

**STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM**

COMPLIANCE EXAMINATION

For the Two Years Ended June 30, 2020

STATE OF ILLINOIS
 LEGISLATIVE INFORMATION SYSTEM
 COMPLIANCE EXAMINATION
 For the Two Years Ended June 30, 2020

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STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2020

AGENCY OFFICIALS

Executive Director	Mr. Mark Wenda
Systems Manager	Mr. Dan Winchester
Administrative Services Manager (08/01/20 – Present)	Ms. Susan D. Hall
Administrative Services Manager (07/01/18 – 07/31/20)	Ms. Pat McLean

GOVERNING BOARD MEMBERS

Board Member (Chairperson 10/01/20 – Present)	Mr. Brad Bolin, Assistant Clerk of the House
Board Member (Chairperson 10/01/19 – 09/30/20)	Mr. John Hollman, Clerk of the House
Board Member (Chairperson 10/01/18 – 09/30/19)	Mr. Tim Anderson, Secretary of the Senate
Board Member (Chairperson 07/01/18 – 09/30/18)	Mr. Scott Kaiser, Assistant Secretary of the Senate

Note: The Legislative Commission Reorganization Act of 1984 (Act) (25 ILCS 130/1-5(b)) requires the Board to consist of the Secretary and Assistant Secretary of the Senate and the Clerk and Assistant Clerk of the House of Representatives. Further, the Act requires the Chairperson of the Board to be the member who is affiliated with the same caucus as the then serving Chairperson of the Joint Committee on Legislative Support Services. The Chairperson of the Joint Committee on Legislative Support Services rotates caucuses annually on October 1, therefore, resulting in an annual rotation of Board Chairperson. The Legislative Information System Governing Board shall continue to consist of the four members with the annual rotation of Chairperson.

AGENCY OFFICE

The System's office is located at:

705 Stratton Office Building
Springfield, Illinois 62706

STATE COMPLIANCE EXAMINATION

MANAGEMENT ASSERTION LETTER

October 27, 2021

Honorable Frank J. Mautino
Auditor General
State of Illinois
740 East Ash Street
Springfield, Illinois 62703-3154

Auditor General Mautino:

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, Legislative Information System. 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 State of Illinois, Legislative Information System's compliance with the following specific requirements during the two-year period ended June 30, 2020. Based on this evaluation, we assert that during the years ended June 30, 2020, and June 30, 2019, the State of Illinois, Legislative Information System has materially complied with the specific requirements listed below.

- A. The State of Illinois, Legislative Information System has obligated, expended, received, and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The State of Illinois, Legislative Information System has obligated, expended, received, and used public funds of the State in accordance with any limitations, restrictions, conditions, or mandatory directions imposed by law upon such obligation, expenditure, receipt, or use.
- C. The State of Illinois, Legislative Information System has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.

Yours truly,

State of Illinois, Legislative Information System

SIGNED ORIGINAL ON FILE

Mark Wenda, Executive Director

SIGNED ORIGINAL ON FILE

Susan D. Hall, Administrative Services Manager

STATE OF ILLINOIS
 LEGISLATIVE INFORMATION SYSTEM
 STATE COMPLIANCE EXAMINATION
 For the Two Years Ended June 30, 2020

COMPLIANCE REPORT

SUMMARY

The compliance testing performed during this examination was conducted in accordance with *Government Auditing Standards* and the Illinois State Auditing Act.

ACCOUNTANT’S REPORT

The Independent Accountant’s Report on State Compliance, on Internal Control Over Compliance, and on Supplementary Information for State Compliance Purposes does not contain scope limitations, disclaimers, or other significant non-standard language.

SUMMARY OF FINDINGS

<u>Number of</u>	<u>Current</u>	<u>Prior</u>
	<u>Report</u>	<u>Report</u>
Findings	2	0
Repeated Findings	0	0
Prior Recommendations Implemented or Not Repeated	0	0

SCHEDULE OF FINDINGS

<u>Item No.</u>	<u>Page</u>	<u>Last/First</u> <u>Report</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)				
2020-001	9	New	Procedural Deficiencies	Significant Deficiency and Noncompliance
2020-002	11	New	Weaknesses in Cybersecurity Programs and Practices	Significant Deficiency and Noncompliance

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
STATE COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2020

EXIT CONFERENCE

The System waived an exit conference in correspondence from Mark Wenda, Executive Director, on October 27, 2021. The responses to the recommendations were provided by Mark Wenda, Executive Director, in a correspondence dated October 27, 2021.

