,773</u>
Lapsed Balances	<u>\$ 19,338,346</u>	<u>\$ 30,802,227</u>	<u>\$ 23,007,712</u>
<b>Federal Grants Trust Fund - 379</b>			
<u>Expenditures</u>			
Federal Railroad Association Grant	<u>\$ 109,540</u>	<u>\$ 4,298</u>	<u>\$ 495,097</u>
Total Expenditures	<u>\$ 109,540</u>	<u>\$ 4,298</u>	<u>\$ 495,097</u>
<b>Grand Total - All Funds</b>	<u>\$ 105,109,203</u>	<u>\$ 86,032,569</u>	<u>\$ 94,006,870</u>

STATE OF ILLINOIS  
 ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES**  
 For the Fiscal Years Ended June 30,

	2009	Fiscal Year 2008	2007
Salaries Paid from the Comptroller's Executive Salary Appropriation			
Board Chairman	\$ 134,022	\$ 129,116	\$ 119,293
Four Board Members	458,418	394,653	374,615
Total Expenditures for the Comptroller's Executive Salaries Appropriation	\$ 592,440	\$ 523,769	\$ 493,908

STATE OF ILLINOIS  
 ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
 For the Two Years Ended June 30, 2009

	Equipment
Balance at July 1, 2007	\$ 4,836,189
Additions	531,343
Deletions	(115,702)
Net Transfers	(214,088)
Balance at June 30, 2008	\$ 5,037,742
Balance at July 1, 2008	\$ 5,037,742
Additions	929,551
Deletions	(133,556)
Net Transfers	(606,904)
Balance at June 30, 2009	\$ 5,226,833

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

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
For the Fiscal Years Ended June 30,  
(Expressed in Thousands)

<b><u>General Revenue Fund - 001</u></b>	<u>2009</u>	<u>2008</u>	<u>2007</u>
Fines, Penalties or Violations	\$ 178	\$ 210	\$ 580
QSWEF Tax Credit Repayment	9,540	10,298	15,199
WETSA Penalties	3	-	-
<b>Total General Revenue Fund</b>	<b>\$ 9,721</b>	<b>\$ 10,508</b>	<b>\$ 15,779</b>

**Transportation Regulatory Fund - 018**

Franchise Fees	\$ 2,704	\$ 1,949	\$ 1,969
Transportation Carrier Tax	389	530	500
Base State Registration - Illinois	-	616	141
Base State Registration - Other	-	-	340
Unified Carrier Registration	5,242	9,193	-
Civil Penalties	743	570	747
Railroad Crossing Reimbursement (IDOT)	155	-	202
Other Taxes	-	-	1
Miscellaneous	-	3	-
<b>Total Transportation Regulatory Fund</b>	<b>\$ 9,233</b>	<b>\$ 12,861</b>	<b>\$ 3,900</b>

**Public Utilities Fund - 059**

Gross Revenue Tax	\$ 8,525	\$ 9,552	\$ 9,261
US Department of Transportation	618	485	808
Securities Issuance Fees	1,308	4,988	3,928
Copy Fees	7	7	7
QSWEF Tax Credit Repayment	24	400	200
Telephone Utilities	-	-	1
Prior Year Refunds	-	4	-
Prior Year Warrant Voids	-	-	7
Miscellaneous	5	1	9
<b>Total Public Utilities Fund</b>	<b>\$ 10,487</b>	<b>\$ 15,437</b>	<b>\$ 14,221</b>

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS**  
For the Fiscal Years Ended June 30,  
(Expressed in Thousands)

**Illinois Underground Utility Facilities**

**Damage Prevention Fund - 127**

	<u>2009</u>	<u>2008</u>	<u>2007</u>
Fines/Penalties or Violations	\$ <u>73</u>	\$ <u>137</u>	\$ <u>48</u>

**Federal Grants Trust Fund - 379**

Federal Railroad Association	\$ <u>82</u>	\$ <u>38</u>	\$ <u>495</u>
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**Wireless Service Emergency  
Fund - 612**

Wireless 911 Surcharge	\$ <u>57,018</u>	\$ <u>46,222</u>	\$ <u>42,177</u>
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**Wireless Carrier Reimbursement  
Fund - 613**

Wireless 911 Surcharge	\$ <u>14,438</u>	\$ <u>18,280</u>	\$ <u>21,089</u>
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**FY09 Budget Relief Fund - 678**

Digital Divide Infrastructure	\$ <u>5,000</u>	\$ <u>-</u>	\$ <u>-</u>
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**TOTAL ALL FUNDS**

