



STATE OF ILLINOIS
OFFICE OF THE
AUDITOR GENERAL

William G. Holland, Auditor General

SUMMARY REPORT DIGEST

DEPARTMENT OF CENTRAL MANAGEMENT SERVICES
BUREAU OF COMMUNICATIONS AND COMPUTER SERVICES

SERVICE ORGANIZATION CONTROL REPORT--- For the Year Ended: June 30, 2014
Release Date: July 2014

This Service Organization Control Report covers the Department of Central Management Services, Bureau of Communications and Computer Services' State of Illinois Mainframe Information Technology Environment throughout the period July 1, 2013 to June 30, 2014. We examined the Description of System and the suitability of the design and operating effectiveness of controls to meet the security, availability, and processing integrity principles set forth in the 2014 version of TSP Section 100, Trust Services Principles, Criteria, and Illustrations for Security, Availability, Processing Integrity, Confidentiality, and Privacy. (AICPA, *Technical Practice Aids*).

The Department of Central Management Services' (Department) Bureau of Communications and Computer Services carries out statutory responsibilities relating to data processing and telecommunication services. The Department provides data processing services to approximately 107 agencies.

The Department provides state government agencies, boards, and commissions an Information Technology mainframe infrastructure in which to host their applications and data. The system description herein only relates to the mainframe computing environment and excludes the midrange computing environment. The Department and the agencies that use the Department's computer resources share the responsibility for maintaining the processing integrity, availability, and security of computerized data and functions.

We identified three control deficiencies. First, the approved process to control mainframe password resets was not being followed by the Department, resulting in a control deficiency over the process to reset mainframe user passwords. Second, the Department's Compliance Officer was responsible for monitoring and ensuring compliance with security policies. However, monitoring for compliance had not been conducted, resulting in a control deficiency over procedures to provide that issues of noncompliance with security policies are promptly addressed. Finally, risk assessments are to be performed periodically and, as security threats are identified, they are to be assessed. However, the Department had not conducted risk assessments to identify threats, vulnerabilities and assessed their impact, resulting in a control deficiency over the performance of risk assessments. See pages 5 to 9 of the report for additional information.

In our opinion, except for the matters referred to above, the description is fairly stated and the controls were suitably designed.

A handwritten signature in blue ink, appearing to read "William G. Holland", written over a horizontal line.

WILLIAM G. HOLLAND
Auditor General

ILLINOIS DEPARTMENT OF CENTRAL MANAGEMENT SERVICES
BUREAU OF COMMUNICATIONS AND COMPUTER SERVICES

STATISTICS	2014
Mainframes	3 Units Configured as 12 Production Systems and 9 Test Systems
Customer Service Center	IT Incident Opened – 92,693 IT Incidents Resolved – 95,141 Password Resets – 29,132 IT Service Requests Opened – 31,924 IT Service Requests Closed – 31,520 As of April 2014
State Agency Users	107
Bureau Employees	2011 -- 577 2012 -- 558 2013 -- 501 2014 -- 487
Historical Growth Trend**	2011 -- 4,184 -- MIPS 2012 -- 4,184 -- MIPS 2013 -- 4,099 -- MIPS 2014 -- 4,099 -- MIPS -- Million Instructions Per Second ** In the month of April for each year listed

Information provided by the Department – Not Examined

DEPARTMENT DIRECTOR AND DEPUTY DIRECTOR/BUREAU MANAGER

During Examination Period: Director: Malcolm E. Weems (July 1, 2013 to October 4, 2013),
Acting Director: Simone McNeil (October 5, 2013 to present)

During Examination Period: Deputy Director/Bureau Manager: Rich Fetter (July 1, 2013 to
December 13, 2013), Greg Wass (January 1, 2014 to present)