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OFFICE OF THE AUDITOR GENERAL
FRANK J. MAUTINO

**INDEPENDENT ACCOUNTANT'S REPORT
ON STATE COMPLIANCE, ON INTERNAL CONTROL OVER COMPLIANCE, AND
ON SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES**

Honorable Frank J. Mautino
Auditor General
State of Illinois

Compliance

We have examined compliance by the State of Illinois, Legislative Information System (System) 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, 2020. Management of the System is responsible for compliance with the specified requirements. Our responsibility is to express an opinion on the System's compliance with the specified requirements based on our examination.

The specified requirements are:

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

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 System complied with the specified requirements in all material respects. An examination involves performing procedures to obtain evidence about

whether the System 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 opinion.

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

In our opinion, the System complied with the specified requirements during the two years ended June 30, 2020, 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 2020-001 and 2020-002.

The System's responses to the compliance findings identified in our examination are described in the accompanying Schedule of Findings. The System'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.

Internal Control Over Compliance

Management of the System 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 System's internal control to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the System's compliance with the specified requirements and to test and report on the System's internal control in accordance with the *Audit Guide*, but not for the purpose of expressing an opinion on the effectiveness of the System's internal control. Accordingly, we do not express an opinion on the effectiveness of the System's internal control.

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 material noncompliance with the specified requirements will not be prevented, or detected and corrected, on a timely basis. *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 charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section 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. We did not identify any deficiencies in internal control that we consider to be material weaknesses. However, we did identify certain deficiencies in internal control, described in the accompanying Schedule of Findings as items 2020-001 and 2020-002 that we consider to be significant deficiencies.

There were no immaterial findings that have been excluded from this report.

The System's responses to the internal control findings identified in our examination are described in the accompanying Schedule of Findings. The System'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.

Supplementary Information for State Compliance Purposes

Our examination was conducted for the purpose of forming an opinion on the System's compliance with the specified requirements. The accompanying supplementary information for the years ended June 30, 2020, and June 30, 2019, in Schedules 1 through 6 and the Analysis of Operations section are presented for purposes of additional analysis. Such information is the responsibility of System management. We have applied certain limited procedures as prescribed by the *Audit Guide* to the accompanying supplementary information for the years ended June 30, 2020, and June 30, 2019, in Schedules 1 through 6. We have not applied procedures to the accompanying supplementary information for the years ended June 30, 2018, in Schedules 3 through 6 and in the Analysis of Operations Section. We do not express an opinion, a conclusion, nor provide any assurance on the accompanying supplementary information in Schedules 1 through 6 or the Analysis of Operations Section.

SIGNED ORIGINAL ON FILE

JANE CLARK, CPA
Director of Financial and Compliance Audits

Springfield, Illinois
October 27, 2021

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2020

2020-001. **FINDING** (Procedural Deficiencies)

The Legislative Information System (System) did not comply with certain procedural requirements established by State laws and regulations.

During testing, we noted the following:

- The System did not inform the Government Documents Section of the State Library in writing of its person(s) responsible for the distribution of documents annually by January 15 in Fiscal Year 2019, and July 15 in Fiscal Year 2020, and within two weeks after any changes to the annual filing.

The Illinois Administrative Code (Code) (23 Ill. Admin. Code 3020.150) requires the System, by January 15 of each year, and two weeks after any changes, to inform the Government Documents Section in writing of the person, persons, or positions responsible for distribution of publications of that System. The requirement was changed to July 15 effective January 7, 2020.

- The contact information for the Legislative Ethics Commission and Legislative Inspector General were not listed on the website, and therefore, not able to be translated with the other offices of the Capitol Complex.

The Legislative Information System Act (Act) (25 ILCS 145/5.09) requires the System to use a free translation tool to enable translation into multiple languages of the information made available to the public through their website. Further, it requires the contact information for the General Assembly, legislative support service agencies, and other related offices in the Capitol Complex.

System officials indicated they did not file such reports with Government Document Section of the State Library nor include indicated agencies' contact information on their website due to oversight.

Failure to submit reports to the Government Document Section of the State Library represents noncompliance with the Code. Further, failure to make all the contact information of offices within the Capitol Complex translatable represents noncompliance with the Act. (Finding Code No. 2020-001)

RECOMMENDATION

We recommend the System inform the Government Documents Section of the State Library in writing of its person(s) responsible for the distribution of documents annually by July 15 and within two weeks after any changes to the annual filing. In addition, we recommend the System maintain the contact information for the

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2020

2020-001. **FINDING** (Procedural Deficiencies) – Continued

Legislative Ethics Commission and Legislative Inspector General on the website to ensure translation with the other offices of the Capitol Complex.

