

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY**

**COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

Performed as Special Assistant Auditors  
for the Auditor General, State of Illinois

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

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**AUTHORITY OFFICIALS**

Vice Chair	Mr. Patrick Delfino
Executive Director (07/23/19 - Present) (07/01/19 - 07/22/19) (03/01/19 - 06/30/19) (Through 02/28/19)	Mr. Jason Stamps (Acting) Mr. Robin Murphy (Acting) Ms. Megan Alderden, Ph. D. (Acting) Mr. John Maki, Esq.
Chief Financial Officer (10/01/19 - Present)	Ms. Karen Crawford (Acting)
Deputy Director and Chief Financial Officer (09/05/19 - 09/30/19) (10/22/18 - 09/04/19) (10/20/18 - 10/21/18) (Through 10/19/18)	Vacant Ms. Angela Weis (Acting) Vacant Mr. Randolph Kurtz
Associate Director, Human Resources	Ms. Zina Smith
Associate Director, Research and Analysis (07/01/19 - Present) (Through 06/30/19)	Ms. Jessica Reichert Ms. Megan Alderden, Ph.D.
Associate Director, Federal and State Grants Unit (04/01/18 - Present) (Through 03/31/18)	Mr. Gregory Stevens Mr. Kevin Givens
Associate Director, Information Systems Unit	Mr. Anthony Jenkins (Acting)
General Counsel (01/21/19 - Present) (01/19/19 - 01/20/19) (06/01/18 - 01/18/19) (Through 05/31/18)	Mr. Robin Murphy (Acting) Vacant Ms. Malgorzata Bereziewicz (Acting) Ms. Angela Weis

The Authority's office is located at:

300 West Adams Street, Suite 200  
Chicago, Illinois 60606



**ILLINOIS  
CRIMINAL JUSTICE  
INFORMATION AUTHORITY**

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300 W. Adams Street • Suite 200 • Chicago, Illinois 60606 • (312) 793-8550

MANAGEMENT ASSERTION LETTER

February 14, 2020

E. C. Ortiz & Co., LLP  
815 W. Van Buren St., Suite 500  
Chicago, Illinois 60607

Ladies and Gentlemen:

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the Illinois Criminal Justice Information Authority. 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 Illinois Criminal Justice Information Authority's compliance with the following assertions during the two-year period ended June 30, 2019. Based on this evaluation, we assert that during the years ended June 30, 2018 and June 30, 2019, the Illinois Criminal Justice Information Authority has materially complied with the specified requirements listed below.

- A. The Illinois Criminal Justice Information Authority 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. Other than what has been previously disclosed, the Illinois Criminal Justice Information Authority 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. Other than what has been previously disclosed, the Illinois Criminal Justice Information Authority has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the Illinois Criminal Justice Information Authority are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate, and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the Illinois Criminal Justice Information Authority on behalf of the State or held in trust by the Illinois Criminal Justice Information Authority have been properly and legally administered, and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

Yours truly,

Illinois Criminal Justice Information Authority

**SIGNED ORIGINAL ON FILE**

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Jason Stamps  
Acting Executive Director

**SIGNED ORIGINAL ON FILE**

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Karen Crawford  
Acting Chief Financial Officer

**SIGNED ORIGINAL ON FILE**

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Robin Murphy  
Acting General Counsel

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPLIANCE EXAMINATION  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

**COMPLIANCE REPORT**

**SUMMARY**

The compliance testing performed during this examination was conducted in accordance with *Government Auditing Standards* and in accordance with 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 or disclaimers, but does contain a modified opinion on compliance and identifies material weaknesses over internal control over compliance.

**SUMMARY OF FINDINGS**

Number of	Current Report	Prior Report
Findings	10	10
Repeated findings	7	3
Prior recommendations implemented or not repeated	3	1

**SCHEDULE OF FINDINGS**

FINDINGS (STATE COMPLIANCE)

Item No.	Page	Last Reported	Description	Finding Type
2019-001	10	2017	Failure to Conduct Adequate Site Visit Monitoring of Grantees	Material Weakness and Material Noncompliance
2019-002	14	2017	General Failure to Prepare and Maintain Documentation	Material Weakness and Material Noncompliance
2019-003	17	2017	Inadequate Controls over Monitoring Grant Agreement Requirements	Material Weakness and Material Noncompliance
2019-004	22	2017	Inadequate Controls over Expenditures and Obligations	Material Weakness and Material Noncompliance
2019-005	27	2017	Noncompliance with the Gang Crime Witness Protection Act of 2013	Significant Deficiency and Noncompliance

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**SCHEDULE OF FINDINGS (CONTINUED)**

FINDINGS (STATE COMPLIANCE) (CONTINUED)

<u>Item No.</u>	<u>Page</u>	<u>Last Reported</u>	<u>Description</u>	<u>Finding Type</u>
2019-006	29	2017	Inadequate Controls over Payroll File Deductions	Significant Deficiency and Noncompliance
2019-007	31	2017	Non-Appointment of Members	Significant Deficiency and Noncompliance
2019-008	33	New	Failure to Timely File FCIAA Certifications	Significant Deficiency and Noncompliance
2019-009	34	New	Failure to Comply with the State Employment Records Act	Significant Deficiency and Noncompliance
2019-010	37	New	Noncompliance with Required Contracting Procedures	Significant Deficiency and Noncompliance

PRIOR FINDINGS NOT REPEATED

A	38	2017	Inadequate Controls over Performance Evaluations
B	38	2017	Failure to Report Grant Information
C	38	2017	Obsolete Provisions of State Statute Not Eliminated

**EXIT CONFERENCE**

The Authority waived an exit conference in a correspondence from Mr. Robin Murphy, Acting General Counsel, on February 3, 2020. The responses to the recommendations were provided by Mr. Robin Murphy, in a correspondence dated February 10, 2020.



**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

And

Authority Board  
State of Illinois, Illinois Criminal Justice Information Authority

**Compliance**

As Special Assistant Auditors for the Auditor General, we have examined compliance by the State of Illinois, Illinois Criminal Justice Information Authority (Authority) 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, 2019. Management of the Authority is responsible for compliance with the specified requirements. Our responsibility is to express an opinion on the Authority's compliance with the specified requirements based on our examination.

The specified requirements are:

- A. The Authority 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 Authority 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 Authority has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the Authority are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate, and in accordance with law.



- E. Money or negotiable securities or similar assets handled by the Authority on behalf of the State or held in trust by the Authority have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

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

Our examination disclosed material noncompliance with the following specified requirements applicable to the Authority during the two years ended June 30, 2019. As described in items 2019-001 through 2019-004 in the accompanying Schedule of Findings, the Authority had not 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. Further, as described in items 2019-001 through 2019-004 in the accompanying Schedule of Findings, the Authority had not complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.

In our opinion, except for the material deviations from the specified requirements described in the preceding paragraph, the Authority complied with the specified requirements during the two years ended June 30, 2019, 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 2019-005 through 2019-010.

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

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

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

*A deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with the specified requirements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material noncompliance with the specified requirements will not be prevented, or detected and corrected, on a timely basis. We consider the deficiencies described in the accompanying Schedule of Findings as items 2019-001 through 2019-004 to be material weaknesses.

*A significant deficiency* 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. We consider the deficiencies described in the accompanying Schedule of Findings as items 2019-005 through 2019-010 to be significant deficiencies.

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

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

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 Authority's compliance with the specified requirements. The accompanying supplementary information for the years ended June 30, 2019 and June 30, 2018 in Schedules 1 through 5 and the Analysis of Operations section are presented for purposes of additional analysis. Such information is the responsibility of Authority management. We have applied certain limited procedures as prescribed by the *Audit Guide* to the accompanying supplementary information for the years ended June 30, 2019 and June 30, 2018 in Schedules 1 through 5. We have not applied procedures to the accompanying supplementary information for the year ended June 30, 2017, in Schedules 3 through 5 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 5 or the Analysis of Operations Section.

**SIGNED ORIGINAL ON FILE**

Chicago, Illinois  
February 14, 2020

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
SCHEDULE OF FINDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

2019-001. **FINDING** (Failure to Conduct Adequate Site Visit Monitoring of Grantees)

The Illinois Criminal Justice Information Authority (Authority) failed to conduct adequate site visit monitoring of its grantees in accordance with its Federal and State Grants Unit's Policies and Procedures (FSGU P&P) during the examination period.

In response to the prior examination finding, the Authority amended its FSGU P&P, effective October 2017, to reflect attainable site visit requirements, while still ensuring sufficient oversight of grantees and compliance with State and federal site visit requirements.

Procedures for Program Site Visit Identification

Section 12E.IV.A of the FSGU P&P sets forth the requirements regarding how the Authority determined which programs, and their corresponding grant agreements, would be selected for an on-site visit during Fiscal Years 2018 and 2019. This section also states Grant Specialists will develop initial and subsequent site visit schedules, with supervisory approval, based on factors that include, but are not limited to:

1. The following site visit frequency standards, subject to adequate administrative funds and staffing:
  - a. Within the first six months of a new program and then, at a minimum, once every 12 months for high-risk grantees and 24 for medium and low-risk grantees, and when programmatic or compliance issues demonstrate the need for an immediate visit, unless statutory language differs.
  - b. For equipment and/or technology grants, a sample of at least 10 percent of the agreements issued during a State fiscal year shall be visited during the project period of performance. During this visit, the Grant Specialist will, at a minimum, locate the purchased equipment and review procurement and accounting documents, and discuss the use of the equipment/technology.
  - c. Additional site visits may be required as specified in special fund requirements or award special conditions.
2. Immediate compliance and reporting concerns.
3. Specific conditions.
4. Fund-specific requirements and special conditions.
5. Other programmatic site visits. FSGU Supervisors will share upcoming staff site visit schedules at least monthly to coordinate staff travel for training and efficiency purposes.

Site Visits Conducted on New Programs and Continuing Programs

In order to test if the Authority complied with the requirement that all new programs had a site visit conducted within the first six months of the program's inception, and

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- 2019-001. **FINDING** (Failure to Conduct Adequate Site Visit Monitoring of Grantees)  
(Continued)

every 12 months (for high-risk grantees) or 24 months (for low-risk grantees) thereafter, we requested a listing of all the new and continuing programs the Authority had during the examination period which would have been subjected to those requirements. We further requested the Authority to provide information as to which of those programs had a site visit conducted either within the six months of the new program's inception or within 12 months or 24 months of the previous site visit, as applicable. In response to our request, the Authority provided a listing of all 78 programs meeting the criteria. During our testing of 78 programs, we noted site visits were not conducted for 30 (38%) programs and site visits were not yet due for 12 (15%) programs. For the other 36 (46%) programs, we noted site visits were conducted timely and we tested the adequacy of the site visits conducted in relation to site visit procedures outlined in the FSGU P&P. See the applicable section of the finding below for the discussion of the results of that testing.

Site Visits Conducted for Equipment Grants

In order to test if the Authority complied with the requirement that ten percent of the equipment grant agreements issued during a State fiscal year had a site visit conducted during the project period of performance, we requested, and the Authority provided, a listing of five equipment grants that were issued during the examination period. The results of our testing indicated the Authority did not conduct site visits for the five equipment grants (100%).

Site Visits Conducted as a Requirement of the Grant Agreements

In order to test if the Authority complied with the requirement of a site visit being conducted as a result of it being a special fund requirement or as an award special condition in the applicable grant agreement, we requested, and the Authority provided, a listing of all grant agreements for programs active during the examination period. We selected a sample of 60 grants for detailed testing of the Authority's compliance with its responsibilities as outlined in grant agreements. Of those 60 grants selected for detailed testing, 11 grants contained a requirement for a site visit to be conducted. The results of our testing indicated the Authority did not conduct site visits for seven grants (64%).

Adequacy of Site Visits Conducted During the Examination Period

Of the 36 programs which had a site visit conducted timely during the examination period, we selected a sample of 10 grants to determine if the Authority performed site visits as required by its FSGU P&P.

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2019-001. **FINDING** (Failure to Conduct Adequate Site Visit Monitoring of Grantees)  
(Continued)

During our testing of each of the 10 grant files selected for testing, we noted:

- For 10 (100%) grant files tested, the site visit reports prepared by the Grant Specialist did not include the date of the site visit report, and therefore, we were unable to determine if the reports were prepared within 10 days following the site visit.
- For 8 (80%) grant files tested, the draft site visit follow-up letter to the grantee did not include the required expression of appreciation for accommodating the Authority staff at the visit.
- For 4 (40%) grant files tested, the site visit documentation did not support supervisory approval of the Grant Specialist's follow-up letter to the grantee. In addition, the site visit documentation did not contain the support to show the Grant Specialist sent the site visit follow-up letter to the grantee.
- For 2 (20%) grant files tested, a tour of the program areas was not performed by the Grant Specialist when on-site.
- For 1 (10%) grant file tested, the site visit report did not indicate whether a follow-up visit was required or not. As a result, we were unable to determine if the requirements of policies in relation to the follow-up visit were met.

Section 12E.IV.G of the FSGU P&P sets forth requirements of the responsibilities of the Grant Specialist when on-site at the grantee. Specifically, it requires the Grant Specialist to:

1. Tour program areas.
2. Within 10 working days following the site visit, prepare and submit for program administrator approval, the following:
  - a. Follow-up letter that includes the following:
    - i. Expression of appreciation for accommodating ICJIA staff during the visit.
    - ii. Review of issues discussed, identified problems, requested corrective action plans, and corrective action completion dates.
    - iii. Documents or information identified during the site visit that will assist the grantee.
  - b. Site visit report.
  - c. Upon approval of the letter and report, send a copy of both documents to the grantee and place a copy in the Masterfile.

Authority management stated the lack of site visits were mostly attributed to workload, staffing levels, and an overly ambitious site visit policy.

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- 2019-001. **FINDING** (Failure to Conduct Adequate Site Visit Monitoring of Grantees)  
(Continued)

Site visits are an integral part of the Authority's mission which is to develop, implement, and monitor State and local programs funded with State or federal funds administered by the Authority. Site visits ensure progress towards the goals of the grant-funded program and facilitate productive working relationships with grantees. Failure to adequately conduct and document site visits of grantees could expose the State to unnecessary and avoidable litigation, excessive expenditures, and overreliance on grantee reporting. (Finding Code No. 2019-001, 2017-001)

**RECOMMENDATION**

We recommend the Authority take immediate action to adequately conduct and document the site visits it performs during a State fiscal year for the purposes of monitoring grantees of the grant programs administered by the Authority.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority continues to improve upon its efforts to increase its site visit activities. The Authority recognizes that site visits are an integral part of grantee monitoring, and site visits are a priority for the Authority's staff. The site visit schedule is an internal requirement established in the Authority's FSGU Policy & Procedure Manual. The Authority will amend the FSGU Policy & Procedure Manual to reflect attainable site visit requirements, while still ensuring sufficient oversight of grantees and compliance with State and federal site visit requirements.

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2019-002. **FINDING** (General Failure to Prepare and Maintain Documentation)

The Illinois Criminal Justice Information Authority (Authority) failed to prepare and maintain adequate documentation supporting its administrative and fiscal operations during the examination period.

We noted the following deficiencies when performing our compliance examination:

- During detail testing of 10 grant files in which the Authority conducted a grantee site visit during the examination period, we noted there were multiple exceptions in which the grant file did not include adequate documentation. As a result, we were unable to determine if the Authority complied with the site visit requirements for these grant programs. Specifically, we noted the following:
  - the date of the site visit report was not documented,
  - site visit documentation did not support supervisory approval of the Grant Specialist's follow-up letter to the grantee,
  - the site visit documentation did not contain support the Grant Specialist sent the site visit follow-up letter to the grantee,
  - the site visit reports indicated a tour of the program areas was not performed by the Grant Specialist when on-site, and
  - the site visit report did not indicate whether a follow-up visit was required or not. As a result, we were unable to determine if the requirements of policies in relation to the follow-up visit were met. See also Finding 2019-001.
- The Authority did not maintain authorized employee deduction forms in its employee files. Specifically, forms were missing for union dues, association dues, and other insurance deductions for 11 of 23 (48%) employees tested. See also Finding 2019-006.
- For seven of 72 (10%) monthly reconciliations tested for the Monthly Appropriations Status Report (SB01), three of 64 (5%) monthly reconciliations tested for the Monthly Cash Report (SB05), and all 144 (100%) monthly reconciliations tested for the Monthly Revenue Status Report (SB04), we were unable to determine if the reconciliations were performed within 60 days of the applicable month's end as the Authority did not document the date the reconciliations were performed. See also Finding 2019-004.
- For 10 of 72 (14%) SB01 monthly reconciliations tested and 10 of 64 (16%) SB05 monthly reconciliations tested, the Authority was unable to locate the reconciliations performed. See also Finding 2019-004.



