

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS**

**COMPLIANCE EXAMINATION
FOR THE TWO YEARS ENDED JUNE 30, 2015**

**Performed as Special Assistant Auditors
for the Auditor General, State of Illinois**

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPLIANCE EXAMINATION
FOR THE TWO YEARS ENDED JUNE 30, 2015**

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DEPARTMENT OF HUMAN RIGHTS
COMPLIANCE EXAMINATION
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DEPARTMENT OFFICIALS

Director	Mr. Rocco Claps
Deputy Director	Ms. Bobbie Wanzo
Acting Chief Fiscal Officer (6/14/2014 to present)	Ms. Marla Butler
Chief Fiscal Officer (through 6/13/2014)	Ms. Lynne Turner
Chief Legal Counsel (2/9/2015 to present)	Ms. Ngozi Okorafor
Chief Legal Counsel (through 2/08/2015)	Mr. Lon Meltesen

Department offices are located at:

100 West Randolph Street
Suite 10-100
Chicago, IL 60601

222 South College
Floor 1
Springfield, IL 62704

2309 West Main Street
Suite 112
Marion, IL 62959

ILLINOIS DEPARTMENT OF
Human Rights

Bruce Rauner, Governor
Rocco J. Claps, Director

December 18, 2015

Borschneck, Pelletier & Co.
Certified Public Accountants
200 E. Court St., Suite 608
Kankakee, IL 60901

Ladies and Gentlemen:

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 Illinois Department of Human Rights (Department). 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 Department's compliance with the following assertions during the two years ended June 30, 2015. Based on this evaluation, we assert that during the years ended June 30, 2015 and June 30, 2014, the Department has materially complied with the assertions below.

A. The Department 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 Department 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 Department has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.

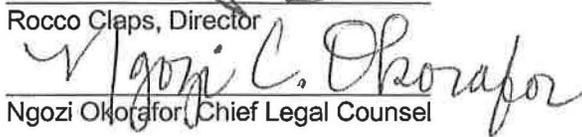
D. State revenues and receipts collected by the Department are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.

E. Money or negotiable securities or similar assets handled by the Department on behalf of the State or held in trust by the Department 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 Department of Human Rights


Rocco Claps, Director


Ngozi Okorator, Chief Legal Counsel


Marla Butler, Acting Chief Fiscal Officer

**STATE OF ILLINOIS
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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.

ACCOUNTANT’S REPORT

The Independent Accountant’s Report on State Compliance, on Internal Control Over Compliance and on Supplementary Information for State Compliance Purposes does not contain scope limitations or disclaimers; however, it does contain a qualified opinion on compliance.

SUMMARY OF FINDINGS

<u>Number of</u>	<u>Current</u>	<u>Prior</u>
Findings	Report	Report
Findings	6	4
Repeated findings	1	4
Prior recommendations implemented or not repeated	3	0

SCHEDULE OF FINDINGS

<u>Item</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
<u>No.</u>			
FINDINGS (STATE COMPLIANCE)			
2015-001	8	Inappropriate Expenditure of Appropriated General Revenue Funds	Material Weakness and Material Noncompliance
2015-002	10	Inadequate Controls over Compliance with Travel Regulations	Significant Deficiency and Noncompliance
2015-003	13	Inadequate Controls over State Property and Equipment	Significant Deficiency and Noncompliance
2015-004	15	Noncompliance with the Fiscal Control and Internal Auditing Act	Significant Deficiency and Noncompliance
2015-005	16	Noncompliance with the Illinois Vehicle Code	Significant Deficiency and Noncompliance
2015-006	18	Improper Processing of Refund Receipts	Significant Deficiency and Noncompliance

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DEPARTMENT OF HUMAN RIGHTS
COMPLIANCE EXAMINATION
FOR THE TWO YEARS ENDED JUNE 30, 2015**

COMPLIANCE REPORT

SUMMARY

PRIOR FINDINGS NOT REPEATED

A	20	Inadequate Financial Reporting - Generally Accepted Accounting Principles
B	20	Inadequate Controls over Voucher Processing
C	20	Employee Evaluations not Completed Timely

EXIT CONFERENCE

The finding and recommendations appearing in this report were discussed with the Department of Human Rights personnel in an exit conference on December 11, 2015. Attending were:

Department of Human Rights

Rocco Claps, Director
Bobbie Wanzo, Deputy Director
Marla Butler, Acting Chief Fiscal Officer
Ngozi Okorafor, Chief Legal Counsel

Office of the Auditor General

Janis Van Durme, Audit Manager
Kathy Lovejoy, Audit Manager

Borschnack, Pelletier & Co.

Paul Pelletier, Partner
Brian Creek, Manager

Responses to the recommendations were provided by Marla Butler in correspondence dated December 17, 2015.

**INDEPENDENT ACCOUNTANT'S 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

As Special Assistant Auditors for the Auditor General, we have examined the State of Illinois, Department of Human Right's 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, 2015. The management of the State of Illinois, Department of Human Rights is responsible for compliance with these requirements. Our responsibility is to express an opinion on the State of Illinois, Department of Human Right's compliance based on our examination.

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

Our examination was conducted 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 State of Illinois, Department of Human Rights 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 State of Illinois, Department of Human Rights compliance with specified requirements.

As described in item 2015-001 in the accompanying schedule of findings, the State of Illinois, Department of Human Rights did not comply with the requirement regarding expending public funds of the State in accordance with the purpose for which such funds have been appropriated. Compliance with such requirement is necessary, in our opinion, for the State of Illinois, Department of Human Rights to comply with the requirements listed in the first paragraph of this report.

In our opinion, except for the noncompliance described in the preceding paragraph, the State of Illinois, Department of Human Rights complied, in all material respects, with the compliance requirements listed in the first paragraph of this report during the two years ended June 30, 2015. However, the results of our procedures disclosed other instances of noncompliance with the requirements, 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 items 2015-002 through 2015-006.

Internal Control

Management of the State of Illinois, Department of Human Rights 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 State of Illinois, Department of Human Right's internal control over compliance with the requirements listed in the first paragraph of this report to determine the examination procedures that are appropriate in the circumstances 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 State of Illinois, Department of Human Right's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State of Illinois, Department of Human Right's internal control over compliance.

Our consideration of internal control over compliance was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. However, as discussed below, we identified certain deficiencies in internal control over compliance that we consider to be material weaknesses and significant deficiencies.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance 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 in internal control over compliance* 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. We consider the deficiency in internal control over compliance described in the accompanying schedule of findings as item 2015-001 to be a material weakness.

A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance. We consider the deficiencies in internal control over compliance described in the accompanying schedule of findings as items 2015-002 through 2015-006 to be significant deficiencies.

As required by the Audit Guide, immaterial findings excluded from this report have been reported in a separate letter to your office.

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

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 for the years ended June 30, 2015 and June 30, 2014 in Schedules 1 through 8 and the Analysis of Operations Section 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 June 30, 2015 and June 30, 2014 accompanying supplementary information in Schedules 1 through 8. However, we do not express an opinion on the accompanying supplementary information.

We have not applied procedures to the June 30, 2013 accompanying supplementary information in Schedules 3 through 7 and in the Analysis of Operations Section, and accordingly, we do not express an opinion or provide any assurance on it.

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

Borschneck, Pelletier & Co.

December 18, 2015

**STATE OF ILLINOIS
ILLINOIS DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

CURRENT FINDINGS (STATE COMPLIANCE)

2015-001 **FINDING** (Inappropriate Expenditure of Appropriated General Revenue Funds)

The Illinois Department of Human Rights (Department) inappropriately expended General Revenue funds that were appropriated to the Department to fund the expenses of the Commission on Discrimination and Hate Crimes (Commission).

