

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

EXPENDITURE STATISTICS	2019	2018	2017
Total Expenditures.....	\$ 2,081,007	\$ 1,268,724	\$ 1,360,240
OPERATIONS TOTAL.....	\$ 875,813	\$ 545,345	\$ 810,292
% of Total Expenditures.....	42.1%	43.0%	59.6%
Personal Services.....	172,371	172,371	164,164
Other Payroll Costs (FICA, Retirement)...	19,594	19,630	18,664
All Other Operating Expenditures.....	683,848	353,344	627,464
PERMANENT IMPROVEMENTS.....	\$ 1,205,194	\$ 723,379	\$ 549,948
% of Total Expenditures.....	57.9%	57.0%	40.4%
Total Receipts.....	\$ -	\$ 126	\$ 75
Average Number of Employees.....	2	2	2

ARCHITECT OF THE CAPITOL

During Examination Period: Vacant (7/1/17 - 10/14/19); Ms. Andrea Aggertt (effective 10/15/19)

Currently: Ms. Andrea Aggertt

INTERIM DIRECTOR

During Examination Period: Mr. Mark Flowers (7/1/17 - 10/14/2019)

**FINDINGS, CONCLUSIONS, AND
RECOMMENDATIONS**

UNIMPLEMENTED LONG-RANGE MASTER PLAN

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

Long-range master plan not implemented

During testing, we noted the Office had not completed or implemented a long-range master plan of development for the State Capitol Building and the remaining portions of the legislative complex that addresses the improvement, construction, historic preservation, restoration, maintenance, repair, and landscaping needs of the State Capitol Building and the remaining portions of the legislative complex. (Finding 1, page 9) **This finding has been repeated since 2009.**

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

Office accepts recommendation

Office officials accepted our recommendation, noting they currently have a contract in place to complete the long-range master plan and, when complete, the Office will take action to implement the plan.

NONCOMPLIANCE WITH INTERAGENCY AGREEMENT

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

Entered into an interagency agreement about Capitol Building renovations and the master plan

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

We noted the following:

Contract awarded without performing qualifications-based selection procedures

- Documentation of the Office’s vendor decisions and conclusions was not maintained, including the decision to award a contract without performing qualifications-based selection procedures during the examination period. Office personnel indicated they determined, in consultation with the CDB, it was in the best interest of the State to use the same vendor for this architectural and engineering contract as was used

in prior renovations of the South and West Wings of the State Capitol Building, instead of reopening the project to prospective bidders and awarding the contract pursuant to qualifications-based selection procedures. However, these conclusions were neither contemporaneously documented, nor were the cost factors or other information used in making this determination.

Procurement-related communications not reported to the Procurement Policy Board

- The Office did not report any communications relating to this contract to the Procurement Policy Board (PPB). (Finding 2, pages 10-11)

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

Office accepts recommendation

Office officials accepted our recommendation, noting they will document all future procurement-related decisions regarding an active procurement matter.

ACCOUNTANT'S OPINION

The accountants conducted a compliance examination of the Office for the two years ended June 30, 2019, as required by the Illinois State Auditing Act. The accountants stated the Office complied, in all material respects, with the requirements described in the report.

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

SIGNED ORIGINAL ON FILE

JANE CLARK
Division Director

This report is transmitted in accordance with Section 3-14 of the Illinois State Auditing Act.

SIGNED ORIGINAL ON FILE

FRANK J. MAUTINO
Auditor General

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