

**STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
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
OFFICE OF THE LIEUTENANT GOVERNOR
 STATE COMPLIANCE EXAMINATION
 For the Two Years Ended June 30, 2021

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STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2021

AGENCY OFFICIALS

Lieutenant Governor	Juliana Stratton
Chief of Staff	Charles Watkins
Chief Operating Officer (01/02/20 – Present)	Valarie Rand
Chief Operating Officer (07/01/19 – 01/01/20)	Vacant
Deputy Chief of Staff and General Counsel (11/05/21 – Present)	Natashee Scott
Deputy Chief of Staff and General Counsel (11/01/21 – 11/04/21)	Vacant
Deputy Chief of Staff and General Counsel (07/01/19 – 10/31/21)	Dartesia Pitts
Fiscal Officer	Jessica Allen

AGENCY OFFICES

The Office of the Lieutenant Governor's Primary Administrative offices are located at:

James R. Thompson Center
100 West Randolph Street, Suite 15-200
Chicago, Illinois 60601

214 State House
Springfield, Illinois 62706



JULIANA STRATTON

LIEUTENANT GOVERNOR
STATE OF ILLINOIS

MANAGEMENT ASSERTION LETTER

January 18, 2022

West & Company, LLC
Certified Public Accountants
919 East Harris Avenue
Greenville, Illinois 62246

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 Office of the Lieutenant Governor (Office). 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 Office’s compliance with the following specified requirements during the two-year period ending with June 30, 2021. Based on this evaluation, we assert that during the years ended June 30, 2020, and June 30, 2021, the Office has materially complied with the specified requirements listed below.

- A. The Office 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 Office 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 Office 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,

Office of the Lieutenant Governor

SIGNATURE REDACTED

Agency Head

SIGNATURE REDACTED

Fiscal Officer

SIGNATURE REDACTED

General Counsel

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
 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, disclaimers, or other significant non-standard language.

SUMMARY OF FINDINGS

Number of	<u>Current Report</u>	<u>Prior Report</u>
Findings	3	2
Repeated Findings	1	-
Prior Recommendations Implemented or Not Repeated	1	1

SCHEDULE OF FINDINGS

<u>Item No.</u>	<u>Page</u>	<u>Last/First Report</u>	<u>Description</u>	<u>Finding Type</u>
Current Findings				
2021-001	9	New	Noncompliance with Statutory Mandates	Significant Deficiency and Noncompliance
2021-002	11	New	Weakness in Cybersecurity Programs and Practices	Significant Deficiency and Noncompliance
2021-003	13	2019/2019	Inadequate Controls Over Personal Services	Significant Deficiency and Noncompliance
Prior Finding Not Repeated				
A	15	2019/2019	Failure to Enter Into an Intergovernmental Agreement	

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
STATE COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2021

EXIT CONFERENCE

The findings and recommendations appearing in this report were discussed with Office personnel at an exit conference on January 14, 2022.

Attending were:

Office of the Lieutenant Governor

Charles Watkins, Chief of Staff

Valarie Rand, Chief Operating Officer

Natashee Scott, Deputy Chief of Staff and General Counsel

Jessica Allen, Fiscal Officer

Office of the Auditor General

Ms. Lisa Warden, Audit Manager

West & Company, LLC – Special Assistant Auditors

Mr. Michael Lawler, Partner

Mr. Brandon Craycroft, Supervisor

The responses to the recommendations were provided by Valarie Rand, Chief Operating Officer, in correspondence dated January 18, 2022.



919 East Harris Avenue
Greenville, Illinois 62246

(618) 664-4848
www.westcpa.com

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, Office of the Lieutenant Governor (Office) 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 Office is responsible for compliance with the specified requirements. Our responsibility is to express an opinion on the Office's compliance with the specified requirements based on our examination.

The specified requirements are:

- A. The Office 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 Office 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 Office 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 Office complied with the specified requirements in all material respects. An examination involves performing procedures to obtain evidence about whether the Office 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 Office's compliance with the specified requirements.

In our opinion, the Office 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 2021-001 through 2021-003.

The Office's responses to the compliance findings identified in our examination are described in the accompanying Schedule of Findings. The Office'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 Office 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 Office's internal control to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the Office's compliance with the specified requirements and to test and report on the Office's internal control in accordance with the *Audit Guide*, but not for the purpose of expressing an opinion on the effectiveness of the Office's internal control. Accordingly, we do not express an opinion on the effectiveness of the Office'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 2021-001 through 2021-003 that we consider to be significant deficiencies.

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

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

Greenville, Illinois
January 18, 2022

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2021

2021-001 **FINDING** (Noncompliance with Statutory Mandates)

The Office of the Lieutenant Governor (Office) did not comply with certain provisions of statutory mandates related to task forces, councils and boards.

During testing, we noted the following:

- The Office could not provide documentation the Lieutenant Governor appointed a member to serve as the chairperson of the Children of Incarcerated Parents Task Force (Task Force) as required by the Code of Criminal Procedure of 1963 (Code).

The Code (725 ILCS 5/106F-15(b)) requires the Lieutenant Governor to provide administrative and technical support to the Task Force, to be responsible for administrating its operations and appointing a chairperson to the Task Force; and requires the Task Force to have the appointment made by September 23, 2019.