In accordance with the Commission on Discrimination and Hate Crimes Act (20 ILCS 4070/10), the Department is charged with providing assistance and staff support services to the Commission. In FY14 and FY15, the General Assembly appropriated \$75,200 and \$73,500 out of the General Revenue Fund to the Department for the purpose of funding expenses associated with the Commission. During the course of testing, we were informed that the Commission had been inactive during the examination period. We further noted the Department had expended all of the appropriated funds for other operational expenses of the Department.

The State Constitution (Article VIII, Section 2(b)) empowers the General Assembly by law to make appropriations for all expenditures of public funds by the State. The Statewide Accounting Management System (SAMS) (Procedure 11.10.20) states “The appropriations made by the General Assembly specify the purpose for which the public funds of the State may be expended and are generally made to organizational units, such as agencies or divisions within agencies.” Public Acts 98-0027 and 99-0001, granting the Department’s appropriations for FY14 and FY15, specifically state that these appropriations are to fund Departmental expenses associated with the Commission.

Department management stated that a major responsibility of the Commission was to focus on education as a means to combat the problem of bias and hate related behavior. In an effort to continue to address the vital need for education and training and to enhance and combine resources, personnel from the Commission’s staff were merged into the Institute on Training and Development, an existing division within the Department. In recent years, the Illinois General Assembly and past administrations have continued to fund the Commission. The funds earmarked to support the efforts of the Commission have been used to support the Institute on Training and Development and other Commission related functions within the Department.

Failure to adhere to statutorily defined uses of appropriations reduces the amount of money available in the General Revenue Fund for other statutorily authorized purposes and is noncompliance with State law. (Finding Code No. 2015-001)

RECOMMENDATION

We recommend the Department improve procedures to ensure that funds are expended in accordance with the purposes for which they are appropriated by the General Assembly.

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SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

CURRENT FINDINGS (STATE COMPLIANCE)

2015-001 **FINDING** (Inappropriate Expenditure of Appropriated General Revenue Funds) (continued)

DEPARTMENT RESPONSE

The Department accepts this recommendation. The Department is attempting to persuade the Governor's Office of Management and Budget and the General Assembly to move funding from the Lump Sum for the Commission on Discrimination and Hate Crimes to the Department's Operational Lump Sum.

**STATE OF ILLINOIS
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SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

CURRENT FINDINGS (STATE COMPLIANCE)

2015-002 **FINDING** (Inadequate Controls over Compliance with Travel Regulations)

The Illinois Department of Human Rights (Department) did not have adequate controls over employee travel reimbursement vouchers.

We tested 89 travel vouchers and noted the following exceptions:

- One (1%) voucher did not have the employee's residence and headquarters listed on the voucher. The Statewide Accounting Management System (SAMS) Manual (Procedure 17.20.10) requires the traveler's residence and headquarters to be included on the travel voucher.
- One (1%) voucher was not mathematically accurate and resulted in a \$28 overpayment to the employee. The SAMS Manual (Procedure 17.20.10) requires the Department to verify the voucher is mathematically accurate, check that all charges are allowed under applicable travel regulations, and verify that all items requiring receipts have proper receipts attached.
- Two (2%) vouchers did not include appropriate receipts to support the reimbursement for air travel (\$304) and lodging (\$278). One voucher included a flight itinerary but did not include any evidence of the cost of the flight. The other voucher included the lodging charges for two days of the travel twice on the voucher and resulted in an overpayment to the traveler of \$278. The Illinois Administrative Code (Code) (80 Ill. Adm. Code 2800.240) states that travel vouchers shall be supported by receipts in all instances for railroad and airplane transportation, lodging, taxis, and all other items in excess, individually, of \$10 except for meals.
- Five (6%) vouchers included lodging expenses that were in excess of the rates allowed by the Governor's Travel Control Board. None of these vouchers included the required written assertion by the traveler that the accommodations were the lowest priced available at or near the conference/seminar site or that the accommodations were arranged by the conference/seminar organizer. The lodging expenses in excess of the allowed rate totaled \$847. The Governor's Travel Control Board rules in the Code (80 Ill. Adm. Code 2800.Appendix A) identifies the maximum reimbursement rates allowed for lodging, per diem, and mileage. The Code (80 Ill. Adm. Code 2800.400) also states that employees attending a conference or seminar may be reimbursed for lodging in excess of those allowed by Appendix A provided that the traveler asserts in writing that the accommodations were the lowest priced available at or near the conference/seminar site or that the accommodations were arranged by the conference/seminar organizer.
- Five (6%) vouchers incorrectly paid employees per diem claims that exceeded the allowable per diem. The employees were overpaid \$78. The Code (80 Ill. Adm. Code 3000.500) states that per diem shall be based on the quarter system for computing the allowance for days or fractions thereof. Each quarter shall be 6 hours commencing at midnight, 6:00 a.m., Noon, and 6:00 p.m. The traveler shall be allowed one fourth of the allowance for each period or fractions thereof.
- One (1%) voucher for \$343 was not submitted by the employee in a timely basis. The employee traveled in November 2014 but did not submit a travel voucher until June 2015. The auditors used 60 days to be a reasonable period of time per IRS rules. The voucher in question was

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CURRENT FINDINGS (STATE COMPLIANCE)

2015-002 **FINDING** (Inadequate Controls over Compliance with Travel Regulations) (continued)

submitted approximately 120 days after the conclusion of this 60 day period. Good business practices require travel vouchers be submitted within a reasonable period after travel. Additionally, according to IRS Publication 535, employee travel expenses should be considered taxable wages if the travel expenses are not submitted within a reasonable period of time, usually within 60 days of the expenses being incurred.

- One (1%) voucher for \$496 was a travel reimbursement to a contractual payroll employee. The SAMS Manual (Procedure 11.50.30) states travel reimbursements to contractual payroll employees are to be charged to detailed object code 1264, not the travel appropriation.
- Seventeen (19%) vouchers included mileage reimbursement requests in which the mileage claimed by the employee exceeded the expected mileage between the two points of travel without any explanation for the additional miles. These mileage reimbursements exceeded the most economical routes by approximately 10-20%. The Travel Regulation Council rules in the Code (80 Ill. Adm Code 3000.310) states that all travel shall be by the most direct route. Expenses due to deviations for convenience shall be borne by the employee.
- Eight (9%) vouchers did not include evidence of approval by the Department's Director prior to the out-of-state travel. The Code (80 Ill. Adm. Code 2800.220) requires the authorization and approval of the Department Head or an authorized representative in accordance with the Travel Control System prior to any travel. In addition, the Code (80 Ill. Adm. Code 2800.200) requires Department documentation to be sufficiently detailed to support any travel decision or request.
- Twelve (13%) vouchers did not include evidence of approval dates by the Governor's Office prior to the out-of-state travel. The Code (80 Ill. Adm. Code 2800.700) requires for all travel outside of Illinois, that a request be submitted to the Governor's Office of Management and Budget's on-line travel system (eTravel) at least 30 days in advance of departure date.
- Six (7%) vouchers submitted by an employee included claims for parking when the employee was not in travel status. The employee was overpaid \$112. The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Department to maintain a system of internal fiscal and administrative controls, that provide assurance that resources are utilized efficiently and effectively and in compliance with applicable law. This would include ensuring employee claims for reimbursements are for expenses incurred for the time in which the employee was on travel status.

Further, we selected 10 employees who submitted travel reimbursement requests claiming mileage reimbursement for their personally owned vehicles during the examination period. For two employees, we noted that the Department did not have evidence of (or a certification by the employee) that they were properly licensed and had at least the minimum required insurance. The Code (80 Ill. Adm. Code 3000.300) states that privately owned vehicles may be used when authorized by appropriate agency personnel. Prior to that authorization, the Department is required to have employees file a statement certifying that they are duly licensed and carry at least the minimum insurance coverage or shall require that certification to be noted on the travel voucher.

