

**State of Illinois
Department of
Human Rights**

**STATE COMPLIANCE
EXAMINATION**

**FOR THE TWO YEARS ENDED
JUNE 30, 2021**

**PERFORMED AS SPECIAL
ASSISTANT AUDITORS FOR THE
AUDITOR GENERAL,
STATE OF ILLINOIS**

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
STATE COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2021

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**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2021**

DEPARTMENT OFFICIALS

Director (07/01/19 – Present)	Mr. James L. Bennett
Deputy Director (07/01/19 – Present)	Mr. H. Alex Bautista
Chief Fiscal Officer (07/01/19 – Present)	Mr. Alan Brazil
Chief Legal Counsel (07/01/19 – Present)	Ms. Mary M. Madden

DEPARTMENT OFFICES

The Department’s primary administrative offices are located at:

555 West Monroe Street
Seventh Floor
Chicago, Illinois 60661

555 West Jefferson
1st Floor
Springfield, Illinois 62702

2309 West Main Street
Suite 112
Marion, Illinois 62959



JB Pritzker, Governor
James L. Bennett, Director

MANAGEMENT ASSERTION LETTER

December 30, 2021

Roth & Company LLP
815 W Van Buren St. Suite 500
Chicago, Illinois, 60607

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 State of 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 specified requirements during the two-year period ended June 30, 2021. Based on this evaluation, we assert that during the years ended June 30, 2020, and June 30, 2021, the Department has materially complied with the specified requirements listed 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 truly,

State of Illinois, Department of Human Rights

SIGNED ORIGINAL ON FILE

James L. Bennett
Director

SIGNED ORIGINAL ON FILE

Alan Brazil
Chief Fiscal Officer

SIGNED ORIGINAL ON FILE

Mary M. Madden
Chief Legal Counsel

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
STATE COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2021**

STATE COMPLIANCE REPORT

SUMMARY

The State compliance testing performed during this 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*.

ACCOUNTANT’S REPORT

The Independent Accountant’s Report on State Compliance and on Internal Control Over Compliance does not contain scope limitations or disclaimers, but does contain a modified opinion on compliance and identifies material weakness over internal control over compliance.

SUMMARY OF FINDINGS

<u>Number of</u>	<u>Current Report</u>	<u>Prior Report</u>
Findings	12	8
Repeated Findings	5	3
Prior Recommendations Implemented or Not Repeated	3	0

SCHEDULE OF FINDINGS

<u>Item No.</u>	<u>Page</u>	<u>Last/First Reported</u>	<u>Description</u>	<u>Finding Type</u>
Current Findings				
2021-001	9	New	Lack of Adequate Controls over the Review of Internal Controls for Service Providers	Material Weakness and Material Noncompliance
2021-002	11	New	Weaknesses in Cybersecurity Programs and Practices	Significant Deficiency and Noncompliance
2021-003	14	2019/2017	Noncompliance with Statutorily Mandated Time Limits	Significant Deficiency and Noncompliance
2021-004	16	2019/2017	Failure to Maintain Internal Audit Program	Significant Deficiency and Noncompliance
2021-005	18	New	Information Technology Access Weaknesses	Significant Deficiency and Noncompliance

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
STATE COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2021**

SCHEDULE OF FINDINGS (CONTINUED)

<u>Item No.</u>	<u>Page</u>	<u>Last/First Reported</u>	<u>Description</u>	<u>Finding Type</u>
Current Findings				
2021-006	20	2019/2019	Noncompliance with Report Filing Requirements	Significant Deficiency and Noncompliance
2021-007	22	2019/2019	Failure to Evaluate and Report on Sexual Harassment Helpline	Significant Deficiency and Noncompliance
2021-008	24	2019/2007	Inadequate Controls over State Property and Equipment	Significant Deficiency and Noncompliance
2021-009	26	New	Employee Performance Evaluations Not Performed or Timely Performed	Significant Deficiency and Noncompliance
2021-010	28	New	Inaccurate Agency Workforce Reports	Significant Deficiency and Noncompliance
2020-011	30	New	Disaster Recovery Planning Weaknesses	Significant Deficiency and Noncompliance
2020-012	31	New	Inadequate Controls over Leaves of Absence	Significant Deficiency and Noncompliance
Prior Findings Not Repeated				
A	33	2019/2019	Lack of Access Reviews	
B	33	2019/2019	Lack of Adequate File Storage Capacity	
C	33	2019/2019	Inadequate Controls over Voucher Processing	

EXIT CONFERENCE

The Department waived an exit conference in a correspondence from Alan Brazil, Chief Fiscal Officer on December 21, 2021.

The responses to the recommendations were provided by Alan Brazil, Chief Fiscal Officer, in a correspondence dated December 22, 2021.



INDEPENDENT ACCOUNTANT'S REPORT
ON STATE COMPLIANCE AND ON INTERNAL CONTROL OVER COMPLIANCE

Honorable Frank J. Mautino
Auditor General
State of Illinois

Report on State Compliance

As Special Assistant Auditors for the Auditor General, we have examined compliance by the State of Illinois, Department of Human Rights (Department) with the specified 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, 2021. Management of the Department is responsible for compliance with the specified requirements. Our responsibility is to express an opinion on the Department's compliance with the specified requirements based on our examination.

The specified requirements are:

- 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.

815 West Van Buren Street,
Suite 500
Chicago, Illinois 60607
P (312) 876-1900
F (312) 876-1911

info@rothcocpa.com
www.rothcocpa.com

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*. Those standards, the Act, and the *Audit Guide* require that we plan and perform the examination to obtain reasonable assurance about whether the Department complied with the specified requirements in all material respects. An examination involves performing procedures to obtain evidence about whether the Department complied with the specified requirements. The nature, timing, and extent of the procedures selected depend on our judgement, including an assessment of the risks of material noncompliance with the specified requirements, whether due to fraud or error. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our modified opinion.

Our examination does not provide a legal determination on the Department's compliance with the specified requirements.

Our examination disclosed material noncompliance with the specified requirements applicable to the Department during the two years ended June 30, 2021. As described in the accompanying Schedule of Findings as item 2021-001, the Department had not complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.

In our opinion, except for the material noncompliance with the specified requirements described in the preceding paragraph, the Department complied with the specified requirements during the two years ended June 30, 2021, in all material respects. However, the results of our procedures disclosed instances of noncompliance with the specified requirements, which are required to be reported in accordance with criteria established by the *Audit Guide* and are described in the accompanying Schedule of Findings as items 2021-002 through 2021-012.

The Department's responses to the compliance findings identified in our examination are described in the accompanying Schedule of Findings. The Department's responses were not subjected to the procedures applied in the examination and, accordingly, we express no opinion on the responses.

The purpose of this report is solely to describe the scope of our testing and the results of that testing in accordance with the requirements of the *Audit Guide*. Accordingly, this report is not suitable for any other purpose.

Report on Internal Control Over Compliance

Management of the Department is responsible for establishing and maintaining effective internal control over compliance with the specified requirements (internal control). In planning and performing our examination, we considered the Department's internal control to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the Department's compliance with the specified requirements and to test and report on the Department's internal control in accordance with the *Audit Guide*, but not for the purpose of expressing an opinion on the effectiveness of the Department's internal control. Accordingly, we do not express an opinion on the effectiveness of the Department's internal control.



Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that have not been identified. However, as described in the accompanying Schedule of Findings, we did identify certain deficiencies in internal control that we consider to be a material weakness and significant deficiencies.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with the specified requirements on a timely basis. A material weakness in internal control is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material noncompliance with the specified requirements will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies described in the accompanying Schedule of Findings as item 2021-001 to be a material weakness.

A significant deficiency in internal control is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charge with governance. We consider the deficiencies described in the accompanying Schedule of Findings as items 2021-002 through 2021-012 to be significant deficiencies.

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

The Department's responses to the internal control findings identified in our examination are described in the accompanying Schedule of Findings. The Department's responses were not subjected to the procedures applied in the examination and, accordingly, we express no opinion on the responses.