- The Illinois Council on Women and Girls (Council), which is chaired by the Lieutenant Governor, failed to timely file their semi-annual reports. Four of 4 (100%) reports required to be submitted during Fiscal Years 2020 and 2021 were filed between 1 and 335 days late.

The Illinois Council on Women and Girls Act (20 ILCS 5130/30) requires the Council to electronically issue semi-annual reports on its policy recommendations by June 30th and December 31st of each year to the governor and General Assembly.

- The Lieutenant Governor failed to appoint two members to the Restore, Reinvest, and Renew Program Board (R3 Board) during Fiscal Years 2020 and 2021. Additionally, the Office could not provide documentation the annual report was submitted to the Governor’s Office and the General Assembly.

The Cannabis Regulation and Tax Act (Act) (410 ILCS 705/10-40(e)(2)) requires the Lieutenant Governor to serve as chair and to appoint 18 members to the R3 Board. Those appointments were due by April 12, 2020. Effective July 15, 2021, this requirement was modified to require the Lieutenant Governor to appoint an additional 8 members to the R3 Board. The Act (410 ILCS 705/10-40(f)(7)) also requires the R3 Board to submit an annual report to the General Assembly and to the Governor to be posted on the Governor’s Office and General Assembly websites and provide to the public an annual report of its progress.

- The Office did not designate a representative of the Office and provided no evidence of actions taken during the examination period to call a meeting of the Tamms Minimum Security Unit Task Force (Tamms Task Force). Neither did the Office provide any evidence of internal correspondence prepared or considerations made during the examination period to ensure the Office’s compliance with their responsibilities under this mandate.

The Unified Code of Corrections (UCC) (730 ILCS 5/3-2-2.3(a)) created the Tamms Task Force to study the use of the Tamms Minimum Security Unit as a vocational training facility for the Department of Corrections. The membership of the Tamms Task Force was

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2021

2021-001 **FINDING** (Noncompliance with Statutory Mandates) (Continued)

required to include 11 state legislators and community leaders from throughout the State, including an appointee of the Lieutenant Governor to serve as chair. The UCC (730 ILCS 5/3-2-2.3(b)) also required the Tamms Task Force to meet two times per year or at the call of the Chairperson. The Tamms Task Force was mandated to submit a report of its recommendations to the Governor and General Assembly on or before December 31, 2020. The Tamms Task Force was dissolved by the UCC on January 1, 2021.

Office management indicated that oversight, lack of resources, and lack of knowledge of appointments led to failure to make appointments and failure to file reports.

Office management stated they never convened the Tamms Task Force because of real estate tax challenges on the property by the local taxing authority which prevented use of the facility for vocational training.

Failure to perform mandated responsibilities prevents the Office from effectively serving the people of the State on the related task forces, councils and boards. The Office's failure to designate a representative to the Tamms Task Force and the failure to call a meeting of the Tamms Task Force inhibited the State's ability to properly evaluate the potential use of the Tamms Minimum Security Unit as a vocational training facility. (Finding Code No. 2021-001)

RECOMMENDATION

We recommend the Office implement a system of controls to ensure they timely appoint members, meet responsibilities mandated for boards and task forces as required by State law, and actively participate in mandated committees to help ensure the purpose of such entities is achieved.

OFFICE RESPONSE

The Office agrees with the recommendation. The Office recently conducted an internal audit of its requirements under statutes, executive orders, and resolutions. The Office is also in the process of creating a calendar to notify responsible parties of all reports due and associated due dates. Additionally, the Office is responsible for many appointments on various councils and boards and is in process of reviewing the status of all appointments, identifying potential candidates, and scheduling interviews to fill any vacancies.

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2021

2021-002 **FINDING** (Weakness in Cybersecurity Programs and Practices)

The Office of the Lieutenant Governor (Office) had not implemented adequate internal controls related to cybersecurity programs, practices and control of confidential 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 Office’s cybersecurity program, practices and control of confidential information, we noted the Office 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 risk management methodology, conducted a comprehensive risk assessment, or implemented risk reducing internal controls.
- Classified its data to identify and ensure adequate protection of information.

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 Office stated they believed the Department of Innovation and Technology was responsible for cybersecurity controls.

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

RECOMMENDATION

The Office has the responsibility to ensure that confidential and personal information is adequately protected. Specifically, we recommend the Office:

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2021

2021-002 **FINDING** (Weakness in Cybersecurity Programs and Practices) (Continued)

- Develop 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.
- Develop a risk management methodology and perform a comprehensive risk assessment to identify and ensure adequate protection of confidential or personal information.
- Classify its data to establish the types of information most susceptible to attack to ensure adequate protection.

OFFICE RESPONSE

The Office agrees with the recommendations. The Office will work to verify that Department of Innovation and Technology (DoIT) is completing backups of their applications and database. Additionally, the Office will work towards timely internal controls review over DoIT. Specifically, this will be accomplished through review of the DoIT SOC reports and act accordingly. Finally, the Office is working with DoIT to complete the Office of Lieutenant Governor’s Cybersecurity Program.

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2021

2021-003 **FINDING** (Failure to Maintain Proper Controls Over Personal Services Functions)

The Office of the Lieutenant Governor (Office) failed to maintain proper controls over its personal services functions.