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CURRENT FINDINGS (STATE COMPLIANCE)

2015-002 **FINDING** (Inadequate Controls over Compliance with Travel Regulations) (continued)

Department management stated bullet points 1 through 7, bullet point 11 and license certification were due to an oversight by Fiscal Staff. Regarding mileage reimbursements, the Department believes first and foremost, State employees are honest individuals and that claims for reimbursement are made in good faith, unless there is a major discrepancy. The Department uses Etravel, the online out of state approval system. All out of state travel was approved in advance in this system by both the Director and Governor's Office; however, the documentation substantiating such was not maintained.

Failure to maintain appropriate internal controls over compliance with travel regulations resulted in the Department having lost State funds and noncompliance with statutes and regulations. Failure to require timely submission of travel vouchers may distort travel expenditures from month to month and reduces financial accountability. Failure to obtain the proper certification of license and insurance is a violation of the Code and could result in undue risk of loss to the State due to injury or damage. (Finding Code No. 2015-002)

RECOMMENDATION

We recommend the Department establish appropriate procedures and internal controls to ensure travel expenditures are proper and appropriately document compliance with established regulations. We recommend the Department recoup overpayments made to employees. Finally, we recommend the Department ensure all employees are properly licensed and carry the necessary insurance coverage as required by the Code.

DEPARTMENT RESPONSE

The Department accepts this finding. The Department has initiated improvements to its policies and procedures to ensure travel expenditures are proper and appropriately documented and all agency employees are properly licensed and insured. All travel-related documentation will be reviewed by both the Account Technician and Chief Fiscal Officer. To date, the Department has recouped overpayments where possible.

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FOR THE TWO YEARS ENDED JUNE 30, 2015**

CURRENT FINDINGS (STATE COMPLIANCE)

2015-003 **FINDING** (Inadequate Controls over State Property and Equipment)

The Illinois Department of Human Rights (Department) did not have adequate controls over its property and equipment.

We noted the following:

- We selected 43 items at random that were located in the Springfield and Chicago offices of the Department to verify that the items were tagged and included on the Department's property control records. We noted 3 (7%) items (2 desks and a credenza) in the Springfield office in which the number had been removed from the tag. These items were not on the Department's property control records. The Department stated that this furniture was left behind by the Illinois Arts Council when they vacated their space in the building. The Department has been using it since then.

The Illinois Administrative Code (Code) (44 Ill. Adm. Code 5010.210) requires all agencies to mark each piece of State-owned equipment in their possession with a unique six digit identification number.

- We tested all 8 (100%) Agency Report of State Property Reports (C-15), including related fixed asset transactions, and noted the Department did not properly report equipment deletions and transfers on the C-15s in the quarter when the equipment items were disposed. All equipment deletions and transfers were reported on the 4th quarter C-15 reports regardless of when the transfer or deletion actually occurred.

The Statewide Accounting Management System Manual (Procedure 29.20.10) requires agencies to enter, on the appropriate line, all additions, deletions and transfers to and from each asset category that occurred during the quarter being reported when preparing its quarterly C-15s.

- We tested 8 equipment additions, totaling \$3,510, from the Department's property control records. We noted 5 (63%) additions, totaling \$3,170, which were not recorded in the Department's property control records within 30 days of the acquisition. Specifically, the items noted were added to the Department's property records between 19 and 228 days late.
- We tested 17 deletions/transfers out totaling \$12,684 from the Department's property control records. We noted 10 (59%) transfers out, totaling \$11,592, which were not recorded on the property control records within 30 days of disposal. Specifically, the items noted were deleted from the Department's property records between 92 and 354 days late. Further, we noted two (12%) items totaling \$177 that were scrapped by the Department, but the *Request for Deletion from Inventory* Form did not show evidence of approval from

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CURRENT FINDINGS (STATE COMPLIANCE)

2015-003 **FINDING** (Inadequate Controls over State Property and Equipment) (continued)

the Department of Central Management Services (CMS). Finally, we noted one (6%) transfer out to CMS in which the Department did not report the asset cost of \$615.

The Code (44 Ill. Adm. Code 5010.400) requires agencies to adjust property records within 30 days of acquisition, change or deletion of equipment items. Further, the Code (44 Ill. Adm. Code 5010.610) prohibits State agencies from disposing of transferable equipment without the knowledge and approval of the Property Control Division. The State Records Act (5 ILCS 160/9) requires agencies to establish, and maintain an active, continuing program for the economical and efficient management of the records of the agency. Such program shall provide for effective controls over the creation, maintenance, and use of records, including acquiring all required signature authorizations needed to complete a transaction and ensuring forms include all relevant information.

Department management stated the exceptions noted were due to human error by staff.

Failure to exercise adequate control over property and maintain accurate property control records increases the risk of loss, misappropriation and inaccurate information being submitted to the State Comptroller. Further, failure to obtain all signature authorizations and not ensuring forms have all relevant information needed could result in unauthorized and inappropriate transactions. (Finding Code No. 2015-003, 2013-004, 11-4, 09-3, 07-3)

RECOMMENDATION

We recommend the Department improve its procedures to ensure compliance with the property control rules.

DEPARTMENT RESPONSE

The Department accepts this recommendation. The Department will provide additional training to agency staff to correct issues raised in this finding.

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SCHEDULE OF FINDINGS
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CURRENT FINDINGS (STATE COMPLIANCE)

2015-004 **FINDING** (Noncompliance with the Fiscal Control and Internal Auditing Act)

The Illinois Department of Human Rights (Department) did not comply with the Fiscal Control and Internal Auditing Act (FCIAA).

We noted the Department did not file its FCIAA certifications to the Office of the Auditor General for Fiscal Years 2014 and 2015.

The Act (30 ILCS 10/3003) requires the chief executive officer of each State agency to conduct an evaluation of their systems of internal fiscal and administrative controls and file a certification regarding the evaluation with the Auditor General by May 1st of each year.

Department management stated it was not aware that a certification letter was required to be submitted.

Failure to submit the required certifications to the Office of the Auditor General is a violation of the FCIAA. (Finding Code No. 2015-004)

RECOMMENDATION

We recommend the Department implement procedures to ensure that the annual certification of the Department's fiscal and administrative control systems is submitted to the Auditor General by the due date each year as required by the FCIAA.

DEPARTMENT RESPONSE

The Department accepts this recommendation and has implemented procedures to ensure that the annual certification of the Department's fiscal and administrative control systems is submitted to the Auditor General by May 1st of each year.

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CURRENT FINDINGS (STATE COMPLIANCE)

2015-005 **FINDING** (Noncompliance with the Illinois Vehicle Code)

The Illinois Department of Human Rights (Department) failed to comply with provisions of the Illinois Vehicle Code (Code).

During the examination period, the Department had two individually assigned vehicles. We requested to examine the certifications of licensure and insurance of both of these employees for each fiscal year. We noted that one employee's certification stated the employee was duly licensed but the individual does not own a personal automobile so they do not carry minimum liability insurance. We asked if the employee had therefore posted a bond with the Secretary of State in lieu of insurance and were informed that there has been no bond posted for the employee.

The Code (625 ILCS 5/7-601(c)) states "Every employee of a State agency, as that term is defined in the Illinois State Auditing Act, who is assigned a specific vehicle owned or leased by the State on an ongoing basis shall provide the certification described in this Section annually to the director or chief executive officer of his or her agency. The certification shall affirm that the employee is duly licensed to drive the assigned vehicle and that (i) the employee has liability insurance coverage extending to the employee when the assigned vehicle is used for other than official State business, or (ii) the employee has filed a bond with the Secretary of State as proof of financial responsibility, in an amount equal to, or in excess of the requirements stated within this Section. Upon request of the agency director or chief executive officer, the employee shall present evidence to support the certification."

Department officials stated that they did not believe that insurance or a bond was necessary because the vehicle is housed in a garage near the Department's Chicago office and the Department's policy prohibits personal use. Because the car is garage kept by the Department, the car should be a pool car and not an individually assigned vehicle subject to the code.