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2019-002. **FINDING** (General Failure to Prepare and Maintain Documentation)  
(Continued)

- For four of 60 (7%) grant agreements selected for detail testing, we noted the grants' progress reports required to be received by the Authority were not dated. As a result, we were unable to determine the timeliness of when the progress reports were received and if the Authority withheld grant payments until the progress reports were received. See also Finding 2019-003.
- During detail testing of 60 grant agreements, we noted there were multiple other exceptions in which reports/certifications/agreements were not contained within the grant's Masterfile. As a result, we were unable to determine if the Authority had ever received the documentation from the grantee or if the documents were received by the Authority from the grantee and not filed into the grant Masterfile. See also Finding 2019-003.

The State Records Act (5 ILCS 160/8) requires the Authority's Executive Director to preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Authority designed to furnish information to protect the legal and financial rights of the State and of persons directly affected by the Authority's activities.

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

Authority management stated as they did in the prior year, the exceptions noted were due to staff turnover and competing priorities.

Failure to prepare and maintain adequate documentation of the Authority's administrative and fiscal operations during the examination period inhibited our ability in completing our examination to provide useful and relevant feedback to the General Assembly regarding the Authority's compliance with applicable laws, rules, and regulations. Further, it resulted in the Authority being unable to demonstrate it met each compliance requirement it was subjected to during the examination period. In addition, not preparing and maintaining adequate documentation represents noncompliance with the State Records Act and the Fiscal Control and Internal Auditing Act. (Finding Code No. 2019-002, 2017-002)

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2019-002. **FINDING** (General Failure to Prepare and Maintain Documentation)  
(Continued)

**RECOMMENDATION**

We recommend Authority management and staff take immediate action to strengthen its control over records maintenance for each area in which a compliance requirement is present.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority has initiated activities to improve the preparation and maintenance of documentation, including finalizing an agency retention schedule in 2019. The Authority has also developed an internal working group to revise and improve many Authority forms to better assist staff in the completion and retention of required documents.

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2019-003. **FINDING** (Inadequate Controls over Monitoring Grant Agreement Requirements)

The Illinois Criminal Justice Information Authority (Authority) did not exercise adequate controls over the monitoring of grant agreements under its purview during the examination period.

The Authority uses the Grant Accountability and Transparency portal in conjunction with its grant-making to ensure grantees properly submit all certifications and information required prior to the grant being processed. During our grant agreement detail testing of 60 grants, we noted the following:

Applicable Grant Agreement Section	# of Exceptions Noted	# of Grants with the Requirement	Error Rate %
<i>Failure to File in Timely Fashion:</i>			
<ul style="list-style-type: none"> <li>▪ Progress reports were not dated. As a result, we were unable to determine the timeliness of submission and if grant payments were made prior to the receipt of outstanding reports.</li> </ul>	4	60	7%
<ul style="list-style-type: none"> <li>▪ Progress reports were submitted 12 days after the due date or not submitted at all. We noted the grant payments were processed prior to the receipt of progress report.</li> </ul>	2	60	3%
<p>Requirement: In order to preclude the possibility of the lapsing of funding, the Authority required the grantees to timely file all required reports. Reports included but are not limited to, quarterly fiscal reports, quarterly progress reports, and all reports included in the closeout materials. The quarterly fiscal and progress reports were due not more than 15 days after the end of each quarter unless another reporting schedule had been required or approved by the Authority. The final date for submission for all of the closeout material reports was 30 days after the end of the grant period. Failure to meet the reporting dates established for the particular reports should have resulted in “freezing” of all funds to the grantee. Funds would be released following the completion of all the reporting requirements.</p>			

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2019-003. **FINDING** (Inadequate Controls over Monitoring Grant Agreement Requirements) (Continued)

Applicable Grant Agreement Section	# of Exceptions Noted	# of Grants with the Requirement	Error Rate %
<p><i>Nondiscrimination:</i></p> <ul style="list-style-type: none"> <li>▪ Annual civil rights training certifications were not on file.</li> </ul> <p>Requirement: The grantee’s civil rights coordinator and any program staff and match volunteers who have direct contact with program beneficiaries shall complete annual civil rights training as required and approved by the Authority.</p>	4	15	27%
<p><i>Notice of State Award:</i></p> <ul style="list-style-type: none"> <li>▪ Signed Notice of State Award was not on file.</li> </ul> <p>Requirement: Grantees should have signed and submitted to the Authority a Notice of State Award letter within 90 days of signing the grant agreement.</p>	13	18	72%
<p><i>Subcontractor and Subgrantee Transparency Act Compliance:</i></p> <ul style="list-style-type: none"> <li>▪ Subcontractor’s and Subgrantee’s Addendums to Agreements were not on file.</li> </ul> <p>Requirement: Grantees should have provided the Authority with completed “Addendums to Agreements” for all subcontractors and subgrantees.</p>	6	18	33%

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2019-003. **FINDING** (Inadequate Controls over Monitoring Grant Agreement Requirements) (Continued)

Applicable Grant Agreement Section	# of Exceptions Noted	# of Grants with the Requirement	Error Rate %
<p><i>Timekeeping:</i></p> <ul style="list-style-type: none"> <li>▪ For personnel who spend 100% of their time on the program, timekeeping procedures were not on file.</li> </ul> <p>Requirement: Within 30 days of the execution of the grant agreement, the grantee should have provided the Authority documentation on its timekeeping procedures regarding personnel who spent 100% of their time on the program. The Authority was required to approve the timekeeping procedures.</p>	8	9	89%
<ul style="list-style-type: none"> <li>▪ For personnel who spend less than 100% of their time on the program, a copy of the timesheet was not on file.</li> </ul> <p>Requirement: Within 30 days of the execution of the grant agreement, the grantee should have provided the Authority with a copy of the timesheet that was to be used by personnel who spend less than 100% of their time on the program. The Authority was required to approve the timesheet format.</p>	7	13	54%
<ul style="list-style-type: none"> <li>▪ Quarterly timekeeping certifications were not on file.</li> </ul> <p>Requirement: Along with each quarterly report, the Implementing Agency shall submit a quarterly timekeeping certification to the Authority. The quarterly timekeeping certification shall include a certification detailing 1) total hours on the program and 2) total compensated hours, for every employee and match volunteer.</p>	4	31	13%

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2019-003. **FINDING** (Inadequate Controls over Monitoring Grant Agreement Requirements) (Continued)

Applicable Grant Agreement Section	# of Exceptions Noted	# of Grants with the Requirement	Error Rate %
<i>Signing of Grant Agreement:</i>			
<ul style="list-style-type: none"> <li>▪ Grant agreement was signed by the Authority after the start of the grant period. The grant agreement was signed six days late.</li> </ul>	1	60	2%
<ul style="list-style-type: none"> <li>▪ Grant agreement was signed by the Authority and the grantee after the start of the grant period. The grant agreements were signed between 4 to 225 days late. One grant agreement was signed by the Executive Director six months after the grant’s start date.</li> </ul>	25	60	42%
<p>Requirement: The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Authority to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance that resources are used efficiently, effectively, and in compliance with law and that funds, property, and other assets and resources are safeguarded against waste, loss, unauthorized use, and misappropriation. Good internal controls require execution of a written grant agreement prior to the start of the grant period and the commencement of services to obtain grantee compliance certifications, to protect the entities’ legal interests, and to ensure both parties understand their rights, responsibilities, deliverables, and due dates.</p>			

Authority management stated as they did in the prior year, the exceptions noted were due to staff turnover and competing priorities.

Failure to adequately monitor adherence to the conditions contained within the grant agreement represents noncompliance with the terms of the grant and could result in grantee reporting inaccuracies and State resources being used in an inefficient and ineffective manner. (Finding Code No. 2019-003, 2017-003)

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2019-003. **FINDING** (Inadequate Controls over Monitoring Grant Agreement Requirements) (Continued)

**RECOMMENDATION**

We recommend the Authority ensure all reporting requirements are adhered to and ensure grant agreements are approved prior to the effective date of the agreement.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. Under the Authority's current policy, new grants are effective upon a future start date or execution. Continuation grants routinely have a set start date because delaying the start date may result in a disruption of critical existing and ongoing services. The Authority has and will continue to make best efforts to ensure that grants are processed timely. However, there are instances in which grantee-specific issues prevent timely signature; the Authority must then determine whether it is still in the public's interest to execute the grant despite an untimely execution.

Since the tested time period, the Authority has revised the timekeeping requirements of the grantee contracts to better reflect the proper documentation needed to ensure sufficient oversight of grantees. Regarding the Notice of State Awards, eleven of the thirteen identified were executed prior to the agency implementing the procedure of completing the Notice of State Award, which was in April 2018.

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2019-004. **FINDING** (Inadequate Controls over Expenditures and Obligations)

The Illinois Criminal Justice Information Authority (Authority) failed to exercise adequate control over its expenditures and obligations.

During testing, we noted several deficiencies and weaknesses within the Authority's expenditure and obligation processes, as noted below:

(1) Inadequate Segregation of Duties

- For non-payroll and non-grant expenditures, we identified one employee having the authority to perform key elements of the expenditure transaction cycle, including:
  - Authorization (reviewing, initiating and approving transactions);
  - Custody (receiving physical goods and verifying the receipt of the goods);
  - Record-keeping (preparing entries and maintaining the Authority's internal property records); and,
  - Reconciliation (performing and preparing the Authority's annual physical equipment inventory reconciliation).

In fiscal years 2018 and 2019, the Authority processed \$4,030,486 and \$10,660,077 in non-payroll and non-grant expenditures, respectively.

- The Authority lacked adequate segregation of duties over its user access levels within the Accounting Information System (AIS). AIS is the Authority's expenditure processing system prior to the conversion to the Enterprise Resource Planning (ERP) system on January 1, 2019. Specifically, we noted three employees with the ability to obligate, enter, review and approve expenditures on behalf of the Authority. The Authority used AIS to process \$60,818,264 and \$25,643,881 of expenditures, in fiscal year 2018 and from July through December 2018, respectively.

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



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In addition, good business practices require the Authority to maintain an adequate segregation of duties in order to help ensure the safeguarding of assets, prevent improper expenditures, ensure the accuracy and reliability of accounting data, and promote operational efficiency. Adequate segregation of duties would ensure the responsibility for recordkeeping and custody be separated to safeguard against waste, loss, unauthorized use, and misappropriation.

Authority management stated changes in staffing, along with the implementation of the ERP system, limited the Authority's ability to segregate duties prior to migration to the ERP system.

Failure to limit the ability of one person to have the authority to perform all functions of a transaction increases the likelihood of errors and irregularities could occur and would not be found in the normal course of employees carrying out their assigned duties.

(2) Inadequate Reconciliations Performed

The Authority did not perform monthly reconciliations of the Authority's records to the State Comptroller's records in accordance with the Statewide Accounting Management System (SAMS) Manual. The Authority had expenditure transactions for eight funds within the State Treasury: the General Revenue Fund (Fund 001), Motor Vehicle Theft Prevention Fund (Fund 156) (Fiscal Year 2018 activity only), ICJIA Violence Prevention Fund (Fund 184), ICJIA Violence Prevention Special Projects Fund (Fund 318) (Fiscal Year 2019 activity only), Criminal Justice Information Projects Fund (Fund 335), Criminal Justice Trust Fund (Fund 488), Death Penalty Abolition Fund (Fund 539), and Prescription Pill and Drug Disposal Fund (Fund 665).

- During Fiscal Year 2018 and Fiscal Year 2019, the Authority did not perform reconciliation on the following reports: Agency Contract Report (SC14), Obligation Activity Report (SC15), Monthly Object Expense/Expenditures by Quarter Report (SA02) and Monthly Appropriation Transfer Report (SB03).

The Comptroller's records show the Authority had \$67,824,435 and \$86,514,736 in expenditures at June 30, 2018 and June 30, 2019,

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respectively. The Comptroller's records show the Authority had \$59,528,956 and \$69,294,175 in contracts at June 30, 2018 and June 30, 2019, respectively. The Comptroller's records show the Authority had \$39,942,183 and \$50,912,264 in obligations at June 30, 2018 and June 30, 2019, respectively. The Comptroller's records show the Authority had \$5,000 and \$0 appropriation transfers at June 30, 2018 and June 30, 2019, respectively.

- During our review of 72 monthly reconciliations for the Monthly Appropriations Status Report (SB01), we noted the following:
  - For ten (14%) monthly reconciliations, the Authority was unable to locate the reconciliations performed.
  - For seven (10%) monthly reconciliations, we were unable to determine if the reconciliations were performed within 60 days of the applicable month's end as the Authority did not document the date the reconciliations were performed.
- During our review of 64 monthly reconciliations for the Monthly Cash Report (SB05), we noted the following:
  - For ten (16%) monthly reconciliations, the Authority was unable to locate the reconciliations performed.
  - For three (5%) monthly reconciliations, we were unable to determine if the reconciliations were performed within 60 days of the applicable month's end as the Authority did not document the date the reconciliations were performed.
- During our review of 144 monthly reconciliations for the Monthly Revenue Status Report (SB04), we noted the Authority performed monthly reconciliations; however, we were unable to determine if the reconciliations were performed within 60 days of the applicable month's end as the Authority did not document the date the reconciliations were performed.

Authority management stated due to changes in management, coupled with the January 1, 2019 migration to the new enterprise resource planning system, some reconciliations could not be located or were not performed in part due to the resources needed for preparing and validating data for the new system. Additionally, the data migration format limited the amount of detail that was put into the new

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system, creating challenges with reporting on certain fiscal year 2019 information and limiting the Authority's ability to perform certain reconciliations.

The SAMS Manual (Procedure 07.30.20) notes the effectiveness of any accounting and financial information system is very much dependent on the accuracy of data submitted and the confidence of its users that the system handled that data properly. Agency reconciliation is the primary control that insures these requirements are being satisfied. The SAMS Manual requires the Authority to reconcile its records on a monthly basis within 60 days of the month end.

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

Further, the State Records Act (5 ILCS 160/8) requires the Authority's Executive Director to preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Authority designed to furnish information to protect the legal and financial rights of the State and of persons directly affected by the Authority's activities. See also Finding 2019-002.

Failure to prepare adequate and accurate reconciliations between the Authority's records and the Comptroller's records led to unidentified errors, reduced the overall reliability of the Statewide financial information, and could result in overpayments and underpayments to vendors. (Finding Code No. 2019-004, 2017-004)

**RECOMMENDATION**

We recommend the Authority take action to review its personnel involved with its expenditure processes to ensure no single person has incompatible duties, including segregating authorization, custody, recordkeeping, and reconciliation functions. We also recommend the Authority take action to ensure timely reconciliation of its expenditure and obligations activity to the Comptroller's records each month and investigate and resolve all discrepancies. We further recommend the Authority retain records and document the date the reconciliations are performed.

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2019-004. **FINDING** (Inadequate Controls over Expenditures and Obligations)  
(Continued)

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority will review fiscal personnel roles in the SAP system to develop, where necessary, compensating controls or procedures to strengthen the segregation of duties. Provided adequate resources are available, the Authority will develop a process to ensure reconciliations are performed in a timely manner, dated, and stored.

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2019-005. **FINDING** (Noncompliance with the Gang Crime Witness Protection Act of 2013)

The Illinois Criminal Justice Information Authority (Authority) did not comply with the requirements of the Gang Crime Witness Protection Act of 2013 (Act). As stated in the previous examination report, the Authority did not request appropriations from the General Assembly during the examination period to receive funding to establish or administer the Gang Crime Witness Protection Program (Program).

As reported in the previous examination report, we noted the following:

- The Authority had not established and administered the Program. The purpose of the Program is to assist victims and witnesses who are actively aiding in the prosecution of perpetrators of gang crime, and appropriate related persons as required by the Act.
- The Authority did not adopt rules for the implementation of the Program.
- The Authority did not assist State's Attorneys and the Attorney General in protecting victims and witnesses who are aiding in the prosecution of perpetrators of gang crime, and appropriate related persons.

