EXEMPTION PROCEDURES MANUAL

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Section 1 – General Overview of Exemption from State Universities Civil Service System

(Reference section 36e of the Act (110 ILCS 70/36e))
and
Section 250.20/250.30 of the Illinois Administrative Code (80 Ill. Adm. Code §250.20/250.30)

1.1 Overview

The State Universities Civil Service Act (Act) (110 ILCS 70/36e) states that all employees shall be covered by the State Universities Civil Service System (University System), except the following persons:

(1) The members and officers of the Merit Board and the board of trustees, and the commissioners of the institutions and agencies covered hereunder;
(2) The presidents and vice-presidents of each educational institution;
(3) Other principal administrative employees of each institution and agency as determined by the Merit Board;
(4) The teaching, research, and extension faculties of each institution and agency;
(5) Students employed under rules prescribed by the Merit Board, without examination or certification.

This statutory directive is further referenced in sections 250.20 and 250.30 of the Illinois Administrative Code (Code) (80 Ill. Adm. Code §250.20 and §250.30). As part of its statutory responsibility, the Merit Board has approved criteria that are to be used as guidelines for determining appropriate civil service exemptions. These criteria were originally drafted in 1972 by members of the Human Resource Directors Advisory Committee and the State Universities Civil Service Advisory Committee and circulated to all the Designated Employer Representatives and members of the University Civil Service Advisory Committee for comment and input. At that time, the Merit Board also approved an Administrative Advisory Committee's resolution recommending that the Merit Board's authority to approve exemptions based on the criteria be delegated to the Executive Director of the University System. The employer would then be allowed to appeal the Executive Director's decisions to the Merit Board. These criteria were expanded in 1975 and 1990. The current criteria for the exemption of positions provides as follows: under each categorical designation.

Exemption status is determined primarily by a thorough and comprehensive review of the position description. It is therefore extremely important that employers maintain an updated, accurate and complete position description for all positions. A routine and regular position review program is necessary in order to properly assign classification designations and accurately validate exemption status.

CRITERION A:

(1) Whose primary duty is administrative management of a Campus or Agency division or like unit, and who reports to the Chief Executive Officer of the Campus or Agency; or

Section 1 – General Overview of Exemption from State Universities Civil Service System

~~(~~Reference section 36e of the Act (110 ILCS 70/36e~~))~~)
and
Section 250.20/250.30 of the Illinois Administrative Code (80 Ill. Adm. Code §250.20/250.30)

~~(2) Who performs an independent administrative function and reports to the Chief Executive Officer, President, Vice-President, Chancellor, Vice Chancellor or Provost of the Campus or Agency~~

~~***OR***~~

~~**CRITERION B:**~~

~~(1) Whose primary responsibility is the administration of an academic unit engaged in academic instruction or research (e.g., Dean, Associate and Assistant Dean, Department Head, Associate and Assistant Department Head.~~

~~***OR***~~

~~**CRITERION C:**~~

~~(1) Who is charged with high level administrative responsibilities and whose decisions are based on administrative polices; and~~

~~(2) Who performs these duties with only general administrative supervision or direction and who exercises discretion and independent judgment (e.g., Director, Associate or Assistant Director)~~

~~***OR***~~

~~**CRITERION D:**~~

~~(1) Who is in a position requiring a knowledge of an advanced type in a file of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study (as distinguished from a general academic education) and which requires the consistent exercise of discretion and judgment (e.g., physician, attorney, engineer, architect, archeologist, physicist, biochemist)~~

~~In 1997 and in 1998, the Merit Board approved position standards that would allow the employer to exempt positions from civil service without prior approval from the Executive Director if the position description fits within the defined position standard. This exemption process would be subject to audit by the University System office.~~

The following sections contain the approved criteria, guidelines and ~~criteria~~protocols to be used in properly validating and designating those positions, and employees in those positions, as exempt from State Universities Civil Service System coverage, as categorically defined above. It is

Section 1 – General Overview of Exemption from State Universities Civil Service System

(Reference section 36e of the Act (110 ILCS 70/36e))
and
Section 250.20/250.30 of the Illinois Administrative Code (80 Ill. Adm. Code §250.20/250.30)

important to note that a significant amount of attention and careful consideration was taken to insure that these standards most accurately reflect and preserve the historical intentions of related statutory provisions and Merit Board actions.

~~Exemption status is determined primarily by a thorough and comprehensive review of the position description. It is therefore extremely important that employers maintain an updated, accurate and complete position description for all positions. A routine and regular position review program is necessary in order to properly assign classification designations and accurately validate exemption status.~~

When the standards for each exemption category ~~was~~were established, appropriate attention was given to insure that the examples and types of positions listed were consistent with statutory intention and Merit Board actions. At the same time, the examples and types of positions listed remain broad enough to hopefully encompass future positions that would be appropriate for designation under each category.

Within any complex classification plan, there are instances of overlap in position specifications, assigned duties, and responsibilities. ***However, there was never any intent to permit or condone the conversion of traditional civil service positions to exempt status by virtue of the fact that the positions may appear to correspond to the general definitions of positions contained in these exemption categories. If a position description matches the specifications for any civil service classification, the position must be designated as civil service.*** Those positions designated as exempt from civil service guidelines, as well as the process of exempting such positions, are subject to audit by the University System office.

Most specifically, section 250.30(a) and (b) of the Code require exemptions categorized under section 36e(3) of the Act to be designated by position, and approved by the Merit Board. When approved by the Merit Board, these positions shall remain exempt until such exemption is terminated by the Merit Board.

Section 2 – Primary Administrator Exemptions
(President, Chancellor, Agency Executive Director)

(Reference section 36e(2) of the Act (110 ILCS 70/36e(2))

2.1 PRIMARY ADMINISTRATOR -APPOINTMENTS

~~Top~~The criteria for the exemption of these positions, and individuals appointed to these positions, are defined as follows:

1) Whose primary duty is administrative management of a Campus or Agency division or like unit, and who reports to the Chief Executive Officer of the Campus or Agency; or
2) Who performs an independent administrative function and reports to the Chief Executive Officer, Vice President, Chancellor, or Vice Chancellor of the Campus or Agency

These top-level, primary administrator appointments are considered exempt from civil service guidelines in accordance with the State Universities Civil Service Act, Section ~~36(e)~~36e(2~~.~~). In general, these positions are typically given the final campus/agency decision-making and oversight authority by their Board ~~or~~of Trustees, or other Governing Body. ~~Those~~Other directly affiliated positions that are assigned to manage and support any aspect of the primary campus/agency decision making and oversight authority may also be considered exempt in accordance with this procedure. Some common titles associated with this type of exemption include, but are not limited to, the following:

President
Chancellor
Agency Executive Director/President
Vice President
Vice Chancellor
Associate Vice President
Associate Vice Chancellor
Assistant Vice President
Assistant Vice Chancellor

The general function of these appointments should be easily discernable and includes the primary leadership and administrative authority over the entire university/agency, or primary unit thereof. Representative independent functions may include primary oversight authority over operational areas such as Academic Affairs, Affirmative Action/Diversity Resources, Administrative Affairs, Finance and Planning, Health Services, Information Systems, Institutional Advancement, Research, or Student Affairs.

It is recommended that position descriptions be properly developed and maintained in order to establish the proper administrative authority assigned to each position, and validate the

Section 2 – Primary Administrator Exemptions
(President, Chancellor, Agency Executive Director)

(Reference section 36e(2) of the Act (110 ILCS 70/36e(2))

exemption authorization recognized under this statutory reference. ~~A~~Some sample position ~~description~~descriptions for this type of appointment and exemption ~~follows.~~ follow. *See Example 2.1a for examples of 36e(2) titles and corresponding position standards.*

~~See 2.1a for examples of 36e(2) titles and corresponding position standards.~~

Example 2.1a

Standard Title: **AGENCY EXECUTIVE DIRECTOR/PRESIDENT**

PRIMARY ADMINISTRATIVE POSITION EXEMPTION (36e(2))

- ***General Function Statement***

Provide administrative leadership and oversight to an affiliated agency or institution with multiple reporting components in collaboration with the University System. ~~Is responsible~~Responsible for agency-wide functions and for directing activities of affiliated organizations, partnerships, state or federal programs.

