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REPORT DIGEST

THIRD PARTY REVIEW DEPARTMENT OF CENTRAL MANAGEMENT SERVICES BUREAU OF COMMUNICATION AND COMPUTER SERVICES

INTRODUCTION

The Department of Central Management Services' (Department) Bureau of Communication and Computer Services carries out statutory responsibilities relating to data processing and telecommunication services (20 ILCS 405/35.3; 20 ILCS 405/35.7; 20 ILCS 405/35.7a; 20 ILCS 405/35.7c; and 20 ILCS 405/35.8). To fulfill its responsibilities, the Department operates the Central Computer Facility (CCF), the Communications Center, and two branch facilities -- one each in Springfield and Chicago. The Springfield branch facility also serves as the primary backup site should a disaster prevent processing at the Central Computer Facility. Through its facilities, the Department provides data processing services to approximately 104 user entities.

The CCF functions as a data processing service center, providing computing and telecommunication resources for State agencies' use. The Department and the agencies that use the Department's computer resources share the responsibility for maintaining the integrity and security of computerized data and functions.

We reviewed data processing general controls at the Department during the period from February 5 to April 19, 1996. We performed tests to determine compliance with policies and procedures, conducted interviews, performed observations, and identified specific control objectives and procedures we considered necessary in the circumstances to evaluate the controls.

We also reviewed application controls for systems maintained by the Department for State agencies' use. The systems reviewed were the Generalized Accounting, Central Payroll, Central Inventory, Central Time and Attendance, and Accounting Information Systems.

The Department's control procedures and the degree of compliance with the procedures were sufficient to provide reasonable, but not absolute, assurance that relevant control objectives were achieved. However, the Department could enhance the State's ability to process critical data without significant interruption by improving its disaster contingency plan.

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FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

DISASTER CONTINGENCY PLAN WEAKNESSES

The Department has a written and partially tested disaster contingency plan. The CMS/BCCS/CCF Disaster Recovery Plan (DRP) was last issued on April 6, 1995. However, an updated version of the DRP is planned for distribution to all user agencies by the end of fiscal year 1996. Although the Department has made great progress in addressing the disaster recovery needs of the State's Central Computer Facility, the plan and operational provisions still need to be enhanced.

The primary backup site is the Harris facility in Springfield; a secondary backup facility is located in Chicago. There is some concern regarding the backup sites' ability to process all of the critical applications listed on the Statewide Critical Applications Processing Priority list (Priority list) within the required timeframe. No detailed assessment has been conducted to determine the optimal processing capacity and storage requirements of the backup sites.

To help assess the State's recovery capabilities, the Department contracted with a major accounting firm to perform an evaluation of the disaster recovery procedures and recovery capabilities of the Harris facility backup site. The consultant's report, which was in draft form during the audit period, made special mention of the lack of a comprehensive test or disaster simulation that would test the functionality of the disaster recovery procedures. A comprehensive test would help determine if the primary backup site had the necessary capacity to process all critical Maximum Availability Program (MAP) applications (requiring 24-hour processing), while processing other critical applications within an acceptable timeframe.

There are six MAP applications that require 24-hour processing; however only four are included on the Priority list. Two have not met the necessary criteria to be included on the Priority list. For an application to be included on the Priority list, an agency must submit an explanation of why the application is critical to the State and must perform disaster recovery testing. Department officials stated that unless these criteria are met, an application will not be included on the Priority list, and therefore will not be included in recovery efforts.

Although the Department has been actively involved in revising and updating the Priority list, the Priority list has not been finalized, does not include all MAP applications, and has never been formally approved by executive management. The Department plans to complete the Priority list and forward it to the Governor's Office for review and approval.

The State is placing great reliance on the Department's ability to deliver data processing services in the event of a disaster. A comprehensive Priority list would help determine backup processing requirements and ensure that the processing order and capacity meet the needs of the State. A comprehensive and thoroughly tested disaster recovery plan and adequate backup facilities are essential components of recovery efforts. (revised Finding first reported in 1986)

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

STATISTICS	1996
Mainframes	4 Units Configured as 9 Systems
Services/Workload	37,000 Nodes Statewide (Terminals, Printers, etc.) 31 Million IMS Transactions per Month 3 Million Feet of Laser Printing per Month 240,000 Reel/Cartridge Tape Mounts per Month
User Entities	104
State Agency Users	85
CCF Employees	1995 -- 127 1996 -- 128
Historical Growth Trend*	1975 -- 400 -- Base CPU Hours Billed 1980 -- 1,700 -- Base CPU Hours Billed 1986 -- 5,200 -- Base CPU Hours Billed 1990 -- 14,143 -- Base CPU Hours Billed 1994 -- 27,823 -- Base CPU Hours Billed 1995 -- 34,977 -- Base CPU Hours Billed 1996 -- 44,201 -- Base CPU Hours Billed * In the month of January for each year listed

Information provided by the Department

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