- We tested attendance records for eight employees and noted:
 - Five (63%) employees submitted timesheets that were not completed by the employee and approved by a supervisor in a timely manner. We noted 24 of 60 (40%) instances tested in which timesheets were completed from 1 to 169 days late.
 - Six (75%) employees submitted timesheets, which were not timely approved by the employee’s supervisor. We noted 20 of 60 (33%) instances tested in which timesheets were approved 1 to 85 days late.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires State agencies to maintain a system, or systems, of fiscal and administrative controls to ensure funds are safeguarded against waste, loss, unauthorized use and misappropriation, and expenditures are properly recorded and accounted for to permit the preparation of reliable financial reports. The Office’s Employee Handbook (Handbook) requires all employees to complete timesheets on a biweekly basis for review by their immediate supervisor. Timesheets must be approved by the employee’s immediate supervisor by the end of the day the Monday following the last day of each tracking period. Approved timesheets are to be transmitted to the Chief Operating Officer, Deputy Chief of Staff and Chief of Staff accordingly for second approval by the Wednesday following the last day of each tracking period.

- The Office did not timely file a corrected Agency Workforce Report (Report) for Fiscal Year 2017. The report was filed 334 days after the prior examination report release date.

The Illinois State Auditing Act (30 ILCS 5/3-2.2) requires State agencies to file corrected Reports with the Governor and the Office of the Secretary of State within 30 days of the examination report release.

Office personnel indicated the untimely completed and approved timesheets were mainly due to the Office implementing a new timekeeping system at the beginning of Fiscal Year 2020. Additionally, Office personnel indicated the corrected Report for Fiscal Year 2017 was not filed timely due to oversight.

Failure to timely obtain, review and approve employee timesheets could result in inaccurate time records and overpayment of payroll, which are not prevented or timely detected. Additionally, not correcting material incorrect Reports could result in inaccurate reporting for the State as a whole. (Finding Code No. 2021-003, 2019-001)

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – STATE COMPLIANCE FINDINGS
For the Two Years Ended June 30, 2021

2021-003 **FINDING** (Inadequate Controls Over Personal Services) (Continued)

RECOMMENDATION

We recommend the Office establish and maintain fiscal and administrative internal controls to ensure timely submission, review, and approval of employee attendance records and to ensure corrected Reports are timely filed when required.

OFFICE RESPONSE

The Office agrees with the recommendation. The Office has taken action to address this matter. The Office will make efforts to ensure the timely submission, review, and approval of employee's attendance records. The Office is aware of the timeline for corrected reports. The Office will make efforts to ensure reports are completed and submitted within the timeline required.

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF FINDINGS – PRIOR FINDINGS NOT REPEATED
For the Two Years Ended June 30, 2021

A. **FINDING** (Failure to Enter Into an Intergovernmental Agreement)

During the prior examination, the Office of the Lieutenant Governor (Office) failed to enter into an intergovernmental agreement with the Department of Central Management Services (CMS) for vehicle usage.

During the current examination, our testing indicated the Office entered into an intergovernmental agreement with CMS for vehicle usage. (Finding Code No. 2019-002)

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
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 Office of the Lieutenant Governor (Office) was performed by West & Company, LLC.

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

This report was discussed with Office personnel at an exit conference on January 14, 2022.

Attending were:

Office of the Lieutenant Governor

Charles Watkins, Chief of Staff

Valarie Rand, Chief Operating Officer

Natashee Scott, Deputy Chief of Staff and General Counsel

Jessica Allen, Fiscal Officer

Office of the Auditor General

Ms. Lisa Warden, Audit Manager

West & Company, LLC – Special Assistant Auditors

Mr. Michael Lawler, Partner

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www.westcpa.com

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, Office of the Lieutenant Governor (Office) 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 Office'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 Office, 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 Office we obtained as part of the Office'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.

Greenville, Illinois
January 18, 2022

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
Expenditure Authority for Fiscal Year 2021

For the Fifteen Months Ended September 30, 2021

Public Act 101-0637	Expenditure Authority (Net After Transfers)	Expenditures Through June 30, 2021	Lapsed Period Expenditures July 1 to September 30, 2021	Total Expenditures 15 Months Ended September 30, 2021	Balances Lapsed September 30, 2021
FISCAL YEAR 2021					
<u>APPROPRIATED FUNDS</u>					
General Revenue Funds - 001					
Lump Sum - Operational Expenses	\$ 2,113,600	\$ 1,773,768	\$ 53,229	\$ 1,826,997	\$ 286,603
Rural Affairs Council Including Grants or Administrative Expenses	47,500	13,016	322	13,338	34,162
Grant to Illinois Innocence Project and Associated Administrative Expenses	1,000,000	441,571	504,951	946,522	53,478
Subtotal fund - 001	<u>\$ 3,161,100</u>	<u>\$ 2,228,355</u>	<u>\$ 558,502</u>	<u>\$ 2,786,857</u>	<u>\$ 374,243</u>
Lieutenant Governor's Grant Fund - 0924					
Ordinary and Contingent Expenses	\$ 100,000	-	-	-	100,000
GRAND TOTAL - ALL FUNDS	<u>\$ 3,261,100</u>	<u>\$ 2,228,355</u>	<u>\$ 558,502</u>	<u>\$ 2,786,857</u>	<u>\$ 474,243</u>

Note 1: Appropriations, expenditures, and lapsed balances were obtained from the Office's records and have been reconciled to the State Comptroller's Records as of September 30, 2021.