- ***Organization Relationship***

Organization Board of Directors
Executive Director/President
Directors/Vice Presidents
Associate Director/Assistant Directors/Associate Vice President/Assistant Vice President
Professional Staff (Coordinators/Specialists/Managers/Analysts)
~~Technical, Clerical Support Staff~~

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Provide executive leadership to develop and administer a comprehensive program and activities to fulfill the role of the office, function, or organization.
2. Interface with Board of Directors and Advisory Committees to direct collaborative efforts between other institutions, organization or projects and programs affiliated with a campus or university. Chair and convene committees and provide leadership and support to Board of Directors and advisory groups.
3. Ensure provisions of contractual agreements between campus/university and relevant outside programs or organization.
4. Oversee financial management, including control of the budget and allocation of resources. Budgets may be large and include major federal or state grants or private funds.
5. Formulate, establish and implement administrative policies applicable to the organizations, or those applicable campus or university-wide.
6. Provide professional expertise and leadership.
7. Provide management reports, analyses, data and information for administrative purposes.
8. Direct the staffing by overseeing recruitment, training, and management of work assigned to professionals and support staff.

Example 2.1a

Standard Title: **ASSISTANT VICE PRESIDENT/ ASSISTANT CHANCELLOR/ASSISTANT VICE CHANCELLOR**

PRIMARY ADMINISTRATIVE POSITION EXEMPTION (36e(2))

- ***General Function Statement***

  Performs independent administrative functions and reports to Vice Chancellor/Vice President/Chancellor. Representative independent functions include but are not limited to Academic Affairs, Affirmative Action, Administrative Affairs, Health Affairs, Information Systems Services, Institutional Advancement, Research, or Student Affairs.

- ***Organization Relationship***

  Chancellor/Vice Chancellor/ Vice President
  Associate Chancellor/Associate Vice Chancellor/Associate Vice President
  Assistant Chancellor/Assistant Vice Chancellor~~//~~/Assistant Vice President

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

  1. Oversee designated administrative functions under direction as assigned.
  2. Draft policies, procedures, and guidelines.
  3. Provide support for major initiatives.
  4. Address staffing issues.
  5. Prepare ad hoc reports and conduct research.
  6. Monitor policy by acting as approving authority.
  7. Assume line responsibility for specific administration function(s).

Example 2.1a

Standard Title: **ASSOCIATE VICE PRESIDENT/ASSOCIATE VICE CHANCELLOR/ASSOCIATE CHANCELLOR**

PRIMARY ADMINISTRATIVE POSITION EXEMPTION (36e(2))

- ***General Function Statement***

Performs independent administrative functions and reports to Vice Chancellor/Vice President/Chancellor. Representative independent functions include but are not limited to Academic Affairs, Affirmative Action, Administrative Affairs, Health Affairs, Information Systems Services, Institutional Advancement, Research, or Student Affairs.

- ***Organization Relationship***

Chancellor/Vice Chancellor/Vice President
Associate Chancellor/Associate Vice Chancellor~~//~~/Associate Vice President

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Chief advisor to Chancellor/Vice Chancellor/Vice President.
2. Responsible for providing leadership for independent administrative functions as assigned.
3. Responsible for day-to-day operations and management of campus resources and activities as assigned.
4. Responsible for budget and programmatic analysis of assigned units.
5. Establish and maintain necessary control mechanisms for effective management of designated functions.
6. Undertake and carry out studies, analyses and interpretations of plans for assigned functions.
7. Participate in policy development and administration of university and campus polices related to all aspects of described functions.

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

3.1 PRINCIPAL ADMINISTRATIVE APPOINTMENTS

Principal Administrative Appointments (PAA) are considered exempt from civil service guidelines in accordance with section 36e(3) of the Act. The criteria for the exemption of ~~these~~ positions under section 36e(3) of the Act, and individuals appointed to these positions, is defined as follows:

1) Who is charged with high level administrative responsibilities and whose decisions are based on administrative policies; and
2) Who performs these duties with only general administrative supervision or direction; who exercises discretion and independent judgment (e.g. Director, Associate or Assistant Director)

OR

3) Who is in a position requiring a knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study (as distinguished from a general academic education) and which requires the consistent exercise of discretion and judgment ~~(e.g. physician, attorney, engineer, architect)~~

~~Principal Administrative Appointments (PAA) are considered exempt from civil service guidelines in accordance with section 36e(3) of the Act.~~ A PAA is defined as an employee who is charged with high level administrative responsibilities, whose decisions are based on administrative polices and who exercises discretion and independent judgment. A PAA can also be defined as an employee who is in a position requiring knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study (as distinguished from a general academic education). In all instances, a PAA performs their duties with only general administrative supervision, requiring the consistent exercise of discretion and independent judgment.

The Act specifically provides that the Merit Board has the authority to determine PAAs at each institution or agency. Section 250.30(~~b~~a) of the Code further defines the Merit Board's responsibility in this regard, which provides, in part, "~~Each position exempt~~Exemptions under Section 36e(3) of the Statute shall be ~~reviewed and approved by the Merit Board, or as designated by the Merit Board to the Executive Director. Exemption authority in this respect lies solely with the Merit Board, or as designated by the Merit Board to the Executive Director.~~by position. When approved by the Merit Board, a position ~~exempt under 36e(3)~~ shall remain exempt until such exemption is terminated by the Merit Board~~." Accordingly, the Merit Board's authority to approve exemptions based on these~~. The Director shall publish guidelines ~~has been operationally delegated~~

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

~~to the Executive Director of the University System. *See Procedure 6.3 and Form 6.3a.*~~for such exemptions, as approved by the Merit Board."

Position Analysis and Exemption Designation

Exemption authorization under Section 36(e)(3) is determined primarily by a thorough and comprehensive review and analysis of the position description. It is therefore extremely important that employers maintain an updated, accurate and complete position description for all positions proposed to be exempt in this respect. A routine and regular position management program is necessary in order to properly facilitate the classification plan management system and accurately validate the exemption status/authorization. Employers are encouraged to standardize their position descriptions for all employment categories. *Example 3.1a provides a recommended format for this.*

In order to validate the exemption status/authorization for any PAA, the position review and analysis process should include the following basic components:

1) Each duty and responsibility contained in the proposed position to be exempt, and referenced through the job duties and responsibilities contained in the position description, must be compared to the specifications contained in the associated civil service occupational area, and corresponding classification plan. If this analysis indicates that the majority of duties and responsibilities match civil service classification specifications, then the position must be assigned to an appropriate civil service classification.
2) An analysis of several abstract components associated with the position proposed to be exempt, and referenced through the job duties and responsibilities contained in the position description, must also be conducted in order to justify and validate the exemption authorization. These abstract position analysis components include the following;
    a. Education/Experience – minimum level of education and experience necessary to perform duties of positions
    b. Decision Making Authority: formulate, affect, interpret or implement management policies or operating practices; ability to make decisions on behalf of senior level administrator
    c. Independent Judgment: more than simply applying established techniques or adhering to specific standards or pre-set policies/procedures
    d. Discretion: authority to waive or deviate from established policies or procedures without prior approval
    e. Autonomy: degree of independence or freedom within the scope of duties performed

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

f. Representation: representing the university in handling complaints, arbitrating disputes, or resolving grievances; authority to negotiate or bind the university on significant matters
g. Leadership: determine long or short term business objectives and strategic plans
h. Consequences of Error: what dollar loss would be likely to result from errors in work product
i. Supervision: evaluate the number and type of employees supervised; distribution of work; or oversight regarding operational processes
j. Complexity and Analytical Ability Required for Work Performed: determine whether the position requires the innovative application of specialized knowledge, develop financial or operational plans for large/complex organizational components, highly complex strategic or operating problems that require innovative solutions
k. Accountability: assess the level of liability involved when making decisions and the impact
l. Budget Authority: determine whether the position controls or authorizes the expenditure of funds (fiscal agent) or can approve salary increases; whether the position solely develops and implements a budget and reallocates funds when necessary
m. Hierarchy and Organizational Relationships: where the position fits in the organizational structure and determining accountability for planning the structure of the organization
n. Confidentiality: what is the security access level; department level access, full and complete access to department/college level reports/files, or complete university wide access

In order to validate an exemption, the analysis of the position description in this respect must yield the highest rating in a majority of those components applicable to the position to be exempted.