Failure to obtain the proper certification of insurance or evidence of a bond posted is a violation of the Code and could result in undue risk of loss to the State due to injury or damage. (Finding Code No. 2015-005)

RECOMMENDATION

We recommend the Department comply with the Code and ensure all employees assigned a vehicle have adequate licensure and insurance or have the required bond filed with the Secretary of State.

**STATE OF ILLINOIS
ILLINOIS DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

CURRENT FINDINGS (STATE COMPLIANCE)

2015-005 **FINDING** (Noncompliance with the Illinois Vehicle Code) (continued)

DEPARTMENT RESPONSE

The Department accepts this finding. As of December 7th, 2015 the individually assigned vehicle was reassigned as a pool car. Agency staff will be reminded to carry liability insurance when using individually assigned vehicles as mandated by law.

**STATE OF ILLINOIS
ILLINOIS DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

CURRENT FINDINGS (STATE COMPLIANCE)

2015-006 **FINDING** (Improper Processing of Refund Receipts)

The Illinois Department of Human Rights (Department) did not follow appropriate processing procedures for Cash Refunds received during the examination period.

During our testing, we noted that three of five (60%) FY14 refund receipts tested, totaling \$290, were improperly processed using a Receipts Deposit Transmittal Form (Form C-64) instead of an Expenditure Adjustment Transmittal Form (Form C-63). Two of these refunds, totaling \$110, were also improperly deposited into the General Revenue Fund 0001 instead of the Special Project Division Fund 0607 from which the original expenditure had been made.

The Statewide Accounting Management System (SAMS) Manual (Procedure 25.10.30) states that cash refunds, or collections caused by an erroneous disbursement, may not be submitted to the Comptroller as receipts. Cash refunds are handled as reversals of expenditures so that for reimbursement purposes, the expenditure authority account that the original warrant was drawn on will be credited with the refund. Cash refunds should be submitted to the Comptroller by following Procedure 25.20.20, which contains the instructions for completing the Expenditure Adjustment Transmittal Form.

The State Comptroller Act (Act) (15 ILCS 405/10.14) states “If a warrant drawn upon the State Treasury or any other fund held by the treasurer is returned uncashed or redeposited by the comptroller or if a warrant has been cashed but the amount for which it was drawn, or any portion thereof, is returned to the State treasury or to a separate fund held by the State Treasurer by reason of an erroneous payment or an overpayment, and the appropriation to which the warrant was charged has not lapsed, the amount so returned shall be credited to such appropriation and shall be available for expenditure, but if the appropriation to which the warrant was charged has lapsed or if the warrant was not charged to an appropriation, the amount so returned shall be credited to the fund on which the warrant was drawn and credited to the expenditure authorization to which the warrant was charged and shall be available for expenditure unless such credit or availability is otherwise prohibited by law.”

Department management stated the exceptions were due to an oversight by the Fiscal Division.

Failure to properly process refund receipts of current year expenditures results in noncompliance with the SAMS Manual and State regulations. (Finding Code No. 2015-006)

RECOMMENDATION

We recommend the Department properly deposit refund receipts to the fund out of which the original expenditure was made and ensure the appropriate forms are used in accordance with the SAMS Manual.

**STATE OF ILLINOIS
ILLINOIS DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015

CURRENT FINDINGS (STATE COMPLIANCE)**

2015-006 **FINDING** (Improper Processing of Refund Receipts) (continued)

DEPARTMENT RESPONSE

The Department accepts this finding. The fiscal staff was informed of this finding and additional training will be provided to correct the issues raised in this finding.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF FINDINGS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

PRIOR FINDINGS NOT REPEATED

A. **FINDING** (Inadequate Financial Reporting – Generally Accepted Accounting Principles)

During the previous examination, the Illinois Department of Human Rights (Department) did not prepare an accurate “GAAP Reporting Package” for submission to the Office of the State Comptroller. The Department did not keep adequate records or schedules to support grant/contract data and accounts receivable.

During the current examination, our sample testing did not identify any exceptions related to the Department’s completion of accurate GAAP reporting packages and the Department appeared to have kept adequate records. (Finding Code No. 2013-001, 11-1, 09-1, 07-1, 05-02, 03-1, 01-1, 99-5, 97-5)

B. **FINDING** (Inadequate Controls over Voucher Processing)

During the previous examination, the Department did not have adequate controls over voucher processing.

During the current examination, our sample testing indicated the Department had improved controls over voucher processing. Minor exceptions were noted during testing, the finding has been reported in the Department’s Report of Immaterial Findings. (Finding Code No. 2013-002, 11-2, 09-4, 07-4, 05-4, 03-3, 01-2, 99-4, 97-4, 95-3)

C. **FINDING** (Employee Evaluations not Completed Timely)

During the previous examination, the Department did not complete annual employee performance evaluations timely.

During the current examination, our sample testing indicated the Department completed annual employee performance evaluations timely. (Finding Code No. 2013-003, 11-3, 09-6)

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPLIANCE EXAMINATION
FOR THE TWO YEARS ENDED JUNE 30, 2015**

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 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 and Reconciliation 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 Operations (Not Examined):

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

The accountant's report that covers the Supplementary Information for State Compliance Purposes presented in the Compliance Report Section states the accountants have applied certain limited procedures as prescribed by the Audit Guide, as adopted by the Auditor General, to the June 30, 2015 and June 30, 2014 accompanying supplementary information in Schedules 1 through 8. However, the accountants do not express an opinion on the supplementary information. The accountant's report also states that they have not applied procedures to the Analysis of Operations Section, and accordingly, they do not express an opinion or provide any assurance on it.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
APPROPRIATIONS FOR FISCAL YEAR 2015

FOURTEEN MONTHS ENDED AUGUST 31, 2015

	Appropriations (Net after Transfers)	Expenditures Through 6/30/15	Lapse Period Expenditures 7/01 - 8/31/15	Total Expenditures	Balances Lapsed
<u>APPROPRIATED FUNDS</u>					
<u>General Revenue Fund - 0001 (P.A. 98-0680 & 99-0001)</u>					
Operational Expenses	\$ 9,485,800	\$ 9,472,081	\$ 13,719	\$ 9,485,800	\$ -
Expenses of Investigation and Processing of Human Rights Cases	978,200	733,179	244,982	978,161	39
Expenses of Commission on Discrimination and Hate Crimes	73,500	-	73,500	73,500	-
Total Fund 0001	<u>\$ 10,537,500</u>	<u>\$ 10,205,260</u>	<u>\$ 332,201</u>	<u>\$ 10,537,461</u>	<u>\$ 39</u>
<u>Special Projects Division Fund - 0607 (P.A. 98-0680)</u>					
Personal Services	\$ 2,563,500	\$ 678,375	\$ 423,598	\$ 1,101,973	\$ 1,461,527
State Contributions to State Employees Retirement System	1,085,400	287,674	179,684	467,358	618,042
State Contributions to Social Security	148,800	53,420	31,109	84,529	64,271
Group Insurance	464,000	-	291,053	291,053	172,947
Contractual Services	223,000	214,543	7,511	222,054	946
Travel	37,000	27,891	976	28,867	8,133
Commodities	6,800	5,439	391	5,830	970
Printing	9,300	5,953	-	5,953	3,347
Total Fund 0607	<u>\$ 4,537,800</u>	<u>\$ 1,273,295</u>	<u>\$ 934,322</u>	<u>\$ 2,207,617</u>	<u>\$ 2,330,183</u>
<u>DHR Training and Development Fund - 0778 (P.A. 98-0680)</u>					
Administrative Expenses	<u>\$ 350,000</u>	<u>\$ 2,268</u>	<u>\$ 313</u>	<u>\$ 2,581</u>	<u>\$ 347,419</u>
Total Fund 0778	<u>\$ 350,000</u>	<u>\$ 2,268</u>	<u>\$ 313</u>	<u>\$ 2,581</u>	<u>\$ 347,419</u>
<u>DHR Special Fund - 0797 (P.A. 98-0680)</u>					
Funding Expenses of DHR	<u>\$ 500,000</u>	<u>\$ 34,114</u>	<u>\$ 165,586</u>	<u>\$ 199,700</u>	<u>\$ 300,300</u>
Total Fund 0797	<u>\$ 500,000</u>	<u>\$ 34,114</u>	<u>\$ 165,586</u>	<u>\$ 199,700</u>	<u>\$ 300,300</u>
GRAND TOTAL ALL FUNDS	<u><u>\$ 15,925,300</u></u>	<u><u>\$ 11,514,937</u></u>	<u><u>\$ 1,432,422</u></u>	<u><u>\$ 12,947,359</u></u>	<u><u>\$ 2,977,941</u></u>

