



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, 2019

Release Date: November 5, 2020

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	2017			19-4
Category 2:	1	2	3	2015		19-2	
Category 3:	0	1	1	2007		19-1	
TOTAL	1	3	4				
FINDINGS LAST AUDIT: 4							

SYNOPSIS

- (19-01) The Human Rights Commission (Commission) did not publish its decisions timely.
- (19-02) The Commission did not maintain adequate internal controls related to cybersecurity and the security and control of confidential information.

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.

**HUMAN RIGHTS COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2019**

EXPENDITURE STATISTICS	2019	2018	2017
Total Expenditures.....	\$ 2,539,363	\$ 2,222,104	\$ 1,857,019
OPERATIONS TOTAL.....	\$ 2,539,363	\$ 2,222,104	\$ 1,857,019
% of Total Expenditures.....	100.0%	100.0%	100.0%
Personal Services.....	1,790,581	1,553,245	1,583,362
Other Payroll Costs (FICA, Retirement).....	497,408	119,072	123,657
All Other Operating Expenditures.....	251,374	549,787	150,000
Total Receipts.....	\$ 62	\$ 158	\$ 43
Average Number of Employees.....	24	21	22

AGENCY DIRECTOR

During Examination Period: Mr. N. Keith Chambers (7/1/17 - 6/30/18), Mr. Philip Dalmage (6/16/18 - 8/3/20), Ms. Kellee M. Chube (Interim) (8/4/20 - 8/16/20)
Currently: Mr. Tracey B. Fleming (effective 8/17/20)

FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

DECISIONS NOT PUBLISHED TIMELY

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

We noted the following:

Decisions not published timely

- Fourteen of 18 (78%) decisions tested were published to the Commission's website 126 to 805 days after the decisions were made.
- Two of 22 (9%) decisions tested were published to the Commission's website 404 days after the decisions were made. In addition, 9 of 40 (23%) decisions tested were not published to the Commission's website as of the date of testing. As of the date of testing, 640 to 1,158 days had elapsed since these decisions had been rendered. (Finding 1, pages 12-13). **This finding has been repeated since 2007.**

We recommended the Commission publish decisions within the timeframes outlined in the Act.

Commission officials agree

The Commission agreed with the finding and indicated corrective action has been taken.

WEAKNESSES REGARDING CYBERSECURITY AND THE SECURITY AND CONTROL OF CONFIDENTIAL INFORMATION

The Commission did not maintain adequate internal controls related to cybersecurity and the security and control of confidential information.

The Commission had computer systems that contained confidential or personal information such as names, addresses, and Social Security numbers.

Weaknesses in cybersecurity program

During the examination of the Commission's cybersecurity program, practices, and control of confidential information, we noted the Commission:

- Failed to establish and communicate policies, procedures, and processes to manage and monitor the regulatory, legal, environmental, and operational requirements;
- Failed to establish and document cybersecurity roles and responsibilities;
- Failed to perform a comprehensive risk assessment to identify and ensure adequate protection of information (i.e. confidential or personal information) most susceptible to attack;

- Failed to classify data to establish the types of information most susceptible to attack to ensure adequate protection; and,
- Lacked formalized procedures to identify and protect personal or confidential information, including notification procedures in the event of a breach of security. (Finding 2, pages 14-15). **This finding has been repeated since 2015.**

We recommended the Commission:

- Establish and communicate the Commission’s security program (formal and comprehensive policies and procedures) to manage and monitor the regulatory, legal, environmental, and operational requirements.
- Establish and document cybersecurity roles and responsibilities.
- Perform a comprehensive risk assessment to identify and classify data to ensure adequate protection of confidential or personal information most susceptible to attack.
- Classify data to establish the types of information most susceptible to attack to ensure adequate protection.
- Establish formalized procedures to identify and protect personal and confidential information, including notification procedures in the event of a breach of security.

Board officials partially agree

The Commission partially agreed with the finding, and stated it has no in-house staff wholly dedicated to cybersecurity matters, as these functions have been primarily assigned to the Department of Innovation and Technology (DoIT). The Commission stated it will review and update its policies and inquire with DoIT as to possible training and process improvements.

OTHER FINDINGS

The remaining findings pertain to inadequate controls over performance reporting and 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, 2019, 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

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