Subject to appropriation, the Act (725 ILCS 173/10) requires the Authority to establish and administer a program to assist victims and witnesses who are actively aiding in the prosecution of perpetrators of gang crime and appropriate related persons. The Act (725 ILCS 173/20) requires the Authority to assist State's Attorneys and the Attorney General in protecting victims and witnesses who are aiding in the prosecution of perpetrators of gang crime, and appropriate related persons.

Authority management stated they have been prepared to fulfill its responsibilities under this Act, but an appropriation was not made by the General Assembly.

Failure to establish and administer the Program and adopt rules for the implementation of the Program result in noncompliance with the Act. (Finding Code No. 2019-005, 2017-005, 2015-004)

**RECOMMENDATION**

We recommend the Authority comply with the requirements of the Gang Crime Witness Protection Act or seek legislative remedy.

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- 2019-005. **FINDING** (Noncompliance with the Gang Crime Witness Protection Act of 2013)  
(Continued)

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority has been prepared to fulfill its responsibilities under this Act in the event that an appropriation to do so was made. Furthermore, the Authority has sought legislative relief from this mandate, flagging it for removal during the annual legislative review process for executive agencies. Now that the Authority understands that it is required to request an appropriation for this Act from the Governor's Office of Management and Budget during the budgeting process, ICJIA has made that request for State Fiscal Years 2020 and 2021.

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2019-006. **FINDING** (Inadequate Controls over Payroll File Deductions)

The Illinois Criminal Justice Information Authority (Authority) did not maintain complete payroll files which resulted in inaccurate payroll deductions for its employees during the examination period.

During our testing, we noted the following payroll deduction weaknesses:

- Authorized employee deduction forms were not maintained within employee files. Specifically, forms were missing for:
  - 11 of 23 (48%) employees' authorization for union dues,
  - One of 23 (4%) employees' other insurance deductions, and
  - One of 23 (4%) employees' association dues.
- For 5 of 23 (22%) employees tested, the Authority incorrectly calculated and paid the employees' federal withholding payroll taxes, with discrepancies ranging from \$26.43 to \$83.03 per pay period.
- For 5 of 23 (22%) employees tested, the Authority incorrectly calculated and paid the employees' State withholding payroll taxes, with discrepancies ranging from \$4.12 to \$13.78 per pay period.

The Statewide Accounting Management System Manual (Procedure 23.10.30) requires the Authority to be responsible for completing the payroll voucher each pay period and attesting to the employee's rate of pay, gross earnings, deductions, net pay, and other required information on the voucher and file and also states that the initial control of each payroll is at the Authority level. The control that all deductions from an employee's gross pay are supported by source documents is meant to ensure conformance with the State Salary and Annuity Withholding Act (5 ILCS 365).

Further, the State Records Act (5 ILCS 160/8) requires the Authority's Executive Director to preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Authority designed to furnish information to protect the legal and financial rights of the State and of persons directly affected by the Authority's activities. See also Finding 2019-002.

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

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2019-006. **FINDING** (Inadequate Controls over Payroll File Deductions) (Continued)

Finally, good internal controls require Authority management review the payroll voucher for proper calculation.

Authority management stated as they did in the prior year, staff turnover and competing priorities resulted in the exceptions noted.

Failure to exercise adequate internal control over employee payroll files resulted in inaccurate calculations of employee pay and withholding, subjects the State to unnecessary legal risks, and represents noncompliance with State and federal laws and regulations. (Finding Code No. 2019-006, 2017-006, 2015-002, 2013-002)

**RECOMMENDATION**

We recommend the Authority strengthen its internal controls to ensure payroll deductions are properly supported and calculated.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. In order to implement a process to address payroll file deductions, the Authority will revisit its intergovernmental agreement with the shared payroll service center. Once there is a procedural review of the roles and responsibilities of human resources, fiscal management, and the shared service provider, a process to mitigate these weaknesses can be developed.



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2019-007. **FINDING** (Non-Appointment of Members)

The Illinois Criminal Justice Information Authority's Board (ICJIA Board) did not have the required number of appointed members and the Illinois Criminal Justice Information Authority (Authority) did not appoint members to the following council and task forces:

- Illinois Advisory Council on Substance Use Disorders (Council),
- Task Force on Opportunities for At-Risk Women Act (Task Force), and
- Protection of Individuals with Disabilities in Criminal Justice System Task Force (Task Force).

During testing, we noted the following:

- The ICJIA Board was not composed of the required members as outlined in the Illinois Criminal Justice Information Act (Act). As of June 30, 2019, there were two vacancies from the Governor's general public appointments and one appointed member remained on the Board exceeding the maximum four-year term. Also, we noted the ICJIA Board had no designated Chairman for the entire examination period.

The Act (20 ILCS 3930/4) states the ICJIA Board shall consist of 25 members, including 6 members of the general public appointed by the Governor. In addition, the Governor, shall designate a Chairman of the ICJIA Board from the membership. All members of the ICJIA Board appointed by the Governor shall serve at the pleasure of the Governor for a term not to exceed 4 years.

Authority management stated there were occasional delays in identifying appropriate replacements due to significant turnover of Board members.

- Effective February 2019, the Authority's representative to the Council and Task Forces separated from the Authority; however, the Authority did not appoint replacements to the Council and Task Forces as of the end of our fieldwork date, October 31, 2019.

The Substance Use Disorder Act (20 ILCS 301/10-15(t)) requires the Authority's Director or their designee, to serve as a member of the Council.

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2019-007. **FINDING** (Non-Appointment of Members) (Continued)

The Opportunities for At-Risk Women Act (20 ILCS 5075/5) requires the Executive Director of the Authority, or their designee, to serve as a member of the Task Force on Opportunities for At-Risk Women.

The Protection of Individuals with Disabilities in the Criminal Justice System Task Force Act (20 ILCS 5115/5) requires the Authority's Director or their designee to serve as a member of Protection of Individuals with Disabilities in the Criminal Justice System Task Force.

Authority management stated vacant positions were not filled due to the high level of staff turnover.

Failure to appoint members to the ICJIA Board represents noncompliance with State law and may inhibit the ICJIA Board's ability to properly fulfill its duties and responsibilities effectively and efficiently. In addition, failure to appoint members prevents or hinders the Council and Task Forces from carrying out their duties in accordance with the statutes. (Finding Code No. 2019-007, 2017-010)

**RECOMMENDATION**

We recommend the Authority work with the Governor's Office to obtain current ICJIA Board member appointments as soon as possible. Further, we recommend the Authority appoint replacements to the Council and Task Forces.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. In January of 2020, three new public members were appointed to the Authority's Board, and one member was re-appointed. The Authority will continue to work with the administration to ensure that Board vacancies are filled in a timely manner. ICJIA's Acting Executive Director has appointed staff designees to the cited task forces and council.

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2019-008. **FINDING** (Failure to Timely File FCIAA Certifications)

The Illinois Criminal Justice Information Authority (Authority) did not file its Fiscal Control and Internal Auditing Act (FCIAA) certifications timely.

During our review of Fiscal Year 2018 and 2019 FCIAA certifications, we noted the Authority submitted its FCIAA certifications to the Office of the Auditor General 15 and 29 days late.

The Fiscal Control and Internal Auditing Act (Act) (30 ILCS 10/3003) requires each chief executive officer of all State agencies to conduct an evaluation of their systems of internal fiscal and administrative controls and file a certification based on their evaluation with the Auditor General by May 1 of each year.

In addition, the Act (30 ILCS 10/3001) requires the Authority to establish and maintain a system, or systems, of internal fiscal and administrative controls. Effective internal controls should include procedures to ensure the Authority timely submits the FCIAA certification with the Auditor General.

Authority management stated due to leadership changes, the required forms went through several levels of review resulting in delays.

Failure to file the FCIAA certification in a timely manner results in noncompliance with the Act. (Finding Code No. 2019-008)

**RECOMMENDATION**

We recommend the Authority implement procedures to ensure FCIAA certifications are timely filed in compliance with the requirements of the Act.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority will implement procedures to ensure FCIAA certifications are timely filed in compliance with the requirements of the Act.

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2019-009. **FINDING** (Failure to Comply with the State Employment Records Act)

The Illinois Criminal Justice Information Authority (Authority) did not fully comply with the State Employment Records Act (Act).

The Agency Workforce Report (Report) is required to be submitted annually to the Governor’s Office and the Office of the Secretary of State as part of the Act. The report is designed to provide data relative to: (1) the number and income levels of Agency employees, (2) the number of employees by gender, (3) the number of employees by minority group, (4) the number of employees with physical disabilities, (5) the number of open positions of employment, and (6) the total number of persons employed as professionals.

Based on our review of the Authority’s fiscal year 2017 Report that was due in fiscal year 2018, we noted the following:

<i>Employee Category</i>	<i>Per Report</i>	<i>Per Authority Records</i>	<i>Overstated (Understated)</i>
Minorities			
\$80,000 - \$99,999 income level	11	10	1
Caucasian Males			
\$60,000 - \$69,999 income level	1	2	(1)
Caucasian Females			
\$60,000 - \$69,999 income level	2	1	1

In addition, based on our review of the fiscal year 2018 Report, we noted the following:

<i>Employee Category</i>	<i>Per Report</i>	<i>Per Authority Records</i>	<i>Overstated (Understated)</i>
Employees			
\$40,000 - \$49,999 income level	10	13	(3)
\$70,000 - \$79,999 income level	15	14	1
\$80,000 - \$99,999 income level	21	19	2
Females			
\$40,000 - \$49,999 income level	6	9	(3)
\$70,000 - \$79,999 income level	10	9	1

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2019-009. **FINDING** (Failure to Comply with the State Employment Records Act)  
(Continued)

<i>Employee Category</i>	<i>Per Report</i>	<i>Per Authority Records</i>	<i>Overstated (Understated)</i>
Females (Continued)			
\$80,000 - \$99,999 income level	12	11	1
Minorities			
Professional	53	31	22
Caucasian Males			
\$40,000 - \$49,999 income level	3	4	(1)
\$80,000 - \$99,999 income level	4	3	1
Caucasian Females			
\$40,000 - \$49,999 income level	1	3	(2)
\$70,000 - \$79,999 income level	5	4	1
\$80,000 - \$99,999 income level	8	7	1
Hispanic Females			
Professional	7	5	2
Asian Females			
Professional	1	3	(2)

Furthermore, we noted the Fiscal Year 2017 Report was submitted seven days late to the Governor’s Office and the Office of the Secretary of State.

The Act (5 ILCS 410/5(b)) requires State agencies to collect, classify, maintain, and publish, for State and public use, certain employment statistics in a prescribed format. In addition, the Act (5 ILCS 410/20) requires State agencies to collect, classify, maintain, and report all information required by this Act on a fiscal year basis. In addition, Agencies shall file, as public information by January 1 each year, a copy of all reports required by this Act with the Office of the Secretary of State and shall submit an annual report to the Governor.

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

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2019-009. **FINDING** (Failure to Comply with the State Employment Records Act)  
(Continued)

Authority management stated the data used was not completely accurate due to oversight.

Failure to include accurate information in the annual Report could deter efforts by the State to achieve a more diversified workforce. In addition, failure to file the Report to the Governor's Office and the Office of the Secretary of State in a timely manner results in noncompliance with the Act. (Finding Code 2019-009)

**RECOMMENDATION**

We recommend the Authority implement procedures to ensure the Report is accurate and timely filed in compliance with the requirements of the Act. Further, we recommend the Authority file the corrected reports to the Governor's Office and the Office of the Secretary of State.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority has implemented a second review of data and the necessary procedures to ensure the timely submission of reports.

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2019-010. **FINDING** (Noncompliance with Required Contracting Procedures)

The Illinois Criminal Justice Information Authority (Authority) did not exercise adequate internal controls over contracts to ensure timely approval and filing of contracts with the Illinois Office of the Comptroller (Comptroller).

During our review of five contracts (totaling \$558,820) executed during the fiscal years ended June 30, 2018 and June 30, 2019, we noted one contract (amounting to \$26,250) was executed subsequent to the start date of the contract. The contract was executed 31 days after the commencement of services.

The Comptroller records show the Authority had \$59,528,956 and \$69,294,175 in contracts at June 30, 2018 and June 30, 2019, respectively.

Good business practices require all contracts to be properly approved and fully executed prior to the commencement of services.

The Fiscal Control and Internal Auditing Act (30 ILCS 10/3001) requires the Authority to establish and maintain a system, or systems, of internal fiscal and administrative controls to provide assurance that resources are utilized efficiently and effectively and in compliance with applicable law and that funds are safeguarded against waste, loss, unauthorized use and misappropriation. This would include controls to ensure contracts are fully executed prior to the performance.

Authority management stated the late-executed contract was due to an extended negotiation process with the vendor and the uncertainty of Comptroller requirements.

Failure to fully execute a contract prior to the commencement of services leaves the Authority vulnerable to unnecessary liabilities and potential legal issues. (Finding Code No. 2019-010)

**RECOMMENDATION**

We recommend the Authority enhance its controls to ensure contracts are fully executed prior to the commencement of services.

**AUTHORITY RESPONSE**

The Authority agrees with the recommendation. The Authority updated its internal contract and procurement procedure in 2019 and continues to do so as necessary. Staff users will be notified and re-trained on the revised procedure to ensure that contracts are executed before services begin.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
PRIOR FINDINGS NOT REPEATED  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

A. **Finding** (Inadequate Controls over Performance Evaluations)

During the prior examination, the Illinois Criminal Justice Information Authority (Authority) failed to maintain adequate controls over performance evaluations for its employees.

During the current examination, our sample testing showed annual performance evaluations were timely completed. (Finding Code No. 2017-007, 2015-001, 2013-001)

B. **Finding** (Failure to Report Grant Information)

During the prior examination, the Authority failed to coordinate with the State's Chief Information Officer (CIO) to post information about its grant awards on the website data.illinois.gov.

During the current examination, we noted the Authority posted information about its grant awards on the website data.illinois.gov. (Finding Code No. 2017-008)

C. **Finding** (Obsolete Provisions of State Statute Not Eliminated)

During the prior examination, the Authority did not attempt to have certain obsolete provisions of the Illinois Criminal Justice Information Act (Act) eliminated from State law.

During the current examination, we noted the obsolete provisions of the Act were eliminated from State law. (Finding Code No. 2017-009)



STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
MANAGEMENT AUDIT FOLLOW-UP  
FOR THE TWO YEARS ENDED JUNE 30, 2019

The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Violence Prevention Authority to the Neighborhood Recovery Initiative (NRI) under contracts or grant agreements in fiscal year 2011 and in fiscal year 2012. The audit was conducted pursuant to House of Representatives Resolution Number 1110, which was adopted May 31, 2012. The audit was released in February 2014 and contained 19 recommendations directed towards the Illinois Criminal Justice Information Authority (ICJIA) as the agency responsible for the continuation of the NRI. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the 12 outstanding recommendations. As the NRI program ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #5**

ICJIA should utilize a payment method for NRI that is tied to actual expenditures of State dollars and not quarterly reports that are subsequently revised. Additionally, ICJIA should ensure that payments for NRI are only made pursuant to the contractual agreements.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure expenditures of the grantee were spent as originally budgeted for or were correctly paid if changes were made to any of the original budgets. No exceptions were noted. We also reviewed all fiscal quarterly reports for any budget revisions and discrepancies thereof. No exceptions were noted. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expenditure detail, we noted ICJIA did not perform all site visits required during the examination period. See Finding 2019-001 for further details.

**Recommendation #6**

ICJIA should take the steps necessary to enforce provisions of contractual agreements involving evaluation of the NRI program. Further, ICJIA should require community partners to comply with contractual agreements and submit the required data for evaluation or seek to remove the community partners from the program. ICJIA should also consider tying payments to contractual deliverables to ensure work is not only completed but also completed according to the agreed-upon dates. Given the investment the State has in the NRI program, ICJIA should conduct an evaluation of how effective the NRI program has been in reducing violence levels in the applicable communities that received funding.