Note 2: Expenditure amounts are vouchers approved for payment by the Office and submitted to the Office of 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
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES
Expenditure Authority for Fiscal Year 2020

For the Fifteen Months Ended September 30, 2020

Public Act 101-0007	Expenditure Authority (Net After Transfers)	Expenditures Through June 30, 2020	Lapsed Period Expenditures July 1 to September 30, 2020	Total Expenditures 15 Months Ended September 30, 2020	Balances Lapsed September 30, 2020
FISCAL YEAR 2020					
APPROPRIATED FUNDS					
General Revenue Funds - 001					
Lump Sums - Operational Expenses	\$ 1,614,700	\$ 1,507,982	\$ 24,747	\$ 1,532,729	\$ 81,971
Grant To Illinois Innocence Project	1,000,000	-	551,418	551,418	448,582
Subtotal fund - 001	<u>\$ 2,614,700</u>	<u>\$ 1,507,982</u>	<u>\$ 576,165</u>	<u>\$ 2,084,147</u>	<u>\$ 530,553</u>
Agricultural Premium Fund - 045					
Lump Sums - Ordinary and Contingent Expenses of the Rural Affairs Council	\$ 47,500	\$ 27,202	\$ 1,231	\$ 28,433	\$ 19,067
GRAND TOTAL - ALL FUNDS	<u>\$ 2,662,200</u>	<u>\$ 1,535,184</u>	<u>\$ 577,396</u>	<u>\$ 2,112,580</u>	<u>\$ 549,620</u>

Note 1: Appropriations, expenditures, and lapsed balances were obtained from the Office's records and have been reconciled to the State Comptroller's records as of September 30, 2020.
 Note 2: Expenditure amounts are vouchers approved for payment by the Office 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
OFFICE OF THE LIEUTENANT GOVERNOR
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,
EXPENDITURES, AND LAPSED BALANCES

For the Fiscal Years Ended June 30,

	FISCAL YEAR		
	2021	2020	2019
	P.A. 101-0637	P.A. 101-0007	P.A. 100-0586 and P.A. 101-0007
APPROPRIATED FUNDS			
General Revenue Fund - 001			
Expenditure Authority	\$ 3,161,100	\$ 2,614,700	\$ 1,234,700
Expenditures:			
Lump Sum - Operational Expenses	\$ 1,826,997	\$ 1,532,729	\$ 1,147,093
Rural Affairs Council Including Grants or Administrative Expenses	13,338	-	-
Grant to Illinois Innocence Project	-	551,418	-
Grant to Illinois Innocence Project With Administrative Expenses	946,522	-	-
Total Expenditures	<u>\$ 2,786,857</u>	<u>\$ 2,084,147</u>	<u>\$ 1,147,093</u>
Lapsed Balances Fund - 001	<u>\$ 374,243</u>	<u>\$ 530,553</u>	<u>\$ 87,607</u>
Agricultural Premium Fund - 045			
Expenditure Authority	\$ -	\$ 47,500	\$ 47,500
Lump Sums - Ordinary and Contingent Expenses of the Rural Affairs Council	\$ -	\$ 28,433	\$ 22,985
Lapsed Balances Fund - 045	<u>\$ -</u>	<u>\$ 19,067</u>	<u>\$ 24,515</u>
Lieutenant Governor's Grant Fund - 0924			
Expenditure Authority	\$ 100,000	\$ -	\$ -
Ordinary and Contingent Expenses	\$ -	\$ -	\$ -
Lapsed Balances Fund - 0924	<u>\$ 100,000</u>	<u>\$ -</u>	<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
OFFICE OF THE LIEUTENANT GOVERNOR
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,
EXPENDITURES, AND LAPSED BALANCES

For the Fiscal Years Ended June 30,

	2021	FISCAL YEAR 2020	2019
	P.A. 101-0637	P.A. 101-0007	P.A. 100-0586 and P.A. 101-0007
GRAND TOTAL - ALL FUNDS			
Expenditure Authority	\$ 3,261,100	\$ 2,662,200	\$ 1,282,200
Total Expenditures	\$ 2,786,856	\$ 2,112,580	\$ 1,170,078
Lapsed balances	\$ 474,244	\$ 549,620	\$ 112,122
STATE OFFICERS' SALARIES			
General Revenue Fund - 001 (State Comptroller)			
Expenditures:			
For the Lieutenant Governor	\$ 138,925	\$ 138,925	\$ 135,963
Total Expenditures	\$ 138,925	\$ 138,925	\$ 135,963

- Note 1: Expenditure authority, appropriations, expenditures, and lapsed balances were obtained from the Office's records and have been reconciled to the State Comptroller's records as of September 30, 2021 and September 30, 2020.
- Note 2: Expenditure amounts are vouchers approved for payment by the Office and submitted to the Office of the State Comptroller for payment to the vendor.
- Note 3: The Office received appropriations during Fiscal Year 2021 from Public Act 101-0637. In addition, the Office received appropriations during 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
OFFICE OF THE LIEUTENANT GOVERNOR
COMPARATIVE SCHEDULE OF NET EXPENDITURES
BY MAJOR ACTIVITY