	<u>\$ 106,052</u>	<u>\$ 103,483</u>	<u>\$ 97,709</u>
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STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**RECONCILIATION SCHEDULE OF CASH RECEIPTS TO DEPOSITS  
REMITTED TO THE STATE COMPTROLLER**  
For the Fiscal Year Ended June 30, 2009  
(Expressed in Thousands)

	All Funds Combined	General Revenue Fund 001	Transportation Regulatory Fund 018	Public Utilities Fund 059	Illinois Underground Utility Facilities Damage Prevention Fund 127	Federal Grants Trust Fund 379	Wireless Service Emergency Fund 612	Wireless Carrier Reimbursement Fund 613	FY09 Budget Relief 678
Intra-State Gross Revenue Tax	\$ 8,914	\$ -	\$ 389	\$ 8,525	\$ -	\$ -	\$ -	\$ -	\$ -
Public Utility Tax	81,020	9,540	-	24	-	-	57,018	14,438	-
Fines, Penalties or Violations	997	181	743	-	73	-	-	-	-
Federal Government	700	-	-	618	-	82	-	-	-
Licenses, Fees and Registration	9,261	-	7,946	1,315	-	-	-	-	-
Other Revenue	5,160	-	155	5	-	-	-	-	5,000
<b>Total - Per Agency Records</b>	<b>\$ 106,052</b>	<b>\$ 9,721</b>	<b>\$ 9,233</b>	<b>\$ 10,487</b>	<b>\$ 73</b>	<b>\$ 82</b>	<b>\$ 57,018</b>	<b>\$ 14,438</b>	<b>\$ 5,000</b>
Deposits in Transit to Comptroller									
Beginning of Period	\$ 3,482	\$ 374	\$ 335	\$ 689	\$ 2	\$ -	\$ 1,661	\$ 421	\$ -
End of Period	(5,616)	-	(252)	(438)	(1)	-	(3,931)	(994)	-
Returned Checks	(4)	-	(4)	-	-	-	-	-	-
Cleared Checks from Prior FY	1	-	1	-	-	-	-	-	-
<b>Total - Per State Comptroller Records</b>	<b>\$ 103,915</b>	<b>\$ 10,095</b>	<b>\$ 9,313</b>	<b>\$ 10,738</b>	<b>\$ 74</b>	<b>\$ 82</b>	<b>\$ 54,748</b>	<b>\$ 13,865</b>	<b>\$ 5,000</b>

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**RECONCILIATION SCHEDULE OF CASH RECEIPTS TO DEPOSITS  
REMITTED TO THE STATE COMPTROLLER**  
For the Fiscal Year Ended June 30, 2008  
(Expressed in Thousands)

	<b>All Funds Combined</b>	<b>General Revenue Fund 001</b>	<b>Transportation Regulatory Fund 018</b>	<b>Public Utilities Fund 059</b>	<b>Illinois Underground Utility Facilities Damage Prevention Fund 127</b>	<b>Federal Grants Trust Fund 379</b>	<b>Wireless Service Emergency Fund 612</b>	<b>Wireless Carrier Reimbursement Fund 613</b>
Intra-State Gross Revenue Tax	\$ 10,082	\$ -	\$ 530	\$ 9,552	\$ -	\$ -	\$ -	\$ -
Public Utility Tax	75,200	10,298	-	400	-	-	46,222	18,280
Fines, Penalties or Violations	917	210	570	-	137	-	-	-
Federal Government	523	-	-	485	-	38	-	-
Licenses, Fees and Registration	16,753	-	11,758	4,995	-	-	-	-
Other Revenue	8	-	3	5	-	-	-	-
<b>Total - Per Agency Records</b>	<b>\$ 103,483</b>	<b>\$ 10,508</b>	<b>\$ 12,861</b>	<b>\$ 15,437</b>	<b>\$ 137</b>	<b>\$ 38</b>	<b>\$ 46,222</b>	<b>\$ 18,280</b>
Deposits in Transit to Comptroller								
Beginning of Period	\$ 5,845	\$ 773	\$ 313	\$ 418	\$ 12	\$ -	\$ 2,886	\$ 1,443
End of Period	(3,480)	(374)	(335)	(689)	(1)	-	(1,661)	(420)
Returned Checks	(4)	-	(4)	-	-	-	-	-
Cleared Checks from Prior FY	1	-	1	-	-	-	-	-
<b>Total - Per State Comptroller Records</b>	<b>\$ 105,845</b>	<b>\$ 10,907</b>	<b>\$ 12,836</b>	<b>\$ 15,166</b>	<b>\$ 148</b>	<b>\$ 38</b>	<b>\$ 47,447</b>	<b>\$ 19,303</b>

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES**  
For the Two Years Ended June 30, 2009

Significant variances were determined to be changes of \$25,000 and at least 25% between fiscal years as reported in the Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances, and are explained below.