Recommendation Not Implemented. As this recommendation pertained to evaluation of deliverables required by the applicable agreement with the grantee, we followed up on this recommendation by detail testing 60 grant agreements to ensure compliance with the grant agreements' requirements. During our testing, we noted several instances of noncompliance which we have noted in Finding 2019-003. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing grant information at the grantee level, we noted (1) ICJIA did not perform all site visits required during the examination period, and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #7**

ICJIA should enforce provisions of the NRI contracts with lead agencies and ensure it is aware of the staff assigned to conduct NRI activities under the State grant.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. Although ICJIA implemented a timekeeping requirement during fiscal year 2018, requiring grantees to track and maintain time certifications, signed by the staff and supervisor, for grant-funded personnel, exceptions were noted regarding this requirement. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing personnel timesheets, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #8**

ICJIA should either ensure that providers hire the required number of positions for NRI or determine if other levels need to be memorialized in contractual agreements. Additionally, when quarterly reports show problems with hiring practices, ICJIA should document how those problems are resolved.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. Although ICJIA implemented a timekeeping requirement during fiscal year 2018, requiring grantees to track and maintain time certifications, signed by the staff and supervisor, for grant-funded personnel, exceptions were noted regarding this requirement. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing personnel timesheets, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
MANAGEMENT AUDIT FOLLOW-UP  
FOR THE TWO YEARS ENDED JUNE 30, 2019

The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Violence Prevention Authority to the Neighborhood Recovery Initiative (NRI) under contracts or grant agreements in fiscal year 2011 and in fiscal year 2012. The audit was conducted pursuant to House of Representatives Resolution Number 1110, which was adopted May 31, 2012. The audit was released in February 2014 and contained 19 recommendations directed towards the Illinois Criminal Justice Information Authority (ICJIA) as the agency responsible for the continuation of the NRI. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the 12 outstanding recommendations. As the NRI program ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #9**

ICJIA should ensure that NRI providers maintain contractually required timesheets on staff that perform NRI activities. Additionally, ICJIA should be consistent with respect to timesheets in all contractual agreements for NRI.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. Although ICJIA implemented a timekeeping requirement during fiscal year 2018, requiring grantees to track and maintain time certifications, signed by the staff and supervisor, for grant-funded personnel, exceptions were noted regarding this requirement. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing personnel timesheets, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #10**

ICJIA should take the necessary steps to gather and monitor information to ensure that individuals are not paid in excess of 100 percent of their time for work on NRI and other State grant programs.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. Although ICJIA implemented a timekeeping requirement during fiscal year 2018, requiring grantees to track and maintain time certifications, signed by the staff and supervisor, for grant-funded personnel, exceptions were noted regarding this requirement. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing personnel timesheets, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #12**

ICJIA should ensure that approval of all contracts for NRI services is maintained and that timely approvals are completed. Additionally, ICJIA should only allow providers to initiate NRI services after an executed contract has been approved.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure each grant or subgrant/subcontract agreement was approved and signed prior to the start of services. Our testing results indicated, (1) ICJIA and/or the grantee did not sign the grant agreement prior to the start date of the grant, and (2) ICJIA did not review or approve contracts with subcontractors. See Finding 2019-003 for further details.

**Recommendation #13**

ICJIA should ensure that lead agencies are appropriately monitoring partner agencies. ICJIA should ensure that lead agencies require partner agencies to submit quarterly reports that are timely and accurately approved and certified. Additionally, ICJIA should consider collecting and reviewing all supporting documentation to ensure State resources are appropriately expended on the NRI program.

Recommendation Not Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. For 18 out of the 60 grants tested, the grantee used the services of subcontractors/subgrantees. Of those 18 subcontractors/subgrantees, our testing results indicated ICJIA did not review or approve the contracts for 6 of the grants. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing information regarding subcontractors/subgrantees, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

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MANAGEMENT AUDIT FOLLOW-UP  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Violence Prevention Authority to the Neighborhood Recovery Initiative (NRI) under contracts or grant agreements in fiscal year 2011 and in fiscal year 2012. The audit was conducted pursuant to House of Representatives Resolution Number 1110, which was adopted May 31, 2012. The audit was released in February 2014 and contained 19 recommendations directed towards the Illinois Criminal Justice Information Authority (ICJIA) as the agency responsible for the continuation of the NRI. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the 12 outstanding recommendations. As the NRI program ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

**RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED**

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**Recommendation #15**

ICJIA should ensure that all required background checks have been completed for the NRI program by developing procedures to check, at least on a test basis, provider compliance with this contractual provision. Additionally, ICJIA should consider requiring some form of background check on the youth employed in the program to ensure that they are individuals that can truly assist the NRI program goal to decrease violence.

Recommendation Implemented. During our detailed testing of 60 grant agreements, we noted 5 out of 60 grants tested include a contractual requirements for grantees and subgrantees/subcontractors to conduct background checks on all program staff and volunteers working on the youth program. Of those 5 grants tested, we noted background checks were completed prior to all staff and volunteers can work on the program. No exceptions were noted.

**Recommendation #17**

ICJIA should include sections in all grant agreements for NRI, including those between lead agencies and sub-partners, to protect the State against misuse of State funds and should exercise the State's right to request capital equipment be returned to State when it is no longer used for its intended purposes.

Recommendation Partially Implemented. We detail tested 60 grant agreements to determine if each contained a section protecting the State against the misuse of State funds. No exceptions were noted. Also during our detail testing of 60 grant agreements, we noted 51 of the 60 grant agreements tested did not specifically mention the right of the State to request for the return of misused capital equipment. However, the grant agreements did contain a requirement that the grantee could retain the equipment as long as the equipment serves to accomplish the program purposes, whether or not the program continues to be funded by the grant. The provisions also stated that in any instance that the equipment would not serve its purpose, by usage or by its current nature, the grantee should request instructions from ICJIA on how to proceed. As such, it appears to us that the responsibility of reporting and obtaining unused equipment falls on the grantee and ICJIA does not actively seek out the recapture of unused, capital equipment.

**Recommendation #18**

ICJIA should developed procedures for its own review of expense support for NRI activities as well as procedures for lead agencies to utilize in monitoring expenses for NRI.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure expenditures of the grantee were spent as originally budgeted for or were correctly paid if changes were made to any of the original budgets. No exceptions were noted. We also reviewed all fiscal quarterly reports for any budget revisions and discrepancies thereof. No exceptions were noted. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expenditure detail, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #19**

ICJIA should enforce contractual provisions relative to collection of unspent grant funds for the NRI programs to ensure all unspent funds are returned to the State in a timely manner. Also, ICJIA should reconsider any NRI policy which allows rollover of unspent funds from a year to a subsequent year for NRI activities.

Recommendation Implemented. During our detail testing of 60 grant agreements, we noted there were no unspent grant funds to be returned to the State. Effective October 1, 2017, ICJIA is using a reimbursement-only system for paying its grantees to avoid any unspent funds. No exceptions were noted.

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ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
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The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Criminal Justice Information Authority (ICJIA) to all community based violence prevention programs, the After-School Program, and the Chicago Area Project under contracts or grant agreements in fiscal year 2013 and in fiscal year 2014. The audit was conducted pursuant to House of Representatives Resolution Number 888, which was adopted April 7, 2014. The audit was released in April 2016 and contained 28 recommendations. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the outstanding 21 recommendations. As all of the community based violence prevention programs, the After-School Program, and the Chicago Area Project tested during the management audit ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

**RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED**

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**Recommendation #2**

ICJIA should ensure full compliance with all interagency agreements. Additionally, it should take steps to ensure that funds being transferred to other State agencies for distribution to community-based organizations do not overlap with the community-based organizations' ICJIA funds for similar purposes.

Recommendation Partially Implemented. During our detail testing of 60 grant agreements, we noted five grant agreements were with other State agencies. For the five grants tested, we noted noncompliance with specific provisions of the grant agreements. See Finding 2019-003 for further details. Regarding the issue of making duplicate payments to State agencies for the same type of purposes of the grants, we did not note any exceptions when reviewing the 60 grant agreements or during our detail testing of grant vouchers. ICJIA has implemented the use of Exhibit G in the Grant Accountability and Transparency Act (GATA) Uniform Grant Agreement, which requires grantees to list all State agency contracts into ICJIA's grant agreements to avoid duplicative funding to community-based organizations for the same scope of services. During our review of the 60 grant agreements, we did not note any exceptions regarding the compliance on the use of Exhibit G in the GATA Uniform Grant Agreement.

**Recommendation #4**

ICJIA should require, approve, and maintain copies of all contractual agreements for all services funded by or through the agency regardless of the amount or purpose of the agreement.

Recommendation Not Implemented. During our detail testing of 60 grant agreements, the only exception we noted regarding this issue was that ICJIA did not review or approve contracts with some of its subcontractors. See Finding 2019-003 for further details.

**Recommendation #5**

ICJIA should ensure that there is timely execution of all contracts for grant services, including the NRI/CVPP program. Further, ICJIA should follow its own policies and not allow the contracts to be signed if not executed within six months of the start date. Additionally, ICJIA should consider only allowing service providers to initiate grant services after an executed contract has been approved.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure each grant or subgrant/subcontract agreement was approved and signed prior to the start of services. Our testing results indicated, (1) ICJIA and/or the grantee did not sign the grant agreement prior to the start date of the grant, and (2) ICJIA did not review or approve contracts with subcontractors. See Finding 2019-003 for further details.

**Recommendation #6**

ICJIA should enforce provisions of grant agreements and require timely fiscal reporting by providers that contain accurate approved budget numbers and explanations when the expenses change. Additionally, ICJIA, when it delegates its responsibility for community oversight to lead agencies, should implement the necessary controls to ensure lead agencies enforce contract provisions relative to timely fiscal reporting. Finally, ICJIA should always collect and review quarterly fiscal reports from all program providers to not only comply with contract provisions but to maintain adequate oversight of State dollars.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure expenditures of the grantee were spent as originally budgeted for or were correctly paid if changes were made to any of the original budgets. No exceptions were noted. We also reviewed all fiscal quarterly reports for any budget revisions and discrepancies thereof. No exceptions were noted. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expenditure detail, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

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ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
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The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Criminal Justice Information Authority (ICJIA) to all community based violence prevention programs, the After-School Program, and the Chicago Area Project under contracts or grant agreements in fiscal year 2013 and in fiscal year 2014. The audit was conducted pursuant to House of Representatives Resolution Number 888, which was adopted April 7, 2014. The audit was released in April 2016 and contained 28 recommendations. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the outstanding 21 recommendations. As all of the community based violence prevention programs, the After-School Program, and the Chicago Area Project tested during the management audit ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #7**

ICJIA should consider revising its grant process to require the identification of individuals who are to be charged to the grant. Additionally, ICJIA should consider revising its fiscal reporting to have grantees report the identities of the staff charged to the grant funds on a quarterly basis. Finally, ICJIA should revise its process to ensure that providers do not charge grant funds in excess of the amounts the providers actually pay the staff who work on the grant.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. Although ICJIA implemented a timekeeping requirement during fiscal year 2018, requiring grantees to track and maintain time certifications, signed by the staff and supervisor, for grant-funded personnel, exceptions were noted regarding this requirement. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing personnel timesheets, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #8**

ICJIA should comply with its policy and conduct timely site visits of new program grantees for effective monitoring of the programs.

Recommendation Not Implemented. During our review of ICJIA's site monitoring visits, we noted (1) ICJIA did not perform all site visits required during the examination period, and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #9**

ICJIA should ensure that all required background checks have been completed for all required grant programs, including the NRI/CVPP program. Additionally, ICJIA should consider requiring some type of background check or waiver for employer staff who participate in programs where the State is placing youth.

Recommendation Implemented. During our detailed testing of 60 grant agreements, we noted 5 out of 60 grants tested include a contractual requirements for grantees and subgrantees/subcontractors to conduct background checks on all program staff and volunteers working on the youth program. Of those 5 grants tested, we noted background checks were completed prior to all staff and volunteers can work on the program. No exceptions were noted.

**Recommendation #10**

ICJIA should take the steps necessary to ensure that providers are complying with participation requirements of grant agreements and not simply delegating oversight to other entities. Additionally, ICJIA should review all re-entry service providers for Years 3 and 4 of the NRI/CVPP program to determine if ineligible clients were served, whether the ineligibility was because of parole status, age, or type of crime. Finally, ICJIA should recover State grant funds that would have been spent on these ineligible clients from the service providers.

Recommendation Partially Implemented. We noted ICJIA management has begun to seek repayment and initiated recovery action against all auditor site-tested exceptions. In addition, during our detail testing of 60 grant agreements, we noted ICJIA received and reviewed all fiscal reports. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expense information of the grantee, subcontractors, and subgrantees, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

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RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #11**

ICJIA should enforce provisions of grant agreements and ICJIA guidelines relative to the purchase of equipment by providing agencies. ICJIA should either require the mandatory correspondence and maintain that in its files, or not allow the purchase expenses by the providers. Finally, ICJIA should determine whether the dollar amount of the exceptions noted by auditors should be recovered from providing agencies.

Recommendation Not Implemented. During our detailed testing of 60 grant agreements, we noted the grant agreements contained the applicable requirements and enforced them for all grants which were applicable. No exceptions were noted. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expense information of the grantee, subcontractors, and subgrantees, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #12**

ICJIA should require all vendors to comply with information requests necessary to conduct complete evaluation of State grant programs. Further, ICJIA should look to implement penalties on vendors who fail to comply with these information requests. Finally, ICJIA should require evaluation contractors to comply with grant contractual requirements and submit required deliverables or seek to recover funds if those deliverables are not submitted.

Recommendation Not Implemented. As this recommendation pertained to evaluation of deliverables required by the applicable agreement with the grantee, we followed up on this recommendation by detail testing 60 grant agreements to ensure compliance with the grant agreements' requirements. During our testing, we noted several instances of noncompliance which we have noted in Finding 2019-003. For instances in which noncompliance was noted, we further noted ICJIA did not implement penalties nor were grant payments withheld as a result of the noncompliance.

**Recommendation #13**

ICJIA should enforce Grant agreement requirements relative to recovery of unspent funds. Additionally, ICJIA should ensure that Grant contractual controls are not circumvented by the decisions of any ICJIA official, including the chief executive.

Recommendation Implemented. During our detail testing of 60 grant agreements, we noted there were no unspent grant funds to be returned to the State. Effective October 1, 2017, ICJIA is using a reimbursement-only system for paying its grantees to avoid any unspent funds. No exceptions were noted.

**Recommendation #14**

ICJIA should review expense testing exceptions found by auditors, determine whether repayments of funds is appropriate, and seek recoveries from providers of unallowable or undocumented expenses from the NRI/CVPP program. Additionally, ICJIA should consider some form of risk-based testing of expenses that are self-reported by providing agencies to better safeguard State monies.

Recommendation Implemented. We noted ICJIA management has begun to seek repayment and initiated recovery action against all auditor site-tested exceptions. As far as considering some form of risk-based testing of expenses from subgrantees/subcontractors, we noted that ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. ICJIA reviews and approves grantees plans to address substantial subgrantee noncompliance, including the withholding of grant funds, and the suspension or cancellation of subgrant agreements.

**Recommendation #17**

ICJIA should ensure that there is timely execution of all grant agreements, including those for ASP services. Further, ICJIA should either follow its own policies and not allow the grant agreements to be signed after six months or change ICJIA policy. Additionally, ICJIA should consider only allowing service providers to initiate services, including ASP services, after an executed grant agreement has been approved.

Recommendation Not Implemented. We detail tested 60 grant agreements to ensure each grant or subgrant/subcontract agreement was approved and signed prior to the start of services. Our testing results indicated, (1) ICJIA and/or the grantee did not sign the grant agreement prior to the start date of the grant, and (2) ICJIA did not review or approve contracts with subcontractors. See Finding 2019-003 for further details.

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MANAGEMENT AUDIT FOLLOW-UP  
FOR THE TWO YEARS ENDED JUNE 30, 2019

The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Criminal Justice Information Authority (ICJIA) to all community based violence prevention programs, the After-School Program, and the Chicago Area Project under contracts or grant agreements in fiscal year 2013 and in fiscal year 2014. The audit was conducted pursuant to House of Representatives Resolution Number 888, which was adopted April 7, 2014. The audit was released in April 2016 and contained 28 recommendations. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the outstanding 21 recommendations. As all of the community based violence prevention programs, the After-School Program, and the Chicago Area Project tested during the management audit ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #18**

ICJIA should enforce provisions of grant agreements and require timely fiscal reporting by grantees. ICJIA should always collect quarterly fiscal reports from all program providers to not only comply with grant agreement provisions but to maintain adequate oversight of State dollars.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure expenditures of the grantee were spent as originally budgeted for or were correctly paid if changes were made to any of the original budgets. No exceptions were noted. We also reviewed all fiscal quarterly reports for any budget revisions and discrepancies thereof. No exceptions were noted. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expenditure detail, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #19**

ICJIA should comply with its policy and conduct timely site visits of new program grantees for effective monitoring of the programs.