Titles for Exempt Positions

Any position approved to be exempted under section 36e(3) of the Act may be assigned to one of the following general titles as suggested and established by the University System office:

Assistant Director
Associate Director
Assistant To
Coordinator

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

Director
Executive Director
Specialist
Other Specialized Professional (Physician, Attorney, Engineer, Architect)

Accordingly, position standards have been developed for ~~a number of frequently used~~these general PAA titles. These position standards function in a similar manner to civil service classification specifications. Job duties and responsibilities, as contained in the exempt PAA position description, are reviewed and analyzed. The exempt PAA position ~~is~~may then be assigned to a general PAA title if the job duties and responsibilities match the primary functions, major duties and responsibilities identified in the position standards for that specific general PAA title. Likewise, the use of a 'working title' for each PAA position, to further compliment the general PAA title, is encouraged and may assist in a more detailed position identification and distinction. See *Example 3.1b* for examples of the general PAA titles and corresponding position standards.

When the position standards for these general PAA titles were developed, great care was taken to insure that they accurately described the types of work and responsibility assigned to each general PAA title previously, while at the same time, remaining broad enough to encompass future positions that may be appropriate under each general PAA title. As in any classification plan, there may be some overlap between current civil service classification specifications and the position standards under certain general PAA titles. ***It is important to remember that there was never any intent to permit or condone the conversion of traditional civil service jobs to exempt status merely by virtue of the fact that the position duties and responsibilities may appear to correspond to the general function statement of any PAA title.*** ~~***The prominence of position duties and responsibilities must directly correspond to the position standards contained in the general PAA title used in order to validate the exemption.***~~

~~Any~~The Merit Board has delegated its authority to approve and authorize position ~~proposed to be exempted from civil service~~exemptions under section 36e(3) of the Act ~~must be appropriately assigned to one of~~in accordance with these ~~general PAA titles and approved for exemption by~~ standards to the University System employers without any prior approval from the University System office. ~~Exemption authorization is determined primarily by a thorough and comprehensive review of the position description. It is therefore extremely important that employers maintain an updated, accurate and complete position description for~~However, all exempt ~~positions. A routine and regular position review program is necessary in order to properly assign classification designations and accurately validate exemption status. Additionally, all~~ PAA positions are subject to routine audit by the Audit and Advisory Services of the University System office, and possible Merit Board review.

~~Employers must categorize each PAA under one of the available general PAA titles. Likewise, the use of a 'working title' for each PAA position, to further compliment the general PAA title, is~~

Section 3 – Principal Administrative Appointments

(Reference section 36e(3) of the Act (110 ILCS 70/36e(3))

~~encouraged and may assist in a more detailed position identification and distinction. See *3.1a* for examples of designated 36e(3) general PAA titles and corresponding position standards.~~

~~Following are the approved 36e(3) general PAA titles:~~

~~Assistant Director~~
~~Associate Director~~
~~Assistant To~~
~~Coordinator~~
~~Director~~

~~Executive Director~~
~~Specialist~~
~~Other Specialized Professional (Physician, Attorney, Engineer, Architect)~~

~~Issued – 6/1/09~~

~~Form 6.3a~~

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Example 3.1a

Position Description ~~Form~~

University/Agency:_____

Prepared by: _____

Title: _____ **Date:** _____

University/Agency Position Title: _____

Exemption Category: ☐36e(2) ☐36e(3) ☐36e(4)

General Exemption Title: _____

Primary Position Function/Summary:

Major Duties & Responsibilities: *(List in descending order of importance)*

Organizational Chart: *(Please provide a brief organizational chart showing to whom this position reports as well as the job title(s) of those persons reporting to this position.)*

Position Requirements and Qualifications:

Education:

Training (Licenses, Programs, Certificates):

Knowledge Requirements:

Experience:

Other Information/Requirements:

Approved by: _____ **Date:** _____

~~Issued – 6/1/09~~

~~**Form 6.3a**~~

Draft - March 2014

Example 3.1a

Position Description ~~Form~~

(Institutional Authority –Name/Title)

Approved by: _____ **Date:** _____

(Designated Employer Representative)

Example 3.~~1a~~1b

Standard Title: **ASSISTANT DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

Under administrative supervision, provides support to a director or other executive, serving as a staff advisor and performing professional support tasks.

- ***Organization Relationship***

Director/Unit Head or Other Executive/Administrator
(Associate Director)
Assistant Director
Professional Staff (Coordinators/Specialists/Managers/Analysts)
Technical, Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Assist in the development and implementation of programs, policies and objectives related to the unit, and assist the director with overall management.
2. Participate in the development of programs, departmental objectives and long-range planning.
3. May be responsible for direct supervision of specific operational areas or functions within the unit.
4. Provide overall leadership on special projects for the director.
5. Serve as an expert in a specific area, providing reports, analyses, information, and recommendations to the director. Provides advice and expertise to campus and university units, interpreting polices of the unit.
6. May be responsible for overall leadership and coordination for program development, or administrative and financial operation of the unit.
7. Act as liaison to campus and university units and assist with evaluation of policies and compliance with them.

Example 3.~~1a~~1b

Standard Title: **ASSOCIATE DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

Provides primary support to a director or other executive, and may act for and assume full direction for an office or for administrative or operational matters in the absence of the director.

- ***Organization Relationship***

Director/Unit Head or other Executive/Administrator
Associate Director
Assistant Director
Professional Staff (Coordinators/Specialists/Managers/Analysts)
Technical, Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Serve as primary ~~advisory~~advisor to the director regarding overall programs, management and operations of the unit, with major program development, supervision and policy-making responsibility.
2. Assist with the management of resources, determination of staff functions, and setting operating policies for the unit. Review and initiate programs and operations that commit office resources, establish policies relating to utilization of office resources.
3. Coordinate and facilitate organizational, financial, programming, and physical planning.
4. Exercise direct authority for development and administration of programs and special projects.
5. May directly supervise sections or divisions of the unit, with responsibility for setting and implementing operational policies and procedures for handling daily administrative matters, such as finances, facilities, and staffing.
6. Provide authoritative, detailed professional and technical knowledge in a relevant field of expertise.
7. Coordinate with unit sections or divisions to develop policy recommendations for the director.
8. Act as liaison to campus and university departments and represent the director on committees.
9. May have primary responsibility for day to day operations of the unit.

Example 3.~~1a~~1b

Standard Title: **COORDINATOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

Under administrative direction, the Coordinator oversees the ongoing procedures of a program, setting priorities and organizational structure. In order to execute the program goals and objectives, the Coordinator organizes the skills of diverse people, and formulates functioning groups to simultaneously assure the program's success.