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2008 AND 2009**

**Transportation Regulatory Fund - 018**

State Contribution to State Employees' Retirement System

The increase in expenditures for the State contribution to the State Employees' Retirement System in FY09 was due to an increase in the employer contribution rate from 16.561% in FY08 to 21.049% in FY09.

Telecommunications

The increase in telecommunications expenditures in FY09 was due to the purchase of police radios and dispatch services that started in FY09.

Unified Carrier Registration System

The decrease in expenditures for the Unified Carrier Registration System was due to two years worth of fees that were collected and disbursed in FY08. Only one year worth of fees was collected and disbursed in FY09.

The Illinois Commercial Safety Towing Law

The increase in expenditures for the Illinois commercial safety towing law was due to salaries, personnel and travel expenses for five new officers hired in FY09.

**Public Utility Fund - 059**

State Contribution to State Employees' Retirement System

The increase in expenditures for the State contribution to the State Employees' Retirement System in FY09 was due to an increase in the employer contribution rate from 16.561% in FY08 to 21.049% in FY09.

Equipment

The decrease in equipment expenditures was due to one-time essential purchases in FY08 for reception furniture, a witness stand, and office chairs.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES**  
For the Two Years Ended June 30, 2009

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2008 AND 2009 (CONTINUED)**

**Public Utility Fund - 059 (continued)**

Electronic Data Processing

The decrease in electronic data processing expenditures was due to the purchase of a call distributor system and the replacement of 1/3 of the Commission's computers in FY08.

Telecommunications

The increase in telecommunication expenditures was due to the maintenance costs of \$70,000 for the call distributor system in FY09.

**Underground Utility Facilities Damage Prevention Fund – 127**

Statewide One-call Notice System

The increase in expenditures for the statewide one-call notice system was due to an increase in the number of fines issued, collected and remitted in FY09.

**Federal Grants Trust Fund – 379**

Federal Railroad Association Grant

The increase in expenditures in FY09 is due to the Commission only expending in FY08 the return of unused grant funds from FY07. In FY09, the Commission received another federal grant; however, the Federal government changed the method of how the grant was distributed. Rather than the grant being advanced in full at the beginning of the grant period as in prior years, grant funds were reimbursed quarterly.

**Wireless Carrier Reimbursement Fund – 613**

Reimbursement of Wireless Carriers

The increase in expenditures is due to an increase in reimbursement requests submitted by carriers. These payments are solely based upon the amount companies request for reimbursement in a given year, assuming their reimbursement request does not exceed their account balance.

**Digital Divide Elimination Infrastructure Fund – 771**

Transfer to FY09 Budget Relief Fund

The increase in expenditures is due to the fund being appropriated \$5,000,000 for a mandated transfer to the FY09 Budget Relief Fund. This fund transfer did not occur in the prior year.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES**  
For the Two Years Ended June 30, 2009

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2007 AND 2008**

**Transportation Regulatory Fund - 018**

State Contribution to State Employees' Retirement System

The increase in State contribution to State employees' retirement system expenditures in FY08 was due to an increase in the employer contribution rate increasing from 11.525% in FY07 to 16.561% in FY08.

Operation of Automotive Equipment

The increase in operation of automotive equipment expenditures was due to an increase in the cost of gasoline and an increase in the cost of maintaining an older fleet of vehicles.

Unified Carrier Registration System

The increase in Unified Carrier Registration System expenditures was due to the Single State Insurance Registration program being repealed and replaced by the Unified Carrier Registration program during FY07, which did not begin collecting and expending funds until FY08. Two years worth of fees were collected and disbursed in FY08.

Illinois Commercial Safety Towing Law

The increase in expenditures is due to FY08 being the first year for the program.

**Public Utility Fund – 059**

State Contribution to State Employees' Retirement System

The increase in State contribution to State employees' retirement system expenditures in FY08 was due to an increase in the employer contribution rate from 11.525% in FY07 to 16.561% in FY08.

Telecommunications

The decrease in telecommunications expenditures was due to the Commission paying for a new audio public address system for the Springfield and Chicago office's main hearing rooms in FY07.

Refunds

The increase in refund expenditures was due to two gross revenue tax refund requests totaling approximately \$26,000.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES**  
For the Two Years Ended June 30, 2009

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2007 AND 2008 (CONTINUED)**

**Underground Utility Facilities Damage Prevention Fund -127**

Statewide One-call Notice System

The increase in statewide one-call notice system expenditures was due to more fines being collected to remit in FY08 than in FY07.