Recommendation Not Implemented. During our review of ICJIA's site monitoring visits, we noted (1) ICJIA did not perform all site visits required during the examination period, and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #20**

ICJIA should enforce provisions of grant agreements and ICJIA guidelines relative to the purchase of equipment by providing agencies of the After-School Program. ICJIA should either require the mandatory correspondence and maintain that in its files, or not allow the purchase expenses by the grantees. Finally, ICJIA should determine whether the dollar amount of the exceptions noted by auditors should be recovered from the grantees and seek all necessary recoveries.

Recommendation Partially Implemented. During our detail testing of 60 grant agreements, we noted two grant agreements in which equipment was purchased and a review was performed to verify if the equipment was purchased within 90 days of the grant start date or if the grantee properly maintained records for equipment purchases. No exceptions were noted. In addition, during our review of ICJIA's site monitoring visits, we noted a site visit was not conducted for the five equipment grant agreements issued during the examination period. See Finding 2019-001 for further details.

**Recommendation #21**

ICJIA should review expense testing exceptions found by auditors, determine whether repayment of funds is appropriate, and seek recoveries from providers of unallowable or undocumented expenses from the ASP program. Additionally, ICJIA should consider some form of risk-based testing of expenses that are self-reported by providing agencies to better safeguard State monies.

Recommendation Implemented. We noted ICJIA management has begun to seek repayment and initiated recovery action against all auditor site-tested exceptions. As far as considering some form of risk-based testing of expenses from subgrantees/subcontractors, we noted that ICJIA's grant specialist participates in the subgrantees/subcontractors site visits with the grantees. ICJIA reviews and approves grantees plans to address substantial subgrantee noncompliance, including the withholding of grant funds, and the suspension or cancelation of subgrant agreements.

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
MANAGEMENT AUDIT FOLLOW-UP  
FOR THE TWO YEARS ENDED JUNE 30, 2019

The Office of the Auditor General conducted a management audit of the State moneys provided by or through the Illinois Criminal Justice Information Authority (ICJIA) to all community based violence prevention programs, the After-School Program, and the Chicago Area Project under contracts or grant agreements in fiscal year 2013 and in fiscal year 2014. The audit was conducted pursuant to House of Representatives Resolution Number 888, which was adopted April 7, 2014. The audit was released in April 2016 and contained 28 recommendations. As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the outstanding 21 recommendations. As all of the community based violence prevention programs, the After-School Program, and the Chicago Area Project tested during the management audit ended prior to the beginning of our examination period, we followed up on ICJIA's implementation of its corrective action plans as they pertained to the new and continuing programs administered by ICJIA during fiscal years 2018 and 2019 through its various individual grant agreements. As such, the terms in the original recommendations relating to "lead agencies" and "partner agencies"/"community partners" will now refer to "grantees" and "subgrantees"/"subcontractors", respectively, when references are made in the recommendation implementation, partially implemented, or not implemented descriptions.

RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #23**

ICJIA should consider revising its grant process to require the identification of individuals who are to be charged to the grant. Additionally, ICJIA should consider revising its fiscal reporting to have grantees report the identities of the staff charged to the grant funds on a quarterly basis. Finally, ICJIA should revise its process to ensure that providers do not charge grant funds in excess of the amounts the providers actually pay the staff who work on the grant.

Recommendation Partially Implemented. We detail tested 60 grant agreements to ensure requirements of each grant were followed. Although ICJIA implemented a timekeeping requirement during fiscal year 2018, requiring grantees to track and maintain time certifications, signed by the staff and supervisor, for grant-funded personnel, exceptions were noted regarding this requirement. See Finding 2019-003 for further details. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing personnel timesheets, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #24**

ICJIA should enforce provisions of grant agreements and require timely fiscal reporting by providers that contain accurate approved budget numbers and explanations when the expenses change. Additionally, ICJIA, when it delegates its responsibility for community oversight to another agency, should implement the necessary controls to ensure that agency enforces grant agreement provisions relative to timely fiscal reporting. Finally, ICJIA should always collect quarterly fiscal reports from all program providers to not only comply with grant agreement provisions but to maintain adequate oversight of State dollars.

Recommendation Partially Implemented. During our detail testing of 60 grant agreements, we noted ICJIA received and reviewed all fiscal reports. Effective fiscal year 2018, ICJIA's grant specialists participate in the subgrantees/subcontractors site visits with the grantees. However, during our review of ICJIA's site monitoring visits, which is one of ICJIA's control mechanisms for reviewing expenditure detail, we noted (1) ICJIA did not perform all site visits required during the examination period and (2) of the site visits conducted, site visit documentation was determined to be inadequate. See Finding 2019-001 for further details.

**Recommendation #25**

ICJIA should enforce provisions of grant agreements and ICJIA guidelines relative to the purchase of equipment by providing agencies of the ICJIA funding to Chicago Area Project. ICJIA should either require the mandatory correspondence and maintain that in its files, or not allow the purchase expenses by the grantees. Finally, ICJIA should determine whether the dollar amount of the exceptions noted by auditors should be recovered from the grantees and seek all necessary recoveries.

Recommendation Partially Implemented. During our detail testing of 60 grant agreements, we noted two grant agreements in which equipment was purchased and a review was performed to verify if the equipment was purchased within 90 days of the grant start date or if the grantee properly maintained records for equipment purchases. No exceptions were noted. In addition, during our review of ICJIA's site monitoring visits, we noted a site visit was not conducted for the five equipment grant agreements issued during the examination period. See Finding 2019-001 for further details.

**Recommendation #26**

ICJIA should review expense testing exceptions found by auditors, determine whether repayment of funds is appropriate, and seek recoveries from providers of unallowable or undocumented expenses from the Chicago Area Project Non-NRI/CVPP program. Additionally, ICJIA should consider some form of risk-based testing of expenses that are self-reported by providing agencies to better safeguard State monies.

Recommendation Implemented. We noted ICJIA management is currently seeking repayment and initiating formal recovery of confirmed unallowable, undocumented, or unspent amounts noted in the auditor's site-tested exceptions. As far as considering some form of risk-based testing of expenses from subgrantees/subcontractors, we noted that ICJIA's grant specialist participates in the subgrantees/subcontractors site visits with the grantees. ICJIA reviews and approves grantees' plans to address substantial subgrantee noncompliance, including the withholding of grant funds, and the suspension or cancelation of subgrant agreements.



**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
MANAGEMENT AUDIT FOLLOW-UP  
FOR THE TWO YEARS ENDED JUNE 30, 2019**

The Office of the Auditor General conducted a management audit of the State moneys provided by or through State agencies to the Kenwood Oakland Community Organization (KOCO) under contracts or grant agreements in Fiscal Years 2010, 2011, 2012, 2013, 2014, and 2015. The audit was conducted pursuant to House Resolution Number 324. The audit was released in May 2017 and contained one recommendation addressed to Illinois Criminal Justice Information Authority (ICJIA). As part of ICJIA's fiscal years 2018 and 2019 compliance examination, we followed up on the status of the one recommendation.

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RECOMMENDATION IMPLEMENTED, PARTIALLY IMPLEMENTED, OR NOT IMPLEMENTED

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**Recommendation #4**

ICJIA should review issues identified in this audit report and determine whether repayment of any funds is necessary due to unsupported or unallowable expenditures.

Recommendation Implemented. During our detail testing of 60 grant agreements, we noted there were no unsupported or unallowable expenditures. In addition, we noted ICJIA did not award any federal money to KOCO during the examination period. Also, according to ICJIA, the performance audit matter was resolved through informal hearing and repayment in the amount of \$1,578.17, following an expense review from ICJIA's grantee auditor. No exceptions were noted.

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
APPROPRIATIONS FOR FISCAL YEAR 2019

SCHEDULE 1

For the Sixteen Months Ended October 31, 2019

Public Act 100-0586 and Public Act 101-0007	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to October 31	Total Expenditures 16 Months Ended October 31	Balances Lapsed October 31
<b>APPROPRIATED FUNDS</b>					
<b>GENERAL REVENUE FUND - 001</b>					
Personal Services	\$ 1,094,100	\$ 963,728	\$ 117,623	\$ 1,081,351	\$ 12,749
State Contribution to Social Security	84,489	75,254	9,157	84,411	78
Contractual Services	368,600	243,333	123,249	366,582	2,018
Travel	5,700	5,137	78	5,215	485
Commodities	1,600	1,490	-	1,490	110
Printing	4,011	3,792	-	3,792	219
Electronic Data Processing	180,600	107,647	71,602	179,249	1,351
Telecommunications Services	27,100	24,684	2,003	26,687	413
Operation of Auto Equipment	1,900	765	-	765	1,135
Ordinary & Contingent Expenses - Stipends	98,700	-	98,231	98,231	469
Lump Sum - Family Violence Coordinating Council Program	525,000	324,298	92,387	416,685	108,315
Lump Sum - Bullying Prevention	441,500	13,327	171,999	185,326	256,174
Lump Sum - Unpaid Wage Increases	323,400	-	309,886	309,886	13,514
Safer Foundation	500,000	45,419	299,340	344,759	155,241
Grant to Local Law Enforcement	500,000	144,776	-	144,776	355,224
Duane Dean Behavioral Health Center	400,000	105,102	234,028	339,130	60,870
Operational Expenses & Awards	704,400	565,270	138,545	703,815	585
Adult Redeploy Program	8,229,100	5,131,640	1,483,331	6,614,971	1,614,129
Operation Ceasefire	6,094,300	3,558,880	922,257	4,481,137	1,613,163
Safe from the Start	1,200,000	722,445	233,229	955,674	244,326
Community Based Violence Prevention Program	7,500,000	4,835,407	1,304,451	6,139,858	1,360,142
Total - Fund 001	28,284,500	16,872,394	5,611,396	22,483,790	5,800,710
<b>ICJIA VIOLENCE PREVENTION FUND - 184</b>					
Personal Services	181,300	88,166	1,926	90,092	91,208
State Contribution to State Employees' Retirement System	93,600	45,506	994	46,500	47,100
State Contribution to Social Security	13,900	6,376	138	6,514	7,386
Group Insurance	66,000	26,240	583	26,823	39,177
Contractual Services	9,500	1,543	-	1,543	7,957
Travel	4,000	-	-	-	4,000
Commodities	1,000	794	-	794	206
Electronic Data Processing	2,000	-	-	-	2,000
Telecommunications Services	5,800	5,800	-	5,800	-
Total - Fund 184	377,100	174,425	3,641	178,066	199,034
<b>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</b>					
Lump Sum and Other Purposes	2,000,000	362,224	157,854	520,078	1,479,922
Total - Fund 318	2,000,000	362,224	157,854	520,078	1,479,922
<b>CRIMINAL JUSTICE INFORMATION PROJECTS FUND - 335</b>					
Lump Sum and Other Purposes	1,000,000	196,349	31,583	227,932	772,068
Total - Fund 335	1,000,000	196,349	31,583	227,932	772,068

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
APPROPRIATIONS FOR FISCAL YEAR 2019

SCHEDULE 1  
(CONTINUED)

For the Sixteen Months Ended October 31, 2019

Public Act 100-0586 and Public Act 101-0007	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to October 31	Total Expenditures 16 Months Ended October 31	Balances Lapsed October 31
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Support of Federal Assistance	7,900,000	4,296,105	293,619	4,589,724	3,310,276
Lump Sum and Other Purposes	1,700,000	584,521	26,834	611,355	1,088,645
Awards and Grants	110,000,000	55,289,343	16,767,117	72,056,460	37,943,540
Total - Fund 488	<u>119,600,000</u>	<u>60,169,969</u>	<u>17,087,570</u>	<u>77,257,539</u>	<u>42,342,461</u>
<u>ILLINOIS STATE CRIME STOPPERS ASSOCIATION FUND - 513</u>					
Grants for Crime Stoppers Programs	7,800	-	-	-	7,800
Total - Fund 513	<u>7,800</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>7,800</u>
<u>DEATH PENALTY ABOLITION FUND - 539</u>					
Personal Services	291,400	5,796	4,680	10,476	280,924
Ordinary & Contingent Expenses	582,900	4,591	50,347	54,938	527,962
Awards and Grants	6,500,000	9,419	720,909	730,328	5,769,672
Total - Fund 539	<u>7,374,300</u>	<u>19,806</u>	<u>775,936</u>	<u>795,742</u>	<u>6,578,558</u>
<u>PRESCRIPTION PILL AND DRUG DISPOSAL FUND - 665</u>					
Lump Sum and Other Purposes	150,000	-	8,765	8,765	141,235
Total - Fund 665	<u>150,000</u>	<u>-</u>	<u>8,765</u>	<u>8,765</u>	<u>141,235</u>
TOTAL - APPROPRIATED FUNDS	<u>\$ 158,793,700</u>	<u>77,795,167</u>	<u>23,676,745</u>	<u>101,471,912</u>	<u>\$ 57,321,788</u>
<u>NON-APPROPRIATED FUNDS</u>					
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Refunds		8,719,569	93,442	8,813,011	
Total - Fund 488		<u>8,719,569</u>	<u>93,442</u>	<u>8,813,011</u>	
TOTAL - NON-APPROPRIATED FUNDS		<u>8,719,569</u>	<u>93,442</u>	<u>8,813,011</u>	
GRAND TOTAL - ALL FUNDS		<u>\$ 86,514,736</u>	<u>\$ 23,770,187</u>	<u>\$ 110,284,923</u>	

Note 1: Appropriations, expenditures, and lapsed balance amounts were prepared by the Authority and have been reconciled to the State Comptroller's records as of October 31, 2019.

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

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
APPROPRIATIONS FOR FISCAL YEAR 2018

SCHEDULE 2

For the Sixteen Months Ended October 31, 2018

Public Act 100-0021	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to October 31	Total Expenditures 16 Months Ended October 31	Balances Lapsed October 31
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APPROPRIATED FUNDS

GENERAL REVENUE FUND - 001

Personal Services	\$ 1,084,500	\$ 1,034,249	\$ 43,260	\$ 1,077,509	\$ 6,991
State Contribution to Social Security	83,000	76,166	3,185	79,351	3,649
Contractual Services	363,600	243,143	69,803	312,946	50,654
Travel	10,700	8,337	748	9,085	1,615
Commodities	1,500	1,499	-	1,499	1
Printing	4,800	3,480	-	3,480	1,320
Electronic Data Processing	111,900	92,093	3,919	96,012	15,888
Telecommunications Services	27,100	27,100	-	27,100	-
Operation of Auto Equipment	1,900	561	16	577	1,323
Lump Sum - Family Violence Coordinating Council Program	525,000	275,102	109,372	384,474	140,526
Lump Sum - Bullying Prevention	443,000	-	-	-	443,000
Operational Expenses & Awards	594,700	551,093	32,158	583,251	11,449
Adult Redeploy Program	8,174,700	5,399,202	1,113,007	6,512,209	1,662,491
Operation Ceasefire	6,094,300	2,550,909	881,965	3,432,874	2,661,426
Safe from the Start	1,200,000	607,527	389,797	997,324	202,676
Community Based Violence Prevention Program	8,000,000	2,352,068	1,556,158	3,908,226	4,091,774
Total - Fund 001	26,720,700	13,222,529	4,203,388	17,425,917	9,294,783

MOTOR VEHICLE THEFT PREVENTION FUND - 156

Personal Services	296,600	32,371	-	32,371	264,229
Lump Sum, excluding Personal Services	307,000	27,689	(2,161)	25,528	281,472
Refunds	60,300	-	-	-	60,300
Total - Fund 156	663,900	60,060	(2,161)	57,899	606,001

ICJIA VIOLENCE PREVENTION FUND - 184

Personal Services	181,300	87,598	1,886	89,484	91,816
State Contribution to State Employees' Retirement System	98,000	45,002	(2,629)	42,373	55,627
State Contribution to Social Security	13,900	5,920	138	6,058	7,842
Group Insurance	66,000	32,799	541	33,340	32,660
Contractual Services	9,500	1,912	-	1,912	7,588
Travel	4,000	690	-	690	3,310
Commodities	1,000	851	149	1,000	-
Electronic Data Processing	2,000	843	-	843	1,157
Telecommunications Services	5,800	5,800	-	5,800	-
Total - Fund 184	381,500	181,415	85	181,500	200,000

ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318

Lump Sum and Other Purposes	2,000,000	-	-	-	2,000,000
Total - Fund 318	2,000,000	-	-	-	2,000,000

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES  
APPROPRIATIONS FOR FISCAL YEAR 2018

SCHEDULE 2  
(CONTINUED)

For the Sixteen Months Ended October 31, 2018

Public Act 100-0021	Appropriations (Net of Transfers)	Expenditures Through June 30	Lapse Period Expenditures July 1 to October 31	Total Expenditures 16 Months Ended October 31	Balances Lapsed October 31
<u>CRIMINAL JUSTICE INFORMATION PROJECTS FUND - 335</u>					
Lump Sum and Other Purposes	1,000,000	97,479	-	97,479	902,521
Total - Fund 335	<u>1,000,000</u>	<u>97,479</u>	<u>-</u>	<u>97,479</u>	<u>902,521</u>
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Support of Federal Assistance	7,900,000	6,427,943	172,321	6,600,264	1,299,736
Lump Sum and Other Purposes	1,700,000	437,532	36,157	473,689	1,226,311
Awards and Grants	80,000,000	45,580,634	15,344,673	60,925,307	19,074,693
Awards and Grants to State Agencies	10,000,000	1,347,675	531,139	1,878,814	8,121,186
Total - Fund 488	<u>99,600,000</u>	<u>53,793,784</u>	<u>16,084,290</u>	<u>69,878,074</u>	<u>29,721,926</u>
<u>ILLINOIS STATE CRIME STOPPERS ASSOCIATION FUND - 513</u>					
Grants for Crime Stoppers Programs	10,000	-	-	-	10,000
Total - Fund 513	<u>10,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>10,000</u>
<u>DEATH PENALTY ABOLITION FUND - 539</u>					
Personal Services	291,400	27,286	-	27,286	264,114
Ordinary & Contingent Expenses	582,900	66,973	(1,822)	65,151	517,749
Awards and Grants	6,500,000	358,474	100,044	458,518	6,041,482
Total - Fund 539	<u>7,374,300</u>	<u>452,733</u>	<u>98,222</u>	<u>550,955</u>	<u>6,823,345</u>
<u>PRESCRIPTION PILL AND DRUG DISPOSAL FUND - 665</u>					
Lump Sum and Other Purposes	150,000	16,435	7,365	23,800	126,200
Total - Fund 665	<u>150,000</u>	<u>16,435</u>	<u>7,365</u>	<u>23,800</u>	<u>126,200</u>
<b>TOTAL - APPROPRIATED FUNDS</b>	<u>\$ 137,900,400</u>	<u>\$ 67,824,435</u>	<u>\$ 20,391,189</u>	<u>\$ 88,215,624</u>	<u>\$ 49,684,776</u>

Note 1: Appropriations, expenditures, and lapsed balance amounts were prepared by the Authority and have been reconciled to the State Comptroller's records as of October 31, 2018.

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

STATE OF ILLINOIS  
**ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY**  
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,**  
**EXPENDITURES, AND LAPSED BALANCES**  
**FOR THE FISCAL YEARS ENDED JUNE 30, 2019, 2018, AND 2017**

SCHEDULE 3

	Fiscal Year		
	2019	2018	2017
	PA 100-0586 and 101-0007	PA 100-0021	PA 99-0524, 100-0021, and Court-Ordered Expenditures
<b><u>APPROPRIATED FUNDS</u></b>			
<b><u>GENERAL REVENUE FUND - 001</u></b>			
Appropriations (Net After Transfers)	\$ 28,284,500	\$ 26,720,700	\$ 13,962,603
Expenditures			
Personal Services	1,081,351	1,077,509	1,138,029
State Contribution to Social Security	84,411	79,351	84,247
Contractual Services	366,582	312,946	-
Travel	5,215	9,085	-
Commodities	1,490	1,499	-
Printing	3,792	3,480	-
Electronic Data Processing	179,249	96,012	-
Telecommunications Services	26,687	27,100	-
Operation of Auto Equipment	765	577	-
Ordinary & Contingent Expenses - Stipends	98,231	-	-
Lump Sum - Family Violence Coordinating Council Program	416,685	384,474	53,990
Lump Sum - Bullying Prevention	185,326	-	-
Lump Sum - Unpaid Wage Increases	309,886	-	-
Safer Foundation	344,759	-	-
Grant to Local Law Enforcement	144,776	-	-
Duane Dean Behavioral Health Center	339,130	-	-
Operational Expenses & Awards	703,815	583,251	596,883
Adult Redeploy Program	6,614,971	6,512,209	40,350
Operation Ceasefire	4,481,137	3,432,874	23,593
Safe from the Start	955,674	997,324	696,442
Community Based Violence Prevention Program	6,139,858	3,908,226	-
Total Expenditures	22,483,790	17,425,917	2,633,534
<u>Lapsed Balances</u>	<u>\$ 5,800,710</u>	<u>\$ 9,294,783</u>	<u>\$ 11,329,069</u>
<b><u>MOTOR VEHICLE THEFT PREVENTION FUND - 156</u></b>			
Appropriations (Net After Transfers)	\$ -	\$ 663,900	\$ 663,900
Expenditures			
Personal Services	-	32,371	97,052
Lump Sum, excluding Personal Services	-	25,528	114,259
Total Expenditures	-	57,899	211,311
<u>Lapsed Balances</u>	<u>\$ -</u>	<u>\$ 606,001</u>	<u>\$ 452,589</u>

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,  
EXPENDITURES, AND LAPSED BALANCES  
FOR THE FISCAL YEARS ENDED JUNE 30, 2019, 2018, AND 2017**

**SCHEDULE 3  
(CONTINUED)**

	Fiscal Year		
	2019	2018	2017
	PA 100-0586 and 101-0007	PA 100-0021	PA 99-0524, 100-0021, and Court-Ordered Expenditures
<b><u>ICJIA VIOLENCE PREVENTION FUND - 184</u></b>			
Appropriations (Net After Transfers)	\$ 377,100	\$ 381,500	\$ 381,500
Expenditures			
Personal Services	90,092	89,484	77,185
State Contribution to State Employees' Retirement System	46,500	42,373	33,061
State Contribution to Social Security	6,514	6,058	5,163
Group Insurance	26,823	33,340	33,121
Contractual Services	1,543	1,912	9,500
Travel	-	690	59
Commodities	794	1,000	500
Electronic Data Processing	-	843	502
Telecommunications Services	5,800	5,800	5,000
Total Expenditures	178,066	181,500	164,091
<u>Lapsed Balances</u>	\$ 199,034	\$ 200,000	\$ 217,409
<b><u>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</u></b>			
Appropriations (Net After Transfers)	\$ 2,000,000	\$ 2,000,000	\$ 4,664,000
Expenditures			
Lump Sum and Other Purposes	520,078	-	3,413,291
Total Expenditures	520,078	-	3,413,291
<u>Lapsed Balances</u>	\$ 1,479,922	\$ 2,000,000	\$ 1,250,709
<b><u>CRIMINAL JUSTICE INFORMATION PROJECTS FUND - 335</u></b>			
Appropriations (Net After Transfers)	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000
Expenditures			
Lump Sum and Other Purposes	227,932	97,479	100,000
Total Expenditures	227,932	97,479	100,000
<u>Lapsed Balances</u>	\$ 772,068	\$ 902,521	\$ 900,000

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,  
EXPENDITURES, AND LAPSED BALANCES  
FOR THE FISCAL YEARS ENDED JUNE 30, 2019, 2018, AND 2017**

**SCHEDULE 3  
(CONTINUED)**

	Fiscal Year		
	2019	2018	2017
			PA 99-0524, 100-0021, and Court-Ordered Expenditures
	PA 100-0586 and 101-0007	PA 100-0021	
<b><u>CRIMINAL JUSTICE TRUST FUND - 488</u></b>			
Appropriations (Net After Transfers)	\$ 119,600,000	\$ 99,600,000	\$ 65,047,300
Expenditures			
Support of Federal Assistance	4,589,724	6,600,264	5,076,609
Lump Sum and Other Purposes	611,355	473,689	391,804
Awards and Grants	72,056,460	60,925,307	28,507,309
Awards and Grants to State Agencies	-	1,878,814	2,704,147
Total Expenditures	77,257,539	69,878,074	36,679,869
<u>Lapsed Balances</u>	\$ 42,342,461	\$ 29,721,926	\$ 28,367,431
<b><u>ILLINOIS CRIME STOPPERS ASSOCIATION FUND - 513</u></b>			
Appropriations (Net After Transfers)	\$ 7,800	\$ 10,000	\$ 10,000
Expenditures			
Grants for Crime Stoppers Programs	-	-	7,662
Total Expenditures	-	-	7,662
<u>Lapsed Balances</u>	\$ 7,800	\$ 10,000	\$ 2,338
<b><u>DEATH PENALTY ABOLITION FUND - 539</u></b>			
Appropriations (Net After Transfers)	\$ 7,374,300	\$ 7,374,300	\$ 7,981,900
Expenditures			
Personal Services	10,476	27,286	151,287
Ordinary & Contingent Expenses	54,938	65,151	-
Lump Sum, excluding Personal Services	-	-	144,330
Awards and Grants	730,328	458,518	403,990
Total Expenditures	795,742	550,955	699,607
<u>Lapsed Balances</u>	\$ 6,578,558	\$ 6,823,345	\$ 7,282,293



STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,  
EXPENDITURES, AND LAPSED BALANCES  
FOR THE FISCAL YEARS ENDED JUNE 30, 2019, 2018, AND 2017

SCHEDULE 3  
(CONTINUED)

	Fiscal Year		
	2019	2018	2017
	PA 100-0586 and 101-0007	PA 100-0021	PA 99-0524, 100-0021, and Court-Ordered Expenditures
<u>COMMITMENT TO HUMAN SERVICES FUND - 644</u>			
Appropriations (Net After Transfers)	\$ -	\$ -	\$ 13,875,400
Expenditures			
Lump Sum, excluding Personal Services	-	-	86,393
Awards and Grants	-	-	9,195,484
Total Expenditures	-	-	9,281,877
<u>Lapsed Balances</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 4,593,523</u>
<u>PRESCRIPTION PILL AND DRUG DISPOSAL FUND - 665</u>			
Appropriations (Net After Transfers)	\$ 150,000	\$ 150,000	\$ 150,000
Expenditures			
Lump Sum and Other Purposes	8,765	23,800	-
Total Expenditures	8,765	23,800	-
<u>Lapsed Balances</u>	<u>\$ 141,235</u>	<u>\$ 126,200</u>	<u>\$ 150,000</u>
<u>BUDGET STABILIZATION FUND - 686</u>			
Appropriations (Net After Transfers)	\$ -	\$ -	\$ 200,000
Expenditures			
Lump Sum and Other Purposes	-	-	195,609
Total Expenditures	-	-	195,609
<u>Lapsed Balances</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 4,391</u>
<b>TOTAL - APPROPRIATED FUNDS</b>			
Appropriations (Net After Transfers)	\$ 158,793,700	\$ 137,900,400	\$ 107,936,603
Total Expenditures	101,471,912	88,215,624	53,386,851
Lapsed Balances	<u>\$ 57,321,788</u>	<u>\$ 49,684,776</u>	<u>\$ 54,549,752</u>

STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,  
EXPENDITURES, AND LAPSED BALANCES  
FOR THE FISCAL YEARS ENDED JUNE 30, 2019, 2018, AND 2017

SCHEDULE 3  
(CONTINUED)

	Fiscal Year		
	2019	2018	2017
	PA 100-0586 and 101-0007	PA 100-0021	PA 99-0524, 100-0021, and Court-Ordered Expenditures
<u>NON-APPROPRIATED FUNDS</u>			
<u>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</u>			
Expenditures			
Refunds	\$ -	\$ -	\$ 8,321
Total Expenditures	-	-	8,321
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>			
Expenditures			
Refunds	8,813,011	-	-
Total Expenditures	8,813,011	-	-
TOTAL - NON-APPROPRIATED FUNDS			
Total Expenditures	\$ 8,813,011	\$ -	\$ 8,321
GRAND TOTAL - ALL FUNDS			
Total Expenditures	\$ 110,284,923	\$ 88,215,624	\$ 53,395,172

- Note 1: Appropriations, expenditures, and lapsed balances amounts in this schedule were prepared by the Authority and have been reconciled to the State Comptroller's records as of October 31, 2019, October 31, 2018 and September 30, 2017.
- Note 2: Expenditure amounts are vouchers approved for payment by the Authority and submitted to the State Comptroller for payment to the vendor.
- Note 3: The Circuit Court of St. Clair County in *AFSCME Council 31 v. Munger* (15 CH 475) ordered the State Comptroller, in the absence of enacted annual appropriations, to "draw and issue warrants accomplishing payment of wages [for all State employees] at their normal rates of pay." As Public Act 100-0021 states appropriation authority granted by the General Assembly does not supersede any court order directing the expenditure of funds and states such payments are added to the appropriations granted by the General Assembly, the Authority was able to submit vouchers to pay its employees in full from Fund 001 without a maximum expenditure limit for personal service costs during Fiscal Year 2017. Further, the Authority incurred non-payroll obligations within Fund 001, which the Authority was unable to pay until the passage of Public Act 100-0021.
- Note 4: Public Act 99-0524 authorized the Authority to pay Fiscal Year 2016 costs using its Fiscal Year 2017 appropriations for non-payroll expenditures.
- Note 5: During Fiscal Year 2017, the Authority operated without enacted appropriations until Public Act 100-0021 was approved on July 6, 2017. During the impasse, the Authority incurred non-payroll obligations within Fund 001, which the Authority was unable to pay until the passage of Act 100-0021.
- Note 6: Notwithstanding anything within Public Act 100-0021 to the contrary, Public Act 100-0021 authorized the Authority to pay for all costs incurred prior to July 1, 2018, using either its Fiscal Year 2017 or Fiscal Year 2018 appropriations for non-payroll expenditures.

**STATE OF ILLNOIS**  
**ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY**  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
**FOR THE TWO YEARS ENDED JUNE 30, 2019**

**SCHEDULE 4**

2019					
Description	Balance July 1, 2018	Additions	Deletions	Transfers	Balance June 30, 2019
Equipment	\$ 800,194	\$ 38,192	\$ (1,815)	\$ -	\$ 836,571

2018					
Description	Balance July 1, 2017	Additions	Deletions	Transfers	Balance June 30, 2018
Equipment	\$ 793,761	\$ 23,826	\$ (17,393)	\$ -	\$ 800,194

Note: The above schedule has been prepared by the Authority and have been reconciled to property reports submitted to the Office of the State Comptroller.