For the Fiscal Year Ended June 30,

	<u>2021</u>	<u>2020</u>	<u>2019</u>
EXPENDITURE STATISTICS			
All State Treasury Funds			
Total Operations Expenditures:	\$ 1,841,313	\$ 1,561,162	\$ 1,170,078
Percentage of Total Expenditures:	66.1%	73.9%	100%
Personal Services	1,540,547	1,309,437	938,406
Other Payroll Costs	112,658	95,636	69,820
All Other Operating Expenditures	188,108	156,089	161,852
Total Awards and Grants Expenditures:	\$ 945,543	\$ 551,418	\$ -
Percentage of Total Expenditures:	33.9%	26.1%	0%
GRAND TOTAL - ALL EXPENDITURES	<u>\$ 2,786,856</u>	<u>\$ 2,112,580</u>	<u>\$ 1,170,078</u>

Note 1: Expenditures were obtained from the Office's records and have been reconciled to the State Comptroller's records as of September 30, 2021 and September 30, 2020.

Note 2: Expenditure amounts are vouchers approved for payment by the Office 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
OFFICE OF THE LIEUTENANT GOVERNOR
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
For the Two Years Ended June 30, 2021

Fiscal year 2021 Compared to Fiscal Year 2020

General Revenue Fund - 001

Operational Expenses

The increase of \$294,268 or 19% in Fiscal Year 2021 was due to additional staff being hired that increased Personal Services and social security cost. In addition, required operational matters also increased in Fiscal Year 2021.

Rural Affairs Council Including Grants or Administrative Expenses

The increase of \$13,338 or 100% in Fiscal Year 2021 was due to the Office of the Lieutenant Governor (Office) receiving this appropriation under the General Revenue Fund in Fiscal year 2021 instead of receiving an appropriation under the Agricultural Premium Fund as received in Fiscal Year 2020.

Grant to Illinois Innocence Project

The decrease of \$551,418 or 100% in Fiscal Year 2021 was due to a change in the appropriation to include administrative expenses.

Grant to Illinois Innocence Project with Administrative Expenses

The increase of \$946,522 or 100% in Fiscal Year 2021 was due to a change in the appropriation to include administrative expenses.

Agricultural Premium Fund - 045

Lump Sums - Ordinary and Contingent

A decrease of \$28,433 or 100% was due to the Fund not being appropriated in Fiscal Year 2021.

Fiscal year 2020 Compared to Fiscal year 2019

General Revenue Fund - 001

Operational Expenses

The increase of \$385,636 or 34% in Fiscal Year 2020 was due to the office hiring a number of staff to meet the increased needs of the Office's operational matters.

Grant to Illinois Innocence Project

The increase of \$551,418 or 100% was due to the Office receiving a first time appropriation for the grant to Illinois Innocence Project in Fiscal year 2020.

Agricultural Premium Fund - 045

Lump Sums - Ordinary and Contingent Expenses of the Rural Affairs Council

The increase of \$5,448 or 24% in Fiscal Year 2020 was due to an increase in travel expenses due to the participation of staff in the State Fair.

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
For the Two Years Ended June 30, 2021

Fiscal Year 2021

General Revenue Fund - 001

Grant to Illinois Innocence Project

Invoices for the program expenses and data billing were not received until the end of June and August and were paid during lapse period.

Fiscal Year 2021

General Revenue Fund - 001

Operational Expenses

Invoices for Fiscal year 2021 data billing and a supplemental I.T. charge were not received until July and were paid during the lapse period.

Grant to Illinois Innocence Project with Administrative Expenses

Final invoice for program expenses were not receive until August and was paid during lapse period.

STATE OF ILLINOIS
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF CHANGES IN STATE PROPERTY
For the Two Years Ended June 30, 2021

	<u>Beginning Balances</u>	<u>Additions</u>	<u>Deletions</u>	<u>Net Transfers</u>	<u>Ending Balance</u>
FISCAL YEAR 2020					
Property					
Equipment	\$ 30,551	\$ 14,929	\$ (1,034)	\$ (6,450)	\$ 37,996
Total	<u>\$ 30,551</u>	<u>\$ 14,929</u>	<u>\$ (1,034)</u>	<u>\$ (6,450)</u>	<u>\$ 37,996</u>
Capital Leases					
Equipment	\$ 10,985	\$ -	\$ -	\$ -	\$ 10,985
Total	<u>\$ 10,985</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 10,985</u>

Note 1: These balances were obtained from the Agency's records and have been reconciled to the Agency quarterly *Agency Report of State Property* reports submitted to the Office of the State comptroller for the year ended 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
OFFICE OF THE LIEUTENANT GOVERNOR
SCHEDULE OF CHANGES IN STATE PROPERTY
For the Two Years Ended June 30, 2021

	<u>Beginning Balances</u>	<u>Additions</u>	<u>Deletions</u>	<u>Net Transfers</u>	<u>Ending Balance</u>
FISCAL YEAR 2021					
Property					
Equipment	\$ 37,996	\$ 7,098	\$ (1)	\$ (2,059)	\$ 43,034
Total	<u>\$ 37,996</u>	<u>\$ 7,098</u>	<u>\$ (1)</u>	<u>\$ (2,059)</u>	<u>\$ 43,034</u>
Capital Leases					
Equipment	\$ 10,985	\$ 10,810	\$ (10,987)	\$ -	\$ 10,808
Total	<u>\$ 10,985</u>	<u>\$ 10,810</u>	<u>\$ (10,987)</u>	<u>\$ -</u>	<u>\$ 10,808</u>

Note 1: These balances were obtained from the Agency's records and have been reconciled to the Agency quarterly *Agency Report of State Property* reports submitted to the Office of the State comptroller for the year ended June 30, 2021.