**Capital Development Fund – 141**

Train Whistle Abatement

The decrease in train whistle abatement expenditures was due to the completion of a railroad crossing construction phase in FY07. The only expenditures in FY08 were for railroad maintenance.

**Wireless Carrier Reimbursement Fund – 613**

Reimbursement of Wireless Carrier

The decrease in reimbursement of wireless carriers expenditures was due to a decrease in the reimbursement amounts sought by wireless carriers. Specifically, reimbursements sought by and paid to two wireless carriers decreased from a combined \$14,500,000 in Fiscal Year 2007 to a combined \$710,000 in Fiscal Year 2008. At least one of those carriers is expected to begin having significant reimbursements again in Fiscal Year 2009. In addition, a statutorily required transfer of \$8,000,000 from the Wireless Carrier Reimbursement Fund (Fund 613) to the Wireless Service Emergency Fund (Fund 612) significantly decreased the fund balance available for reimbursement of wireless carriers. At the end of FY07, there was approximately \$2 million in outstanding invoices due to various carriers not having a sufficient balance in the fund to receive reimbursements.

**Federal Grants Trust Fund – 379**

Federal Railroad Association Grant

The decrease in expenditures was due to the Commission only distributing grantee returns in FY08. In FY07, the Commission received the grant amount in full and distributed those funds for railroad safety to various cities in Illinois.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS**  
For the Two Years Ended June 30, 2009

Significant variances in receipts were determined to be changes of \$25,000 and at least 20% between fiscal years, and are explained below.

**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS BETWEEN FISCAL YEARS 2008 AND 2009**

**Transportation Regulatory Fund – 018**

Franchise Fees

The increase was due to \$754,855 in receipts from the new safety relocater and vehicle registration fees implemented in FY09.

Transportation Carrier Tax

The decrease of \$141,210 was due a decrease in revenue from one company and the use of a \$46,000 credit memo.

Base State Registration – Illinois

The decrease of \$615,879 was due to the Base State Registration – Illinois program ending and being replaced by the Unified Carrier Registration program in FY08.

Unified Carrier Registration

The decrease of \$3,950,608 was due to two years worth of Unified Carrier Registration fees being collected in FY08.

Civil Penalties

The increase of \$172,749 was due to an increase in the number of citations issued from having an additional three officers. The collection of current and past due penalties has also been more successful.

Railroad Crossing Reimbursement (IDOT)

The increase of \$155,000 was due to timing differences of requests for and receiving of reimbursements from IDOT for the Statewide Crossing Inventory Project contract.

**Public Utility Fund – 059**

US Department of Transportation

The increase of \$132,948 was due to three grant payments being received in FY09 and only two being received in FY08 from the federal government.

Security Issuance Fees

The decrease of \$3,680,726 was due to public utility companies having more security issuances in FY08 than in FY09.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS**  
For the Two Years Ended June 30, 2009

**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS BETWEEN  
FISCAL YEARS 2008 AND 2009 (CONTINUED)**

**Public Utility Fund – 059 (continued)**

OSWEF Tax Credit Repayment

The decrease of \$376,000 was due to a change in calculation of amounts due of Public Utility Fund receipts due to bankruptcy settlements in FY09.

**Illinois Underground Utility Facilities Damage Prevention Fund – 127**

Fines/Penalties or Violations

The decrease of \$64,022 was due to a decrease in the number of violations issued and paid.

**ICC Federal Grants Fund – 379**

Federal Railroad Association

The increase of \$44,128 was due to two draw downs for grantee reimbursements for railroad safety which weren't required in FY08.

**Wireless Service Emergency Fund – 612**

Wireless 911 Surcharge

The increase of \$10,796,445 was due to the wireless surcharge increasing from 50 cents per subscriber to 58.25 cents per subscriber on January 1, 2008. In addition, the number of subscribers increased approximately 5% from fiscal year 2008. Further, some variances are due to timing of remittances by carriers.

**Wireless Carrier Reimbursement Fund – 613**

Wireless 911 Surcharge

The decrease of \$3,841,964 was due to the change to the allocation percentage between Fund 612 and 613.

**FY09 Budget Relief Fund – 678**

Digital Divide Infrastructure

The increase of \$5,000,000 was due to FY09 being the first year that a mandatory transfer was made from the Digital Divide Elimination Infrastructure Fund to the FY09 Budget Relief Fund.



STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS**  
For the Two Years Ended June 30, 2009

Significant variances in receipts were determined to be changes of \$25,000 and at least 20% between fiscal years, and are explained below.