**STATE OF ILLINOIS**  
**ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY**  
**COMPARATIVE SCHEDULE OF CASH RECEIPTS AND**  
**RECONCILIATION OF CASH RECEIPTS TO**  
**DEPOSITS REMITTED TO THE STATE COMPTROLLER**  
**FOR THE YEARS ENDED JUNE 30, 2019, 2018 AND 2017**

**SCHEDULE 5**

	Fiscal Year		
	2019	2018	2017
<u>GENERAL REVENUE FUND - 001</u>			
Jury Duty	\$ 86	\$ 173	\$ 102
Prior Year Refunds	31,688	182,365	275,151
Total cash receipts per Authority	31,774	182,538	275,253
Less - In transit at End of Year	-	1,237	5,000
Plus - In transit at Beginning of Year	1,237	5,000	-
Total cash receipts per State Comptroller's Records	<u>\$ 33,011</u>	<u>\$ 186,301</u>	<u>\$ 270,253</u>
<u>MOTOR VEHICLE THEFT PREVENTION FUND - 156</u>			
Insurers Fees	\$ -	\$ 63,870	\$ 7,123,925
State Police	-	-	-
Prior Year Refunds	-	-	108,061
Total cash receipts per Authority	-	63,870	7,231,986
Less - In transit at End of Year	-	-	-
Plus - In transit at Beginning of Year	-	-	-
Total cash receipts per State Comptroller's Records	<u>\$ -</u>	<u>\$ 63,870</u>	<u>\$ 7,231,986</u>
<u>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</u>			
Violence Against Women Act - Arrest Grant	\$ -	\$ -	\$ -
Illinois Department of Human Services	-	-	-
Private Organization	-	-	-
Illinois Violence Prevention Authority Prior Year Refunds	20,000	141,992	193,049
Prior Year Refunds	-	15,872	43,012
Total cash receipts per Authority	20,000	157,864	236,061
Less - In transit at End of Year	-	-	5,000
Plus - In transit at Beginning of Year	-	5,000	14,035
Total cash receipts per State Comptroller's Records	<u>\$ 20,000</u>	<u>\$ 162,864</u>	<u>\$ 245,096</u>
<u>CRIMINAL JUSTICE INFORMATION PROJECTS FUND - 335</u>			
Criminal Justice Information Projects	\$ -	\$ -	\$ -
Illinois Department of Human Services	150,346	97,479	100,000
Circuit Clerk Fines, Penalties, and Assessments	4,033	3,685	4,130
Total cash receipts per Authority	154,379	101,164	104,130
Less - In transit at End of Year	261	94	64
Plus - In transit at Beginning of Year	94	64	-
Total cash receipts per State Comptroller's Records	<u>\$ 154,212</u>	<u>\$ 101,134</u>	<u>\$ 104,066</u>

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPARATIVE SCHEDULE OF CASH RECEIPTS AND  
RECONCILIATION OF CASH RECEIPTS TO  
DEPOSITS REMITTED TO THE STATE COMPTROLLER  
FOR THE YEARS ENDED JUNE 30, 2019, 2018 AND 2017**

**SCHEDULE 5  
(CONTINUED)**

	Fiscal Year		
	2019	2018	2017
<b><u>CRIMINAL JUSTICE TRUST FUND - 488</u></b>			
Victims of Crime Act	\$ 69,884,484	\$ 44,307,328	\$ 22,032,632
Byrne Justice Assistance Grant Program	6,511,233	-	6,742,363
Violence Against Women Act	5,271,200	3,286,897	3,991,058
Sexual Assault Services Program	549,458	343,424	493,066
Office on Violence Against Women Arrest Program	101,433	222,565	202,587
Residential Substance Abuse	135,149	63,475	300,041
Sex Offender Reporting and Notification Act Improvement	453,152	-	306,907
State Justice Statistics Program	182,274	114,041	103,575
Project Safe Neighborhoods	-	-	110,343
National Forensic Science Program	303,601	75,727	398,861
Post Conviction DNA Testing Assistance Program	-	-	129,653
Victim Assistance Discretionary Grant Training Program	380,952	284,707	199,844
Victim Assistance Discretionary Grant Training & Tech. Asst.	76,530	-	-
Victim Assistance Discretionary Grant Linking Systems of Care	377,997	180,390	-
Prison Rape Elimination Act	-	185,493	190,936
Vision 21: Building State Technology Capacity	77,124	-	250,000
US Dept of Homeland Security Countering Violent Extremism	53,683	61,649	-
Illinois Department of Human Services Subgrants	-	59,490	26,030
Illinois Emergency Management Agency Subgrant	50,372	52,689	-
National Governors Association Subgrant	10,000	-	-
Federal Program Income	-	671	1,307
Prior Year Warrant Voids	-	-	8,618
Prior Year Refunds	87,405	54,521	55,212
Total cash receipts per Authority	84,506,047	49,293,067	35,543,033
Less - In transit at End of Year	-	-	25,805
Plus - In transit at Beginning of Year	-	25,805	-
Total cash receipts per State Comptroller's Records	<u>\$ 84,506,047</u>	<u>\$ 49,318,872</u>	<u>\$ 35,517,228</u>
<b><u>DEATH PENALTY ABOLITION FUND - 539</u></b>			
Prior Year Refunds	\$ -	\$ 358	\$ -
Total cash receipts per Authority	-	358	-
Less - In transit at End of Year	-	-	-
Plus - In transit at Beginning of Year	-	-	-
Total cash receipts per State Comptroller's Records	<u>\$ -</u>	<u>\$ 358</u>	<u>\$ -</u>
<b><u>COMMITMENT TO HUMAN SERVICES FUND - 644</u></b>			
Prior Year Refunds	\$ 210	\$ -	\$ -
Total cash receipts per Authority	210	-	-
Less - In transit at End of Year	-	-	-
Plus - In transit at Beginning of Year	-	-	-
Total cash receipts per State Comptroller's Records	<u>\$ 210</u>	<u>\$ -</u>	<u>\$ -</u>

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
COMPARATIVE SCHEDULE OF CASH RECEIPTS AND  
RECONCILIATION OF CASH RECEIPTS TO  
DEPOSITS REMITTED TO THE STATE COMPTROLLER  
FOR THE YEARS ENDED JUNE 30, 2019, 2018 AND 2017**

**SCHEDULE 5  
(CONTINUED)**

	Fiscal Year		
	2019	2018	2017
<u>BUDGET STABILIZATION FUND - 686</u>			
Prior Year Refunds	\$ 2,200	\$ -	\$ -
Total cash receipts per Authority	2,200	-	-
Less - In transit at End of Year	-	-	-
Plus - In transit at Beginning of Year	-	-	-
Total cash receipts per State Comptroller's Records	<u>\$ 2,200</u>	<u>\$ -</u>	<u>\$ -</u>
 GRAND TOTAL - ALL FUNDS	 <u>\$ 84,715,680</u>	 <u>\$ 49,833,398</u>	 <u>\$ 43,368,629</u>
 Total cash receipts per Authority Records	 \$ 84,714,610	 \$ 49,798,861	 \$ 43,390,463
Less - In transit at End of Year	261	1,331	35,869
Plus - In transit at Beginning of Year	1,331	35,869	14,035
Total cash receipts per State Comptroller's Records - All Funds	<u>\$ 84,715,680</u>	<u>\$ 49,833,399</u>	<u>\$ 43,368,629</u>

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
AUTHORITY FUNCTIONS AND PLANNING PROGRAM  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

**Authority Functions**

The Illinois Criminal Justice Information Authority (Authority) was created in 1983 as a State agency dedicated to improving the administration of criminal justice. The Authority brings together key leaders from the justice system and the public to identify critical issues facing the criminal justice system in Illinois, and to propose and evaluate policies, programs, and legislation that address those issues. The Authority also works to ensure the criminal justice system in Illinois is efficient and effective.

The Authority had several statutorily mandated duties during the examination period, including the following:

- To coordinate the use of information within Illinois' criminal justice system;
- To promulgate effective criminal justice information policy;
- To improve criminal justice agency procedures and practices with respect to information and to improve new information technologies;
- To stimulate research and develop new methods and uses of criminal justice data for the improvement of the criminal justice system and reduction of crime; and
- To protect the integrity of criminal history record information, while safeguarding the privacy rights of Illinois citizens.

The Authority's specific powers and duties are detailed in the Illinois Criminal Justice Information Act (20 ILCS 3930). In addition to State guidelines, the Authority operates under the rules and guidelines of the Federal Crime Control Act of 1973, as amended.

The statutory responsibilities of the Authority during fiscal years 2018 and 2019 fit into four areas: grants administration; research and analysis; policy and planning; and information systems and technology.

**Grants Administration**

- Implements and funds victim assistance and law enforcement programs under the Edward Byrne Memorial Justice Assistance Grant program, Victims of Crime Act, Violence Against Women Act, and other grant programs as they become available; and
- Monitors program activity and provides technical assistance to grantees.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
AUTHORITY FUNCTIONS AND PLANNING PROGRAM (CONTINUED)  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

Research and Analysis

- Publishes research studies on a variety of crime trends and criminal justice issues;
- Acts as a clearinghouse for information and research on crime and the criminal justice system;
- Audits the state central repositories of criminal history record information for data accuracy and completeness; and
- Develops and tests statistical methodologies and provides statistical advice and interpretation to support criminal justice decision-making.

Policy and Planning

- Develops and implements comprehensive strategies for drug and violent crime law enforcement, crime control and prevention, and assistance to crime victims using federal funds awarded to Illinois;
- Advises the governor and the General Assembly on criminal justice policies and legislation;
- Coordinates policymaking groups to learn about ongoing concerns of criminal justice officials; and
- Participates in initiatives that improve the impact and cost effectiveness of the criminal justice system.

Information Systems and Technology

- Designs, develops, and supports systems which enhance the quality of victim service data;
- Serves as the sole administrative appeal body for determining citizen challenges to the accuracy of their criminal history records;
- Monitors the operation of existing criminal justice information systems to protect the constitutional rights and privacy of citizens; and
- Supports the development of an integrated criminal justice information network in Illinois.

The Authority Board consists of 25 members as outlined in the Illinois Criminal Justice Information Act:

- The Illinois Attorney General, or his or her designee,
- The Director of Corrections,
- The Director of State Police,



**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
AUTHORITY FUNCTIONS AND PLANNING PROGRAM (CONTINUED)  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

- The Director of Public Health,
- The Director of Children and Family Services,
- The Sheriff of Cook County,
- The State's Attorney of Cook County,
- The Clerk of the Circuit Court of Cook County,
- The President of the Cook County Board of Commissioner,
- The Superintendent of the Chicago Police Department,
- The Director of the Office of the State's Attorneys Appellate Prosecutor,
- The Executive Director of the Illinois Law Enforcement Training Standards Board,
- The State Appellate Defender,
- The Cook County Public Defender,
- The following additional members, each of whom shall be appointed by the Governor:
  - A circuit court clerk,
  - A sheriff,
  - A Public defender from a county other than Cook County,
  - A State's Attorney of a county other than Cook,
  - A chief of police, and
  - Six members of the general public.

The Authority was vice-chaired by Mr. Patrick Delfino as of June 30, 2019.

**Authority's Planning Program**

The Authority's planning process identifies problems/needs consistent with its statutory mandates. Strategy objectives and program proposals are developed to address the identified needs. The Authority has developed long-range goals and short-term objectives that are updated annually as part of its planning and budget development process.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

The Illinois Criminal Justice Information Authority's explanations for significant variations in expenditures greater than \$100,000 and 20% of total expenditures in that category between fiscal years 2019 and 2018, as presented in the Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances (Schedule 3) are detailed below.

	<u>FISCAL YEAR ENDED JUNE 30</u>		<u>INCREASE (DECREASE)</u>		<u>EXPLANATIONS</u>
	<u>2019</u>	<u>2018</u>	<u>AMOUNT</u>	<u>PERCENTAGE</u>	
<b>APPROPRIATED FUNDS</b>					
<u>GENERAL REVENUE FUND - 001</u>					
Lump Sum - Bullying Prevention	\$ 185,326	\$ -	\$ 185,326	100.00%	No program activity in fiscal year 2018.
Lump Sum - Unpaid Wage Increases	309,886	-	309,886	100.00%	No line appropriation in fiscal year 2018.
Safer Foundation	344,759	-	344,759	100.00%	No line appropriation in fiscal year 2018.
Grant to Local Law Enforcement	144,776	-	144,776	100.00%	No line appropriation in fiscal year 2018.
Duane Dean Behavioral Health Center	339,130	-	339,130	100.00%	No line appropriation in fiscal year 2018.
Operational Expenses & Awards	703,815	583,251	120,564	20.67%	Increase in line appropriation in fiscal year 2019.
Operation Ceasefire	4,481,137	3,432,874	1,048,263	30.54%	Increase in grant activity in fiscal year 2019.
Community Based Violence Prevention Program	6,139,858	3,908,226	2,231,632	57.10%	New program in fiscal year 2018 required planning and start-up time, was not fully operational until fiscal year 2019.
<u>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</u>					
Lump Sum and Other Purposes	520,078	-	520,078	100.00%	No funds were needed from this appropriation in fiscal year 2018.
<u>CRIMINAL JUSTICE INFORMATION PROJECTS FUND - 335</u>					
Lump Sum and Other Purposes	227,932	97,479	130,453	133.83%	Increase in grant awards in fiscal year 2019.
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Support of Federal Assistance	4,589,724	6,600,264	(2,010,540)	-30.46%	\$2 million refund of grant funds to the U.S. Department of Justice was paid from this line appropriation in fiscal year 2018.
Lump Sum and Other Purposes	611,355	473,688	137,667	29.06%	Increase in grant awards in fiscal year 2019.
Awards and Grants	72,056,460	60,925,307	11,131,153	18.27%	Increase in line appropriation in fiscal year 2019.
Awards and Grants to State Agencies	-	1,878,814	(1,878,814)	-100.00%	No line appropriation in fiscal year 2019.
<u>DEATH PENALTY ABOLITION FUND - 539</u>					
Awards and Grants	730,328	458,518	271,810	59.28%	Increase in grant activity in fiscal year 2019.
<b>NON-APPROPRIATED FUNDS</b>					
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Refunds	8,813,011	-	8,813,011	100%	Refund of grant funds to the U.S. Department of Justice in fiscal year 2019.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES (CONTINUED)  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

The Illinois Criminal Justice Information Authority's explanations for significant variations in expenditures greater than \$100,000 and 20% of total expenditures in that category between fiscal years 2018 and 2017, as presented in the Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances (Schedule 3) are detailed below.

	<u>FISCAL YEAR ENDED JUNE 30</u>		<u>INCREASE (DECREASE)</u>		<u>EXPLANATIONS</u>
	<u>2018</u>	<u>2017</u>	<u>AMOUNT</u>	<u>PERCENTAGE</u>	
<b>APPROPRIATED FUNDS</b>					
<u>GENERAL REVENUE FUND - 001</u>					
Contractual Services	\$ 312,946	\$ -	\$ 312,946	100.00%	No line appropriation in fiscal year 2017.
Lump Sum - Family Violence Coordinating Council Program	384,474	53,990	330,484	612.12%	Increase in line appropriation in fiscal year 2017.
Adult Redeploy Program	6,512,209	40,350	6,471,859	16039.39%	No line appropriation in fiscal year 2017 until July 6, 2017.
Operation Ceasefire	3,432,874	23,593	3,409,281	14450.39%	No line appropriation in fiscal year 2017 until July 6, 2017.
Safe from the Start	997,324	696,442	300,882	43.20%	No line appropriation in fiscal year 2017 until July 6, 2017.
Community Based Violence Prevention Program	3,908,226	-	3,908,226	100.00%	No line appropriation in fiscal year 2017.
<u>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</u>					
Lump Sum and Other Purposes	-	3,413,291	(3,413,291)	-100.00%	In addition to Fund 644 appropriation, funds were needed from this appropriation to cover fiscal years 2016 and 2017 program costs from fiscal year 2017 appropriations. These funds were not needed in fiscal year 2018.
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Support of Federal Assistance	6,600,264	5,076,607	1,523,657	30.01%	Increase in line appropriation in fiscal year 2018.
Awards and Grants	60,925,307	28,507,308	32,417,999	113.72%	Increase in line appropriation in fiscal year 2018.
Awards and Grants to State Agencies	1,878,814	2,704,147	(825,333)	-30.52%	Decrease in funding for grants to other state agencies in fiscal year 2018.
<u>DEATH PENALTY ABOLITION FUND - 539</u>					
Personal Services	27,286	151,287	(124,001)	-81.96%	Decrease in program activity and staffing in fiscal year 2018.
<u>COMMITMENT TO HUMAN SERVICES FUND - 644</u>					
Awards and Grants	-	9,195,484	(9,195,484)	-100.00%	No appropriation in fiscal year 2018.
<u>BUDGET STABILIZATION FUND - 686</u>					
Lump Sum and Other Purposes	-	195,609	(195,609)	-100.00%	No appropriation in fiscal year 2018.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

The Illinois Criminal Justice Information Authority's explanations for significant variations in receipts greater than \$100,000 and 20% of total receipts for that category as presented in the Comparative Schedule of Cash Receipts and Reconciliation of Cash Receipts to Deposits Remitted to the State Comptroller (Schedule 5) are detailed below.

