



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

Frank J. Mautino, Auditor General

SUMMARY REPORT DIGEST

HUMAN RIGHTS COMMISSION

Compliance Examination
 For the Two Years Ended June 30, 2017

Release Date: July 10, 2018

FINDINGS THIS AUDIT: 4	AGING SCHEDULE OF REPEATED FINDINGS						
	New	Repeat	Total	Repeated Since	Category 1	Category 2	Category 3
Category 1:	0	0	0	2015		17-2, 17-3	
Category 2:	0	3	3	2007		17-1	
Category 3:	1	0	1				
TOTAL	1	3	4				
FINDINGS LAST AUDIT: 7							

SYNOPSIS

- (17-01) The Commission did not publish its decisions.
- (17-02) The Commission had not performed a risk assessment of its computing resources to identify confidential or personal information to ensure such information was protected from unauthorized disclosure.
- (17-03) The Commission did not have adequate controls over system access and had an inadequate segregation of duties.

Category 1: Findings that are **material weaknesses** in internal control and/or a **qualification** on compliance with State laws and regulations (material noncompliance).
Category 2: Findings that are **significant deficiencies** in internal control and **noncompliance** with State laws and regulations.
Category 3: Findings that have **no internal control issues but are in noncompliance** with State laws and regulations.

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

**HUMAN RIGHTS COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2017**

EXPENDITURE STATISTICS	2017	2016	2015
Total Expenditures.....	\$ 1,857,019	\$ 1,591,373	\$ 1,926,233
OPERATIONS TOTAL.....	\$ 1,645,922	\$ 1,457,126	\$ 1,673,958
% of Total Expenditures.....	88.6%	91.6%	86.9%
Personal Services.....	1,394,065	1,357,466	1,414,158
Other Payroll Costs (FICA, Retirement).....	101,857	99,660	103,837
All Other Operating Expenditures.....	150,000	-	155,963
Illinois Torture Inquiry and Relief Commission.....	211,097	134,247	252,275
% of Total Expenditures.....	11.4%	8.4%	13.1%
Total Receipts.....	\$ 43	\$ 979	\$ 5
Average Number of Employees (Not Examined).....	22	21	22

SELECTED ACTIVITY MEASURES (Not Examined)	2017	2016	2015
<i>Human Rights Commission</i>			
Average Number of Administrative Law Judges.....	5	5	6
Average Administrative Law Judge Caseload.....	83	93	90
Total Complaints Pending.....	557	636	686
Cases Completed.....	144	171	149
Open Cases at Fiscal Year End.....	413	465	537
<i>Illinois Torture Inquiry and Relief Commission</i>			
Claims Filed.....	235	-	6
Open Claims.....	423	208	216
Claims Granted.....	5	2	2
Claims Denied.....	15	5	7

COMMISSION DIRECTOR
During Examination Period: Mr. N. Keith Chambers (7/01/15 - 6/13/18), vacant (6/14/18 through 6/17/18) Currently: Mr. Philip Dalmage (effective 6/18/18)

**FINDINGS, CONCLUSIONS, AND
RECOMMENDATIONS**

DECISIONS NOT PUBLISHED

The Human Rights Commission (Commission) did not publish its decisions.

Decisions were not posted to Commission's website

We tested 40 decisions issued during the examination period and noted they were not published on the Commission's website. Further, Commission management indicated they have a backlog of unpublished decisions dating back to December 2013. (Finding 1, page 9) **This finding has been repeated since 2007.**

We recommended the Commission comply with the Illinois Human Rights Act and publish all of its decisions within 120 calendar days.

Commission agrees with auditors

Commission officials agreed with the recommendation and stated the Commission has hired a staff member who is responsible for publishing its decisions. *(For previous Commission response, see digest footnote #1.)*

WEAKNESS REGARDING THE SECURITY AND CONTROL OF CONFIDENTIAL INFORMATION

The Commission had not performed a risk assessment of its computing resources to identify confidential or personal information to ensure such information was protected from unauthorized disclosure.

During our review of the Commission, the following weaknesses were noted in regards to the security and control of confidential information. The Commission had not:

Risk assessment not performed

- performed a risk assessment of the Commission's computer resources;

No due diligence to ensure data was secured or properly disposed

- performed its due diligence to ensure Commission data was secure or properly disposed; and,

Formal breach of security procedures not developed

- developed formalized breach of security procedures. (Finding 2, pages 10-11)

We recommended the Commission:

- perform a comprehensive risk assessment to identify all forms of confidential or personal information and ensure adequate security controls, including adequate physical and logical access restrictions, have been established to safeguard data and resources;

- perform its due diligence and review controls to ensure its data is sufficiently secure and properly disposed; and,
- develop policies and procedures to ensure timely compliance with the requirements outlined in the Personal Information Protection Act, in the event of a breach of confidential information.

Commission partially agrees

Commission officials partially agreed with our recommendation and stated the Department of Innovation and Technology (DoIT) is the lead agency that controls the Commission’s computing resources and management. The Commission also stated they shall continue to work with DoIT as recommended to improve data security at the Commission.

INADEQUATE CONTROLS OVER SYSTEM ACCESS AND SEGREGATION OF DUTIES

The Commission did not have adequate controls over system access and had an inadequate segregation of duties. The Commission utilized the Accounting Information System (AIS), Central Payroll System (CPS), and the Central Time and Attendance System (CTAS) provided by the Department of Innovation and Technology (DoIT).

During testing, we noted:

- Three employees had all levels of authority in AIS. These employees could enter and modify voucher payment data, had override authority, and also had agency head approval for vouchers sent to the Office of the State Comptroller.
- Two employees had all levels of authority in CPS. Both employees had the ability to inquire, add, change, and delete information within the system.
- One employee had all levels of authority in CTAS. This employee had the ability to inquire, add, change, and delete information within the system. This employee also maintained the personnel files. (Finding 3, pages 12-13)

Three employees had all levels of access in AIS

Two employees had all levels of access in CPS

Employee had all levels of access in CTAS

We recommended the Commission segregate the duties as much as possible and work with DoIT to ensure employees have appropriate levels of authority within AIS, CPS, and CTAS.

Commission agrees

Commission officials agreed with the recommendation.

OTHER FINDING

The remaining finding pertains to vacancies on the Illinois Torture Inquiry and Relief Commission. We will review the Commission's progress towards the implementation of our recommendations in our next compliance examination.

ACCOUNTANT'S OPINION

The accountants conducted a compliance examination of the Commission for the two years ended June 30, 2017, as required by the Illinois State Auditing Act. The accountants stated the Commission complied, in all material respects, with the requirements described in the report.

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

FJM:APA

DIGEST FOOTNOTES

#1 – DECISIONS NOT PUBLISHED – Previous Commission response

2015: The Commission agrees with this finding, which is the result of inadequate staffing.