

STATE OF ILLINOIS  
DEPARTMENT OF INNOVATION AND TECHNOLOGY  
INFORMATION TECHNOLOGY SHARED SERVICES

Report Required Under  
*Government Auditing Standards*

FOR THE PERIOD  
JULY 1, 2019 – JUNE 30, 2020



**STATE OF ILLINOIS  
DEPARTMENT OF INNOVATION AND TECHNOLOGY  
INFORMATION TECHNOLOGY SHARED SERVICES**

**For the Year Ended June 30, 2020**

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**STATE OF ILLINOIS  
DEPARTMENT OF INNOVATION AND TECHNOLOGY  
INFORMATION TECHNOLOGY SHARED SERVICES**

**For the Year Ended June 30, 2020**

**DEPARTMENT OFFICIALS**

Secretary (2/18/20 - Present)	Ron Guerrier
Acting Secretary (7/1/19 - 2/17/20)	Ron Guerrier
Acting Assistant Secretary (2/10/20 - Present)	Jennifer Ricker
Assistant Secretary (7/1/19 - 2/9/20)	Vacant
Chief Internal Auditor	Doug Tinch
Affirmative Action/Equal Employment Opportunity Officer	Vickie Simpson
Chief Administrative Officer (3/2/20 - Present)	Vacant
Chief Administrative Officer (7/1/19 - 3/1/20)	Jenifer Johnson
Chief Service Officer	Vacant
Chief of Staff	Jennifer Ricker
ERP Program Director	Gregg Easterly
Chief Data Officer (11/18/19 - Present)	Tamara Roust
Chief Data Officer (7/1/19 - 11/17/19)	Vacant
Chief Enterprise Architect	Brad Long
Chief Information Security Officer	Adam Ford
Chief Technology Officer	Lori Sorenson
Group Chief Information Officers	
Family, Children, Elderly & Veterans (12/2/19 - Present)	Stan Hoover
(7/1/19 - 12/1/19)	Vacant
Government & Public Employee	Gloria Lasley
Business & Workforce	Sunil Thomas

**STATE OF ILLINOIS  
DEPARTMENT OF INNOVATION AND TECHNOLOGY  
INFORMATION TECHNOLOGY SHARED SERVICES**

**For the Year Ended June 30, 2020**

**DEPARTMENT OFFICIALS (continued)**

Natural & Cultural Resources	Troy Horton
Public Safety	Marc Sullivan
Education (11/18/19 - Present)	Mary Reynolds
Education (9/16/19 - 11/17/19)	Vacant
Education (7/1/19 - 9/15/19)	Kevin Parker
Transportation (7/1/19 - Present)	Vacant

The Department's main offices are located at:

120 West Jefferson Street  
Springfield, Illinois 62702

100 West Randolph Street  
Chicago, Illinois 60601

**DEPARTMENT OF INNOVATION AND TECHNOLOGY**  
**GOVERNMENT AUDITING STANDARDS REPORT**

**Government Auditing Report Summary**

The examination of the “Description of the Information Technology Shared Services for the Information Technology General Controls and Application Controls” system (System and Organization Control Report) was performed by the Office of the Auditor General in accordance with *Government Auditing Standards*.

Based on their examination, the Service Auditors expressed a modified opinion on the Department’s “Description of the Information Technology Shared Services for the Information Technology General Controls and Application Controls” system. The System and Organization Control Report was issued under separate cover dated August 5, 2020.

**Summary of Findings**

The Service Auditors identified two matters involving the Department’s internal control over the “Description of the Information Technology Shared Services for the Information Technology General Controls and Application Controls” system that they consider to be material weaknesses.

Item No.	Page	Last/First Reported	Description	Finding Type
CURRENT FINDINGS				
2020-001	8	2020/2018	Controls Were Not Suitably Designed	Material Weakness
2020-002	9	2020/2018	Controls Did Not Operate Effectively	Material Weakness
PRIOR FINDINGS NOT REPEATED				
A	12	2019/2018	Inaccurate Description of System	

**Exit Conference**

This report was discussed with Department personnel at an exit conference on August 3, 2020. Attending were:

Representing the Department of Innovation and Technology

Jennifer Ricker, Acting Assistant Secretary  
Jenifer Johnson, Chief Administrative Officer  
Doug Tinch, Chief Internal Auditor  
Judy Zhu, Security Compliance  
Kyle O’Rourke, Consultant  
Tiffany McCoy, Consultant  
Roberto Concepcion, Consultant

Representing the Office of the Auditor General  
Kathy Lovejoy, Principal of IS Audits  
Miranda Karger, Supervisor

The responses to the recommendations were provided by Judy Zhu, Security Compliance on August 5, 2020.