**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS BETWEEN FISCAL YEARS 2007 AND 2008**

**General Revenue Fund – 001**

Fines, Penalties or Violations

The decrease of \$370,167 was due to receiving eight paid fines in FY08 from a telephone company as compared to twelve paid fines in FY07.

QSWEF Tax Credit Repayment

The decrease of \$4,900,813 was due to a \$5 million dollar bankruptcy settlement being received in FY07.

**Transportation Regulatory Fund – 018**

Base State Registration - Illinois

The increase of \$474,817 was due to registration fees being recorded as Base State Registration revenues that were actually Unified Carrier Registration revenues. The money was correctly reimbursed to Unified Carrier Registration.

Base State Registration - Other

The decrease of \$339,627 was due to the Base State Program ending in FY07.

Unified Carrier Registration

The increase of \$9,192,696 was due to the Commission beginning to collect funds under the Unified Carrier Registration program in FY08.

Civil Penalties

The decrease of \$176,554 was due to a decrease in the number of penalties collected in FY08. This fluctuates on an annual basis based on the number of penalties imposed on regulated companies by the Commission.

Railroad Crossing Reimbursement (IDOT)

The decrease of \$202,078 was due to receiving the reimbursement from IDOT for FY08 in FY09 for the Statewide Crossing Inventory Project contract.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS**  
For the Two Years Ended June 30, 2009

**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS BETWEEN  
FISCAL YEARS 2007 AND 2008 (CONTINUED)**

**Public Utility Fund – 059**

US Department of Transportation

The decrease of \$323,710 was due to the receipt of three payments in FY07 and only two in FY08.

Securities Issuance Fees

The increase of \$1,060,763 was due to uncommonly high fees paid by utility companies because of more security issuances in FY08.

QSWEF Tax Credit Repayment

The increase of \$200,000 was due an increase in the amount of repayments from qualified solid waste energy facilities.

**Illinois Underground Utility Facilities Damage Prevention Fund – 127**

Fines/Penalties or Violations

The increase of \$89,114 was due to an increase in the number of fines issued and paid in FY08. This fluctuates on an annual basis based on the number of fines/penalties or violations imposed on regulated companies by the Commission.

**ICC Federal Grants Fund – 379**

Federal Railroad Association

The decrease of \$457,205 was due to the grant being advanced in full upfront in FY07. In FY08 the only receipts were grantee returns.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING**  
For the Two Years Ended June 30, 2009

The following explanations were obtained for lapse period spending, which exceeded \$25,000 and 20% of the line item expenditures.

**FISCAL YEAR 2009**

**Public Utility Fund – 059**

Equipment

Equipment expenditures during the lapse period were for a number of items ordered prior to June 30, including two vehicles for pipeline inspectors. The related invoices were not received and processed until lapse period.

Telecommunications

Telecommunications expenditures during the lapse period were due to the timing of receiving and paying for invoices for services from the Department of Central Management Services.

**Digital Divide Elimination Infrastructure Fund – 771**

Construction of High-Speed Data Transmission Facilities

Construction of high-speed data transmission facilities expenditures during the lapse period were due to the timing of receiving and paying for invoices from the grantees.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING**  
For the Two Years Ended June 30, 2009

The following explanations were obtained for lapse period spending, which exceeded \$25,000 and 20% of the line items expenditures.

**FISCAL YEAR 2008**

**Transportation Regulatory Fund - 018**

Equipment

Equipment expenditures during the lapse period were for a number of items ordered prior to June 30, including one police vehicle and one copy machine. The related invoices were not received and processed until lapse period.

Electronic Data Processing

Electronic data processing expenditures during the lapse period were for a number of items ordered prior to June 30, including 50 desktop computers and 11 laptop computers. The related invoices were not received and processed until lapse period.

Telecommunications

Telecommunications expenditures during the lapse period were due to the purchase of police radios ordered prior to June 30. The related invoices were not received and processed until lapse period.

The Illinois Commercial Safety Towing Law

The Illinois Commercial Safety Towing Law expenditures during the lapse period were for a number of items ordered prior to June 30, including police radio equipment, high band radios, and various other equipment for five new officers. The related invoices were not received and processed until lapse period.

**Public Utility Fund – 059**

Equipment

Equipment expenditures during the lapse period were for a number of items ordered prior to June 30, including three vehicles, reception area furniture and a witness stand. The related invoices were not received and processed until lapse period.

Electronic Data Processing

Electronic data processing expenditures during lapse period were due to computers and a call distributor system for the consumer service department that were ordered prior to June 30, but the related invoices were not received and processed until lapse period.

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For the Two Years Ended June 30, 2009

**FISCAL YEAR 2008 (Continued)**

**Digital Divide Elimination Infrastructure Fund – 771**

Construction of High-Speed Data Transmission Facilities

Construction of high-speed data transmission facilities expenditures during the lapse period were due to the timing of receiving and paying for invoices from grantees.