- ***Organization Relationship***

Assistant Director/Associate Director/Director/Head of Unit or Other Administrator
Coordinator
Support Staff/Students

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Administratively responsible for implementing program priorities, setting goals and objectives for subordinates in the ongoing process of a program.
2. Develops systematic approach and maintains efficient and effective daily workflow in an area, and submits reports as assigned.
3. Serves as an integral part of the decision-making process contributing to the goals compatible with the organizations established to implement the mission established by an employing unit or external board.
4. Provides leadership, communicates commitment and sets expectations for staff.
5. Manages human and material resources. Maintains appropriate records. Communicates and follows-up on pertinent matters.
6. Serves as a resources person, referral agent and creates links and acts as a liaison to other campus and community groups, expanding internal and external program development.
7. Formulates and recommends policies governing continual evaluation of programs. Recommends and implements changes based on the evaluations. Resolves any existing program problems.
8. Schedules, assigns, and reviews work within the program.
9. Participates in recruiting and selecting of staff members and appraising staff performance~~.~~

Example 3.~~1a~~1b

Standard Title: **DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

Provide leadership and oversight of a major function, facility, or program.

- ***Organization Relationship***

Campus or University Executive or Administrator
Director
Associate Director
Assistant Director
Professional Staff (Coordinators/Specialists/Mangers/Analyst)
Technical, Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Develop and administer a comprehensive program and activities to fulfill the role of the office, function, program or organization.
2. Direct the staffing by overseeing recruitment, training, and management of work assigned to professional and support staff.
3. Oversee financial aspects of unit management, including control of the budget and allocation of resources.
4. Formulate, initiate, implement and interpret policies related to the operation of the unit, as well as policies applicable campus or university-wide.
5. Provide professional expertise and keep current with developments in the profession.
6. Provide management reports, analyses, data and information for administrative purposes.
7. Interface with advisory committees, serve on campus or University committees, communicate and consult with other offices or campus officials when appropriate.

Example 3.~~1a~~1b

~~Standard Title:~~ **~~EXECUTIVE ASSISTANT TO PRESIDENT/CHANCELLOR~~**

~~PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))~~

~~♦ ***General Function Statement***~~

~~Provide necessary support for performance of the President's official duties.~~

~~♦ ***Organization Relationship***~~

~~President/Chancellor~~
~~Executive Assistant to the President/Chancellor~~
~~Other Officers~~

~~♦ ***Request for Exemption under Criterion:***~~

~~♦ ***Typical Responsibilities***~~

1. ~~Represent President/Chancellor in their absence, as requested.~~
2. ~~Assist in policy development as a member of policy development committee.~~
3. ~~Act as liaison between President/Chancellor and other officers (campus and/or system), Board of Trustees, legislators and other constituencies.~~
4. ~~Direct or develop special analysis, background studies, and information resources as directed.~~
5. ~~Draft speeches, papers, correspondence.~~
6. ~~Consult with and advise President/Chancellor.~~

Example 3.~~1a~~1b

Standard Title: **EXECUTIVE DIRECTOR**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

Provide administrative leadership and oversight to a major function or program with multiple reporting components within or in collaboration with a University or campus. May be responsible for university-wide functions and may be responsible in addition for directing activities of affiliated organizations, partnerships, state or federal programs in collaboration with a campus or university.

- ***Organization Relationship***

Campus/University or Administrator and/or Organization Board of Directors
Executive Director
Directors
Associate/Assistant Directors
Professional Staff (Coordinators/Specialists/Managers/Analysts)
Technical, Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Provide executive leadership to develop and administer a comprehensive program and activities to fulfill the role of the office, function, or organization.
2. Interface with Board of Directors and Advisory committees to direct collaborative efforts between other institutions, organization or projects and programs affiliated with a campus or University. Chair and convene committees and provide leadership and support to Board of Directors and advisory groups.
3. Ensure provisions of contractual agreements between campus/university and relevant outside programs or organization.
4. Oversee financial management, including control of the budget and allocation of resources. Budgets may be large and include major federal or state grants or private funds.
5. Formulate, establish and implement administrative policies applicable to the organizations, or those applicable campus or University-wide.
6. Provide professional expertise and leadership.
7. Provide management reports, analyses, data and information for administrative purposes.
8. Direct the staffing by overseeing recruitment, training, and management of work assigned to professionals and support staff.

Example 3.~~1a~~1b

Standard Title: **(Other Specialized Professional)**
PHYSICIAN
ATTORNEY
ENGINEER
ARCHITECT

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***Position Exemption Standard for Certain Professional Titles Listed Under Criterion D Requiring Licensure by the State of Illinois – Department of Professional Regulation.***

- ***Note***

  This standard applies *only* to those professional jobs which *require Licensure by the State of Illinois in a recognized profession:* i.e., Physician, Attorney, Engineer, and Architect. Other Jobs appropriate for exemption under Criterion D may be found under other Standards.

- ***Request for Exemption under Criterion: D***

  Jobs whose primary function is to direct or manage members of the profession in the performance of their duties, and who are also required to possess professional Licensure should be exempted under the Criterion appropriate to the function; e.g., Medical Director of Health Service under Criterion C.

- ***Typical Responsibilities***

  Duties and responsibilities are those appropriate to the recognized profession and the performance of those duties constitute the major amount of time and effort devoted to the job.

Example 3.~~1a~~1b

Standard Title: **SPECIALIST**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

Under administrative direction, performs senior staff/professional-level duties that are devoted to a particular activity or specialized area in an employing unit. Responsibilities typically require a depth of knowledge, expertise and skills, normally gained through an advanced course of study in an academic discipline and/or work experience of a variety and depth sufficient to provide a foundation for expert knowledge and ability in a field. Responsibilities may require highly focused advanced technical, scientific, or artistic expertise, or more general intellectual, conceptual, analytical and writing skills utilizing in-depth knowledge of both a discipline and the organization.

- ***Organization Relationship***

Assistant Director/Associate Director/Director/Head of Unit or Other Administrator
Specialist
Support Staff/Students

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Serve as an authority, provide expertise, and perform highly specialized work assignments in a unique area of specialization.
2. Exercise knowledge and methodology of a profession or specialized field. Keep abreast of relevant legislation, rules, regulations, tools, procedures, technical specifications, and developments in the field. Pursue professional development activities to expand knowledge and maintain currency.
3. Provide specialized services, investigate and trouble-shoot problems.
4. Plan and execute complex projects in field of expertise.
5. Analyze data and information, evaluate and summarize findings.
6. Research, conceptualize, define and communicate ideas and issues; provide insight, recommend action, and pursue solutions to problems.
7. Provide advice and counsel, serving as a "consultant" to other staff members within the unit, campus, or the general public, within the unique area of expertise.
8. Formulate policy based on judgment and expert knowledge of a particular area.
9. Identify and evaluate resources and obtain information relevant to a specialized area.
10. Coordinate working relationships with peers and other appropriate University personnel to achieve defined goals and objectives.
11. May supervise and/or train other staff members or students.
12. Represent the unit on various campus committees or teams related to the specialize area.
13. Act as liaison with other skilled specialists throughout the state and nationwide.

Example 3.~~1a~~1b

Standard Title: **ASSISTANT TO**

PRINCIPAL ADMINISTRATIVE POSITION EXEMPTION (36e(3))

- ***General Function Statement***

  Provide high-level management support to enable the efficient performance of the official duties of a Senior Administrator, such as the President, Chancellor, Vice President , Vice Chancellor, Associate Chancellor, Provost or a Dean, Executive Director or Head of an academic or administrative unit. Responsibilities require exercising initiative, discretion and independent judgment. An 'Assistant To' differs from an Administrative Assistant or Secretary in that an 'Assistant ~~To~~To' is expected to possess a higher level of expertise in the area in which she/he supports as demonstrated through policy development and project management. Moreover, an 'Assistant To' must possess the ability to act in ~~an~~a decision making capacity on behalf of the Senior Administrator at meetings and in communications as necessary.