SYSTEM RESPONSE

The System agrees with the first recommendation and will inform the Government Documents Section of the State Library in writing of its person(s) responsible for the distribution of documents annually by July 15 and within two weeks after any changes to the annual filing. The System agrees with the second recommendation and notes the correction was made to the website immediately upon discovery.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2020

2020-002. **FINDING** (Weaknesses in Cybersecurity Programs and Practices)

The Legislative Information System (System) had not implemented adequate internal controls related to cybersecurity programs and practices.

The System carries out its mission through the use of Information Technology (IT), including various applications, which contains confidential or personal information such as names, addresses, and Social Security numbers.

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 System’s cybersecurity program, practices, and control of confidential information, we noted the System:

- Did not have a cybersecurity plan.
- Did not have a risk management methodology.
- Had not deployed encryption on all laptops or ensured confidential information within emails were encrypted.
- Did not ensure the access provisioning procedures addressed the roles performed by Human Resources and IT, management approvals and documentation requirements for internal users.
 - As a result of the weaknesses in the access provisioning procedures, we were unable to test access provisioning for internal new hires and terminations.
 - The System does not perform periodic access reviews of internal users.
- Did not have incident response policies and procedures, including procedures for reporting security violations and suspected violations.
- Did not include requirements for management’s approval to implement patches within their Patch Management Procedures.
- Did not maintain records of cybersecurity training.

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. Furthermore, generally accepted information technology guidance, including the National Institute of Standards and Technology, endorses the development of well-designed and well managed controls to protect computer systems and data.

System officials indicated they believed existing procedures and practices were adequate for addressing cybersecurity.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2020

2020-002. **FINDING** (Weaknesses in Cybersecurity Programs and Practices) –
Continued

The lack of adequate cybersecurity programs and practices could result in unidentified risk and vulnerabilities and ultimately lead to the System’s confidential information being susceptible to cyber-attacks and unauthorized disclosure. (Finding Code No. 2020-002)

RECOMMENDATION

We recommend the System:

- Establish a cybersecurity plan.
- Establish a risk management methodology to assist the System in ensuring its risks are identified, managed and mitigated where appropriate.
- Ensure all confidential information is encrypted.
- Establish formal access provisioning procedures for ensuring all access is adequately approved and documented. These procedures should provide clear guidance on Human Resources and IT’s roles and responsibilities, management approvals, documentation requirements and periodic review of access privileges assigned to ensure access remain reasonable.
- Establish incident response policies and procedures, including procedures for reporting security violations and suspected violations.
- Update the Patch Management Procedures to include requirements for management approvals as well as documentation requirements.
- Ensure all staff and contractors receive cybersecurity training and maintain documentation of such.

SYSTEM RESPONSE

The System agrees with the recommendations and will:

- Establish a cybersecurity plan and a risk management methodology.
- Adopt a policy emphasizing that all confidential information should be encrypted.
- Establish a formal access provisioning procedure and an incident response procedure.
- Update the Patch Management Procedure to reflect current email management approvals.
- Conduct and document cybersecurity training to staff and contracts.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
Appropriations for Fiscal Year 2020

For the Fifteen Months Ended September 30, 2020

Public Act 101-0007 FISCAL YEAR 2020	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period		Total Expenditures 15 Months Ended September 30	Balances Lapsed
			Expenditures July 1 to September 30	Expenditures September 30		
APPROPRIATED FUNDS						
GENERAL REVENUE FUND - 001						
Operational Expenses	\$ 5,166,700	\$ 4,392,824	\$ 547,471	\$ 4,940,295	\$ 226,405	
Subtotal - Fund 001	<u>\$ 5,166,700</u>	<u>\$ 4,392,824</u>	<u>\$ 547,471</u>	<u>\$ 4,940,295</u>	<u>\$ 226,405</u>	
GENERAL ASSEMBLY COMPUTER EQUIPMENT REVOLVING FUND - 155						
Purchase, Maintenance, and Rental of General Assembly Electronic Data Processing Equipment and Other Operational Purposes of the General Assembly	\$ 1,600,000	\$ 4,946	\$ -	\$ 4,946	\$ 1,595,054	
Subtotal - Fund 155	<u>\$ 1,600,000</u>	<u>\$ 4,946</u>	<u>\$ -</u>	<u>\$ 4,946</u>	<u>\$ 1,595,054</u>	
GRAND TOTAL - ALL FUNDS	<u><u>\$ 6,766,700</u></u>	<u><u>\$ 4,397,770</u></u>	<u><u>\$ 547,471</u></u>	<u><u>\$ 4,945,241</u></u>	<u><u>\$ 1,821,459</u></u>	

Note 1: Appropriations, expenditure, and lapsed balances were obtained from the Legislative Information System's records and have been reconciled to the Office of Comptroller's records as of September 30, 2020.