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

Note: Expenditure amounts are vouchers approved for payment by the Department and submitted to the State Comptroller for payment to the vendor.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
APPROPRIATIONS FOR FISCAL YEAR 2014

FOURTEEN MONTHS ENDED AUGUST 31, 2014

	Appropriations (Net after Transfers)	Expenditures Through 6/30/14	Lapse Period Expenditures 7/01 - 8/31/14	Total Expenditures	Balances Lapsed
<u>APPROPRIATED FUNDS</u>					
<u>General Revenue Fund - 0001 (P.A. 98-0027)</u>					
Operational Expenses	\$ 8,404,100	\$ 8,267,663	\$ 136,436	\$ 8,404,099	\$ 1
Expenses of Investigation and Processing of Human Rights Cases	1,000,700	997,792	2,900	1,000,692	8
Expenses of Commission on Discrimination and Hate Crimes	75,200	-	75,200	75,200	-
Total Fund 0001	<u>\$ 9,480,000</u>	<u>\$ 9,265,455</u>	<u>\$ 214,536</u>	<u>\$ 9,479,991</u>	<u>\$ 9</u>
<u>Special Projects Division Fund - 0607 (P.A. 98-0027)</u>					
Personal Services	\$ 2,563,500	\$ 1,284,583	\$ 345,110	\$ 1,629,693	\$ 933,807
State Contributions to State Employees Retirement System	1,033,400	518,542	139,247	657,789	375,611
State Contributions to Social Security	128,800	94,774	25,511	120,285	8,515
Group Insurance	464,000	-	449,809	449,809	14,191
Contractual Services	243,633	121,597	49,518	171,115	72,518
Travel	36,898	36,898	-	36,898	-
Commodities	6,537	6,537	-	6,537	-
Printing	9,032	7,836	1,196	9,032	-
Total Fund 0607	<u>\$ 4,485,800</u>	<u>\$ 2,070,767</u>	<u>\$ 1,010,391</u>	<u>\$ 3,081,158</u>	<u>\$ 1,404,642</u>
<u>DHR Training and Development Fund - 0778 (P.A. 98-0680)</u>					
Administrative Expenses	<u>\$ 350,000</u>	<u>\$ 8,267</u>	<u>\$ 648</u>	<u>\$ 8,915</u>	<u>\$ 341,085</u>
Total Fund 0778	<u>\$ 350,000</u>	<u>\$ 8,267</u>	<u>\$ 648</u>	<u>\$ 8,915</u>	<u>\$ 341,085</u>
<u>DHR Special Fund - 0797 (P.A. 98-0680)</u>					
Funding Expenses of DHR	<u>\$ 350,000</u>	<u>\$ 26,476</u>	<u>\$ 45,857</u>	<u>\$ 72,333</u>	<u>\$ 277,667</u>
Total Fund 0797	<u>\$ 350,000</u>	<u>\$ 26,476</u>	<u>\$ 45,857</u>	<u>\$ 72,333</u>	<u>\$ 277,667</u>
GRAND TOTAL ALL FUNDS	<u>\$ 14,665,800</u>	<u>\$ 11,370,965</u>	<u>\$ 1,271,432</u>	<u>\$ 12,642,397</u>	<u>\$ 2,023,403</u>

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

Note: Expenditure amounts are vouchers approved for payment by the Department and submitted to the State Comptroller for payment to the vendor.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
FOR THE FISCAL YEARS ENDED JUNE 30, 2015, 2014 and 2013

	Fiscal Year		
	2015	2014	2013
	P.A. 98-0680 P.A. 99-0001	P.A. 98-0027	P.A. 97-0730
<u>General Revenue Fund - 0001</u>			
Appropriations (Net After Transfers)	\$ 10,537,500	\$ 9,480,000	\$ 8,952,000
Expenditures			
Operational Expenses	\$ 9,485,800	\$ 8,404,099	\$ -
Expenses of Investigation and Processing of Human Rights Cases	978,161	1,000,692	1,255,073
Expenses of Commission on Discrimination and Hate Crimes	73,500	75,200	77,499
Personal Services	-	-	6,770,308
State Contributions to Social Security	-	-	499,960
Contractual Services	-	-	186,475
Travel	-	-	12,267
Commodities	-	-	10,040
Printing	-	-	6,954
Equipment	-	-	40,316
Telecommunications Services	-	-	75,000
Operation of Automotive Equipment	-	-	1,384
Total Expenditures	\$ 10,537,461	\$ 9,479,991	\$ 8,935,276
Lapsed Balances	\$ 39	\$ 9	\$ 16,724
<u>Special Projects Division Fund - 0607</u>			
Appropriations (Net After Transfers)	\$ 4,537,800	\$ 4,485,800	\$ 3,993,500
Expenditures			
Personal Services	\$ 1,101,973	\$ 1,629,693	\$ 1,684,514
State Contributions to State Employees Retirement System	467,358	657,789	640,871
State Contributions to Social Security	84,529	120,285	124,099
Group Insurance	291,053	449,809	323,313
Contractual Services	222,054	171,115	195,113
Travel	28,867	36,898	61,590
Commodities	5,830	6,537	6,796
Printing	5,953	9,032	7,522
Total Expenditures	\$ 2,207,617	\$ 3,081,158	\$ 3,043,818
Lapsed Balances	\$ 2,330,183	\$ 1,404,642	\$ 949,682

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
FOR THE FISCAL YEARS ENDED JUNE 30,**

	Fiscal Year		
	2015	2014	2013
	P.A. 98-0680 P.A. 99-0001	P.A. 98-0027	P.A. 97-0730
<u>DHR Training and Development Fund - 0778</u>			
Appropriations (Net After Transfers)	\$ 350,000	\$ 350,000	\$ 350,000
Expenditures			
Administrative Expenses	\$ 2,581	\$ 8,915	\$ 7,594
Total Expenditures	\$ 2,581	\$ 8,915	\$ 7,594
Lapsed Balances	<u>\$ 347,419</u>	<u>\$ 341,085</u>	<u>\$ 342,406</u>
<u>DHR Special Fund - 0797</u>			
Appropriations (Net After Transfers)	\$ 500,000	\$ 350,000	\$ 350,000
Expenditures			
Funding Expenses for DHR	\$ 199,700	\$ 72,333	\$ 349,999
Total Expenditures	\$ 199,700	\$ 72,333	\$ 349,999
Lapsed Balances	<u>\$ 300,300</u>	<u>\$ 277,667</u>	<u>\$ 1</u>
<u>GRAND TOTAL, ALL FUNDS</u>			
Appropriations (Net After Transfers)	\$ 15,925,300	\$ 14,665,800	\$ 13,645,500
Total Expenditures	12,947,359	12,642,397	12,336,687
Lapsed Balances	<u>\$ 2,977,941</u>	<u>\$ 2,023,403</u>	<u>\$ 1,308,813</u>

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
FOR THE FISCAL YEARS ENDED JUNE 30,

