

**REPORT DIGEST**

**ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
FINANCIAL AND COMPLIANCE AUDIT  
(In Accordance With the Single Audit Act of 1984  
and OMB Circular A-128)  
FOR THE TWO YEARS ENDED JUNE 30, 1995**

{Expenditures and Activity Measures are summarized on the reverse page.}

## **FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

### **FAILURE TO DEVELOP A COMPREHENSIVE DISASTER CONTINGENCY PLAN**

The Authority has approximately \$6,000,000 of computer equipment which maintains four critical applications. The Authority has not developed a comprehensive disaster contingency plan for the applications and data processed on their mainframe or Local Area Network (LAN). The Authority has not identified key components, such as a recovery site, procurement of replacement equipment, critical applications and defined personnel assignments in the event of a disaster. Furthermore, the Authority does not have an alternative power source to safeguard against data loss in the event of a power failure. **This finding has been repeated since 1987.**

One of the Authority's critical system applications is to provide local law enforcement officers the ability to retrieve information relating to the current status of any driver's license or vehicle in the State of Illinois from their patrol car. The loss of computer capabilities will not enable the Authority to provide these services to the various State and local agencies.

(Finding 1, page 8)

Authority officials agreed with our recommendation to develop a comprehensive disaster contingency plan for both the mainframe and LAN as well as obtain an alternative power source to provide protection against power loss and reduce the potential for loss of data. The Authority stated that it will strengthen its current disaster planning and recovery efforts and request additional funding to provide a backup site and alternative power source.

### **AUDITORS' OPINION**

Our auditors state that the financial statements of the Illinois Criminal Justice Information Authority for the years ended June 30, 1995 and 1994 are presented fairly.

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WILLIAM G. HOLLAND, Auditor General

WGH:ROQ

## **SUMMARY OF AUDIT FINDINGS**

### **Number of This Audit Prior Audit**

Audit findings 14

Repeated findings 13

Recommendations implemented  
or not repeated 33

## **SPECIAL ASSISTANT AUDITORS**

Friedman, Eisenstein, Raemer & Schwartz, LLP were our special assistant auditors for this audit.

**ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY**  
**FINANCIAL AND COMPLIANCE AUDIT**  
**For The Two Years Ended June 30, 1995**

<b>EXPENDITURE STATISTICS</b>	<b>FY 1995</b>	<b>FY 1994</b>	<b>FY 1993</b>
<b>●Total Expenditures (All Funds)</b>	<b>\$35,461,518</b>	<b>\$37,358,911</b>	<b>\$30,634,448</b>
<u>OPERATIONS TOTAL</u>	\$5,108,612	\$4,696,505	\$4,353,350
% of <b>Total</b> Expenditures	14.4%	12.5%	14.2%
Personal Services	\$2,185,079	\$1,971,698	\$1,185,285
% of Operations Expenditures	42.8%	42.0%	27.2%
Average No. of Employees <sup>(1)</sup>	59	58	56
Other Payroll Costs (FICA, Retirement)			
% of Operations Expenditures	\$345,992 6.8%	\$326,516 7.0%	\$153,451 3.5%
Contractual Services	\$587,410	\$500,285	\$583,208
% of Operations Expenditures	11.5%	10.6%	13.4%
All Other Operations Items	\$1,990,131	\$1,898,006	\$2,431,406
% of Operations Expenditures	38.9%	40.4%	55.9%
<u>GRANTS TOTAL</u>	\$30,352,906	\$32,662,406	\$26,281,098
% of <b>Total</b> Expenditures	85.6%	87.4%	85.8%
<b>●Cost of Property and Equipment</b>	<b>\$7,123,403</b>	<b>\$7,191,571</b>	<b>\$6,985,173</b>

<b>SELECTED ACTIVITY MEASURES</b>	<b>FY 1995</b>	<b>FY 1994</b>	<b>FY 1993</b>
<b>●PIMS, ALERTS, or ALECS:</b>			
Users	292	240	185
User fees expended	\$1,481,000 <sup>(2)</sup>	\$1,286,300	\$1,132,800
<b>●Correctional Institution MIS:</b>			
Users	8	9	13
User fees expended	\$309,600	\$258,100	\$324,200

<b>FACILITY DIRECTOR(S)</b>
During Audit Period: Dennis E. Nowicki and Thomas F. Baker Currently: Thomas F. Baker (Effective July 1, 1994)

<sup>(1)</sup>Excludes contractual employees: '95 - 27; '94 - 28; '93 - 28.

<sup>(2)</sup>Public Safety Agencies supported by these systems: Police Information Management Systems (PIMS), Area-wide Law Enforcement Radio Terminal System (ALERTS), and Automated Law Enforcement Communications System (ALECS).

## **DIGEST FOOTNOTES**

### **#1: FAILURE TO DEVELOP A COMPREHENSIVE DISASTER CONTINGENCY PLAN**

1993:"The Authority accepts the recommendation and has developed a written plan addressing this issue. However, without specific funding for installation of an uninterruptible power supply, the plan cannot be implemented or tested.

Funds for implementation of a disaster recovery plan were requested in the Authority's FY95 budget and have been denied by the Administration. This represents the Authority's eighth budget request for funds to implement a disaster recovery plan, all of which have been denied.

During calendar year 1994, the Authority will fully investigate the viability of short-term rental of a generator. We will thus be able to make an informed decision as to whether, in the event of an emergency, resources can be dedicated to this albeit stop-gap measure. "

1991:"Accepted. The Authority is presently developing a written disaster recovery plan. This plan will specify the critical systems, responsible individuals and a schedule of events to perform in the event of a partial or total system failure. The timetable for completion of this plan is November, 1992.

In addition, the Authority will investigate the costs for the recommendation of installing an uninterruptible power supply (UPS) and short-term rental of a generator, for use in the event of an emergency.

Funds will continue to be requested, as they have for the past 7 years, in the Authority's FY94 budget submission to implement the written plan."

1989:"The Authority accepts the recommendation and acknowledges the need for a complete disaster recovery plan and system. Funding for a backup power supply has been requested and denied for the past five fiscal years. Funding for such a system was again requested in the FY92 budget submission. The Authority has obtained a disaster recovery planning kit, and the Associate Director, ITU, has received information from vendors on their currently available consulting assistance in developing a disaster recovery plan. Developing and testing such a plan would require additional funding. If funding is made available, the Authority will develop and test a disaster recovery plan."

1987:"The Authority is fully cognizant of the need for a disaster recovery plan (as required by law), and has requested funding for such a system during each of the previous three fiscal years. On each occasion, such funding has been denied. During FY89, preliminary planning will be carried out to examine the areas required in the Authority's Disaster Recovery efforts. Various policies and procedures will be put into place which do not require additional funding.

Funding for an extensive survey will again be requested in FY90 for an experienced consultant who can understand the Authority's network and needs in this area. Such a consulting company could then design a Disaster Recovery plan for the Authority's network of computer systems. If funded, items specified in the plan would be implemented and installed. Disaster Recovery items might include uninterruptible power supplies (UPS), setup of a remote "hot site" with additional equipment and telecommunications equipment to duplicate the Authority's equipment. Copies of the Disaster Recovery plan, programs, and manuals will be stored off-site."