The purpose of this report is solely to describe the scope of our testing of internal control and the results of that testing based on the requirements of the *Audit Guide*. Accordingly, this report is not suitable for any other purpose.

SIGNED ORIGINAL ON FILE

Chicago, Illinois
December 30, 2021



STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-001. **FINDING** Lack of Adequate Controls over the Review of Internal Controls for Service Providers

The Illinois Department of Human Rights (Department) had not implemented adequate internal controls over its service providers.

We requested the Department to provide the population of service providers utilized to determine if they had reviewed the internal controls over their service providers. In response to our request the Department provided a listing; however, they did not provide documentation demonstrating the population was complete and accurate.

Due to these conditions, we were unable to conclude the Department’s population records were sufficiently precise and detailed under the Professional Standards promulgated by the American Institute of Certified Public Accountants (AT-C § 205.35)

Even given the population limitations noted above, we performed testing over the two service providers identified by the Department. The Department utilized service providers for hosting services and software as a service. During our testing, we noted the Department had not obtained a System and Organization Control (SOC) report or conducted independent internal control review for one of the service providers.

In addition, we noted the contract for one service provider did not contain a requirement for an independent review to be completed.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use and misappropriation and maintain accountability over the State’s resources.

The Security and Privacy Controls for Information Systems and Organizations (Special Publication 800-53, Fifth Revision) published by the National Institute of Standards and Technology (NIST), Maintenance and System and Service Acquisition sections, requires entities outsourcing their information technology environment or operations to obtain assurance over the entities’ internal controls related to the services provided. Such assurance may be obtained via System and Organization Control reports or independent reviews.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-001. **FINDING** Lack of Adequate Controls over the Review of Internal Controls for Service Providers (continued)

The Department indicated they were unaware of the need to obtain and review SOC reports.

Without having obtained and reviewed a SOC report or another form of independent internal controls review, the Department does not have assurance the service providers' internal controls are adequate. (Finding Code No. 2021-001)

RECOMMENDATION

We recommend the Department strengthen its controls in identifying and documenting all service providers utilized. Further, we recommend the Department obtain SOC reports or conduct independent internal control reviews at least annually. In addition, we recommend the Department:

- Monitor and document the operation of the Complementary User Entity Controls (CUECs) related to the Department's operations.
- Either obtain and review SOC reports for subservice organizations or perform alternative procedures to satisfy itself that the existence of the subservice organization would not impact its internal control environment.
- Document its review of the SOC reports and review all significant issues with subservice organizations to ascertain if a corrective action plan exists and when it will be implemented, any impact to the Department, and any compensating controls.
- Ensure contracts contain requirements for an independent review.

DEPARTMENT RESPONSE

The Department accepts the finding and will work with DoIT to address the need for policy/procedure enhancements, to verify documentation of independent review (i.e., SOC reports), and ensure contracts (new or renewed) include language that meets requirement of specificity regarding review documentation.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-002. **FINDING** Weaknesses in Cybersecurity Programs and Practices

The Illinois Department of Human Rights (Department) had not implemented adequate internal controls related to cybersecurity programs, practices and control of confidential information.

The Department is responsible for administering the Illinois Human Rights Act, which prohibits discrimination in Illinois with respect to employment, financial credit, public accommodations, housing and sexual harassment, as well as sexual harassment in education. In order to carry out its mission, the Department utilizes information technology applications which contain confidential and personal information.

The Illinois State Auditing Act (30 ILCS 5/3-2.4) requires the Auditor General to review State agencies and their cybersecurity programs and practices. During our examination of the Department's cybersecurity program, practices and control of confidential information, we noted the Department had not:

- Developed a formal, comprehensive, adequate, and communicated security program (including policies, procedures, and processes as well as clearly defined responsibilities over the security of computer programs and data) to manage and monitor the regulatory, legal, environmental and operational requirements.
- Developed a project management framework to ensure new applications were adequately developed and implemented in accordance with management's expectations.
- Developed a risk management methodology, conducted a comprehensive risk assessment, or implemented risk reducing internal controls.
- Developed policies and procedures for reviewing and monitoring security implementation and violations.
- Required employees or contractors to acknowledge receipt of the Department's policies.
- Classified its data to identify and ensure adequate protection of information.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-002. **FINDING** Weaknesses in Cybersecurity Programs and Practices (continued)

The *Framework for Improving Critical Infrastructure Cybersecurity and the Security and Privacy Controls for Information Systems and Organizations* (Special Publication 800-53, Fifth Revision) published by the National Institute of Standards and Technology requires entities to consider risk management practices, threat environments, legal and regulatory requirements, mission objectives and constraints in order to ensure the security of their applications, data, and continued business mission.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use and misappropriation and maintain accountability over the State's resources.

The Department indicated the lack of resources and the belief the Department of Innovation and Technology (DoIT) was responsible for cybersecurity controls resulted in the weaknesses.

The lack of adequate cybersecurity programs and practices could result in unidentified risk and vulnerabilities, which could ultimately lead to the Department's confidential and personal information being susceptible to cyber-attacks and unauthorized disclosure. (Finding Code No. 2021-002)

RECOMMENDATION

We recommend the Department work with DoIT to obtain a detailed understanding of responsibilities related to cybersecurity controls. Additionally, we recommend the Department:

- Develop a formal, comprehensive, adequate, and communicated security program to manage and monitor the regulatory, legal, environmental and operational requirements.
- Develop a project management framework to ensure new applications are adequately developed and implemented in accordance with management's expectations.
- Develop a risk management methodology, conduct a comprehensive risk assessment, and implement risk reducing internal controls.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-002. **FINDING** Weaknesses in Cybersecurity Programs and Practices (continued)

- Develop policies and procedures for reviewing and monitoring security implementation and violations.
- Require employees or contractors to acknowledge receipt of the Department's policies.
- Classify its data to identify and ensure adequate protection of information.

DEPARTMENT RESPONSE

The Department accepts the finding and will work with DoIT to address risk assessment and documentation of outcome and required response. The Department will also document project management framework for potential new system or application development and improve documentation of policy dissemination, of data classification with agency-specific systems, and of policy regarding monitoring and existing reporting mechanisms.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-003. **FINDING** Noncompliance with Statutorily Mandated Time Limits

The Illinois Department of Human Rights (Department) did not meet the procedural time limits set forth when a charge of a civil rights violation had been filed and when a complainant filed a request to opt out of the Department's investigation.

In our review of 60 employment cases filed with the Department, we noted the following:

- In 28 (47%) employment cases tested, the Department did not serve a copy of the charge to the respondent within 10 days of the day the charge was filed. The charges were served to the respondent from 1 to 124 days late.
- In 28 (47%) employment cases tested, the Department did not serve a notice to the complainant of the complainant's right to file a complaint with the Human Rights Commission or commence a civil action in the appropriate circuit court within 10 days of the day the charge was filed. These notices were served to the complainant from 1 to 124 days late.
- In 28 (47%) employment cases tested, the Department did not serve a notice to the respondent of the complainant's right to file a complaint with the Human Rights Commission or commence a civil action in the appropriate circuit court within 10 days of the day charge was filed. These notices were served to the respondent from 1 to 124 days late.

The Illinois Human Rights Act (Act) (775 ILCS 5/7A-102(B)), which deals with employment and other civil rights cases, requires the Department, within 10 days of the date on which the charge was filed, to serve a copy of the charge to the respondent. The Act further requires the Department, within 10 days of the date on which the charge was filed, and again no later than 335 days thereafter, to send by certified or registered mail written notice to the complainant and to the respondent informing the complainant of the complainant's right to either file a complaint with the Human Rights Commission or commence a civil action in the appropriate circuit court.

In addition, in our testing of 40 employment cases where the complainants requested to opt out of the Department's investigation, the Department did not issue the required notice to the parties for 36 (90%) employment cases within 10 business days of receipt of the complainants' request to opt out of the investigation. The notices were issued from 1 to 59 days late.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-003. **FINDING** Noncompliance with Statutorily Mandated Time Limits (continued)

The Act (775 ILCS 5/7A-102(C-1)) requires the Department, within 10 business days of receipt of the complainant's request to opt out of the investigation, to issue a notice to the parties stating that: (i) the complainant has exercised the right to opt out of the investigation; (ii) the complainant has 90 days after receipt of the Director's notice to commence an action in the appropriate circuit court or other appropriate court of competent jurisdiction; and (iii) the Department has ceased its investigation and is administratively closing the charge.