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

Functions

The Office of the Lieutenant Governor (Office) is an elected position for a four-year term (10 ILCS 5/2A-5). The Lieutenant Governor is the second-highest executive office in Illinois and first in line for the governorship. Under the Illinois Constitution, the Lieutenant Governor becomes the Acting Governor if the Governor is unable to discharge the duties of the Office. Over the course of Illinois history, seven Lieutenant Governors have replaced Governors who died, resigned, or were removed from office.

Juliana Stratton was elected Lieutenant Governor and subsequently sworn into office on January 14, 2019.

In addition to being prepared to lead the State, the Lieutenant Governor exercises the powers delegated to her by the Governor and that may be prescribed by law. By statutory mandate, the Lieutenant Governor acts as the State's top advocate for rural communities, military families, and river conservation through her leadership of the Governor's Rural Affairs Council; the Military Economic Development Committee; and the Illinois Rivers Coordinating Council (a consolidation of the Illinois River, Mississippi River, and Wabash & Ohio Rivers Coordinating Councils).

In this current administration, the Lieutenant Governor's advocacy also includes chairing the Illinois Council on Women & Girls, which is responsible for promoting policy change and advocacy initiatives related to issues affecting women and girls across the State of Illinois.

Lastly, the Lieutenant Governor serves as the ambassador to Illinois Main Street, a downtown revitalization program.

These responsibilities, and all work in the Lieutenant Governor's Office, is supported by the Operations and Administration department, which oversees fiscal and operational functions of the department. Under the purview of the Chief Operating Officer, the team assists in fulfilling the duties of the Office by completing daily internal operations; coordinating and managing external front-desk operations; and preparing and maintaining documentation for the reporting of the Office.

Planning

The Office's primary objective is to support government services, according to the State's Budgeting for Results Commission. The Office applies that objective to its required duties and roles as highlighted below.

Chair, Governor's Rural Affairs Council

- In calendar years 2020 and 2021, the Council met 8 times; this excludes committee meetings.
- Health and Healthcare
 - Improving access to healthcare in rural areas (e.g. telehealth options, increasing the number and presence of clinics and other health offices) and promoting healthy-living lifestyles for adults and children in rural areas.

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

- Rural Education
 - Ensuring that rural education (kindergarten through college) is supported State-wide and amplifying career and job opportunities related to rural development.
 - Hosting rural webinar series focusing on issues raised by rural students and educators related to the rural college pipeline.
- Economic Development & Infrastructure
 - Supporting the development of main streets and other economic hubs in rural Illinois by augmenting their economic capacity and improving their infrastructure.
- The Governor’s Rural Affairs Council, through committees, has developed recommendations to report to the Governor’s Office and the General Assembly.

Chair, Military Economic Development Committee

- In calendar years 2020 and 2021, the Committee met 8 times; this excludes subcommittee meetings.
- Support Defense Communities
 - Conducting listening posts and online surveys in communities with military installations; prepare Statewide economic impact study of active military bases; coordinate communication among agencies working to retain and recruit military and civilian jobs in Illinois.
- Cybersecurity & Defense Industrial Supply Chain
 - Assisting cybersecurity and defense industry companies with meeting regulatory requirements for manufacturing equipment for the Department of Defense.
- Base Proximate Economic Development
 - Bolstering the economic vitality of communities surrounding and dependent on military installations so that they are economically sound, even in the event of the installations’ closings.
- Quality of Life
 - Protecting and improving the quality of life for service members’ families and those living in communities around military installations.
- The Lieutenant Governor’s office published the 2020 State of the Bases Report, documenting the convening of the heads of Illinois military installations to report out the functions and needs of these facilities.
- The Military Economic Development Committee has developed recommendations to report to the Governor’s Office and the General Assembly.

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

Chair, Illinois Rivers Coordinating Council

- In calendar years 2020 and 2021, the Council met 7 times; this excludes committee meetings.

- Asian Carp & Other Invasive Species
 - Focusing on ways to reduce the prevalence of existing invasive species in Illinois' waterways and preventing the introduction of new invasive species; this is done through supporting existing work in State agencies such as the Illinois Department of Natural Resources and supporting new research on approaches to solve crises stemming from invasive species.

- Economic Development & Infrastructure
 - Focusing on flood protection and risk management on the infrastructure side; focused on local community economic improvement (e.g. reintroducing tourism) on the economic development side.

- Conservation & Environment
 - Focusing on ways to protect the environment through conservation efforts; this includes protecting species in our waterways, land around those waterways, and the waterways themselves.

- The Illinois Rivers Coordinating Councils, through committees, have developed recommendations to report to the Governor's Office and the General Assembly.

Chair, Illinois Council on Women and Girls

- In calendar years 2020 and 2021, the Council met 9 times; this excludes committee meetings.

- Health & Healthcare
 - Hosting a health equity summit engaging community stakeholders with the Illinois Department of Public Health (IDPH) to improve access to data on health disparities.

- Gender-Based Violence
 - Addressing challenges related to protecting survivors of gender-based violence including, but not limited to, stigma reduction to encourage more women and girls to come forward; mitigating the risk of gender-based violence against women and girls through education campaigns; and improving resources—and access to those resources—for survivors of this type of violence.