Note 2: Expenditure amounts are vouchers approved for payment by the Legislative Information System and submitted to the Office of Comptroller for payment to the vendor.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
Appropriations for Fiscal Year 2019

For the Sixteen Months Ended October 31, 2019

Public Act 100-0586 FISCAL YEAR 2019	Appropriations (Net of Transfers)	Lapse Period		Total Expenditures October 31	Balances Lapsed
		Expenditures Through June 30	Expenditures July 1 to October 31		
APPROPRIATED FUNDS					
GENERAL REVENUE FUND - 001					
Operational Expenses	\$ 5,166,700	\$ 4,258,212	\$ 756,247	\$ 5,014,459	\$ 152,241
Subtotal - Fund 001	<u>\$ 5,166,700</u>	<u>\$ 4,258,212</u>	<u>\$ 756,247</u>	<u>\$ 5,014,459</u>	<u>\$ 152,241</u>
GENERAL ASSEMBLY COMPUTER EQUIPMENT REVOLVING FUND - 155					
Purchase, Maintenance, and Rental of General Assembly Electronic Data Processing Equipment and Other Operational Purposes of the General Assembly	\$ 1,600,000	\$ 28,840	\$ -	\$ 28,840	\$ 1,571,160
Subtotal - Fund 155	<u>\$ 1,600,000</u>	<u>\$ 28,840</u>	<u>\$ -</u>	<u>\$ 28,840</u>	<u>\$ 1,571,160</u>
GRAND TOTAL - ALL FUNDS	<u>\$ 6,766,700</u>	<u>\$ 4,287,052</u>	<u>\$ 756,247</u>	<u>\$ 5,043,299</u>	<u>\$ 1,723,401</u>

Note 1: Appropriations, expenditure, and lapsed balances were obtained from the Legislative Information System's records and have been reconciled to the Office of Comptroller's records as of October 31, 2019.

Note 2: Expenditure amounts are vouchers approved for payment by the Legislative Information System and submitted to the Office of Comptroller for payment to the vendor.

STATE OF ILLINOIS
 LEGISLATIVE INFORMATION SYSTEM
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,
 EXPENDITURES, AND LAPSED BALANCES**
 For the Fiscal Year Ended June 30,

	<u>2020</u>	<u>2019</u>	<u>2018</u>
<u>APPROPRIATED FUNDS</u>			
GENERAL REVENUE FUND - 001			
Appropriations (Net of Transfers)	\$ 5,166,700	\$ 5,166,700	\$ 5,166,700
Expenditures:			
Operational Expenses	\$ 4,940,295	\$ 5,014,459	\$ 5,066,692
Total Expenditures	\$ 4,940,295	\$ 5,014,459	\$ 5,066,692
Balances Lapsed	<u>\$ 226,405</u>	<u>\$ 152,241</u>	<u>\$ 100,008</u>
GENERAL ASSEMBLY COMPUTER EQUIPMENT REVOLVING FUND - 155			
Appropriations (Net of Transfers)	\$ 1,600,000	\$ 1,600,000	\$ 1,600,000
Expenditures:			
Purchase, Maintenance, and Rental of General Assembly Electronic Data Processing Equipment and Other Operational Purposes of the General Assembly	\$ 4,946	\$ 28,840	\$ 14,906
Total Expenditures	\$ 4,946	\$ 28,840	\$ 14,906
Balances Lapsed	<u>\$ 1,595,054</u>	<u>\$ 1,571,160</u>	<u>\$ 1,585,094</u>
<u>TOTAL APPROPRIATED FUNDS</u>			
Balances Appropriated	<u>\$ 6,766,700</u>	<u>\$ 6,766,700</u>	<u>\$ 6,766,700</u>
Expenditures	<u>\$ 4,945,241</u>	<u>\$ 5,043,299</u>	<u>\$ 5,081,598</u>
Balances Lapsed	<u>\$ 1,821,459</u>	<u>\$ 1,723,401</u>	<u>\$ 1,685,102</u>

Note 1: Appropriations, expenditures, and lapsed balances were obtained from the System's records and have been reconciled to the Office of Comptroller's records as of September 30, 2020, and October 31, 2019.