This finding was first reported in Fiscal Year 2017. In subsequent years, the Department has been unsuccessful in implementing appropriate procedures to improve its controls over procedural time limits set forth when a charge of a civil rights violation had been filed and when a complainant filed a request to opt out of the Department's investigation.

Department management indicated, as they did in prior years, the untimely issuance of notices was due to a lack of personnel, information technology, and equipment, charges received by mail, and the number of cases filed in the Charge Processing Division.

Failure to provide the notification or untimely notifying the complainant and respondent of a charge as outlined in statute may compromise the complainant and respondent's time to respond or prepare for the charge. Failure to timely notify parties of the complainant's request to opt out of the Department's investigation may compromise the complainant's time to commence a civil action in the appropriate circuit court or other appropriate court of competent jurisdiction. (Finding Code No. 2021-003, 2019-001, 2017-001)

RECOMMENDATION

We recommend the Department timely notify the appropriate parties as mandated by the Illinois Human Rights Act.

DEPARTMENT RESPONSE

The Department accepts this finding. Charge Processing will review staffing levels with Human Resources and equipment and technology needs with Management Operations to ensure sufficient resources and support are available to effectuate this mandate.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-004. **FINDING** Failure to Maintain Internal Audit Program

The Illinois Department of Human Rights (Department) failed to maintain a full-time program of internal auditing.

We noted the Department did not employ a chief internal auditor or any internal audit staff during the examination period. On August 18, 2017, the Department entered into an agreement with the Department of Central Management Services (CMS) to provide the Department with internal auditing services.

On August 9, 2019, the Office of the Attorney General issued an opinion stating multiple State agencies may not appoint the same individual as their chief internal auditor through an intergovernmental agreement. Should designated State agencies desire to consolidate or combine their internal audit functions, they must either seek authorizing legislation from the General Assembly or follow the process for reassigning functions among or reorganizing executive agencies which are directly responsible to the Governor as established by article V, section 11, of the Illinois Constitution of 1970, and the Executive Reorganization Implementation Act.

This finding was first reported in Fiscal Year 2017. In subsequent years, the Department has been unsuccessful in maintaining a full-time program of internal auditing.

The Fiscal Control and Internal Auditing Act (Act) (30 ILCS 10/2001 (a)) states, “Each designated State Agency as defined in section 1003 (a) shall maintain a full-time program of internal auditing”. Section 1003 (a) defines designated State agencies to include each Department of State government created in the Civil Administrative Code of Illinois (20 ILCS 5/5-15), which includes the Department.

Department officials indicated the chief internal auditor position was not filled due to timing constraints. The Department sought additional clarity from the Office of the Attorney General regarding the requirements of the Act because the Department initially believed the agreement with CMS would satisfy the requirements of the Act.

Failure to maintain a full-time program of internal auditing increases the risk the Department would not timely identify significant deficiencies and material weaknesses in internal control within the Department’s operations. (Finding Code No. 2021-004, 2019-002, 2017-002)

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-004. **FINDING** Failure to Maintain Internal Audit Program (continued)

RECOMMENDATION

We recommend the Department comply with the required provisions of the Act by appointing a chief internal auditor and implementing a full-time program of internal auditing.

DEPARTMENT RESPONSE

The Department accepts this finding and is attempting to recruit a chief internal auditor that meets the minimum qualifications for the position and possesses necessary state experience. In the interim, in working with the Department of Central Management Services, the Department has conducted annual Department-wide risk assessments, approved annual audit plans, received annual reports detailing the performance by the internal audit team, and conducted/filed internal control checklists timely. Since the beginning of this agreement, there have been nineteen internal audits finalized, with two in progress and two more scheduled to be completed by June 30, 2022.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-005. **FINDING** Information Technology Access Weaknesses

The Illinois Department of Human Rights (Department) had not implemented adequate internal controls related to systems and applications access and control.

To carry out its mission in administrating the Illinois Human Rights Act, the Department maintains and tracks cases within the Employer Report Form application. In order to determine if access was appropriate, we tested a sample of nine users, noting three (33%) users' access was inappropriate.

Further, the Department had not developed access provisioning policies and procedures.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance that revenues, expenditures, and transfer of assets, resources, or funds applicable to operations are properly recorded and accounted for to permit the preparation of accounts and reliable financial and statistical reports and to maintain accountability over the State's resources.

The Security and Privacy Controls for Information Systems and Organizations (Special Publication 800-53, Fifth Revision) published by the National Institute of Standards and Technology, Access Control section, requires entities to develop access provisioning policies and procedures and ensure access is provided on an as needed basis.

The Department indicated the lack of resources resulted in the weaknesses.

The lack of adequate controls over access could result in unauthorized access and disclosure of confidential information. (Finding Code No. 2021-005)

RECOMMENDATION

We recommend the Department develop access provisioning policies and procedures. In addition, the Department should review users' access to ensure access is appropriate.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-005. **FINDING** Information Technology Access Weaknesses (continued)

DEPARTMENT REPOSENSE

The Department accepts this finding and will work with DoIT to address policy gaps that document current and improved procedures. The Department has implemented updated procedures for provisioning and conducting access reviews. Items identified as having inappropriate access in the audit sampling, all appropriately provisioned, have been remedied as a result of this compliance examination.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-006. **FINDING** Noncompliance with Report Filing Requirements

The Illinois Department of Human Rights (Department) did not comply with several requirements for filing reports and publications.

During our examination, we noted the Department did not:

- Prepare a report of its acts and doings and submit to the Governor at least 10 days prior to the General Assembly convening in the following calendar year. Department management indicated the exceptions were due to staff turnover.

The State Finance Act (30 ILCS 105/3) requires each officer of the executive department to make and deliver an annual report of their acts and doings for the fiscal year at least 10 days prior to the convening of the General Assembly in the following calendar year.

- Provide copies of its Annual Report for Fiscal Years 2019 and 2020 or any other reports to the State Government Report Distribution Center at the State Library. Department management stated it did not have procedures in place for submitting copies of its publications with the State Library.

The State Library Act (15 ILCS 320/7(t)) created a State Government Report Distribution Center for the General Assembly. The Center is to receive all reports in all formats available required by law or resolution to be filed with the General Assembly and furnish copies of such reports on the same day on which the report is filed with the Clerk of the House of Representatives and the Secretary of the Senate, as required by the General Assembly Organization Act, without charge to members of the General Assembly upon request.

- Provide and deposit with the State Library, sufficient copies of all publications issued by the Department, including electronic publications, for its collection and exchange purposes. Department management stated it did not have procedures in place for submitting copies of its publications with the State Library.

The State Library Act (15 ILCS 320/21(a)) requires all State agencies to provide and deposit with the Illinois State Library, sufficient copies of all publications issued by such State agencies for its collection and for exchange purposes.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-006. **FINDING** Noncompliance with Report Filing Requirements (continued)

- Inform the Government Documents Section of the State Library in writing of the Department's person(s) responsible for the distribution of documents annually and within two weeks after any changes. Department management stated it did not have procedures in place for making this notification.

The Illinois Administrative Code (23 Ill. Admin. Code 3020.150) requires each State agency inform the Government Documents Section in writing of the person, persons, or positions responsible for distribution of publications of that agency by July 15 of each year, and within two weeks after any changes.

Failure to file reports and publications or inform the State Library of the person or persons responsible for distribution of documents deprives the Governor and the General Assembly of valuable information needed to manage the operations of the State. (Finding Code No. 2021-006, 2019-004)

RECOMMENDATION

We recommend the Department implement procedures to ensure all reports and publications are timely submitted to the appropriate parties as required by State statute and administrative rule.