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OFFICE OF THE AUDITOR GENERAL  
FRANK J. MAUTINO

**INDEPENDENT SERVICE AUDITOR'S REPORT ON INTERNAL CONTROL  
OVER REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED  
ON AN EXAMINATION OF A SERVICE ORGANIZATION PERFORMED  
IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

We have examined, in accordance with the attestation standards established by the American Institute of Certified Public Accountants and the standards applicable to attestation engagements contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the State of Illinois, Department of Innovation and Technology's "Description of the Information Technology Shared Services for the Information Technology General Controls and Applications Controls" (description) for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020, and have issued our report thereon under separate cover dated August 5, 2020.

**Internal Control over Reporting**

Management of the State of Illinois, Department of Innovation and Technology is responsible for establishing and maintaining effective internal control over (1) fairly presenting the State of Illinois, Department of Innovation and Technology's description for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020, and (2) establishing and maintaining effective internal control over the suitable design and operating effectiveness of the controls related to the control objectives within the State of Illinois, Department of Innovation and Technology's description for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020 (internal control over reporting).

In planning and performing our examination, we considered the State of Illinois, Department of Innovation and Technology's internal control over reporting to determine the examination procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the State of Illinois, Department of Innovation and Technology's description for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020, but not for the purpose of expressing an opinion on the effectiveness of the State of Illinois, Department of Innovation and Technology's internal control over reporting.

Accordingly, we do not express an opinion on the effectiveness of the State of Illinois, Department of Innovation and Technology's internal control over reporting.

*A deficiency in internal control over reporting* 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, misstatements on a timely basis. *A material weakness in internal control over reporting* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the Department's description will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over reporting* 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 over reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over reporting that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that were not identified. 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 material weaknesses.

### **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the State of Illinois, Department of Innovation and Technology's description for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020, is fairly presented and the controls related to the control objectives in the State of Illinois, Department of Innovation and Technology's description for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020, were suitably designed and operating effectively, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the State of Illinois, Department of Innovation and Technology's description for the information technology general controls and application controls throughout the period from July 1, 2019, through June 30, 2020. However, providing an opinion on compliance with those provisions was not an objective of our examination and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### **State of Illinois, Department of Innovation and Technology's Responses to Findings**

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

## **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control over reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the State of Illinois, Department of Innovation and Technology's internal control over reporting or on compliance. This report is an integral part of an examination performed in accordance with *Government Auditing Standards* in considering the State of Illinois, Department of Innovation and Technology's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

**SIGNED ORIGINAL ON FILE**

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Jane Clark, CPA  
Director of Financial and Compliance Audits

Springfield, Illinois  
August 5, 2020

**SIGNED ORIGINAL ON FILE**

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Mary Kathryn Lovejoy, CPA, CISA  
Principal of IS Audits

**STATE OF ILLINOIS**  
**DEPARTMENT OF INNOVATION AND TECHNOLOGY**  
**CURRENT FINDINGS - GOVERNMENT AUDITING STANDARDS**  
**For the Year Ended June 30, 2020**

**2020-001**      **Finding**      Controls Were Not Suitably Designed

The Department of Innovation and Technology (Department) did not ensure all its controls were suitably designed to achieve its control objectives. The controls related to the control objectives are stated in the “Description of the Information Technology Shared Services for the Information Technology General Controls and Application Controls” (description of system), provided by the Department.

The Department stated in its description of system that controls were not in place for:

- Access reviews to the Communication Building during the period of July 1, 2019, to December 31, 2019; and,
- Access reviews to the Department’s Central Computing Facility highly secured area during the period of July 1, 2019, to November 30, 2019.

As a result of the above noted exceptions, the controls were not suitably designed.

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

Department management indicated the weaknesses noted were due to the lack of resources.

Failure to provide controls that were suitably designed resulted in a modified opinion on the Department’s System and Organization Control Report related to the Information Technology Shared Services. (Finding Code 2020-001, 2019-002, 2018-002)

**Recommendation**

We recommend the Department ensure the controls are suitably designed over the services provided to user entities.

**Department Response**

The Department agrees with the finding. While the physical access reviews were performed during the above mentioned period, the review procedure was under development, and documentation was not maintained. The Department has developed procedures and implemented controls to perform physical access reviews of mentioned buildings.

**STATE OF ILLINOIS**  
**DEPARTMENT OF INNOVATION AND TECHNOLOGY**  
**CURRENT FINDINGS - GOVERNMENT AUDITING STANDARDS**  
**For the Year Ended June 30, 2020**

**2020-002**      **Finding**            Controls Did Not Operate Effectively

The Department of Innovation and Technology (Department) did not ensure its controls over the State’s Shared Services system operated effectively. The controls related to the control objectives are stated in the “Description of the Information Technology Shared Services for the Information Technology General Controls and Application Controls” (description of system), provided by the Department.