STATE OF ILLINOIS  
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**ANALYSIS OF ACCOUNTS RECEIVABLE**  
For the Two Years Ended June 30,  
(Amounts Expressed in Thousands)

The Commission uses the Comptroller's offset system, the Attorney General, and internal collection services to collect old receivable balances.

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

	<b>General Revenue Fund 001</b>	
	<b>2009</b>	<b>2008</b>
Current	\$ 33,573	\$ 22,623
1-30 days	278	-
31-90 days	139	-
181 - 1 year	3	-
Accounts Receivable Gross Balance	33,993	22,623
Less: Estimated Uncollectibles	(3)	-
Accounts Receivable Net Balance	<u>\$ 33,990</u>	<u>\$ 22,623</u>

General Revenue Fund receivables were related to public utility taxes and miscellaneous receipts.

	<b>Transportation Regulatory Fund 018</b>	
	<b>2009</b>	<b>2008</b>
Current	\$ 111	\$ 66
1-30 days	71	38
31-90 days	57	26
91-180 days	42	25
181 - 1 year	70	75
Over 1 year	933	833
Accounts Receivable Gross Balance	1,284	1,063
Less: Estimated Uncollectibles	(1,003)	(908)
Accounts Receivable Net Balance	<u>\$ 281</u>	<u>\$ 155</u>

TRF receivables were related to transportation taxes, including gross revenue taxes and fees on each mile of railroad track crossings authorized by the Illinois Commercial Transportation Law (ICTL).

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**ANALYSIS OF ACCOUNTS RECEIVABLE**  
For the Two Years Ended June 30,  
(Amounts Expressed in Thousands)

	<b>Public Utility Fund 059</b>	
	<b>2009</b>	<b>2008</b>
Current	\$ -	\$ 1
1-30 days	4	-
31-90 days	1	-
Over 1 year	13	13
Accounts Receivable Gross Balance	18	14
Less: Estimated Uncollectibles	(14)	(13)
Accounts Receivable Net Balance	\$ 4	\$ 1

PUF receivables were related to gross revenue taxes on public utilities, federal grants, civil penalties, authorization fees for the issuance of stock or indebtedness, and copy fees.

	<b>Underground Utility Facility Damage Fund 127</b>	
	<b>2009</b>	<b>2008</b>
Current	\$ 3	\$ 12
1-30 days	3	1
31-90 days	11	2
91-180 days	-	5
181 - 1 year	5	16
Over 1 year	60	53
Accounts Receivable Gross Balance	82	89
Less: Estimated Uncollectibles	(65)	(69)
Accounts Receivable Net Balance	\$ 17	\$ 20

Fund 127 receivables were related to penalties authorized by the Illinois Underground Utility Facilities Damage Prevention Act.

STATE OF ILLINOIS  
 ILLINOIS COMMERCE COMMISSION  
**SCHEDULE OF INDIRECT COST REIMBURSEMENTS**  
 For the Fiscal Years Ended June 30,  
 (Amounts Expressed in Thousands)

The Commission had a pre-approved indirect cost reimbursement level for the Gas Pipeline Safety program from the U.S. Department of Transportation. The amount of cash receipts received and deposited into the Public Utility Fund and the rates for reimbursement under the provisions of the negotiated rates were as follows:

<u>Fiscal Year</u>	<u>Reimbursements Received</u>	<u>Reimbursement Rate</u>
2009	\$ *	4.45%
2008	24,742	4.47%
2007	24,592	5.33%

\*Note – The Federal Government is on a calendar year schedule and therefore, the 2009 total reimbursement had not yet been calculated as of the State Fiscal Year end 2009.



STATE OF ILLINOIS  
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For the Two Fiscal Years Ended June 30, 2009

**AGENCY FUNCTIONS AND PLANNING PROGRAM**

**Functions**

The Illinois Commerce Commission (Commission) regulates investor-owned telecommunications, electricity, natural gas, and water and sewer utilities, and competitive providers. In addition, the Commission also regulates and oversees household movers, towing companies which relocate trespassing vehicles, the enforcement of certain trucking insurance coverage laws, railroad grade crossing standards, rail movement of hazardous materials and gas pipeline safety. The structure and major functions of the Commission are derived from the Public Utilities Act, which states that the policy of the State shall be to continue the effective and comprehensive regulation of public utilities and telecommunications carriers; the Illinois Commercial Transportation Law, which regulates the commercial transportation of persons and property within the State; and other public acts of the Illinois General Assembly delegating specific responsibilities to the Commission, including the Electric Supplier Act, the Gas Pipeline Safety Act, the Emergency Telephone System Act, the Wireless Emergency Telephone Safety Act, the Commercial Relocation of Trespassing Vehicles Law and the Railroad Hazardous Materials Act.