DEPARTMENT RESPONSE

The Department accepts this finding and is in the process of finalizing reports for filing.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-007. **FINDING** Failure to Evaluate and Report on Sexual Harassment Helpline

The Illinois Department of Human Rights (Department) did not formally evaluate and report on the sexual harassment helpline as required.

Public Act 100-554 as amended by Public Act 100-0588 required the Department to establish and maintain a sexual harassment and discrimination helpline (helpline). Effective February 16, 2018, the Department contracted a vendor to establish and maintain the helpline to comply with the requirements of the Illinois Human Rights Act. The purpose of the helpline is to help persons who contact the Department through the helpline to find necessary resources, including counseling services, and to assist in the filing of sexual harassment and discrimination complaints with the Department or other applicable agencies. As of September 23, 2021, we noted the Department had not completed its annual evaluation of the helpline or submitted the reports with the required information to the Clerk of the House of Representatives and the Secretary of the Senate.

The Illinois Human Rights Act (Act) (775 ILCS 5/2-107(e)) requires the Department to annually evaluate the helpline and report to the Clerk of the House of Representatives and the Secretary of the Senate in the manner that the Clerk and the Secretary shall direct, the following information: (i) the total number of calls received, including messages left during non-business hours; (ii) the number of calls reporting sexual discrimination claims; (iii) the number of calls reporting harassment claims; (iv) the number of calls reporting sexual harassment claims; (v) the number of calls that were referred to each Executive Inspector General; and (vi) the number of calls that were referred to the Legislative Inspector General.

Department management indicated it has informally evaluated the helpline by reviewing calls on an ongoing basis, holding regularly scheduled biweekly telephone conferences with the call center and making substantive and procedural adjustments where needed; however, the data gathered from its informal evaluation were not formalized into a report and submitted to required parties due to competing priorities and staff turnover.

Failure to evaluate and report on the sexual harassment and discrimination helpline limits the General Assembly's access to data needed to assess the number of sexual harassment and discrimination cases reported to the State. (Finding Code No. 2021-007, 2019-005)

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-008. **FINDING** Inadequate Controls over State Property and Equipment

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

During testing we noted the following:

- Five of 12 (42%) equipment items consisting of chairs, filing cabinets, and a microwave physically inspected could not be traced to the Department's records.
- Equipment items purchased during Fiscal Year 2020 consisting of chairs, a scanner, a projector, and a laminator totaling \$3,855 were not tagged and were not recorded in the Department's property control records.
- The Department did not adopt a policy delineating the categories of equipment that are subject to theft with value less than the nominal value.

The State Property Control Act (30 ILCS 605/4) requires responsible officers at the Department to be accountable for the supervision, control, and inventory of all property under their jurisdiction.

The Illinois Administrative Code (Code) (44 Ill. Admin. Code 5010.460 (b)) requires the Department to maintain control over all property under its jurisdiction, regardless of cost, including property not required to be carried on inventory and reported to the Department of Central Management Services.

The Code (44 Ill. Admin. Code 5010.210(c)) states that equipment that is subject to theft with a value less than the nominal value must be marked with a unique identification number. Additionally, the Department is responsible for adopting policies clearly delineating categories of equipment considered to be subject to theft.

This finding was first reported in Fiscal Year 2007. In subsequent years, the Department has been unsuccessful in implementing appropriate procedures to maintain adequate controls over its property and equipment.

Department management indicated the exceptions were due to the Department's misinterpretation of the requirements of the Code.

Inadequate control over property and equipment increases the risk of loss and misappropriation. Failure to adopt a policy delineating the categories of equipment that are subject to theft results in an inconsistent understanding and

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-008. **FINDING** Inadequate Controls over State Property and Equipment
(continued)

application of the requirements of the Code. (Finding Code No. 2021-008, 2019-007, 2017-003, 2015-003, 2013-004, 11-4, 09-3, 07-3)

RECOMMENDATION

We recommend the Department improve its controls over property and equipment to ensure compliance with the State Property Control Act and the Code.

DEPARTMENT RESPONSE

The Department accepts this finding. Fiscal will review and adjust its processes for tracking fixed assets, particularly those below established thresholds for accounting in the ERP system.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-009. **FINDING** Employee Performance Evaluations Not Performed or Timely Performed

The Illinois Department of Human Rights (Department) did not perform or timely perform employee performance evaluations.

During testing of 47 performance evaluations, we noted the following:

- 31 (66%) performance evaluations were not completed.
- 8 (17%) performance evaluations were not timely completed. The evaluations were completed 11 to 121 days after they were due.
- 3 (6%) performance evaluations were not signed by the Department's Director.

The Illinois Administrative Code (Code) (80 Ill. Admin. Code 302.270(d)) requires the Department to prepare performance evaluations at least annually for each certified employee. The Code (80 Ill. Admin. Code 302.270(b)) requires the Department to prepare two evaluations for employees serving a six-month probationary period, one at the end of the third month of the probationary period and a final probationary evaluation 15 days before the conclusion thereof.

The Department's Administrative Policy and Procedures Manual, Chapter III, Section A: Performance Evaluations, requires an original copy of the performance evaluation to be placed in the employee's personnel file after the evaluations are signed by the Director.

Department management indicated performance evaluations were not performed or timely performed due to staffing constraints that hindered the Department's ability to monitor whether all employees received or timely received the required performance evaluations.

Performance evaluations are a systematic and uniform approach used for the development of employees and to communicate performance expectations. Performance evaluations should serve as a foundation for salary adjustments, promotions, demotions, discharges, layoffs, recalls, and reinstatement decisions. (Finding Code No. 2021-009)

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-009. **FINDING** Employee Performance Evaluations Not Performed or Timely Performed (continued)

RECOMMENDATION

We recommend the Department ensures employee performance evaluations are timely completed.

DEPARTMENT RESPONSE

The Department accepts this finding. Human Resources will notify the responsible parties of the need to complete evaluations in a timely manner and will monitor compliance.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-010. **FINDING** Inaccurate Agency Workforce Reports

The Illinois Department of Human Rights (Department) did not ensure its Agency Workforce Reports (Reports) were accurately completed and timely submitted to the Office of the Governor and Secretary of State.

During our review of the Reports, we noted the following:

- The Department did not ensure the count for females, minorities, African American males, African American females, Hispanic males, Hispanic females, Caucasian males, and physically disabled males for the Fiscal Year 2019 Report agreed to the Department's records.
- The Department did not ensure the count for females, minorities, African American females, Hispanic females, and Caucasian males for the Fiscal Year 2020 Report agreed to the Department's records.
- The Department did not submit the Reports timely. The Fiscal Year 2019 Report was submitted 5 days late to the Secretary of State. The Fiscal Year 2020 Report was submitted 10 days late to the Office of the Governor and 56 days late to the Secretary of State.

The State Employment Records Act (Act) (5 ILCS 410/20) requires the Department to collect, classify, maintain, and report adequate information regarding the number of minorities, women, and persons with physical disabilities employed by the Department on a fiscal year basis. The Act requires the Department to file an annual Report with the Office of the Governor and the Secretary of State by January 1 of each year.

Furthermore, the Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Department to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance that resources are utilized efficiently, effectively, and in compliance with applicable law. Effective internal controls should include procedures to ensure accurate reports are timely submitted to the Office of the Governor and the Secretary of State.

Department management indicated the errors in the Reports were due to oversight. Additionally, the Reports were not submitted timely due to competing priorities.

Failure to include accurate information in the Report could deter efforts by the State to achieve a more diversified workforce. In addition, failure to timely file the Reports with the Office of the Governor and the Secretary of State represents noncompliance with the Act. (Finding Code No. 2021-010)

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-010. **FINDING** Inaccurate Agency Workforce Reports (continued)

RECOMMENDATION

We recommend the Department ensure its Reports are properly completed and timely submitted. Additionally, the Department should file revised reports within 30 days after the release of the report by the Auditor General as required by the Illinois State Auditing Act (30 ILCS 5/3-2.2).

DEPARTMENT RESPONSE

The Department accepts this finding and has taken steps to ensure workforce reports are accurate and filed timely.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021

2021-011. **FINDING** Disaster Recovery Planning Weaknesses

The Illinois Department of Human Rights (Department) had not updated its Disaster Recovery Plan and had not performed recovery testing.