- ***Organization Relationship***

Senior Administrator (President/Chancellor/Vice President/Vice Chancellor/Associate Chancellor/Provost/Dean/Executive Director/Head/Chair)
Assistant To
Professional Support Staff, ~~ManagersTechnical~~Managers Technical Support Staff
Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Coordinates responsibilities of the Senior Administrator with other offices and staff.
2. Researches and analyzes policy and operational issues, and develops and recommends administrative policies and procedures.
3. Coordinates and implements policy decisions.
4. Originates and prepares routine and special reports and studies.
5. Oversees or conducts special projects, functions as a trouble-shooter.
6. Represents Senior Administrator or office/administrator~~-~~ at campus/university committees meetings and correspondence.
7. Consults with and advises the Senior Administrator.
8. Orchestrates administrative support and general management for the unit or program and participates in long-range planning and goal-setting activities.
9. May direct the day-to-day operational requirements of the unit or program, including overseeing various functions under the jurisdiction of the Senior Administrator, such as development, public relations, finance, budgeting, and staffing matters. May supervise middle managers and upper-level supervisory personnel, such as Project Directors or Business Managers.

10. Investigates issues, consults with involved parties, and provides advice regarding various options for action.
11. Handles a variety of sensitive and confidential assignments and projects on behalf of the Senior Administrator.
12. Consults with and advises senior campus and university officials to determine a course of action.
13. Conceives and administers special programs and projects under the direction of the Senior Administrator.

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

4.1 TEACHING, RESEARCH, AND EXTENSION FACULTY APPOINTMENTS

The criteria for the exemption of these positions, and individuals appointed to these positions, are defined as follows:

1) Whose primary responsibility is the administration of an entire campus or college academic program, or other academic unit engaged in academic instruction or research (e.g. Provost, Associate Provost, Assistant Provost, Dean, Associate Dean, Assistant Dean, Department Head, Associate Department Head, Assistant Department Head
2) The teaching, research, and extension faculties of the institution or agency

Teaching, research, and extension faculties are considered exempt from civil service guidelines in accordance with the section 36e(4) of the Act (110 ILCS 70/36e(4)). Likewise, those positions with primary administrative or supervisory responsibility of an entire campus or college academic program, a specific academic unit engaged in academic instruction or research, or ~~for~~ a group of employees falling within this exemption category, are considered exempt in accordance with this standard. In general, these positions have direct academic or affiliated research components and are easily distinguished by these assignments and professional designations.

Experience has shown that while a number of positions reasonably appear to fall within the Criteria for Exemption from civil service, it is often unclear whether section 36e(3) of the Act (110 ILCS 70/36e(3)), "principal administrative employees . . . as determined by the Merit Board", or section 36e(4) of the Act, "the teaching, research and extension faculties of each institution and agency", is the appropriate exemption. Positions exempted under section 36e(4) of the Act are a matter of internal governance between a particular institution and its governing board, based on established employment protocols. These positions are not subject to any Merit Board authorization process, but are subject to Merit Board audit procedures.

It is recommended that position descriptions be properly developed and maintained in order to establish the proper academic component assigned to each position and validate the exemption authorization recognized under this statutory reference. *See Example 4.1a for examples of 36e(4) titles and corresponding position standards.*

In attempting to provide some guidance as to the types of positions that are more appropriately exempted under section 36e(4) of the Act as opposed to Section 36e(3) of the Act, the following brief discussion regarding the application of each type of employment category enumerated in the Act under section 36e(4) [teaching, research, and extension faculties] is offered:

Positions in each of the following categories all require, at a minimum, a bachelor's degree.

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

Teaching

These positions include those who provide direct classroom instruction to the institution's students as their primary function, most specifically related to the normal academic curricula. This activity, however, is not specifically limited to those members of the tenure-track faculty (Professor, Associate Professor, and Assistant Professor), but also extends to those positions who provide direct instructional support, or academic/career planning/counseling to students as their primary function. Likewise, those positions with primary administrative or supervisory responsibility for a group of employees falling within this category are considered exempt in accordance with this standard.

Some common titles associated with this category include, but are not limited to, the following:

Provost
Associate Provost
Assistant Provost
College Dean
Department Chair/Head
Assistant Dean
Associate Dean
Assistant Department Chair/Head
Associate Department Chair/Head
Professor
Associate Professor
Assistant Professor
Instructor
Lecturer
Academic~~/Career~~ Advisor/Counselor
Athletic Coach – Head, Associate, or Assistant
Academic Coordinators – for various pre-professional and professional programs directly related to the primary academic curricula

Research

This category applies to individuals primarily engaged in research activities, normally under the direct oversight of an academic department or college and ~~are~~is frequently funded by outside sources. Research in this context is not necessarily limited to the laboratory work typical of the physical sciences, but may also include field historical research, linguistic studies, archaeology, etc. Such appointments may be members of the regular tenure-track faculty, but academic rank is not a prerequisite to inclusion of a particular position in this category. Likewise, those positions with primary administrative or supervisory responsibility for a group of employees falling within this category are considered exempt in accordance with this standard.

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

It is important to note that the specific research attachment does not automatically exempt a position from civil service regulations. In many instances, support positions whose primary function(s) can be matched to civil service classification specifications must remain civil service despite their attachment to a research program and/or funding component.

Some common titles associated with this category include, but are not limited to, the following:

Professor
Associate Professor
Assistant Professor
Research Associate
Research Coordinator
Archeologist

Extension Faculty

This category applies to the additional instructional positions created to provide both credit and non-credit instructional programs offered by the institution, usually outside of the normal academic curricula. The non-credit component includes instructional programs offered both on and off of the primary campus of the institution. Adult Education and Continuing Education are terms frequently used to describe these programs, which may be offered in community facilities, extension institute centers, and a variety of other settings. The instructional staff of such programs may be employed solely for the duration of the specific course(s) being offered, based on professional "real world" experience in a particular profession or industry, or may be subject-matter specialists who are employed as regular academic staff members at another educational institution. Also included are those persons with functional responsibility for a group of employees falling within this exemption category.

Some common titles associated with this category include, but are not limited to, the following:

Extension Faculty
Institute Instructors
Seminar Teachers
Adult Education Instructors
Adult Education Course Coordinators
Motor Cycle Safety Instructors

Section 4 – Teaching, Research, and Extension Faculty Exemptions

(Reference section 36e(4) of the Act (110 ILCS 70/36(e)(4))

Example 4.1a

Standard Title: **ARCHEOLOGIST**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

Archeologists conduct field and laboratory investigations, make independent determinations of the significance of archeological sites, and develop recommendations for testing and salvage mitigation involving expenditure of public and private funds.

- ***Organization Relationship***

Director, Unit Head or Other Executive/Administrator
Associate Director/Assistant Director
Archeologist
Technical, Clerical Support Staff

- ***Request for Exemption under Criterion: D***

- ***Typical Responsibilities***

1. Conduct archeological investigations and make determinations of the significance of archeological resources in areas to be impacted by development projects.
2. Recommend additional mitigation, curation of materials and records, library and archeological records research.
3. Formulate test excavations and evaluate material recovered from excavation sites to provide information upon which to evaluate site significance.
4. Determine whether or not further work is required which involves the expenditure of public or private funds.
5. May serve in leadership capacity; e.g., Senior Archeologist, functioning as a project director, with responsibility for supervision of lower-level Archeologist.

Example 4.1a

Standard Title: **ASSISTANT DEAN**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

The Assistant Dean provides administrative support of a dean or associate dean, and may direct the operations of an office or program within the unit. The Assistant Dean may be responsible for a wide range of support services or may focus on a specialized area. The Assistant Dean provides leadership and exercises independent judgment.

- ***Organization Relationship***

Chancellor/ President
(Provost or Vice Chancellor/President for Academic Affairs)
Dean Faculty
Assistant Dean
Professional, Technical and Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Administrative affairs, such as assisting in general administrative planning and resource allocation; providing administrative assistance to the dean; overseeing financial and business services, financial management, budget preparation, control of funds; overseeing personnel, space, and equipment management and operational policies and procedures; developing annual and ad hoc reports, maintaining data base and providing expertise, analysis and interpretation of studies and data to develop and establish policy; representing the office on standing or selected ad hoc committees.
2. Academic affairs, such as implementing academic policy; overseeing the curriculum; assisting with accreditation review documentation; coordinating with other units; managing course catalogs, timetables, examination schedules; preparing program proposals for the IBHE or the Vice Chancellor/President for Academic Affairs; providing leadership for continuing education programs, workshops, seminars. May teach and pursue independent scholarly research.
3. Research activities, such as overseeing contracts and grants review, negotiation and approval; coordination of interdisciplinary research programs; integrating research programs with academic programs.
4. Student services, such as monitoring student progress, enforcing academic standards, reviewing petitions, and appeals; providing academic counseling and remedial programs; overseeing placement programs for residencies, fellowships, and internships with affiliated institutions; directing career placement and graduate placement services; acting as advocate for student concerns and needs with the faculty and administration.

