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

**SERVICE ORGANIZATION CONTROL REPORT--- For the Year Ended: June 30, 2016**
**Release Date: August 18, 2016**

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, 2015 to June 30, 2016. 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 TSP Section 100, *Trust Services Principles, Criteria, and Illustrations for Security, Availability, Processing Integrity, Confidentiality, or Privacy* (AICPA, *Trust Services Principles and Criteria*).

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 103 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.

During the examination the Service Auditor noted:

- The Department had not conducted periodic risk assessments, in order to identify threats and vulnerabilities, and assess the impact.
- The approved process to control Active Directory password resets was not being followed.
- The Department was unable to provide the auditors a universe of Active Directory ID modifications.

- The approved process to control mainframe password resets was not being followed by the Department.
- The Department was unable to provide the auditors a universe of mainframe security software ID modifications.
- The Department's Compliance Officer was responsible for monitoring and ensuring compliance with security policies. However, monitoring for compliance had not been conducted. See pages 5 to 11 of the report for additional information.

In our opinion, in all material respects because of the matters referred to in the preceding paragraphs, based on the criteria identified in the Department of Central Management Services, Bureau of Communications and Computer Services' assertion:

*a.* the description <u>does not</u> fairly present the system that was designed and implemented throughout the period July 1, 2015 to June 30, 2016.

*b.* the controls stated in the description <u>were not</u> suitably designed to provide reasonable assurance that the applicable trust services criteria would be met if the controls operated effectively throughout the period July 1, 2015 to June 30, 2016, user entities applied the complementary user entity control contemplated in the design of the Department's controls throughout the period July 1, 2015 to June 30, 2016, and the subservice organization applied the types of controls expected to be implemented at the subservice organization throughout the period July 1, 2015 to June 30, 2016.

*c.* the controls tested, which were those necessary to provide reasonable assurance that the applicable trust services criteria were met, <u>did not</u> operate effectively throughout the period July 1, 2015 to June 30, 2016, if the user entities applied the complementary user entity control contemplated in the design of the Department's controls throughout the period July 1, 2015 to June 30, 2016, and if the controls expected to be implemented at the subservice organization were also operating effectively throughout the period July 1, 2015 to June 30, 2016.

SIGNED ORIGINAL ON FILE

FRANK J. MAUTINO
Auditor General

Office of the Auditor General, Iles Park Plaza, 740 E. Ash St., Springfield, IL 62703 • Tel: 217-782-6046 or TTY 888-261-2887
*This Report Digest and a Full Report are also available on the internet at www.auditor.illinois.gov*

ii

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

| STATISTICS (Not Examined) | 2016 |
|---|---|
| **Mainframes** | 3 Units Configured as 11 Production Systems and 8 Test Systems |
| **Customer Service Center** | IT Incident Opened – 127,960<br>IT Incidents Resolved – 126,865<br>Password Resets – 55,820<br>IT Service Requests Opened – 39,398<br>IT Service Requests Closed – 37,205<br><br>As of June 2016 |
| **State Agency Users** | 103 |
| **Bureau Employees** | 2013 -- 501<br>2014 -- 487<br>2015 -- 510<br>2016 -- 492 |
| **Historical Growth Trend\*\*** | 2013 --     4,099   -- MIPS<br>2014 --     4,099   -- MIPS<br>2015 --     4,099   -- MIPS<br>2016 --     4,656   -- MIPS<br><br>              -- Million Instructions Per Second<br>\*\* In the month of April for each year listed |

| DEPARTMENT DIRECTOR AND DEPUTY DIRECTOR/BUREAU MANAGER |
|---|
| During Examination Period:  Tom Tyrrell, Director through 1/15/16<br>                                 Michael M. Hoffman, Acting Director 1/16/16 - present<br><br>During Examination Period:  Hardik Bhatt, Deputy Director/State CIO<br>   Department of Innovation and Technology Secretary Designate  4/4/16—present |