During our examination, we noted the Department had not updated its Continuity and Recovery Plan since August 2015 and it did not depict the current environment. Further, the Department had not conducted recovery testing during the examination period.

The Contingency Planning Guide for Information Technology Systems published by the National Institute of Standards and Technology requires entities to have an updated and regularly tested disaster contingency plan to ensure the timely recovery of applications and data.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires all State agencies to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use and misappropriation and maintain accountability over the State's resources.

The Department indicated a lack of resources resulted in the noted weaknesses.

Without an adequately documented and tested contingency plan, the Department cannot ensure its critical systems could be recovered within an acceptable period, and therefore minimizing the impact associated with a disaster. (Finding Code No. 2021-011)

RECOMMENDATION

We recommend the Department update its Continuity and Recovery Plan and conduct recovery testing annually.

DEPARTMENT RESPONSE

The Department accepts this finding and has engaged DoIT to initiate the update of its Disaster Recovery Plan document in alignment with the Department's 2021 Information Systems Contingency Plan and 2020 Business Impact Analysis (as applicable to current systems). The Department will also ensure appropriate documentation of Disaster Recovery plan in enterprise-level systems co-managed by DoIT.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-012. **FINDING** Inadequate Controls over Leaves of Absence

The Illinois Department of Human Rights (Department) did not have adequate controls over employee leaves of absence.

During testing of three leaves of absence, we noted the following:

- In two (67%) leaves of absence tested, leave requests were obtained and approved between 84 to 186 days after the commencement of the employees' leaves of absence.
- In one (33%) leave of absence tested, the employee did not have an approved leave request on file and was not properly removed from payroll during the leave of absence period. As such, the employee continued to receive compensation during the leave of absence period. The employee subsequently reimbursed the Department for the overpayment.

The Department's Administrative Policy and Procedures Manual, Chapter III, Section D: Disability Leave requires submission of a written request for leave of absence accompanied by a properly completed physician's statement to a supervisor or division manager for review. Requests for leaves of absence should be submitted before the leave begins and not granted until approved by the Director.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Department to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance that resources are utilized efficiently, effectively, and in compliance with applicable law.

Department management indicated the exceptions were due to oversight, unusual circumstances caused by the pandemic, and the need to upgrade the Department's paper-based system to an electronic leave management system.

Inadequate controls over leaves of absence resulted in an employee being paid for services that have not been rendered. (Finding Code No. 2021-012)

RECOMMENDATION

We recommend the Department improve its controls over monitoring of employee leaves of absence and ensure employees on leaves of absence are removed from payroll.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
CURRENT FINDINGS
For the Two Years Ended June 30, 2021**

2021-012. **FINDING** Inadequate Controls over Leaves of Absence (continued)

DEPARTMENT RESPONSE

The Department accepts this finding. The Department will review existing procedures, and make modifications to establish and maintain a system whereby the proper internal administrative controls are in place concerning leaves of absence.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
PRIOR FINDINGS NOT REPEATED
For the Two Years Ended June 30, 2021

A. **FINDING** Lack of Access Reviews

During the prior examination, the Illinois Department of Human Rights (Department) did not perform a review of access rights to applications and data. In addition, the Department was unable to provide security reports for the Department of Information and Technology Central Inventory System, Central Time and Attendance System, Central Payroll System, Accounting Information System, eTime System, and ERP System.

During the current examination, the Department provided the security reports of the above systems. Our testing of the security reports indicates access of employees were appropriate. However, we noted access issues within the Employer Report Form application and therefore, this issue is addressed in the Department's Report as item 2021-005. (Finding Code No. 2019-003)

B. **FINDING** Lack of Adequate File Storage Capacity

During the prior examination, the Department did not have adequate file storage capabilities to properly secure all case files.

During the current examination, the Department took appropriate measures to properly secure all case files. The new administrative office has storage rooms with secured cabinets where all case files are stored. (Finding Code No. 2019-006)

C. **FINDING** Inadequate Controls over Voucher Processing

During the prior examination, the Department did not have adequate controls over voucher processing. Specifically, vouchers were approved for payment late and required interest for late payments were not processed.

During the current examination, our sampling testing disclosed lesser exceptions. The exceptions were not considered to be as significant as in the prior year; thus, was reported in the Department's *Report of Immaterial Findings*. (Finding Code No. 2019-008)

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
DISCLOSURES ACCOMPANYING A STATE COMPLIANCE EXAMINATION REPORT
For the Two Years Ended June 30, 2021**

DISCLOSURES REPORT

SUMMARY

A reading of the accompanying report components of the Illinois Department of Human Rights (Department) was performed by Roth & Co., LLP.

ACCOUNTANT'S REPORT

The accountants did not conclude an omission or uncorrected material misstatement of the other information exists in the Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report.

EXIT CONFERENCE

The Department waived an exit conference in a correspondence from Alan Brazil, Chief Fiscal Officer, on December 21, 2021.



INDEPENDENT ACCOUNTANT’S REPORT
ON DISCLOSURES ACCOMPANYING A STATE COMPLIANCE EXAMINATION
REPORT

Honorable Frank J. Mautino
Auditor General
State of Illinois

Disclosures Accompanying a State Compliance Examination Report

Management of the State of Illinois, Department of Human Rights (Department) is responsible for the *Disclosures Accompanying a State Compliance Examination Report* (other information), which consists of the Fiscal Schedules and Analysis and Analysis of Operations report components as listed in the Table of Contents. The other information comprises disclosures which must be presented by management in accordance with *Report Components* memorandum published by the Auditor General of the State of Illinois, but does not include our *Independent Accountant’s Report on State Compliance and on Internal Control over Compliance* found in the separate *State Compliance Examination Report* included within this document. Our opinion on the Department’s State compliance and internal control over compliance does not cover this other information, and we do not express an opinion or any form of assurance thereon.

In connection with our examination of the Department, our responsibility is to read the other information and consider whether:

- 1) a material inconsistency exists between the other information and our knowledge and facts of the Department we obtained as part of the Department’s State compliance examination;
- 2) the other information appears to have been omitted; or,
- 3) the other information appears to be materially misstated.

If, based on the work performed, we concluded an omission or uncorrected material misstatement of the other information exists, we are required to describe it in this report.

SIGNED ORIGINAL ON FILE

Chicago, Illinois
December 30, 2021

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
EXPENDITURE AUTHORITY FOR FISCAL YEAR 2021**

For the Sixteen Months Ended October 31, 2021

Public Act 101-0637	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2021	Lapse Period Expenditures July 1 to October 31, 2021	Total Expenditures	Balances Lapsed
FISCAL YEAR 2021					
APPROPRIATED FUNDS					
General Revenue Fund - 0001					
Operational Expenses	\$ 11,718,400	\$ 9,676,579	\$ 687,157	\$ 10,363,736	\$ 1,354,664
Subtotal, Fund 0001	<u>\$ 11,718,400</u>	<u>\$ 9,676,579</u>	<u>\$ 687,157</u>	<u>\$ 10,363,736</u>	<u>\$ 1,354,664</u>
Special Projects Division Fund - 0607					
Operational Expenses	\$ 4,794,800	\$ 2,811,022	\$ 30,891	\$ 2,841,913	\$ 1,952,887
Subtotal, Fund 0607	<u>\$ 4,794,800</u>	<u>\$ 2,811,022</u>	<u>\$ 30,891</u>	<u>\$ 2,841,913</u>	<u>\$ 1,952,887</u>
DHR Training and Development Fund - 0778					
Administration Expenses	\$ 100,000	\$ -	\$ 1,995	\$ 1,995	\$ 98,005
Subtotal, Fund 0778	<u>\$ 100,000</u>	<u>\$ -</u>	<u>\$ 1,995</u>	<u>\$ 1,995</u>	<u>\$ 98,005</u>
DHR Special Fund - 0797					
Funding Expenses of DHR	\$ 500,000	\$ 76,891	\$ 15,534	\$ 92,425	\$ 407,575
Subtotal, Fund 0797	<u>\$ 500,000</u>	<u>\$ 76,891</u>	<u>\$ 15,534</u>	<u>\$ 92,425</u>	<u>\$ 407,575</u>
GRAND TOTAL ALL FUNDS	<u>\$ 17,113,200</u>	<u>\$ 12,564,492</u>	<u>\$ 735,577</u>	<u>\$ 13,300,069</u>	<u>\$ 3,813,131</u>

Note 1: Expenditure authority, appropriations, expenditures, and lapsed balances were obtained from the Department's records and have been reconciled to the State Comptroller's records as of October 31, 2021.