	<u>FISCAL YEAR ENDED JUNE 30</u>		<u>INCREASE (DECREASE)</u>		<u>EXPLANATIONS</u>
	<u>2019</u>	<u>2018</u>	<u>AMOUNT</u>	<u>PERCENTAGE</u>	
<u>GENERAL REVENUE FUND - 001</u>					
Prior Year Refunds	\$ 31,688	\$ 182,365	\$ (150,676)	-82.62%	Decrease in prior year refunds received in 2019. These refunds are expected to fluctuate between years.
<u>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</u>					
Illinois Violence Prevention Authority Prior Year Refunds	20,000	141,992	(121,992)	-85.91%	Decrease in prior year refunds to Agency #559 from former Illinois Violence Prevention Authority grantees as final amounts due were collected in fiscal year 2019.
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Victims of Crime Act	69,884,484	44,307,328	25,577,156	57.73%	Increase in grant funding in fiscal year 2019.
Byrne Justice Assistance Grant Program	6,511,233	-	6,511,233	100.00%	No grant funding received in fiscal year 2018.
Violence Against Women Act	5,271,200	3,286,897	1,984,303	60.37%	Increase in grant funding in fiscal year 2019.
Sexual Assault Services Program	549,458	343,424	206,034	59.99%	Increase in grant activity in fiscal year 2019.
Office on Violence Against Women Arrest Program	101,433	222,565	(121,132)	-54.43%	Decrease in grant activity in fiscal year 2019.
Sex Offender Reporting and Notification Act Improvement	453,152	-	453,152	100.00%	No grant activity received in fiscal year 2018.
National Forensic Science Program	303,601	75,727	227,874	300.91%	Increase in grant funding in fiscal year 2019.
Victim Assistance Discretionary Grant Linking Systems of Care	377,997	180,390	197,607	109.54%	Increase in grant funding in fiscal year 2019.
Prison Rape Elimination Act	-	185,493	(185,493)	-100.00%	No grant funding received in fiscal year 2019.
<u>MOTOR VEHICLE THEFT PREVENTION FUND - 156</u>					
Insurers Fees	\$ 63,870	\$ 7,123,925	\$ (7,060,055)	-99.10%	Decrease in fees received as this program and funds were transferred to another State agency in fiscal year 2018.
Prior Year Refunds	-	108,061	(108,061)	-100.00%	Decrease in prior year refunds as this program and funds were transferred to another State agency in fiscal year 2018.
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>					
Victims of Crime Act	44,307,328	22,032,632	22,274,696	101.10%	Increase in grant funding in fiscal year 2018.
Byrne Justice Assistance Grant Program	-	6,742,363	(6,742,363)	-100.00%	No grant funding received in fiscal year 2018.
Violence Against Women Act	3,286,897	3,991,058	(704,161)	-17.64%	Decrease in grant funding in fiscal year 2018.
Sexual Assault Services Program	343,424	493,066	(149,642)	-30.35%	Decrease in grant activity in fiscal year 2018.
Residential Substance Abuse	63,475	300,041	(236,566)	-78.84%	Decrease in grant activity in fiscal year 2018.
Sex Offender Reporting and Notification Act Improvement	-	306,907	(306,907)	-100.00%	No grant funding received in fiscal year 2018.
Project Safe Neighborhoods	-	110,343	(110,343)	-100.00%	No grant funding received in fiscal year 2018.
National Forensic Science Program	75,727	398,861	(323,134)	-81.01%	Decrease in grant activity in fiscal year 2018.
Post Conviction DNA Testing Assistance Program	-	129,653	(129,653)	-100.00%	No grant funding received in fiscal year 2018.
Victim Assistance Discretionary Grant Linking Systems of Care	180,390	-	180,390	100.00%	New grant in fiscal year 2018.
Vision 21: Building State Technology Capacity	-	250,000	(250,000)	-100.00%	No grant funding received in fiscal year 2018.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

The Illinois Criminal Justice Information Authority's explanations for significant lapse period spending greater than \$1,000 and 20% of total expenditures as presented in the Schedule of Appropriations, Expenditures, and Lapsed Balances for fiscal year 2019 (Schedule 1) are detailed below.

	<b>FISCAL YEAR ENDED JUNE 30, 2019</b>			<b>EXPLANATIONS</b>
	<b>TOTAL EXPENDITURES</b>	<b>LAPSE PERIOD EXPENDITURES</b>	<b>PERCENTAGE</b>	
<b>GENERAL REVENUE FUND - 001</b>				
Contractual Services	\$ 366,582	\$ 123,249	33.62%	Several fiscal year 2019 Central Management Services revolving fund invoices and other invoices for costs incurred prior to June 30, 2019 were received in July and August, resulting in significant expenditures being paid during the lapse period.
Electronic Data Processing	179,249	71,602	39.95%	Invoices for several fiscal year 2019 EDP equipment purchases were received and paid during the lapse period.
Ordinary & Contingent Expenses - Stipends	98,231	98,231	100.00%	One-time stipends per AFSCME contract could not be processed and issued to bargaining unit employees until after the AFSCME contract was ratified in late June.
Lump Sum - Family Violence Coordinating Council Program	416,686	92,387	22.17%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Lump Sum - Bullying Prevention	185,326	171,999	92.81%	This three-month program began in April of fiscal year 2019, so reimbursement payments to grantees were paid during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Lump Sum - Unpaid Wage Increases	309,886	309,886	100.00%	Back pay for bargaining unit employees could not be processed and paid until the AFSCME contract was ratified in late June.
Safer Foundation	344,759	299,340	86.83%	Grant program began in November of fiscal year 2019 and grant activity increased gradually. As a result, most of the grant costs were incurred during the last quarter of fiscal year 2019 and reimbursement payments to grantees were paid during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Duane Dean Behavioral Health Center	339,130	234,028	69.01%	Grant program began in November of fiscal year 2019, and reimbursements to grantees for the months of March - June were paid during the lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Adult Redeploy Program	6,614,971	1,483,331	22.42%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Operation Ceasefire	4,481,137	922,257	20.58%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Safe from the Start	955,674	233,229	24.40%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Community Based Violence Prevention Program	6,139,858	1,304,451	21.25%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
<b>ICJIA VIOLENCE PREVENTION SPECIAL PROJECTS FUND - 318</b>				
Lump Sum and Other Purposes	520,078	157,854	30.35%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.

STATE OF ILLINOIS  
 ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
 ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING (CONTINUED)  
 FOR THE TWO YEARS ENDED JUNE 30, 2019  
 (NOT EXAMINED)

The Illinois Criminal Justice Information Authority's explanations for significant lapse period spending greater than \$1,000 and 20% of total expenditures as presented in the Schedule of Appropriations, Expenditures, and Lapsed Balances for fiscal year 2019 (Schedule 1) are detailed below.

	<u>FISCAL YEAR ENDED JUNE 30, 2019</u>			<u>EXPLANATIONS</u>
	<u>TOTAL</u> <u>EXPENDITURES</u>	<u>LAPSE PERIOD</u> <u>EXPENDITURES</u>	<u>PERCENTAGE</u>	
<u>CRIMINAL JUSTICE TRUST FUND - 488</u>				
Awards and Grants	72,056,460	16,767,117	23.27%	Payments to grantees for fourth quarter of fiscal year 2019 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
<u>DEATH PENALTY ABOLITION FUND - 539</u>				
Personal Services	10,476	4,680	44.67%	Grant program began in the 4th quarter of fiscal year 2019, so staff salaries were charged to this program in the 4th quarter only. The June 30 payroll was processed during the lapse period.
Ordinary & Contingent Expenses	54,938	50,347	91.64%	Grant program began in the 4th quarter of fiscal year 2019, and most invoices for operating costs were processed and paid during the lapse period.
Awards and Grants	730,328	720,909	98.71%	Grant program began in the 4th quarter of fiscal year 2019, so reimbursements to grantees were paid during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from
<u>PRESCRIPTION PILL AND DRUG DISPOSAL FUND - 665</u>				
Lump Sum and Other Purposes	8,765	8,765	100.00%	Grant funds were spent at the end of fiscal year 2019, so reimbursement to the grantee was paid during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from the grantee.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING (CONTINUED)  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

The Illinois Criminal Justice Information Authority's explanations for significant lapse period spending greater than \$1,000 and 20% of total expenditures as presented in the Schedule of Appropriations, Expenditures, and Lapsed Balances for fiscal year 2018 (Schedule 2) are detailed below.

	<b>FISCAL YEAR ENDED JUNE 30, 2018</b>				<b>EXPLANATIONS</b>
	<b>TOTAL EXPENDITURES</b>	<b>LAPSE PERIOD EXPENDITURES</b>	<b>PERCENTAGE</b>		
<b><u>GENERAL REVENUE FUND - 001</u></b>					
Contractual Services	\$ 312,946	\$ 69,803	22.31%		Several fiscal year 2018 Central Management Services revolving fund invoices and other invoices for costs incurred prior to June 30, 2018 were received in July and August, resulting in significant expenditures being paid during the lapse period.
Lump Sum - Family Violence Coordinating Council Program	384,474	109,372	28.45%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Operation Ceasefire	3,432,874	881,965	25.69%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Safe from the Start	997,324	389,797	39.08%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Community Based Violence Prevention Program	3,908,226	1,556,158	39.82%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
<b><u>CRIMINAL JUSTICE TRUST FUND - 488</u></b>					
Awards and Grants	60,925,307	15,344,673	25.19%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
Awards and Grants to State Agencies	1,878,814	531,139	28.27%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
<b><u>DEATH PENALTY ABOLITION FUND - 539</u></b>					
Awards and Grants	458,518	100,044	21.82%		Payments to grantees for fourth quarter of fiscal year 2018 were processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.
<b><u>PRESCRIPTION PILL AND DRUG DISPOSAL FUND - 665</u></b>					
Lump Sum and Other Purposes	23,800	7,365	30.95%		Payment to grantee for fourth quarter of fiscal year 2018 was processed during lapse period. Grant payments depend on time of grant provisions and when adequate documentation for the payment is received from grantees.

**STATE OF ILLINOIS**  
**ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY**  
**AVERAGE NUMBER OF EMPLOYEES**  
**FOR THE TWO YEAR ENDED JUNE 30, 2019**  
**(NOT EXAMINED)**

The Illinois Criminal Justice Information Authority (Authority) members are supported by a professional staff trained in information technology, data analysis, and criminal justice information administration. Staff functions include: developing and operating automated information systems, analyzing criminal justice policies and crime trends, providing training and technical assistance to other criminal justice professionals and administering federal and State grants.

The following table, prepared by the Authority, presents the average number of persons (rounded to the nearest whole number) employed by the Authority by fund for the fiscal years ended June 30, 2017, 2018, and 2019.

	<u>2019</u>	<u>2018</u>	<u>2017</u>
<u>NON-CONTRACTUAL EMPLOYEES</u>			
Fund 001 - General Revenue Fund	39	38	22
Fund 156 - Motor Vehicle Theft Prevention Fund	-	-	2
Fund 184 - ICJIA Violence Prevention Fund	2	2	1
Fund 318 - ICJIA Violence Prevention Special Projects Fund	1	-	3
Fund 335 - Criminal Justice Information Projects Fund	1	1	-
Fund 488 - Criminal Justice Trust Fund	23	28	30
Fund 539 - Death Penalty Abolition Fund	-	-	4
Fund 644 - Commitment to Human Services Fund	-	-	4
Total Non-Contractual Employees	<u>66</u>	<u>69</u>	<u>66</u>
<u>CONTRACTUAL EMPLOYEES</u>			
Fund 001 - General Revenue Fund	3	3	-
Fund 318 - ICJIA Violence Prevention Special Projects Fund	1	-	2
Fund 488 - Criminal Justice Trust Fund	5	2	5
Fund 644 - Commitment to Human Services Fund	-	-	2
Total Contractual Employees	<u>9</u>	<u>5</u>	<u>9</u>
Total Employees	<u><u>75</u></u>	<u><u>74</u></u>	<u><u>75</u></u>



**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
MEMORANDUMS OF UNDERSTANDINGS  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

<u>Memorandums of Understanding</u>	<u>Parties Involved Other than the Illinois Criminal Justice Information Authority (Authority)</u>	<u>Dates Involved</u>	<u>Description of Memorandum Requirements</u>
Evaluation Study of Safe Passage Initiative	Sinmissippi Centers	10/02/17 - 08/16/19	Enhance collaboration, create mutual understanding of the procedures and expectations of each party in the research evaluation of Safe Passage.
Evaluation Study of Safe Passage Initiative	Chestnut Health Systems	10/02/17 - 08/16/19	Enhance collaboration, create mutual understanding of the procedures and expectations of each party in the research evaluation of Safe Passage.
Evaluation Study of Safe Passage Initiative	Gateway Foundation	10/02/17 - 08/16/19	Enhance collaboration, create mutual understanding of the procedures and expectations of each party in the research evaluation of Safe Passage.
Evaluation Study of Safe Passage Initiative	SHARE/Leyden Family Services & Mental Health Center	01/24/18 - 08/16/19	Enhance collaboration, create mutual understanding of the procedures and expectations of each party in the research evaluation of Safe Passage.
InfoNet Interface for System-Based Victim Service Providers Project	Office of the Illinois Attorney General - Crime Victim Services	10/01/18 - 09/30/21	Establishment of a cooperative and mutually-beneficial arrangement for the purpose of building a new case management system for system-based victim service programs, specifically law enforcement and prosecutor-based programs receiving grant funds from either or both parties.
Infonet Enhanced Outcome Measures Project	Illinois Department of Human Services - Bureau of Domestic Violence, Assault, and Human Trafficking	10/01/18 - 09/30/21	Establishment of a cooperative and mutually-beneficial arrangement for the purpose of building new mechanisms for improved data collection and reporting of service outcome measures by victim service providers receiving grant funds from either or both parties.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
MEMORANDUMS OF UNDERSTANDINGS (CONTINUED)  
FOR THE TWO YEARS ENDED JUNE 30, 2019  
(NOT EXAMINED)**

<u>Memorandums of Understanding</u>	<u>Parties Involved Other than the Illinois Criminal Justice Information Authority (Authority)</u>	<u>Dates Involved</u>	<u>Description of Memorandum Requirements</u>
Infonet Enhanced Outcome Measures Project	Illinois Coalition Against Domestic Violence (ICADV)	10/01/18 - 09/30/21	Establishment of a cooperative and mutually-beneficial arrangement for the purpose of building new mechanisms for improved data collection and reporting of service outcome measures by domestic violence service providers.
Infonet Enhanced Needs and Outcome Measures Project	Illinois Coalition Against Sexual Assault (ICASA)	10/01/18 - 09/30/21	Establishment of a cooperative and mutually-beneficial arrangement for the purpose of building new mechanisms for improved data collection and reporting of sexual assault victim needs and outcomes of funded services provided by sexual assault service providers.
Access to the Illinois Criminal History Record Information (CHRI) for Research Purposes	Illinois State Police (ISP)	12/20/18 The agreement will remain in effect until it is canceled by either party.	The purpose of the agreement is intended to enhance and foster the exchange of CHRI for research purposes and to define the terms and conditions under which ISP allows the Authority access.
Improving Criminal Justice Responses to Domestic Violence, Dating Violence, Sexual Assault, and Stalking Grant Program	Illinois Family Violence Coordinating Councils, The Center for Prevention of Abuse, Illinois Department on Aging, Illinois Law Enforcement Training and Standards Board Executive Institute, and Blue Tower Solutions, Inc.	02/13/19 - 09/30/22	Continuation of the Integrated Protocol Initiative which began during the 2011 Arrest grant and a re-commitment of project partners to continue its collaborative efforts.

**STATE OF ILLINOIS  
ILLINOIS CRIMINAL JUSTICE INFORMATION AUTHORITY  
SCHEDULE OF INDIRECT COST REIMBURSEMENTS  
FOR THE TWO YEAR ENDED JUNE 30, 2019  
(NOT EXAMINED)**

Indirect cost reimbursements are based on a rate negotiated with the U.S. Department of Justice (USDOJ), Office of Justice Programs. These indirect cost reimbursements provide funding for allowable program costs that are incurred for a common purpose and are not assignable to specific cost objectives. Indirect cost reimbursements are deposited into the following federal trust fund: Criminal Justice Trust Fund (488). Fiscal year 2019 was the first year that the Illinois Criminal Justice Information Authority received a federally approved Indirect Cost Negotiated Agreement from the USDOJ. Following are reimbursements deposited during fiscal year 2019.

FEDERAL PROGRAMS/GRANTS	Fiscal Year 2019
Victims of Crime Act Program	\$ 1,050,241
Violence Against Women Act Program	83,857
Sexual Assault Services Program	1,793
Victim Assistance Discretionary Grant: Linking Systems of Care	5,000
Total Indirect Cost Reimbursements	\$ 1,040,891

The indirect cost rate established with the USDOJ for allocating indirect costs to federal award programs for fiscal year 2019 was 37.60% of modified total direct costs, including all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward. This rate was effective from July 1, 2018 through June 30, 2019.