	Fiscal Year		
	2015	2014	2013
	<u>P.A. 98-0679</u>	<u>P.A. 98-0064</u>	<u>P.A. 97-0730</u>
<u>General Revenue Fund - 0001 State Comptroller</u>			
Appropriations (Net After Transfers)	\$ 115,700	\$ 115,700	\$ 115,700
Expenditures			
Director's Salary	\$ 115,613	\$ 115,613	\$ 115,613
Total Expenditures	\$ 115,613	\$ 115,613	\$ 115,613
Lapsed Balances	<u>87</u>	<u>87</u>	<u>87</u>

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF CHANGES IN STATE PROPERTY
FOR THE TWO YEARS ENDED JUNE 30, 2015**

	<u>State Property</u>
Balance at July 1, 2013	\$ 459,310
Additions	3,522
Deletions	(1,124)
Net Transfers	(34,769)
Adjustments	<u>146</u>
Balance at June 30, 2014	<u>\$ 427,085</u>
Balance at July 1, 2014	\$ 427,085
Additions	194
Deletions	(3,620)
Net Transfers	-
Adjustments	<u>-</u>
Balance at June 30, 2015	<u>\$ 423,659</u>

Note: This schedule has been reconciled to the Agency Reports of State Property (C-15) submitted to the Office of the Comptroller.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF CASH RECEIPTS AND RECONCILIATION OF
CASH RECEIPTS TO DEPOSITS REMITTED TO THE STATE COMPTROLLER
FOR THE FISCAL YEARS ENDED JUNE 30, 2015, 2014 and 2013

	<u>2015</u>	<u>2014</u>	<u>2013</u>
General Revenue Fund - 0001			
Jury Duty and Reimbursements	\$ 542	\$ 602	\$ 168
Prior Year Refunds	141	405	988
Total Cash Receipts per Department	<u>683</u>	<u>1,007</u>	<u>1,156</u>
Less - In Transit at End of Year	50	405	7,985
Add - In Transit at Beginning of Year	405	7,985	7,005
Total Cash Receipts per State Comptroller's Records	<u><u>\$ 1,038</u></u>	<u><u>\$ 8,587</u></u>	<u><u>\$ 176</u></u>
Special Projects Division Fund - 0607			
Equal Employment Opportunity Commission (EEOC)	\$ 1,613,800	\$ 1,431,400	\$ 1,689,450
U.S. Department of Housing and Urban Development	1,091,729	1,084,006	1,055,000
Prior Year Refund	453	-	-
Total Cash Receipts per Department	<u>2,705,982</u>	<u>2,515,406</u>	<u>2,744,450</u>
Less - In Transit at End of Year	-	70,732	-
Add - In Transit at Beginning of Year	70,732	-	-
Total Cash Receipts per State Comptroller's Records	<u><u>\$ 2,776,714</u></u>	<u><u>\$ 2,444,674</u></u>	<u><u>\$ 2,744,450</u></u>
DHR Training and Development Fund - 0778			
Training Fees	\$ 22,542	\$ 16,796	\$ 16,931
Total Cash Receipts per Department	<u>22,542</u>	<u>16,796</u>	<u>16,931</u>
Less - In Transit at End of Year	-	348	4,352
Add - In Transit at Beginning of Year	348	4,352	2,373
Total Cash Receipts per State Comptroller's Records	<u><u>\$ 22,890</u></u>	<u><u>\$ 20,800</u></u>	<u><u>\$ 14,952</u></u>
DHR Special Fund - 0797			
Registration Fees	\$ 180,675	\$ 182,550	\$ 150,450
Total Cash Receipts per Department	<u>180,675</u>	<u>182,550</u>	<u>150,450</u>
Less - In Transit at End of Year	14,325	7,725	22,200
Add - In Transit at Beginning of Year	7,725	22,200	43,948
Total Cash Receipts per State Comptroller's Records	<u><u>\$ 174,075</u></u>	<u><u>\$ 197,025</u></u>	<u><u>\$ 172,198</u></u>
GRAND TOTAL - ALL FUNDS			
Total Cash Receipts per Department	\$ 2,909,882	\$ 2,715,759	\$ 2,912,987
Less - In Transit at End of Year	14,375	79,210	34,537
Add - In Transit at Beginning of Year	79,210	34,537	53,326
Total Cash Receipts per State Comptroller's Records - All Funds	<u><u>\$ 2,974,717</u></u>	<u><u>\$ 2,671,086</u></u>	<u><u>\$ 2,931,776</u></u>

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
FOR THE TWO YEARS ENDED JUNE 30, 2015

Significant variations in expenditures (\$10,000 and 20%) for the fiscal year ended June 30, 2015 compared to the fiscal year ended June 30, 2014 are shown below:

FISCAL YEAR 2015

Special Projects Division Fund – 0607

<u>Expenditure Item</u>	<u>Fiscal Year</u> <u>Ended June 30,</u>		<u>Increase</u> <u>(Decrease)</u>	
	<u>2015</u>	<u>2014</u>	<u>Amount</u>	<u>%</u>
Personal Services	\$1,101,973	\$1,629,693	\$ (527,720)	(32%)
State Contribution to State Employees Retirement System	\$ 467,358	\$ 657,789	\$ (190,431)	(29%)
State Contribution to Social Security	\$ 84,529	\$ 120,285	\$ (35,756)	(30%)
Group Insurance	\$ 291,053	\$ 449,809	\$ (158,756)	(35%)
Contractual Services	\$ 222,054	\$ 171,115	\$ 50,939	30%

Personal Services

Personal services decreased \$527,720 (32%) primarily due to the Fiscal Year 2015, May 14th payroll being paid from the General Revenue Fund 0001 and the Fiscal Year 2014, May 14th payroll being paid from the Special Projects Division Fund 0607.

State Contributions to State Employees Retirement System

State contributions to the State Employee Retirement System decreased \$190,431 (29%) primarily due to the Fiscal Year 2015, May 14th payroll being paid from the General Revenue Fund 0001 and the Fiscal Year 2014, May 14th payroll being paid from the Special Projects Division Fund 0607.

State Contributions to Social Security

State contributions to Social Security decreased \$35,756 (30%) primarily due to the Fiscal Year 2015, May 14th payroll being paid from the General Revenue Fund 0001 and the Fiscal Year 2014, May 14th payroll being paid from the Special Projects Division Fund 0607.

Group Insurance

Employer contribution to group insurance decreased \$158,756 (35%) primarily due to the Fiscal Year 2015, May 14th payroll being paid from the General Revenue Fund 0001 and the Fiscal Year 2014, May 14th payroll being paid from the Special Projects Division Fund 0607.

Contractual Services

Contractual service expenditures increased \$50,939 (30%) due to a Housing and Urban Development funded partnership project that began in late Fiscal Year 2014 and continued throughout Fiscal Year 2015.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
FOR THE TWO YEARS ENDED JUNE 30, 2015**

DHR Special Fund – 0797

<u>Expenditure Item</u>	<u>Fiscal Year Ended June 30,</u>		<u>Increase (Decrease)</u>	
	<u>2015</u>	<u>2014</u>	<u>Amount</u>	<u>%</u>
Funding Expenses for DHR	\$ 199,700	\$ 72,333	\$ 127,367	176%

Funding Expenses for DHR

Funding expenses for DHR increased \$127,367 (176%) due to the payment of Department of Central Management Services billings for Communications Manager, postage, and statistical services in Fiscal Year 2015 that were not paid out of this fund in Fiscal Year 2014.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
FOR THE TWO YEARS ENDED JUNE 30, 2015

Significant variations in expenditures (\$10,000 and 20%) for the fiscal year ended June 30, 2014 compared to the fiscal year ended June 30, 2013 are shown below:

FISCAL YEAR 2014

General Revenue Fund - 0001

Operational Expenses

In Fiscal Year 2014, the General Assembly changed the format by which the Department was provided its General Revenue Fund appropriation. In Fiscal Year 2014, the Department was provided a lump sum appropriation to fund operational expenses of the Department. In Fiscal Year 2013, the Department's appropriation was specific as to division and line item. Fiscal Year 2014 operational expenses were \$8,404,099 compared to what would be comparable operating expenses for Fiscal Year 2013 of \$7,602,704.