Note 2: Expenditure amounts are vouchers approved for payment by the Department and submitted to the State Comptroller for payment to the vendor.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
EXPENDITURE AUTHORITY FOR FISCAL YEAR 2020**

For the Sixteen Months Ended October 31, 2020

Public Act 101-0007	Expenditure Authority (Net of Transfers)	Expenditures Through June 30, 2020	Lapse Period Expenditures July 1 to October 31, 2020	Total Expenditures	Balances Lapsed
FISCAL YEAR 2020					
<u>APPROPRIATED FUNDS</u>					
General Revenue Fund - 0001					
Operational Expenses	\$ 10,718,400	\$ 9,333,439	\$ 219,333	\$ 9,552,772	\$ 1,165,628
Subtotal, Fund 0001	<u>\$ 10,718,400</u>	<u>\$ 9,333,439</u>	<u>\$ 219,333</u>	<u>\$ 9,552,772</u>	<u>\$ 1,165,628</u>
Special Projects Division Fund - 0607					
Operational Expenses	\$ 4,925,800	\$ 1,645,950	\$ 781,774	\$ 2,427,724	\$ 2,498,076
Subtotal, Fund 0607	<u>\$ 4,925,800</u>	<u>\$ 1,645,950</u>	<u>\$ 781,774</u>	<u>\$ 2,427,724</u>	<u>\$ 2,498,076</u>
DHR Training and Development Fund - 0778					
Administration Expenses	\$ 100,000	\$ 4,356	\$ 1,050	\$ 5,406	\$ 94,594
Subtotal, Fund 0778	<u>\$ 100,000</u>	<u>\$ 4,356</u>	<u>\$ 1,050</u>	<u>\$ 5,406</u>	<u>\$ 94,594</u>
DHR Special Fund - 0797					
Funding Expenses of DHR	\$ 500,000	\$ 133,706	\$ 34,271	\$ 167,977	\$ 332,023
Subtotal, Fund 0797	<u>\$ 500,000</u>	<u>\$ 133,706</u>	<u>\$ 34,271</u>	<u>\$ 167,977</u>	<u>\$ 332,023</u>
GRAND TOTAL ALL FUNDS	<u><u>\$ 16,244,200</u></u>	<u><u>\$ 11,117,451</u></u>	<u><u>\$ 1,036,428</u></u>	<u><u>\$ 12,153,879</u></u>	<u><u>\$ 4,090,321</u></u>

Note 1: Expenditure authority, appropriations, expenditures, and lapsed balances were obtained from the Department's records and have been reconciled to the State Comptroller's records as of October 31, 2020.

Note 2: Expenditure amounts are vouchers approved for payment by the Department and submitted to the State Comptroller for payment to the vendor.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,
EXPENDITURES, AND LAPSED BALANCES**

For The Fiscal Year Ended June 30,

	<u>2021</u>	<u>2020</u>	<u>2019</u>
<u>APPROPRIATED FUNDS</u>			
General Revenue Fund - 0001			
Expenditure Authority	<u>\$11,718,400</u>	<u>\$ 10,718,400</u>	<u>\$10,919,000</u>
Expenditures			
Ordinary and Contingent Expenses	\$ -	\$ -	\$ 86,999
Expenses of Investigation and Processing of Human Rights Cases	10,363,736	9,552,772	9,574,585
Previously Unpaid Wage Increases for Personal Services, Social Security and Related Interest Costs	-	-	726,972
Total Expenditures	<u>\$ 10,363,736</u>	<u>\$ 9,552,772</u>	<u>\$ 10,388,556</u>
Balances Lapsed	<u><u>\$1,354,664</u></u>	<u><u>\$1,165,628</u></u>	<u><u>\$530,444</u></u>
Special Projects Division Fund - 0607			
Expenditure Authority	<u>\$ 4,794,800</u>	<u>\$ 4,925,800</u>	<u>\$ 4,537,800</u>
Expenditures			
Operational Expenses	<u>\$ 2,841,913</u>	<u>\$ 2,427,724</u>	<u>\$ 2,309,920</u>
Total Expenditures	<u>\$ 2,841,913</u>	<u>\$ 2,427,724</u>	<u>\$ 2,309,920</u>
Balances Lapsed	<u><u>\$ 1,952,887</u></u>	<u><u>\$ 2,498,076</u></u>	<u><u>\$ 2,227,880</u></u>
DHR Training and Development Fund - 0778			
Expenditure Authority	<u>\$ 100,000</u>	<u>\$ 100,000</u>	<u>\$ 100,000</u>
Expenditures			
Administrative Expenses	<u>\$ 1,995</u>	<u>\$ 5,406</u>	<u>\$ 21,643</u>
Total Expenditures	<u>\$ 1,995</u>	<u>\$ 5,406</u>	<u>\$ 21,643</u>
Balances Lapsed	<u><u>\$ 98,005</u></u>	<u><u>\$ 94,594</u></u>	<u><u>\$ 78,357</u></u>

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,
EXPENDITURES, AND LAPSED BALANCES**

(CONTINUED)

For The Fiscal Year Ended June 30,

	2021	2020	2019
APPROPRIATED FUNDS			
DHR Special Fund - 0797			
Expenditure Authority	\$ 500,000	\$ 500,000	\$ 500,000
Expenditures			
Funding Expenses of DHR	\$ 92,425	\$ 167,977	\$ 252,271
Total Expenditures	\$ 92,425	\$ 167,977	\$ 252,271
Balances Lapsed	\$ 407,575	\$ 332,023	\$ 247,729
TOTAL APPROPRIATED FUNDS			
Expenditure Authority	\$ 17,113,200	\$ 16,244,200	\$ 16,056,800
Expenditures	\$ 13,300,069	\$ 12,153,879	\$ 12,972,390
Balances Lapsed	\$ 3,813,131	\$ 4,090,321	\$ 3,084,410
STATE OFFICERS' SALARIES			
General Revenue Fund - 0001 (State Comptroller)			
Expenditures			
Director's Salary	\$ 136,200	\$ 133,000	\$ 123,546
Total Expenditures	\$ 136,200	\$ 133,000	\$ 123,546

Note 1: Expenditures authority, appropriations, expenditures, and lapsed balances were obtained from the Department's records and have been reconciled to the State Comptroller's records as of October 31, 2021 and 2020.

Note 2: Expenditure amounts are vouchers approved for payment by the Department and submitted to the State Comptroller for payment to the vendor.

Note 3: The Department received appropriations during Fiscal Year 2021 from Public Act 101-0637. In addition, the Department received appropriation during the Fiscal Year 2020 from Public Act 101-0007.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF NET EXPENDITURES BY MAJOR ACTIVITY**

For the Fiscal Year Ended June 30,

	2021	2020	2019
EXPENDITURE STATISTICS			
All State Treasury Funds			
Total Operations Expenditures:	\$ 13,300,069	\$ 12,153,879	\$ 12,972,466
Percentage of Total Expenditures:	100.0%	100.0%	100.0%
Personal Services	\$ 10,170,615	\$ 9,549,209	\$ 10,154,565
Other Payroll Costs	1,683,547	1,652,221	1,644,353
All Other Operating Expenditures	1,445,907	\$952,449	1,173,548
GRAND TOTAL - ALL EXPENDITURES	\$ 13,300,069	\$ 12,153,879	\$ 12,972,466

Note 1: Expenditures were obtained from the Department's records and have been reconciled to the State Comptroller's records as of October 31, 2021 and 2020.