Example 4.1a

5. External affairs and development, such as acting as liaison with outside agencies and industry; developing outreach efforts, special projects, conferences; preparing brochures and publications representing the academic unit; responsibility for alumni relations and annual fund raising efforts.

Example 4.1a

Standard Title: **ASSISTANT DEPARTMENT HEAD/CHAIR**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

Under administrative supervision, provides support to a department head/chair, serving as a staff advisor and performing professional support tasks.

- ***Organization Relationship***

Department Head/Chair Faculty
(Associate Department Head/Chair)
Assistant Department Head/Chair
Professional, Technical, and Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Assist in the development and implementation of programs, policies and objectives related to the unit, and assist the department head/chair with overall management.
2. Participate in the development of programs, departmental objectives and long-range planning.
3. May be responsible for direct supervision of specific operational areas or functions within the unit.
4. Provide overall leadership on special projects for the department head/chair.
5. Serve as an expert in a specific area, providing reports, analyses, information, and recommendations to the department head/chair. Provides advice and expertise to campus and university units, interpreting polices of the unit.
6. May be responsible for overall leadership and coordination for program development, or administrative and financial operation of the unit.
7. Act as liaison to campus and university units and assist with evaluation of policies and compliance with them.

Example 4.1a

Standard Title: **ASSOCIATE DEAN**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

The Associate Dean provides administrative support of a dean who is the chief executive officer of an academic unit engaged in instruction or research, or a major unit engaged in a programmatic aspect of the campus/university mission. Exercises independent judgment, and handles a highly diversified mixture of responsibilities in one or several specialized areas. May represent or assume authority for the unit in the absence of the dean.

- ***Organization Relationship***

Chancellor/President
(Provost or Vice Chancellor/President for Academic Affairs)
Dean Faculty
Associate Dean
Assistant Dean
Professional, Technical and Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Administrative affairs, such as evaluating, formulating, and implementing policy for allocation and utilization of resources; responsibility for facilities and space utilization, administering activities for recruiting and hiring faculty and staff; formulating fiscal policies, developing procedures and systems for budget review and expenditure control; advising and working with department or unit heads to establish and implement policies and procedures relating to the unit/campus/university; serving on campus-wide committees.
2. External affairs, such as coordinating and strengthening relationships with corporations, foundations, federal and state funding agencies, alumni, parents, the media, and the general public; acquiring external funds for facilities and major equipment; developing agreements with external institutions relating to academic and research programs.
3. Research and academic affairs, such as conceptualizing and developing long range and strategic plans; developing and evaluating the curriculum, overseeing accreditation and certification requirements; stimulating research; supervising collaborative education or research programs. May teach and/or pursue independent scholarly research.
4. Student services, coordinating recruitment, admission and retention programs, overseeing student support services and student life programs.

Example 4.1a

Standard Title: **ASSOCIATE DEPARTMENT HEAD/CHAIR**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

Provides primary support to a department head/chair, and may act for and assume full direction for an office or for administrative or operational matters in the absence of the department head/chair.

- ***Organization Relationship***

Department Head/Chair Faculty
Associate Department Head/Chair
Assistant Department Head/Chair
Professional, Technical, and Clerical Support Staff

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Serve as primary advisory to the department head/chair regarding overall programs, management and operations of the unit, with major program development, supervision and policy-making responsibility.
2. Assist with the management of resources, determination of staff functions, and setting operating policies for the unit. Review and initiate programs and operations that commit office resources, establish policies relating to utilization of office resources.
3. Coordinate and facilitate organizational, financial, programming, and physical planning.
4. Exercise direct authority for development and administration of programs and special projects.
5. May directly supervise sections or divisions of the unit, with responsibility for setting and implementing operational policies and procedures for handling daily administrative matters, such as finances, facilities, and staffing.
6. Provide authoritative, detailed professional and technical knowledge in a relevant field of expertise.
7. Coordinate with unit sections or divisions to develop policy recommendations for the department head/chair.
8. Act as liaison to campus and university departments and represent the department head/chair on committees.
9. May have primary responsibility for day to day operations of the unit.

Example 4.1a

Standard Title: **DEAN**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

The Dean functions as the chief executive officer of a major unit engaged in programmatic aspect of the Campus/University mission. Responsible for administration and execution of the unit's policies.

- ***Organization Relationship***

Chancellor/President
Provost or Vice Chancellor/President
Dean
Associate and Assistant Deans

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Provide leadership, direction, and overall administration for the development, coordination, and implementation of programs, activities, and professional services.
2. Formulate, initiate, implement, and interpret policies relating to the operation of the units.
3. Establish goals and objectives for the units reporting to the Dean's Office.
4. Responsible for planning, evaluation, staffing, and resource allocation for all units reporting to the Dean's Office.
5. Communicate with and serve as a resource to colleges, departments, campus offices, community organizations, regarding services and issues.
6. Serve on committees as assigned.

Example 4.1a

Standard Title: **DEPARTMENT HEAD/CHAIR**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

  Responsible for the administration and execution of policies of a department or unit engaged in a programmatic aspect of the campus/university mission.

- ***Organization Relationship***

  Chancellor/President
  Provost or Vice Chancellor/President
  Dean
  Associate and Assistant Deans
  Department Head/Chair

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

  1. Provide leadership, direction, and overall administration for the development, coordination, and implementation of programs, activities, and professional services.
  2. Formulate, initiate, implement, and interpret policies relating to the operation of the units.
  3. Establish goals and objectives for the department/unit.
  4. Direct the staffing by overseeing recruitment, training, and management of work assigned to professional and support staff.
  5. Oversee financial aspects of unit management, including control of the budget and allocation of resources.
  6. Interface with advisory committees, serve on campus or University committees, communicate and consult with other offices or campus officials when appropriate.

Example 4.1a

Standard Title: **Professor, Associate Professor, Assistant Professor**

ACADEMIC/RESEARCH POSITION EXEMPTION (36e(4))

- ***General Function Statement***

Responsible for facilitating student learning through the delivery of educational courses and other associated academic or research programs

- ***Organization Relationship***

Chancellor/President
Provost or Vice Chancellor/President
Dean
Department Chair
Professor/Associate Professor/Assistant Professor

- ***Request for Exemption under Criterion:***

- ***Typical Responsibilities***

1. Responsible for teaching, research, service and other related administrative activities
2. Responsible for academic advising and related activities
3. Interface with advisory committees, serve on campus or University committees, communicate and consult with other offices or campus officials when appropriate
4. Provide an interactive and collaborative educational culture and experience for students

Section 5 – Student Appointment Exemptions

Reference section 36e(5) of the Act (110 ILCS 70/36(e)5))
and
section 250.70(~~e~~f) of the Illinois Administrative Code (80 Ill. Adm. Code §250.70(~~e~~f))

5.1 STUDENT APPOINTMENTS

Student Appointments are typically part-time, non-status appointments and considered exempt from Civil Service Regulations. To be eligible for a Student Appointment, a student must be enrolled for at least one-half of the normal workload of a ~~regularly enrolled~~ regular full-time student, enrolled at ~~an institution~~a public university served by the University System or at an institution directly associated with that public university, unless an exception is approved by the Executive Director prior to the appointment start date. Requests for exceptions shall fully explain the reasons for the request, such as graduating senior with only a limited number of hours remaining to meet graduation requirements, hardship, outside responsibilities, enrollment in more than one institution, or other similar justification. A Request for Student Appointment Exception form shall be completed~~, signed by the DER,~~ and sent to the University System Office for approval. *See Form 5.1a*.