Expenses of Investigation and Processing of Human Rights Cases

The Department's Expenses of Investigation and Processing of Human Rights Cases decreased \$254,381 compared to Fiscal Year 2013. This was directly attributable to the Department's appropriation for this line item being reduced by \$254,700.

Special Projects Division Fund – 0607

<u>Expenditure Item</u>	<u>Fiscal Year</u> <u>Ended June 30,</u>		<u>Increase</u> <u>(Decrease)</u>	
	<u>2014</u>	<u>2013</u>	<u>Amount</u>	<u>%</u>
Group Insurance	\$ 449,809	\$ 323,313	\$ 126,496	39%
Travel	\$ 36,898	\$ 61,590	\$ (24,692)	(40%)

Group Insurance

Employer contributions for group insurance increased \$126,496 (39%) due to the Fiscal Year 2013 group insurance being paid from both the DHR Special Fund 0797 and the Special Projects Division Fund 0607 as opposed to being paid from the Special Projects Division Fund 0607 in Fiscal Year 2014.

Travel

Travel decreased \$24,692 (40%) due to additional travel expenses being paid out of the General Revenue Fund 0001 in Fiscal Year 2014 and due to cost saving initiatives that the Department implemented during Fiscal Year 2014.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
FOR THE TWO YEARS ENDED JUNE 30, 2015**

DHR Special Fund – 0797

<u>Expenditure Item</u>	<u>Fiscal Year Ended June 30,</u>		<u>Increase (Decrease)</u>	
	<u>2014</u>	<u>2013</u>	<u>Amount</u>	<u>%</u>
Funding Expenses for DHR	\$ 72,333	\$ 349,999	\$ (277,666)	(79%)

Funding Expenses for DHR

Funding expenses for DHR decreased \$277,666 (79%) due to a portion of group insurance and portions of the Department of Central Management Services billings for statistical services and postage being paid from the DHR Special Fund 0797 in Fiscal Year 2013 but not in Fiscal Year 2014.

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DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

Department management provided the following explanations for the significant variations (\$10,000 and 15%) in receipts.

Special Projects Division Fund – 0607

Equal Employment Opportunity Commission (EEOC)

EEOC receipts decreased \$258,050 (15%) in Fiscal Year 2014 compared to Fiscal Year 2013. Federal Grant receipts fluctuate from year to year depending upon the cases closed by the Department and the timing of federal drawdowns. The Fiscal Year 2014 receipts relate to cases closed during the period October 2012 through September 2013.

DHR Special Fund – 0797

Registration Fees

Registration fees increased \$32,100 (21%) in Fiscal Year 2014 compared to Fiscal Year 13. The Department collects registration fees from vendors applying for or renewing a public contractor number in order to bid on State contracts. Public contract registrations are required to be renewed every five years. Revenues vary depending on the number of contracts the State is offering and renewal dates.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
FOR THE TWO YEARS ENDED JUNE 30, 2015**

FISCAL YEAR 2015

Our testing of lapse period expenditures for Fiscal Year 2015 disclosed the following significant (\$10,000 and 20%) lapse period expenditures:

General Revenue Fund - 0001

<u>Expenditure Item</u>	<u>Total Expenditures</u>	<u>Lapse Period Expenditures</u>	<u>%</u>
Expenses of Investigation and Processing of Human Rights Cases	\$ 978,161	\$ 244,982	25%
Expenses of Commission on Discrimination and Hate Crimes	\$ 73,500	\$ 73,500	100%

Expenses of Investigation and Processing of Human Rights Cases

Expenditure payouts in the lapse period were primarily due to Department of Central Management Services (CMS) statistical and data charges and CMS telecommunications charges for the entire year.

Expenses of Commission on Discrimination and Hate Crimes

Expenditure payouts in the lapse period were due to payments to CMS for statistical and data charges for the entire year.

Special Projects Division Fund – 0607

<u>Expenditure Item</u>	<u>Total Expenditures</u>	<u>Lapse Period Expenditures</u>	<u>%</u>
Personal Services	\$ 1,101,973	\$ 423,598	38%
State Contributions to State Employees Retirement System	\$ 467,358	\$ 179,684	38%
State Contributions to Social Security	\$ 84,529	\$ 31,109	37%
Group Insurance	\$ 291,053	\$ 291,053	100%

Personal Services, State Contributions to State Employees Retirement System, and State Contributions to Social Security

Expenditure payouts in the lapse period were due to the fourth quarter payments for payroll.

Employer Contribution Group Insurance

Expenditure payouts in the lapse period were due to the annual group insurance payment.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
FOR THE TWO YEARS ENDED JUNE 30, 2015**

DHR Special Fund – 0797

<u>Expenditure Item</u>	<u>Total Expenditures</u>	<u>Lapse Period Expenditures</u>	<u>%</u>
Funding Expenses for DHR	\$ 199,700	\$ 165,586	83%

Funding Expenses for DHR

Expenditure payouts in the lapse period were due to payments to CMS for the Communications Manager, printing, postage, telecommunications and statistical and data services.

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ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
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FISCAL YEAR 2014

Our testing of lapse period expenditures for Fiscal Year 2014 disclosed the following significant (\$10,000 and 20%) lapse period expenditures:

General Revenue Fund – 0001

<u>Expenditure Item</u>	<u>Total Expenditures</u>	<u>Lapse Period Expenditures</u>	<u>%</u>
Expenses of Commission on Discrimination and Hate Crimes	\$ 75,200	\$ 75,200	100%

Special Projects Division Fund – 0607

<u>Expenditure Item</u>	<u>Total Expenditures</u>	<u>Lapse Period Expenditures</u>	<u>%</u>
Personal Services	\$ 1,629,693	\$ 345,110	21%
State Contributions to State Employees Retirement System	\$ 657,789	\$ 139,247	21%
State Contributions to Social Security	\$ 120,285	\$ 25,511	21%
Group Insurance	\$ 449,809	\$ 449,809	100%
Contractual Services	\$ 171,115	\$ 49,518	29%

Personal Services, State Contributions to State Employees Retirement System, and State Contributions to Social Security

Expenditure payouts in the lapse period were due to the fourth quarter payments for payroll.

Group Insurance

Expenditure payouts in the lapse period were due to the annual group insurance payment.

Contractual Services

Expenditure payouts in the lapse period were due to payments to the Department of Central Management Services (CMS) for graphic arts and for the Housing and Urban Development partnership project quarterly expenditures.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
FOR THE TWO YEARS ENDED JUNE 30, 2015**

DHR Special Fund – 0797

<u>Expenditure Item</u>	<u>Total Expenditures</u>	<u>Lapse Period Expenditures</u>	<u>%</u>
Funding Expenses for DHR	\$ 72,333	\$ 45,857	63%

Funding Expenses for DHR

Expenditure payouts in the lapse period were due to payments to CMS for the Communications Manager.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF OPERATIONS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

AGENCY FUNCTIONS AND PLANNING PROGRAM (Not Examined)

FUNCTIONS

Introduction

The Department of Human Rights (Department) administers the Illinois Human Rights Act (Act), which prohibits discrimination because of race, color, religion, sex, sexual orientation, national origin, ancestry, citizenship status (with regard to employment), age 40 and over, marital status, physical or mental handicap, military service or unfavorable military discharge. The Act prohibits discrimination in connection with employment opportunities, real estate transactions, access to financial credit, and the availability of public services and public accommodations. It also provides protection from sexual harassment in employment, sexual harassment of students in higher education, and retaliation for having filed a discrimination charge. A discrimination charge can be initiated by calling, writing, or appearing in person at the Department's Chicago or Springfield office within 180 days of the date of the alleged discrimination took place in all cases except housing discrimination (one year filing deadline).