The Public Utilities Act (220 ILCS 5/1-101 et seq.) divides the Commission's regulatory authority into two major categories: 1) the regulation of rates and services, and 2) the supervision of corporate transactions. The Commission is required to establish the governing rules and regulations of all proceedings before the Commission that are either instituted by the Commission on its own motion or brought before the Commission by utilities and consumers. In fulfilling its statutory mandate, the Commission holds regular hearings and conducts technical investigations for the purpose of adjudicating legal and factual issues. The functions executed by the Commission include granting certificates of convenience and necessity to new utilities; the approval of additions and extensions to the certificates of existing utilities; setting just and safe utility operations; the review and approval of accounting and other financial matters; and providing procedures for the resolution of complaints. In addition, the Commission has an established forum for the development of regulatory policy generally applicable to similarly situated public utilities and telecommunications carriers. The Public Utilities Act allows the Commission the legal power to enforce its decisions.

The funds which are used to administer the Public Utilities Act are primarily derived from four sources, including: 1) a gross revenue tax imposed upon all regulated telecommunications carriers and public utilities, except electric utilities as per Public Act 90-561 (220 ILCS 5/16-101), 2) fees levied for the authorization to issue securities of all regulated public utilities and those telecommunications carriers subject to the Public Utilities Act, 3) the electricity excise tax that is collected by the Department of Revenue to be determined by the Director to be equal to 3.0% of the funds received is deposited into the Public Utility Fund, and 4) the base maintenance contribution paid by electric utilities, serving more than 12,500 customers, totaling \$5.5 million per year.

Under the authority of the Illinois Commercial Transportation Law (625 ILCS 5/18c-1101 et seq.) the Commission administers and enforces financial responsibility, insurance and safety requirements for all public trucking companies in Illinois, regulates intrastate household goods carriers to assure compliance with filed rates and service territory and registers all intrastate and interstate trucking companies in Illinois. The Commission protects consumers through the administration and enforcement of a program to assure the legal and ethical operation of household goods movers statewide and, in accordance with the provisions of the Illinois Commercial Relocation of Trespassing Vehicles Law (625 ILCS 5/18a-100 et seq.), oversees the relocation towing activities in the following counties: Cook, DuPage, Kane, Will and Winnebago. The Commission also directs safety improvements at railroad grade crossings, inspects registered rail carriers' track, inspects railroad cars and facilities involved in the movement of hazardous materials, and assures railroad company compliance with operating practice standards. This Illinois Commercial Transportation Law authorizes the Commission to establish and assess various fees to be used solely for the administration of transportation programs.

The Electric Supplier Act (220 ILCS 30/1 et seq.) directs the Commission to act as an administrative decision-maker in territorial service area disputes and to consider negotiated agreements, as to service areas, between electric cooperatives and investor-owned public utilities.

The Gas Pipeline Safety Act (220 ILCS 20/1 et seq.) grants the Commission safety jurisdiction of all pipeline facilities within Illinois which transport natural gas, except for most facilities of interstate natural gas pipelines. The Gas Pipeline Safety Act authorizes the Commission to implement minimum safety standards embodied in federal law. The Commission's participation in a federal certification program provides approximately 50% of the funding for the administration of the Act.

Under the provisions of the Emergency Telephone System Act (50 ILCS 750.01 et seq.) the Commission has been given the responsibility of coordinating the implementation of the wireless 9-1-1 emergency telephone systems on a statewide basis. The Act has charged the Commission with the following responsibilities: to set standards consistent with the Federal Communications Commission for directing calls to the authorized public safety answering point, to maintain a current list of all wireless 9-1-1 systems and providers, to determine distributions from Funds 612 and 613 (Funds), to adopt rules governing reimbursements to wireless carriers, to develop and maintain a database of providers eligible to receive grants and carriers eligible to receive reimbursements to the extent authorized by the Act, to make monthly grants to eligible systems or providers, to review and process presented carriers requests for reimbursement in accordance with the Act, to account for all surcharges remitted to and moneys disbursed from the Funds, to annually review and transfer excess fund balances between the Funds, to provide an annual accounting of all receipts and disbursements to the Auditor General, and to resolve disputes as required by the Act.

The Commission maintains offices at 527 East Capitol Avenue, Springfield, Illinois; 160 N. LaSalle, Suite C-800, Chicago, Illinois; and 9511 West Harrison Street, Des Plaines, Illinois. At June 30, 2009, the Commission consisted of Chairman Charles Box, Lula M. Ford, Erin O'Connell-Diaz, and Sherman J. Elliott.