- Leadership & Inclusion
 - Improving leadership and inclusion opportunities for girls in state government.

- Academic & Economic Opportunity
 - Improving access to academic and economic opportunities by providing educational resources and improving school-to-career pipelines.

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

- In March 2021, the Lieutenant Governor's office conducted the first-ever #WeAreOne Women and Girls Virtual Summit. This month-long, five-part virtual series addressed the above-outlined issue areas via guest speakers who advocated on behalf of women and girls.
- The Girls Committee was created in 2021 to represent the voices of Illinois youth in the policy-making process. The committee, comprised of 9 high-school aged girls who applied to join, provides input on the Council's existing work, including reports and gender-based violence programming, while pursuing projects as a standing committee.
- The Illinois Council on Women and Girls, through committees, has developed recommendations to report to the Governor's Office and the General Assembly.

Lead, *#ThroughOurEyes* Alzheimer's Campaign

- Convened 12 listening sessions across Illinois to understand the challenges faced by patients and caregivers for Alzheimer's and related dementia.
- Developed policy recommendations related to public awareness and healthcare industry treatment of people with Alzheimer's and caregivers.
- Support development of IDPH Notice of Funding Opportunity to improve access to information regarding Alzheimer's support.
- Engage in discussions on legislative matters related to healthcare worker training on Alzheimer's.
- The Lieutenant Governor was a key supporter of SB677, a law signed by Governor JB Pritzker that requires licensed healthcare professionals who serve adults to complete training to identify symptoms of Alzheimer's and other dementias. This is the first legislation of this kind in the nation.

Partner, Pritzker/Stratton Administration

- Offer recommendations and support to the Office of the Governor as it relates to external affairs, policy, and legislative affairs especially for relevant programming based on councils, committees, and initiatives the Office of the Lieutenant Governor oversees.

Justice, Equity, and Opportunity Initiative

- *The Justice, Equity, and Opportunity (JEO) Initiative* centralizes the State's criminal justice reform efforts and promotes economic opportunity in communities most impacted by a broken criminal justice system. Established by executive order in February 2019, the JEO Initiative convenes criminal justice stakeholders from all levels of government, supports research and pilot programs, and advises government leaders on criminal justice reform efforts. The JEO Initiative has convening authority over all state agencies and works closely with agency directors and leadership to implement a holistic approach to justice reform.

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

- *The Restore, Reinvest and Renew (R3) Program:* The R3 Program, established in the 2019 Cannabis Regulation and Tax Act, invests 25% of tax revenues from adult-use cannabis sales into communities most impacted by mass incarceration and the War on Drugs. A leader in innovative and equitable government grantmaking, the R3 program funds community planning processes and service delivery in five areas: civil legal aid, economic development, reentry, violence prevention, and youth development.
 - The Lieutenant Governor chairs the R3 Program Board
 - In January 2021, the R3 Program Board approved \$31.5 million in funding for 80 grants reaching 200 awardees, made up of organizations and their collaborative partners.
 - In the summer of 2021, the Board approved the granting of \$3.5 million in violence response funding.
 - On December 15, 2021, a Notice of Funding Opportunity was announced for a second round of R3 grant funding totaling \$45 million.

- *The Illinois Department of Juvenile Justice (IDJJ) 21st Century Illinois Transformation Model:* The JEO Initiative, in partnership with the Illinois Department of Juvenile Justice (IDJJ) and the Governor's Office, created a new model of juvenile justice. It is designed to reduce the harm of incarceration for youth committed to IDJJ, which are disproportionately Black and Brown youth. The JEO Initiative and IDJJ partnered to host roundtable discussions with formerly justice-involved youth and their families to better understand how IDJJ can improve their experiences and engage with families. Community voices advocated for closer, more family-centric facilities that have programs connecting them with resources and organizations in the communities youth will return to post-release. The 21st Century Illinois Transformation Model seeks to accomplish that and more. Seventy-five percent of the youth will have access to frequent family visits through the new model, which looks to bring love and compassion into policymaking and program delivery to some of our most vulnerable children.

- *State ID Pilot Program:* The JEO Initiative, in partnership with the Office of First Lady MK Pritzker, the Illinois Secretary of State (SOS), and the Illinois Department of Corrections (IDOC), launched a pilot program to support successful re-entry. The program arranges for State ID's to be provided to people who are being released from IDOC facilities. This pilot includes coordination between the IDOC, SOS, IDPH and local county clerk offices' department of vital records, and the Social Security Administration in an effort to drastically improve the chances of successful reentry by addressing a barrier that impacts thousands of people who are released from IDOC annually in need of a State ID.
 - In 2021, the State ID Pilot Program expanded from two (2) to 18 IDOC facilities and processed 346 State ID cards in 2021.

Designated Oversight of Justice Agencies

- New to this administration, the Office of the Lieutenant Governor is also responsible for the oversight of the following State agencies:
 - Department of Juvenile Justice
 - Concealed Carry Licensing Review Board

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

- Law Enforcement Training and Standards Board
 - Prisoner Review Board
 - Sentencing Policy Advisory Council
- The Governor assigned the oversight of the above referenced councils to the Office of the Lieutenant Governor. The Office addresses administration, legislative and other relevant issues that may arise in such agencies in connection and conjunction with the Governor's office.