Please refer to the section 250.70(~~e~~f) of the Illinois Administrative Code (80 Ill. Adm. Code §250.70(~~e~~f)) for additional guidelines related to Student Appointments.

Form 5.1a
~~Revised – 5/16/2012~~
Draft – March 2014

Request for Student Appointment Exception

Definition: Section 250.70(e)(3) of the Illinois Administrative Code (Code) (80 Ill. Adm. Code §250.70(e)(3)) defines a student employee as one who is registered for course work at an institution served by the University System for at least one-half of the normal course load, as established by the institution, of a regularly enrolled full-time student. Section 250.70(e)(3) of the Code allows for an exception to be granted by the Executive Director if the student is enrolled for less than half-time for a semester when sufficient cause is shown. ~~*See section 5.1 of the Exemption Procedures Manual, Student Appointments.*~~ *See section 5.1 of the Exemption Procedures Manual.*

Please provide the following information (please print):

Student's Name _____

Institution Requesting Exception _____

Employment Location _____

Semester of appointment (fall, spring, summer) _____

Current hours enrolled _____ Date of anticipated graduation _____

Has student received any previous exceptions? Please list. _____

Justification for exception _____

_____

_____

Submitted by: _____
(Designated Employer Representative)

Date: _____

[ ] Approved [ ] Denied

_____ _____

Note: Attach any supporting documentation.

Send completed form to: ***STATE UNIVERSITIES CIVIL SERVICE SYSTEM, 1717 Philo Road, Suite 24, Urbana, IL 61802-6099***

Request for Student Appointment Exception

Executive Director, or designee Date

Note: Attach any supporting documentation.

Send completed form to: ***STATE UNIVERSITIES CIVIL SERVICE SYSTEM, 1717 Philo Road, Suite 24, Urbana, IL 61802-6099***

Section 6 – Accountability for Exemption Authorization

(Reference section 36e~~(3)~~ of the Act (110 ILCS 70/36e~~(3))~~)

6.1 ACCOUNTABILITY

Although the Merit Board retains the statutory authority to approve exemptions, most specifically 36e(3) Principal Administrative Appointments (PAA), this authority has been procedurally and operationally delegated to the Designated Employer Representative (DER) appointed at each University System employer. As a result of the delegation of exemption authority to the DERs, the Executive Director of the University System is responsible for ~~ensuring~~establishing procedures to ensure compliance with statutory and procedural guidelines in this respect, as required by section 250.~~130~~30(a) of the Code~~. Accountability for the delegated exemption authorization includes three components, an internal review by the University System employer that includes a quarterly report submitted by each University System employer to the Executive Director, an external review by the University System office that includes a biennial audit process, and Merit Board review and corrective or remedial action, if necessary~~.

Most specifically, accountability standards regarding the authorization for exemptions under section 36e(3) of the Act include three components; 1) an internal review by the University System employer that includes a position description/analysis process and standardized reporting requirements, 2) an external review by the University System office that includes a biennial audit process, and 3) if necessary, a Merit Board review and corrective/remedial action.

The concept of accountability as captured in this ~~accountability~~ procedure is not intended to add another layer of process or procedure requirements for University System employers. Each University ~~system~~System employer ~~must be~~is able to design its business processes regarding the exemption ~~process~~of PAA positions to fit its unique circumstances. Accordingly, ~~current~~campus business processes regarding the exemption of PAA positions procedures, designed and implemented by University System employers intending to ensure compliance with statutory exemption authority, will be ~~deemed to be in compliance with this procedure~~routinely audited by the System Office.

Consequently, the role of the University System office is one of oversight through biennial audits and review of data through ~~quarterly~~standardized reports submitted by each University System employer. ***Regardless of the exemption category or the delegation of exemption authority, the basic statutory foundation for all employees in the University System is that they are assumed civil service unless exempted by statute.***

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e(3))

6.2 INTERNAL REVIEW BY EMPLOYER

Accountability standards for the internal review for exemption authorization ~~consists~~by the employer consist of the following components:

Internal Review Process – Each employer is to properly administer an internal position review process that will ensure efficient management of the ~~exemption~~exempt position descriptions, and proper authorization ~~process~~and validation for the exemption. This should include a detailed description of the internal oversight, training, review and approval, and recordkeeping components of the employer's exemption process. The internal review process must indicate that exemption requests for Principal Administrative Appointments (PAAs) under section 36e(3) of the Act are to be reviewed and approved by the DER, or by another delegated position with the appropriate authority, provided such delegation is in writing.

Training Process – ~~training~~Training for those human resource professionals who are responsible for implementing the employer's exemption authorization process~~.~~ shall be provided. This should include training for any administrators or employees who will prepare or approve exemption requests for employer (DER) approval.

Internal Assessment Process – ~~a~~A cyclic review program wherein all exempt positions are reviewed by the employer for currency of job content and title no less often than once every three years is required. Job changes of exempted positions discovered as a result of this review should be corrected immediately~~.~~, and submitted for subsequent employer approval, or transitioned to a civil service appointment. However, any job change that ~~would interfere~~requires a change in the employment relationship and interferes with ~~a~~an active contractual relationship ~~would not take effect~~may be delayed until the expiration of the contractual term and prior to the contractual renewal date.

Data Report – ~~a~~A database of exempted positions shall be maintained consisting of position number, position title, exemption category, position FTE, exemption approval date or appointment date, funding source(appropriated or non-appropriated), and any prior Civil Service position title and date of Civil Service appointment. The data report need not duplicate other human resource reports that are submitted to the University System office that may contain the same information. Employers are ~~also~~ required to submit ~~a quarterly headcount report *(see Example 7.1)*~~ to the Executive Director standardized reports, as outlined in section 7 of ~~the University System office~~this Manual, along with a detailed data snapshot of exemptions as described above.

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e(3))

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e)

6.3 SYSTEM OFFICE REVIEW

The Audit and Advisory Services division of the University ~~system~~System office will also audit selected exempt positions as a regular part of their biennial audit of each University System employer. ~~Their audit testing analysis will compare the duties contained~~This audit process will include an analysis of selected exempt positions conducted in accordance with standards outlined in section 3.1 of the Manual, specifically comparing the duties and responsibilities in the position description, and performed by employees in the selected positions, against the specifications contained in the ~~Standard Job Titles and other~~many available classifications in the civil service classification plan system~~.~~, along with an evaluation of several other abstract components associated with the position. This audit process shall also include a review and analysis of the business processes associated with the employer's exemption authorization procedures and policies. If it is noted that significant changes have occurred in job content or civil service classification specifications, suggesting a revision to the position description, and corresponding employment or exemption designation, the University System employer will be requested to make appropriate corrections as described in the audit findings.

As a means of helping insure the maintenance of position changes, University System employers shall establish and implement a cyclic review program wherein position descriptions for all exempt positions are reviewed by the University System employer for currency of job content and title *no less often than once every three years*. Exemption status changes ~~-~~discovered as a result of this review shall promptly be corrected~~ and reported to the University~~, with further System ~~Office~~office review as may be required.

In this respect, biennial compliance audits of University System employers will include, but not be limited to;

- Comprehensive review of position descriptions
- Compliance with statutory and procedural criteria for exemptions
- Adequacy and thoroughness of related employment procedures
- Adequacy of internal review and approval processes
- Thoroughness and accuracy of ~~quarterly~~standardized reporting requirements
- Any other associated special interest items

The University System office will provide training and advice on exemption issues and questions as requested.