**Population Problems**

As part of our testing to determine if the controls were operating effectively, we requested the Department to provide a population of modifications to employees’ and contractors’ access to the Department’s resources. However, the Department was unable to provide a population. As a result of the Department’s inability to provide the population, we were unable to conduct testing to determine if the controls related to logical access to applications, data, and the environment were restricted to authorized and appropriate users.

Additionally, we requested the Department provide a population of an operating system’s patches applied during the examination period. Although the Department provided a population, they did not provide documentation demonstrating the population was complete and accurate. Due to these conditions, we were unable to conclude the Department’s population was sufficiently precise and detailed under the Attestation Standards promulgated by the American Institute of Certified Public Accountants (AT-C § 320.30) to test the operating effectiveness of the control.

**Controls Not Operating Effectively**

Furthermore, during our testing of the controls related to the control objectives stated in the description of system, we noted specific controls which did not operate effectively. Specifically, we noted:

Logical Access Provisioning and De-Provisioning

- The Department was unable to provide documentation demonstrating the timely termination of individuals’ access to the Department’s resources.
- New employee and contractor access requests were not submitted by an authorized Agency Technology Service Requester or Department IT Coordinator.
- A new employee did not have an access request submitted to obtain access to the Department’s resources.
- The annual technical account review controls did not include a defined timeframe for the disabling/deletion of accounts in the event a manager did not respond to the review request.

### Physical Access Provisioning and De-Provisioning

- The Department was unable to provide a listing of individuals authorized to approve the DoIT Badge Request form.
- The Department was unable to provide documentation demonstrating terminated individuals' access badge was deactivated.
- Multiple instances where individuals were not properly authorized or should not have had access to one of the Department's facilities.
- An individual did not have a completed DoIT Badge Request form in order to obtain access to the Department's facilities.
- The Physical Access Door Group Review Procedures did not document the review frequency and the door groups which were to be reviewed.

### Human Resource

- Multiple instances where employee evaluations were not completed within the defined timeline.
- Multiple instances where employees and contractors did not complete the Safeguard Disclosure training and the Security Awareness training.
- Multiple instances where Remedy service requests were not completed for terminated employees.

### Application Edits

- One state's tax rate was incorrect in the Central Payroll System tax tables.

### Change Management

- The Change Management Process Guide did not contain information on the change freeze process.
- Changes did not always have test plans, backout plans, or implementation plans.
- Emergency changes did not always have a Post Implementation Review conducted.
- An emergency change was created and approved by the same individual; thus, creating a segregation of duties weakness.
- Changes were improperly categorized.

### Help Desk

- Multiple instances where stolen or missing laptops did not have a verification completed to determine if encryption was installed.

### Monitoring

- A daily Resource Management Facility Report was not provided.
- Multiple threats did not have a documented incident report.
- Multiple threat incident reports were missing required segments: lessons learned, prevention recommendations, notifications, status updates, and an executive summary.

### Device Configurations

- Multiple instances where:
  - Systems were not up-to-date with the latest anti-virus software.
  - Systems were not up-to-date with the latest virus definitions.
  - Systems did not have the anti-virus product version installed.
- Multiple instances where operating system patches were not tested prior to being pushed to the general populations.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Department to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance that resources and funds applicable to operations are properly recorded and accounted for to permit the preparation of accounts and reliable financial and statistical reports and to maintain accountability over the State's resources. Further, the State Records Act (5 ILCS 160/8) requires the Department to make and reserve records containing adequate and proper documentation of the functions, policies, decisions, procedures, and actions of the Department in order to protect the legal and financial rights of the State.

Department management indicated the errors were due to oversight, human error, and system limitations.

Failure to ensure controls operated effectively to provide reasonable assurance that the control objectives stated in the description were achieved resulted in a modified opinion on the Department's System and Organization Control Report related to the Information Technology Shared Services. (Finding Code No. 2020-002, 2019-003, 2018-003)

### **Recommendation**

We recommend the Department ensure its controls operate effectively over the services provided to user entities.

### **Department Response**

The Department agrees with the finding. The Department now generates a monthly report to record individual access termination information. The Department will continue to update internal procedures and maturing internal process to ensure control effectiveness.

**STATE OF ILLINOIS**  
**DEPARTMENT OF INNOVATION AND TECHNOLOGY**  
**PRIOR YEAR FINDINGS NOT REPEATED**  
**For the Year Ended June 30, 2020**

A. **FINDING** Inaccurate Description of System

During the prior examination, the “Description of the IT General Controls and Application Controls for the Department of Innovation and Technology’s Information Technology Shared Services system” (description of system), as provided by the Department of Innovation and Technology, contained inaccuracies and omissions.

During the current examination, the Department of Innovation and Technology’s description of system did not contain inaccuracies or omissions. (Finding Code No. 2019-001, 2018-001)