Main Street / Urban Main Initiative

- Established by 20 ILCS 720, the role of the Lieutenant Governor is to serve as Ambassador of the Illinois Main Street Program, which is administered out of the Illinois Department of Commerce and Economic Opportunity (DCEO). The program provides technical assistance to municipalities that meet certain criteria to revitalize downtowns, neighborhood business districts, and urban corridors.
- The Lieutenant Governor is working in partnership with the DCEO to reactivate this important community revitalization project. The Illinois Main Street / Urban Main Initiative is currently being strategically planned, alongside the DCEO, with the intention of working with communities to preserve downtown areas, rejuvenate local businesses and revitalize commercial centers throughout the State.

Governor's Opioid Overdose Prevention & Recovery Steering Committee

- The Steering Committee is co-chaired by the Lieutenant Governor, the Secretary of the Illinois Department of Human Services, and the Director of the Department of Public Health.
- Building on the state's commitment to address the opioid crisis, Governor Pritzker signed Executive Order 2020-02 on January 27, 2020 to better address racial disparities in responding to the opioid crisis by establishing the Governor's Opioid Overdose Prevention and Recovery Steering Committee (Steering Committee).
- The purpose of the Steering Committee is to guide the work of the Illinois Opioid Crisis Response Advisory Council (Council), serve as a liaison between the Council and the Governor's Office, and oversee implementation of the State Opioid Action Plan. Furthermore, the Steering Committee works to formulate an implementation plan of the State Opioid Action Plan, conduct a process evaluation of the implementation of the State Opioid Action Plan, and develop another three-year State Opioid Action Plan.

COVID-19 Response

The COVID-19 pandemic disrupted regular functions of the Office of the Lieutenant Governor, but adapting to virtual formats allowed for fulfilling duties of the Office while complying with COVID-19 safety protocols.

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
OFFICE OF THE LIEUTENANT GOVERNOR
FUNCTIONS AND PLANNING PROGRAM
For Two Years Ending June 30, 2021

- The Office conducted work fully remote between March 2020 and May 2021. As of March 2020, all meetings for councils, committees, and agencies under the Lieutenant Governor’s purview transitioned to virtual settings.
- The Lieutenant Governor created a cultural influencer campaign for radio and social media to inform residents on COVID-19 safety, and also appeared in more than 30 legacy news stories—including two COVID-19 television specials in 2020.

The Operations and Administration team is in place to support the above-described planning for committees, councils, initiatives, campaigns, programs, and actions by maintaining fiscal and operational functions.

- Meet the expressed and anticipated needs of the Office of the Lieutenant Governor’s staff, including basic administrative necessities as well as specific requests.
- Regularly address invoices, inventories, and other administrative responsibilities throughout the week, quarter, or year as required.
- The team will continue to work in a uniform and effective manner that has prevented significant operational challenges, such as backlogs in the Office.

The Office of the Lieutenant Governor engages in strategic planning to implement the office’s mission and values. In pursuing this priority, the Office participated in an extensive planning process led by members of the Central Management Services’ Office of Operational Excellence. This process provided the foundational strategic goals and objectives for our office which guides the work throughout the year. Quarterly review of the identified goals and objectives by senior staff allows for needed modifications as well as acknowledgments of met objectives.

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
OFFICE OF THE LIEUTENANT GOVERNOR
NUMBER OF EMPLOYEES
For the Fiscal Year Ended June 30,

	2021	2020	2019
<u>AVERAGE FULL-TIME EMPLOYEES</u>			
General Office	18	15	11
Total Full-Time Equivalent Employees	18	15	11

Note 1: This schedule presents the average number of employees, by function, at the office.

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
OFFICE OF THE LIEUTENANT GOVERNOR
ANALYSIS OF OVERTIME AND EARNED EQUIVALENT TIME
For the Fiscal Year Ended June 30,

	2021	2020	2019
OPERATIONAL DIVISION			
General Office			
Overtime Hours Paid	0	0	0
Earned Equivalent Time Hours Granted	2,141	3,222	2,320
Total	<u>2,141</u>	<u>3,222</u>	<u>2,320</u>
Value of Overtime Hours Paid	\$ -	\$ -	\$ -
Value of Earned Equivalent Time Hours Granted	96,548	159,427	116,219
Total Costs	<u>\$ 96,548</u>	<u>\$ 159,427</u>	<u>\$ 116,219</u>
GRAND TOTAL - ENTIRE OFFICE			
Overtime Hours Paid	0	0	0
Earned Equivalent Time Hours Granted	2,141	3,222	2,320
Total	<u>2,141</u>	<u>3,222</u>	<u>2,320</u>
Value of Overtime Hours Paid	\$ -	\$ -	\$ -
Value of Earned Equivalent Hours Granted	96,548	159,427	116,219
Total Costs	<u>\$ 96,548</u>	<u>\$ 159,427</u>	<u>\$ 116,219</u>

Note 1: All information in the above schedule is based off of Earned Equivalent Time.

Note 2: The Office of the Lieutenant Governor only earns Earned Equivalent Time. Earned Equivalent Time does not have a monetary value attached to it. If the employee leaves, they do not get paid out for Earned Equivalent Time.

Note 3: The Value of the Earned Equivalent Hours Granted is based off of the employee's gross salary.

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.