Note 2: Expenditure amounts are vouchers approved for payment by the System and submitted to the Office of Comptroller for payment to the vendor.

Note 3: The System received appropriations during Fiscal Year 2020 from Public Act 101-0007. In addition, the System received appropriations during Fiscal Year 2019 from Public Act 100-0586.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
**COMPARATIVE SCHEDULE OF NET EXPENDITURES
BY MAJOR ACTIVITY**

For the Fiscal Year Ended June 30,

	<u>2020</u>	<u>2019</u>	<u>2018</u>
EXPENDITURE STATISTICS			
All State Treasury Funds			
Total Operations Expenditures:	\$ 4,945,241	\$ 5,043,299	\$ 5,081,598
Percentage of Total Expenditures:	100.0%	100.0%	100.0%
Personal Services	2,558,812	2,525,288	2,436,676
Other Payroll Costs	290,388	286,003	275,863
All Other Operating Expenditures	2,096,041	2,232,008	2,369,059
GRAND TOTAL - ALL EXPENDITURES:	<u>\$ 4,945,241</u>	<u>\$ 5,043,299</u>	<u>\$ 5,081,598</u>

Note 1: Expenditures were obtained from the System's records and have been reconciled to the Office of Comptroller's records as of September 30, 2020, and October 31, 2019.

Note 2: Expenditure amounts are vouchers approved for payment by the System and submitted to the Office of Comptroller for payment to the vendor.

STATE OF ILLINOIS
 LEGISLATIVE INFORMATION SYSTEM
**COMPARATIVE SCHEDULE OF CASH RECEIPTS
 AND DEPOSITS INTO THE STATE TREASURY**
 For the Fiscal Year Ended June 30,

	2020	2019	2018
STATE TREASURY FUND			
General Revenue Fund - 001			
Receipt Source:			
Reimbursements, Jury Duty, and Recoveries	\$ -	\$ -	\$ 20
Total Receipts, per the System's Records	\$ -	\$ -	\$ 20
Receipts, per the System's Records			
Deposits in Transit, Beginning of the Fiscal Year	-	-	-
Deposits in Transit, End of the Fiscal Year	-	-	-
Deposits, Recorded by the Office of Comptroller	\$ -	\$ -	\$ 20

STATE OF ILLINOIS
 LEGISLATIVE INFORMATION SYSTEM
SCHEDULE OF CHANGES IN PROPERTY
 For the Two Years Ended June 30, 2020

	Beginning Balance	Additions	Deletions	Net Transfers	Ending Balance
FISCAL YEAR 2020					
Property					
Equipment	\$ 5,810,555	\$ 814,127	\$ 2,187	\$ (998,271)	\$ 5,624,224
Total	\$ 5,810,555	\$ 814,127	\$ 2,187	\$ (998,271)	\$ 5,624,224

	Beginning Balance	Additions	Deletions	Net Transfers	Ending Balance
FISCAL YEAR 2019					
Property					
Equipment	\$ 6,037,379	\$ 532,634	\$ 7,470	\$ (751,988)	\$ 5,810,555
Total	\$ 6,037,379	\$ 532,634	\$ 7,470	\$ (751,988)	\$ 5,810,555

Note: These balances were obtained from the System's records and have been reconciled to the System's quarterly Agency Report of State Property reports submitted to the Office of Comptroller for the year ended June 30, 2020 and June 30, 2019, respectively.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
ANALYSIS OF OPERATIONS
For the Two Years Ended June 30, 2020

(NOT EXAMINED)

Functions

The System, in accordance with the Legislative Commission Reorganization Act of 1984 (25 ILCS 130/5-1), is under the direction of the Joint Committee on Legislative Support Services as a legislative support services agency. The System's primary responsibility is to provide information technology services to the General Assembly and its committees, commissions, and agencies.