The Commission's Executive Director is hired by the Commission and is responsible for the daily operations of the Commission. Tim Anderson has served as the Executive Director since July 31, 2006.

## **Planning**

The Commission is a regulatory agency which is obligated to fulfill its responsibilities under various legislation. A majority of the Commission's agenda and, therefore, the allocation of resources, is affected by the timing, frequency, and nature of many of the substantive filings before the Commission by various regulated entities.

The planning and subsequent program development is carried out by promulgating rules and regulations that affect the companies under the Commission's jurisdiction. The Commission's efforts and activities are directed to administer and implement rules and regulations that are applicable to the regulated industries in the public interest. Related efforts also include participation in proceedings before the Federal Energy Regulatory Commission, the Interstate Commerce Commission, and the Federal Communications Commission. The aforementioned proceedings directly or indirectly affect Illinois utilities, telecommunications carriers and motor carriers, respectively, and their customers, by means consistent with the position developed by the State of Illinois' executive and legislative policy-makers. In addition, the Commission also frequently offers comments to members of the State's Congressional delegation and submits testimony, written or oral, to Congressional committees to further the interest of the people in Illinois.

Legislative mandate requires the Commission to set annual goals to be primarily developed through the Commission's Strategic Plan. It is the Executive Director's responsibility, in cooperation with the Commission, to establish the objectives and criteria used to measure progress towards attaining the Commission's goals in areas under its jurisdiction.

The long term objectives of the Commission are as follows:

- 1) Minimize entry barriers that limit competition.
- 2) Create a level playing field for public utilities.
- 3) Establish an effective market-monitoring program for public utilities.
- 4) Raise the profile of the Consumer Services Division and of the Commission as the educator and protector of the consumer.
- 5) Ensure that information on utility, and ICC services in general, are available to consumers.
- 6) Expand consumer protection options and authority.
- 7) Establish broad-based stakeholder review groups consisting of industry, professional organizations and other state and other federal agencies.
- 8) Strengthen the compliance function of the Commission to ensure that companies comply with applicable laws, rules, and orders.

STATE OF ILLINOIS  
ILLINOIS COMMERCE COMMISSION  
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For the Two Years Ended June 30,

**AVERAGE NUMBER OF EMPLOYEES**

The following table, prepared from Agency records, presents the average number of employees, by function, for the fiscal years ended June 30,

<u>Division</u>	<u>2009</u>	<u>2008</u>	<u>2007</u>
Chairman & Commissioners	13	11	15
Executive Director's Office	11	9	7
Bureau of External Affairs	27	26	27
Bureau of Transportation	57	53	51
Office of the General Counsel	23	22	23
Bureau of Public Utilities	82	76	75
Administrative Law Judges	19	19	18
Bureau of Planning & Operations	43	44	43
Total average full-time employees	<u>275</u>	<u>260</u>	<u>259</u>

STATE OF ILLINOIS  
 ILLINOIS COMMERCE COMMISSION  
**ANALYSIS OF OPERATIONS**  
 For the Years Ended June 30, 2009

**MEMORANDUMS OF UNDERSTANDING (Not Examined)**

The Commission reported the following Memorandums of Understanding with other State agencies to the Office of the Auditor General during FY08 and FY09:

DESCRIPTION OF REQUIREMENTS	EFFECTIVE DATES	AMOUNT
A Memorandum of Understanding was entered into between the Commission and the Office of the Comptroller. The purpose of the Agreement was to arrange the terms by which the Commission would obtain access to the Comptroller's Information Warehouse.	5/14/06 - Open Ended	N/A

STATE OF ILLINOIS  
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**SERVICE EFFORTS AND ACCOMPLISHMENTS**  
 For the Fiscal Years Ended June 30,  
 (Not Examined)

	<u>2009</u>	<u>2008</u>	<u>2007</u>
<b>PUBLIC UTILITIES PROGRAM</b>			
Cases filed	570	755	849
Hearings	1,389	1,566	1,797
Cases resolved	614	629	830
Number of outage inquiries and complaints	338	336	411
Percent of consumer inquiries and complaints resolved in a single call	59.1%	60.39%	59.0%
Total 911 systems	195	196	195
<b>TRANSPORTATION REGULATORY PROGRAM</b>			
Administrative citations	3,500	2,019	1,925
Investigations	1,740	1,439	1,677
Track inspections (miles)	7,033	6,268	6,553
Number of collisions at public crossings	96	134	140
Crossing projects ordered	1,655	978	1,445