Administration Division

The Administration Division is the managerial and administrative body for the Department and is responsible for the following functions: Financial Management, Fiscal Planning, Procurement, Inventory, Auditing, Legislative Bill Review and Analysis, Governmental Relations, Personnel, Public Information/Communications, General Office Services, Information Systems and Operational Planning.

Organizationally, the Administrative Division consists of the following program areas: Fiscal, Legislative Operations, Management Operations, Personnel, Public information and Research Planning and Development.

Charge Processing Division

The Charge Processing Division receives and investigates charges of discrimination in connection with employment opportunities, housing and real estate transactions, access to financial credit, or the availability of public services and public accommodations, sexual harassment in employment, sexual harassment of students in higher education, and retaliation for having opposed discrimination. The Charge Processing Division receives about 30,000 inquiries and processes an average of 4,000 cases per year. The Charge Processing Division is the largest division in the Department, consisting of the Intake unit, Investigation groups, and Quality Control Unit.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF OPERATIONS
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Legal Division

The Legal Division oversees the investigative works of the Department and monitors the Liaison Unit and the Public Contracts Unit.

Staff attorneys review all investigation reports that recommend a finding of Substantial Evidence and approve the findings before they become final and the parties are notified. Attorneys also conciliate these cases and attempt settlements. If the investigator recommends a finding of Lack of Substantial Evidence, the complainant may file a Request for Review with the Chief Legal Counsel. The Chief Legal Counsel enters an order, which decides the case.

The Legal Division also provides investigators with technical advice, and responds to inquiries from the public on a daily basis by staffing the “Attorney of the Day” post.

Liaison Unit

The Liaison Unit provides specialized technical assistance to State agencies and other entities to enhance, strengthen, and promote their equal employment opportunity/affirmative action compliance obligations.

It provides technical assistance on disability issues as the Department’s Coordinator of American Disability Association and Section 503/504 for disability issues. That makes the Department Director, in his capacity, co-chair of the Interagency Committee for Employees with Disabilities.

Public Contracts Unit

The Public Contracts Unit processes the registration of companies bidding on public contracts and provides technical assistance in matters of equal employment and Affirmative Action implementation.

Other Services

Institute for Training and Development

The Institute for Training and Development provides a broad range of workshops and seminars in the areas of equal employment opportunity and fair housing, etc., to enhance the sensitivity and technical knowledge of human rights organization, municipal agencies, and the business sector.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF OPERATIONS
FOR THE TWO YEARS ENDED JUNE 30, 2015**

Disability Program

The Disability Program provides information and advice to individuals and organizations around the state about disability issues and the requirements of related laws. The program coordinator also serves as internal expert concerning matters relating to disability issues.

PLANNING PROGRAM

The Department's mission is to secure for all individuals within the State of Illinois freedom from unlawful discrimination, and to establish and promote equal opportunity and affirmative action as the policy of the State for all its residents.

The priorities set forth by the Department are as follows:

- I. Prohibit discrimination in employment, housing, public accommodations, financial credit and sexual harassment in higher education.
- II. Enhance State agencies' compliance with equal employment opportunity / affirmative action guidelines and public contractor and eligible bidder compliance with non-discrimination and affirmative action legal requirements.
- III. Promote public outreach, education and training regarding unlawful discrimination.
- IV. Promote the mission of the Commission on Discrimination and Hate Crimes to combat discrimination based on ethnicity, religion, skin color, gender, gender identification, disability or sexual orientation.
- V. Generate revenue for the identified Department programs.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
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AVERAGE NUMBER OF EMPLOYEES (Not Examined)

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

	Fiscal Year		
	2015	2014	2013
Administration	24	26	22
Charge Processing	85	83	86
Fair Housing	12	12	13
Legal	19	19	17
Total	140	140	138

SERVICE EFFORTS AND ACCOMPLISHMENTS (Not Examined)

The Department's service efforts and accomplishments summarize the number of employment and housing cases that were completed and the programs that were implemented to achieve the objectives of the strategic plan. The following caseload information and Department statistics were prepared from Department records and have not been examined

Charge Processing Division – Annual Caseload Statistics

Caseload Information

	<u>2015</u>	<u>2014</u>	<u>2013</u>
Docketed	3,367	3,200	3,759
Completed	3,325	3,792	3,881
Complainant filings at Human Rights Commission	22	15	48
Carryover	251	677	1,010
Average monthly charges completed per month per investigator	5.3	5.2	6.2
Investigators employed at end of year	46	46	54

**STATE OF ILLINOIS
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Employment Charges by Basis

Basis of Discrimination

	<u>2015</u>	<u>% of Total</u>	<u>2014</u>	<u>% of Total</u>	<u>2013</u>	<u>% of Total</u>
Sex	1,078	34%	913	29%	1,017	30%
Race	902	29%	851	27%	906	27%
Retaliation	1,032	33%	1,019	32%	1,008	30%
Age	731	23%	723	23%	775	23%
Physical Disability	660	21%	686	21%	662	20%
National Origin	385	12%	428	13%	467	14%
Sexual Harassment	405	13%	296	9%	414	12%
Other	156	5%	169	5%	151	4%
Mental Disability	187	6%	181	6%	146	4%
Sexual Orientation/Gender Id	93	3%	96	3%	98	3%
Religion	48	2%	63	2%	73	2%
Arrest Record	56	2%	39	1%	44	1%
Color	16	1%	29	1%	17	1%
Marital Status	13	0%	12	0%	12	0%
Military Discharge	11	0%	18	1%	7	0%
Coercion	8	0%	3	0%	5	0%
Total Employment Charges Filed	3,163		3,200		3,390	

Note: Number of charges by basis is greater than total employment charges filed because some charges were filed under more than one basis. Percent of total charges filed is also greater than 100% because charges can be filed on more than one basis.

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Housing Discrimination Charges By Basis:

Basis of Discrimination

	<u>2015</u>	<u>% of Total</u>	<u>2014</u>	<u>% of Total</u>	<u>2013</u>	<u>% of Total</u>
Physical Disability	120	34%	115	30%	89	24%
Race	95	27%	141	36%	150	41%
Mental Disability	68	19%	59	15%	45	12%
National Origin	44	12%	63	16%	55	15%
Familial Status	37	10%	39	10%	33	9%
Sex	24	7%	44	11%	35	9%
Retaliation	22	6%	16	4%	28	8%
Sexual Orientation/Gender Id	17	5%	4	1%	13	4%
Age	13	4%	4	1%	3	1%
Religion	8	2%	12	3%	14	4%
Marital Status	6	2%	5	1%	4	1%
Color	4	1%	6	2%	3	1%
Other	3	1%	0	0%	1	0%
Total Housing Charges Filed	353		389		369	

Note: Number of charges by basis is greater than total charges filed because some charges were filed under more than one basis.

Disposition of Completed Investigations for both Charge Processing and Fair Housing Divisions:

	<u>2015</u>	<u>2014</u>	<u>2013</u>
Inquiries received	11,641	10,849	11,732
Charges filed	3,720	3,589	3,759
Completed Investigations	3,697	4,092	3,881

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Disposition of Completed Cases

	<u>2015</u>	<u>% of Total</u>	<u>2014</u>	<u>% of Total</u>	<u>2013</u>	<u>% of Total</u>
Substantial evidence	257	7%	249	6%	304	8%
Settlements	1,045	28%	1,175	29%	1,018	26%
Withdrawn by complainant	395	11%	457	11%	405	10%
Dismissals:						
Lack of substantial evidence	1,594	43%	1,654	40%	1,599	41%
Lack of jurisdiction	159	4%	183	5%	181	5%
Failure to proceed	216	6%	323	8%	306	8%
Administrative closures	31	1%	51	1%	68	2%

Compliance Division – Annual Bidder Registration Activity Summary:

	<u>2015</u>	<u>2014</u>	<u>2013</u>
Forms received during year	2,888	2,930	2,331
Forms processed during the year	2,632	2,757	2,125
Forms responded to during the year	1,511	1,375	1,532