The duties and responsibilities of the System consist of:

1. Establishing offices in the State's Capitol Complex and providing such services as are required by the General Assembly;
2. Studying and making recommendations concerning the application of information technology to the varied services required by the General Assembly;
3. Implementing information technology solutions as directed by the General Assembly;
4. Maintaining the complete text of the administrative rules in electronic form and cooperating with the Joint Committee on Administrative Rules and the Secretary of State in making that text available for use in publication of the Illinois Register and the Illinois Administrative Code;
5. Providing information technology services for the Legislative Reference Bureau, the Commission on Government Forecasting & Accountability's Research Unit, the Clerk of the House of Representatives, and the Secretary of the Senate;
6. Providing information technology services to the General Assembly's other committees, boards, agencies, and commissions within the resources available to Legislative Information System; and,
7. Making legislative information available to the public via the Internet.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
ANALYSIS OF OPERATIONS
For the Two Years Ended June 30, 2020

(NOT EXAMINED)

Functions (continued)

The Legislative Information System is made up of the following areas:

1. Administrative Services: Responsible for all the fiscal and personnel operations of the System. This section also works closely with other fiscal and personnel operations in the legislative branch and other agencies to coordinate accounting systems and reporting. Administrative Services is also responsible for the receipts and disbursements of the General Assembly Computer Equipment Revolving Fund.
2. Application Services: Develops, maintains, and supports the various applications used by the General Assembly. This includes analyzing needs and requests, proposing solutions, and providing training.
3. Systems Services: Installs, maintains, and supports the operating systems, back-end software, networks, and all hardware that supports other functions of the System. This includes monitoring performance and providing security.

Planning

The System's plan consists of a mission statement that provides a general statement of the System's goals. From this statement, general objectives have been developed that put the mission statement into specific productive outputs resulting in a multi-year work plan.

The major focus of the System is on operating and maintaining the existing applications and networks while implementing enhancements and upgrades. All applications and networks are constantly evaluated for effectiveness and performance. Communication is maintained with users to ensure all needed and desired service is being provided. Change requests are acknowledged, investigated, and evaluated; if accepted, resources are scheduled leading to development and implementation of the request. Hardware and software are constantly monitored and evaluated as well; if changes or upgrades are needed, they are implemented according to available resources and in conjunction with ongoing operations.

All implementations are prioritized and scheduled around legislative session to ensure the least likelihood of negative impact. Priorities and schedules are constantly in a state of flux and continually updated due to the sporadic schedule and changing needs of the General Assembly.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
For the Two Years Ended June 30, 2020

(NOT EXAMINED)

Fiscal Year 2020 Compared to Fiscal Year 2019

General Assembly Computer Equipment Revolving Fund – 155

Purchase, Maintenance, and Rental of General Assembly Electronic Data Processing Equipment and Other Operational Purposes of the General Assembly

The decrease in expenditures was due to the four legislative leaders requesting necessary equipment and supplies during Fiscal Year 2019 and not requesting a similar amount of equipment and supplies during Fiscal Year 2020.

Fiscal Year 2019 Compared to Fiscal Year 2018

General Assembly Computer Equipment Revolving Fund – 155

Purchase, Maintenance, and Rental of General Assembly Electronic Data Processing Equipment and Other Operational Purposes of the General Assembly

The increase in expenditures was due to the four legislative leaders requesting necessary equipment and supplies during Fiscal Year 2019 and not requesting a similar amount of equipment and supplies during Fiscal Year 2018.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS
For the Two Years Ended June 30, 2020

(NOT EXAMINED)

Fiscal Year 2020 Compared to Fiscal Year 2019

The System did not have any significant variations in receipts.

Fiscal Year 2019 Compared to Fiscal Year 2018

General Revenue Fund - 001

Reimbursements, Jury Duty, and Recoveries

The System receives minimal receipts. The receipts consist of reimbursements, recoveries, and prior fiscal year refunds. These receipts are expected to fluctuate between fiscal years. During Fiscal Year 2018, we recovered \$20 from an employee who was overpaid for travel per diem expenses. He issued us a check for his overpayment. In Fiscal Years 2019 and 2020, our agency did not collect any receipts.

STATE OF ILLINOIS
LEGISLATIVE INFORMATION SYSTEM
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
For the Two Years Ended June 30, 2020

(NOT EXAMINED)

FISCAL YEAR 2020

The Legislative Information System did not have any significant Lapse Period spending.

FISCAL YEAR 2019

The Legislative Information System did not have any significant Lapse Period spending.

STATE OF ILLINOIS
 LEGISLATIVE INFORMATION SYSTEM
 NUMBER OF EMPLOYEES

(NOT EXAMINED)

For the Two Years Ended June 30,

	2020	2019	2018
<u>AVERAGE FULL-TIME EMPLOYEES</u>			
Administration	5	5	5
Application Development	9	8	8
Support Services	7	7	7
Systems	8	9	8
Total Full-Time Equivalent Employees	29	29	28

Note: This schedule presents the average number of employees, by function, at the Legislative Information System.