Note 2: Expenditure amounts are vouchers approved for payment by the Department and submitted to the State Comptroller for payment to the vendor.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
For the Two Years Ended June 30, 2021**

Fiscal Year 2021 Compared to Fiscal Year 2020

Special Projects Division Fund - 0607

Operational Expenses

The increase was primarily due to salary increases, additional headcount, and acquisition of a new case management software during Fiscal Year 2021.

DHR Special Fund - 0797

Funding Expenses of DHR

The decrease was primarily due to a decrease in the usage of leased photocopy machines and charges from the vendor maintaining the sexual harassment helpline as a result of the pandemic.

Fiscal Year 2020 Compared to Fiscal Year 2019

General Revenue Fund - 001

Ordinary and Contingent Expenses

The decrease was primarily due to lack of an appropriation for this line item in Fiscal Year 2020.

Previously Unpaid Wages Increases for Personal Services, Social Security and Related Interest Costs

The decrease was primarily due to an appropriation that allowed the Department to pay unpaid wage increases in Fiscal Year 2019. There was no similar appropriation in Fiscal Year 2020.

DHR Special Fund - 0797

Funding Expenses of DHR

The decrease was primarily due to the overall decrease in various expenditure line items such as travel, utilities, printing, commodities, and equipment as travel restrictions and remote work arrangements were implemented statewide.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT LAPSED PERIOD SPENDING
For the Two Years Ended June 30, 2021**

Fiscal Year 2021

DHR Special Fund - 0797

Funding Expenses of DHR

The significant lapse period spending was primarily due to the May and June invoices from the vendor maintaining the sexual harassment and discrimination helpline received and paid during the lapse.

Fiscal Year 2020

Special Projects Division Fund – 0607

Administration Expenses

The significant lapse period spending was primarily due to the 4th quarter payroll paid during the lapse.

DHR Special Fund - 0797

Funding Expenses of DHR

The significant lapse period spending was primarily due to the May and June invoices for office supplies, photocopy machine rentals, and employee reimbursements that were received and paid during the lapse.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF CASH RECEIPTS AND
DEPOSITS INTO THE STATE TREASURY**

For the Fiscal Years Ended June 30,

	<u>2021</u>	<u>2020</u>	<u>2019</u>
STATE TREASURY FUNDS			
General Revenue Fund - 001			
Receipt Sources:			
Jury Duty and Reimbursements	\$ 2,365	\$ 4,181	\$ 1,306
Total Receipts, per the Department's Records	<u>\$ 2,365</u>	<u>\$ 4,181</u>	<u>\$ 1,306</u>
Receipts, per the Department's Records	\$ 2,365	\$ 4,181	\$ 1,306
Deposits in Transit, Beginning of the Fiscal Year	-	40	-
Deposits in Transit, End of the Fiscal Year	1,530	-	40
Deposits, Recorded by the State Comptroller	<u>\$ 835</u>	<u>\$ 4,221</u>	<u>\$ 1,266</u>
Special Projects Division Fund 0607			
Receipt Sources:			
Equal Employment Opportunity Commission	\$ 1,482,560	\$ 1,353,900	\$ 1,369,110
U.S. Department of Housing and Urban Development	833,996	932,481	895,906
Prior Year Refunds	5,365	-	-
Total Receipts, per the Department's Records	<u>\$ 2,321,921</u>	<u>\$ 2,286,381</u>	<u>\$ 2,265,016</u>
Receipts, per the Department's Records	\$ 2,321,921	\$ 2,286,381	\$ 2,265,016
Deposits in Transit, Beginning of the Fiscal Year	-	-	-
Deposits in Transit, End of the Fiscal Year	5,365	-	-
Deposits, Recorded by the State Comptroller	<u>\$ 2,316,556</u>	<u>\$ 2,286,381</u>	<u>\$ 2,265,016</u>
DHR Training and Development Fund 0778			
Receipt Sources:			
Training	\$ 549	\$ 14,076	\$ 16,554
Total Receipts, per the Department's Records	<u>\$ 549</u>	<u>\$ 14,076</u>	<u>\$ 16,554</u>
Receipts, per the Department's Records	\$ 549	\$ 14,076	\$ 16,554
Deposits in Transit, Beginning of the Fiscal Year	47	68	32
Deposits in Transit, End of the Fiscal Year	-	47	68
Deposits, Recorded by the State Comptroller	<u>\$ 596</u>	<u>\$ 14,097</u>	<u>\$ 16,518</u>

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
COMPARATIVE SCHEDULE OF CASH RECEIPTS AND
DEPOSITS INTO THE STATE TREASURY**

For the Fiscal Years Ended June 30,

<u>STATE TREASURY FUNDS</u>	<u>2021</u>	<u>2020</u>	<u>2019</u>
DHR Special Fund 0797			
Receipt Sources:			
Registration Fees	\$ 123,304	\$ 142,875	\$ 146,775
Total Receipts, per the Department's Records	<u>\$ 123,304</u>	<u>\$ 142,875</u>	<u>\$ 146,775</u>
Receipts, per the Department's Records	\$ 123,304	\$ 142,875	\$ 146,775
Deposits in Transit, Beginning of the Fiscal Year	12,300	5,700	5,850
Deposits in Transit, End of the Fiscal Year	23,701	12,300	5,700
Deposits, Recorded by the State Comptroller	<u>\$ 111,903</u>	<u>\$ 136,275</u>	<u>\$ 146,925</u>
GRAND TOTAL - ALL FUNDS			
Receipts, per the Department's Records	\$ 2,448,139	\$ 2,447,513	\$ 2,429,651
Deposits in Transit, Beginning of the Fiscal Year	12,347	5,808	5,882
Deposits in Transit, End of the Fiscal Year	30,596	12,347	5,808
Deposits, Recorded by the State Comptroller	<u>\$ 2,429,890</u>	<u>\$ 2,440,974</u>	<u>\$ 2,429,725</u>

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS
For the Two Years Ended June 30, 2021**

Fiscal Year 2021 Compared to Fiscal Year 2020

Special Projects Division Fund - 0607

Equal Employment Opportunity Commission

The increase was due to the higher number of employment cases closed during the fiscal year. Federal grant receipts fluctuate from year to year depending upon cases closed by the Department and the timing of federal drawdowns.

U.S. Department of Housing and Urban Development

The decrease was due to the lower number of fair housing cases closed during the fiscal year. Federal grant receipts fluctuate from year to year depending upon the cases closed by the Department and the timing of federal drawdowns.

DHR Training and Development Fund - 0778

Training Fees

The decrease was primarily due to the decrease in workshops and seminars on fair housing and equal employment opportunity instructed by the Department's Training Institute as remote work arrangements were implemented statewide.

DHR Special Fund -0797

Registration Fees

The Department collects registration fees from vendors applying for or renewing a public contract number in order to bid on State contracts. Public contract registrations are renewed every five years. Registration fees vary depending on the number of vendors and renewal dates.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
SCHEDULE OF CHANGES IN PROPERTY
For The Two Years Ended June 30,**

FISCAL YEAR 2021	Beginning Balance	Additions	Deletions	Net Transfers	Ending Balance
Property					
Equipment	\$ 62,219	\$ 990	\$ 1,655	\$ -	\$ 61,554

FISCAL YEAR 2020	Beginning Balance	Additions	Deletions	Net Transfers	Ending Balance
Property					
Equipment	\$ 61,262	\$ 1,207	\$ 250	\$ -	\$ 62,219

Note 1: These balances were obtained from the Department's records and have been reconciled to the Department's quarterly reports submitted to the Office of State Comptroller for the years ended June 30, 2021 and June 30, 2020.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
FUNCTIONS AND PLANNING
For the Two Years Ended June 30, 2021**

Functions

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 disability, 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 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 300 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, access to financial credit, or the availability of public services and public accommodations, sexual harassment in employment, sexual harassment of students in 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.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
FUNCTIONS AND PLANNING
For the Two Years Ended June 30, 2021**

Functions (Continued)

Charge Processing Division – Annual Caseload Statistics

	<u>2021</u>	<u>2020</u>	<u>2019</u>
Docketed	2,145	2,637	2,561
Completed	2,951	3,195	2,717
Complainant filings at Human Rights Commission	44	10	44
Average monthly charges completed per month per investigator	6	5	6.1
Investigators employed at end of year	39	44	37

Inquiries, Charges Filed, and Completed Investigations

	<u>2021</u>	<u>2020</u>	<u>2019</u>
Inquiries received	8,702	9,978	14,910
Charges filed	2,145	2,637	2,561
Completed Investigations	2,951	2,809	2,717

Disposition of Completed Investigations

	<u>2021</u>	<u>% of Total</u>	<u>2020</u>	<u>% of Total</u>	<u>2019</u>	<u>% of Total</u>
Substantial evidence	213	7%	203	7%	174	6%
Settlements	452	15%	651	23%	575	25%
Withdrawal by complainant	219	7%	256	9%	257	9%
Opt Out	239	8%	89	3%	9	0%
Dismissals:						
Lack of substantial evidence	1,309	44%	1,119	40%	1,198	44%
Lack of jurisdiction	165	6%	77	3%	163	6%
Failure to proceed	294	10%	336	12%	234	9%
Administrative closures	60	2%	78	3%	107	4%

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
FUNCTIONS AND PLANNING
For the Two Years Ended June 30, 2021**

Functions (Continued)

Employment Charges by Basis

<u>Basis of Discrimination</u>	<u>2021</u>	<u>% of Total</u>	<u>2020</u>	<u>% of Total</u>	<u>2019</u>	<u>% of Total</u>
Sex	634	17%	865	17%	790	17%
Race	512	14%	682	14%	709	16%
Retaliation	978	27%	1,294	27%	967	21%
Age	308	8%	401	8%	482	11%
Physical Disability	361	10%	423	10%	463	10%
National Origin	129	4%	214	4%	279	6%
Sexual Harassment	396	11%	450	11%	416	9%
Other	55	1%	53	1%	66	1%
Mental Disability	112	3%	130	3%	164	4%
Sexual Orientation/Gender ID	48	1%	74	2%	55	1%
Religion	38	1%	48	1%	54	1%
Arrest Record	19	1%	25	1%	29	1%
Color	65	2%	62	1%	61	1%
Marital Status	7	0%	16	0%	23	1%
Military Discharge	4	0%	9	0%	1	0%
Coercion	3	0%	6	0%	5	0%
Total Employment Charges Filed	3,669	100%	4,752	100%	4,564	100%

Note: Number of charges by basis is greater than total employment charged 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.

Fair Housing Division

The Fair Housing Division investigates charges of discrimination involving housing and real estate transactions on the basis of race, color, religion, sex (including sexual harassment), pregnancy, national origin, familial status (children under 18), ancestry, age (40 and over), marital status, physical and mental disability, sexual orientation (including gender-related identity), military status, unfavorable discharge from military service, and order of protection status.

Inquiries, Charges Filed, and Completed Investigations

	<u>2021</u>	<u>2020</u>	<u>2019</u>
Inquiries received	1,480	828	901
Charges filed	278	296	311
Completed Investigations	237	258	304

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
FUNCTIONS AND PLANNING
For the Two Years Ended June 30, 2021**

Functions (Continued)

Disposition of Completed Investigations

	<u>2021</u>	<u>% of Total</u>	<u>2020</u>	<u>% of Total</u>	<u>2019</u>	<u>% of Total</u>
Substantial evidence	13	5%	17	7%	21	7%
Settlements	54	23%	57	22%	63	21%
Withdrawal by complainant	16	7%	7	3%	29	3%
Opt Out	-	0%	-	0%	-	0%
Dismissals:						
Lack of substantial evidence	114	48%	122	47%	153	50%
Lack of jurisdiction	2	1%	8	3%	3	1%
Failure to proceed	35	15%	46	18%	52	17%
Administrative closures	3	1%	1	0%	3	1%

Housing Discrimination Charges by Basis

<u>Basis of Discrimination</u>	<u>2021</u>	<u>% of Total</u>	<u>2020</u>	<u>% of Total</u>	<u>2019</u>	<u>% of Total</u>
Physical Disability	67	21%	97	25%	55	16%
Race	90	28%	74	19%	97	29%
Mental Disability	80	25%	82	21%	67	20%
National Origin	23	7%	30	8%	24	7%
Families Status	13	4%	17	4%	30	9%
Sex	15	5%	26	7%	23	7%
Retaliation	11	3%	33	9%	18	5%
Sexual Orientation/Gender ID	3	1%	7	2%	0	0%
Age	2	1%	3	1%	2	1%
Religion	6	2%	2	1%	4	1%
Marital Status	2	1%	4	1%	4	1%
Color	0	0%	2	0%	0	0%
Other	7	2%	1	2%	15	4%
Total Housing Charges Filed	319	100%	9	100%	339	100%

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

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
FUNCTIONS AND PLANNING
For the Two Years Ended June 30, 2021**

Functions (Continued)

Legal Division

The Legal Division reviews the investigative work of the Department, provides legal guidance, 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 file Complaints with the Illinois Human Rights Commission, (“Commission”). Fair Housing Unit staff attorneys also litigate Fair Housing cases before the Commission. If the investigator recommends a finding of Lack of Substantial Evidence, the complainant may file a Request for Review with the Commission to which the Department’s attorneys file a response.

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

The Liaison Unit of the Legal Division ensures compliance by State entities with the equal employment opportunity/affirmative action (EEO/AA) provisions of the Illinois Human Rights Act. The Liaison Unit provides ongoing technical assistance and ensures compliance by State entities with requirements to submit affirmative action plans, quarterly reports, and layoff reports to the Department. The Liaison Unit reviews the reports and monitors State entities to assure compliance with goals established in their affirmative action plans.

The Public Contracts Unit (“PCU”) of the Legal Division registers entities seeking to establish eligibility status for competitively bidding on State contracts. The PCU provides technical assistance and training on how to develop equal employment opportunity policies and procedures. Additionally, the PCU reviews affirmative action plans to ensure compliance with established equal employment opportunity laws and guidelines. The PCU conducts audits to examine policies, procedures and efforts expended by the contractor toward meeting its EEO/AA obligations.

Annual Bidder Registration Activity Summary

	<u>2021</u>	<u>2020</u>	<u>2019</u>
Forms received during the year	1,895	1,938	1,894
Forms processed during the year	1,581	1,760	1,764
Forms responded to during the year	N/A	N/A	N/A

As further described in the *Independent Accountant’s Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
FUNCTIONS AND PLANNING
For the Two Years Ended June 30, 2021**

Functions (Continued)

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 to enhance the sensitivity and technical knowledge of human rights organization, municipal agencies, and the business sector.

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

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.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

**STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
NUMBER OF EMPLOYEES
For the Fiscal Years Ended June 30,**

<u>AVERAGE FULL-TIME EMPLOYEES</u>	<u>2021</u>	<u>2020</u>	<u>2019</u>
Administration	25	24	23
Charge Processing	82	78	72
Fair Housing	10	10	10
Legal	<u>15</u>	<u>17</u>	<u>17</u>
Total Full-Time Equivalent Employees	<u><u>132</u></u>	<u><u>129</u></u>	<u><u>122</u></u>

Note 1: This schedule presents the average number of employees, by division, at the Department.

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component.

STATE OF ILLINOIS
DEPARTMENT OF HUMAN RIGHTS
ANALYSIS OF OVERTIME AND COMPENSATORY TIME
For the Fiscal Years Ended June 30,

	2021	2020
Overtime Hours Paid	41	187
Compensatory Hours Granted	320	654
Total	361	841
Value of Overtime Hours Paid	\$ 1,923	\$ 8,040
Value of Compensatory Hours Granted	9,398	30,713
Total Cost	\$ 11,321	\$ 38,753

As further described in the *Independent Accountant's Report on Disclosures Accompanying a State Compliance Examination Report*, the accountants do not express an opinion or any form of assurance on this report component