In order to assist the Audit and Advisory Services Section of the University System office in their periodic reviews of exempt positions, employers are encouraged to ~~utilize the following Position Description form, see *Form 6.3a*.~~

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e)

standardize their position descriptions for all employment categories. *See Example 3.1a.*

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e)

6.4 MERIT BOARD REVIEW

Attempts to reconcile compliance issues will always be approached by the University System office and the Merit Board in a spirit of collaboration. An employer's self-disclosure of possible noncompliance issues and good faith effort to take corrective or remedial action will not be used as a basis for any punitive action by the University System office or the Merit Board.

Upon the recommendation of the Executive Director, or upon its own initiative, the Merit Board may review noncompliance issues revealed through biennial ~~employer~~compliance audits and ~~quarterly~~regularly submitted standardized exemption reports. The University System office and/or Merit Board review of exemption concerns may include any action as deemed necessary to properly evaluate and reconcile the issue(s).

Section 6 – Accountability for Exemption Authorization

(Reference section 36e of the Act (110 ILCS 70/36e)

6.5 REMEDIAL PROCESS

Upon the recommendation of the Executive Director of the University System office, or upon its own initiative, the Merit Board may take any necessary corrective or remedial action in an attempt to resolve incorrect exemption authorization issues revealed through biennial employer audits and/or quarterly exemption reports. Such corrective or remedial action may take any specific form, as designated by the Merit Board, and will be based on the pattern of severity and history of the noncompliance issue(s). However, ~~no~~ remedial action that would result in ~~inference~~the interference with an employment contract will not be ~~required~~implemented during the term of the contract. Consequently, remedial action concerning a contractual employee ~~would~~may only take effect at the expiration of the contractual term and prior to the contractual renewal date.

Pursuant to the Act and Code, the Merit Board may delegate its remedial authority to the Executive Director in whole or in part. Section 36d(1) of the Act authorizes the Merit Board to approve a classification plan and delegate to the Executive Director the responsibility of assigning civil service positions to the appropriate classification (see 110 ILCS 70/36d(1)). The Executive Director is also charged with the responsibility to conduct audits of system employers to ensure compliance with all provisions of the Act and Code, and to contend with issues revealed through audit reports as directed by the Merit Board (see 80 Ill. Adm. Code §250.140(c)). Section 250.140(a) of the Code further provides that the Executive Director ~~has all~~is delegated the authority ~~required~~and responsibility to ~~implement~~effectively administer the State Universities Civil Service System in accordance with the Act and Code, and that the Merit Board may further delegate any of its authority to the Executive Director by specific authorization or direction of the Merit Board (see 80 Ill. Adm. Code §250.140(a)).

Section 7 – ~~Quarterly~~ Reporting Requirements

(Reference section 36e of the Act (110 ILCS 70/36e)

7.1 REPORTING REQUIREMENTS

a. Quarterly Employee Change Report

This report shall be due no later than the 10th working day following the last working day of each quarter (September, December, March, and June) and shall include the following for each employee changed from civil service status to exempt status (see *Form 7.1a*):

- Employee's Name
- Date of Change
- Civil Service Class
- Department/Unit
- Exemption Title
- Exemption Category*
- Department/Unit
- Reason for Change
- Status of "old" civil service position (filled/abolished/remains vacant)
- If position was filled, new employee's name and start date

b. Quarterly Report of Exempt Employees

This report shall be due no later than the 10th working day following the last working day of each quarter (September, December, March, and June) and shall include the following for both state funded and non-state funded positions (see Form 7.1b):

- *Number of employees assigned to each 36e(3) ~~Position Standard~~general PAA Title*
- Number of employees considered exempt under Section 36e(2~~)~~*)
- Number of employees considered exempt under Section 36e(4~~)~~*)
- Number of student employees exempt under Section 36e(5)
- Grand Total of all exempt employees under Section 36e-(2), (3), (4) and (~~4)~~*5)
- ~~♦~~

c. Quarterly Data Report

This report shall be due no later than the 10th working day following the last working day of each quarter (September, December, March, and June) and shall include the following for each exempt position:

- Name or other ID
- position number*

Section 7 – ~~Quarterly~~ Reporting Requirements

(Reference section 36e of the Act (110 ILCS 70/36e)

- position title
- exemption category*
- position FTE*
- exemption approval date or appointment date
- funding source(appropriated or non-appropriated)
- ~~and~~ any prior Civil Service position title and date of Civil Service appointment.

The data report need not duplicate other human resource reports that are submitted to the University System office.

~~*These new data elements will not be required until such time that a joint review of all currently submitted data reports has been conducted with all employers, and a formalized IT reporting protocol has been established and approved by the Merit Board .~~

d. Monthly List of New Exemptions Approved

This report shall be due no later than the 15th working day following the last working day of each month and shall include the following for each new exempt position:

- Job Title
- College/Unit
- Department
- Exemption Category
- Position Description

e. Monthly List of Conversions (Exempt to CS)

This report shall be due no later than the 15th working day following the last working day of each month and shall include the following for each converted position:

- Employee name
- Department
- New CS Title/Class
- Previous Exempt Title
- Current Salary
- Bargaining Unit Designation
  -

~~Issued – 6/1/09~~
Draft – March 2014

Form 7.1a

Quarterly Employee Change Report
Civil Service to ~~PAA~~Exempt Position

Name of Institution: _____ Date: _____

Person Completing Report: _____ Phone: _____
Email: _____

Please complete for each Civil Service employee who has taken a ~~PAA~~civil service exempt position.

*Employee's Name: _____
(See Note below.)

Date of Change: _____

Previous Civil
Service Classification: _____

*Department/Unit: _____
(See Note below.)

Exemption Title: _____

Exemption Category: _____

*Department/Unit: _____
(See Note below.)

Please describe the reason for change, i.e., fill new position, promotion, etc.

_____

_____

_____

Was the "old" Civil Service position filled? _____ Yes _____ No
If Yes: Employee Name _____ Start Date: _____

If the "old" Civil Service position was not filled, please explain status of the position (position canceled, downgraded to lower classification, etc.).

_____

_____

Signature of Designated Employer Representative: _____

Section 8 – Other Related Actions

(Reference section 36e of the Act (110 ILCS 70/36e)

8.1 TEMPORARY ASSIGNMENT OF CIVIL SERVICE EMPLOYEE TO A CIVIL SERVICE EXEMPT POSITION

This procedure is to be used when a Civil Service employee is temporarily assigned to a civil service exempt position or temporarily assigned additional duties commonly associated with a civil service exempt position in addition to those regularly assigned through their Civil Service classification. The exemption assignment or additional duties may be performed on a temporary or emergent basis, including but not limited to, occasions when there is a search conducted to fill the exempt position or when an exempt employee is on an extended medical or personal leave.

Employees temporarily assigned or accepting the additional duties associated with a civil service exempt position may receive additional compensation while serving in this capacity and will maintain their current classification status, as if they had remained in their current Civil Service classification during the entire temporary exempt assignment timeframe. Employees will therefore continue to accrue seniority in their current Civil Service classification and, at a minimum, retain their current compensation level while on temporary assignment to a civil service exempt position and/or while performing the exempt duties.

Section 8 – Other Related Actions

(Reference section 36e of the Act (110 ILCS 70/36e)

8.2 CHANGING AN EXEMPT POSITION TO A CIVIL SERVICE POSITION

Periodic job description review and update procedures may indicate that a position originally identified as civil service exempt may have incorrectly been classified or may have changed to the point whereby a department now must convert this position, and any employee currently in this position, to an identified and appropriate Civil Service classification. The following procedure will assist each employer in converting positions, and any employee currently occupying these positions, from an exempt position to a Civil Service position.

When it has been determined and established that the job responsibilities and duties of a position do not meet the criteria for ~~a 36(e)~~ exemption, the employer may elect, or may be required, to change the position from an exempt position to an appropriate Civil Service appointment in a recognized classification, in accordance with the following process.

a. Establishment of Appropriate Civil Service Position

1. The employer will determine the appropriate Civil Service classification based on the defined duties and responsibilities associated with the position.

2. The employer will then establish a pay rate or range for the classification, if one has not already been established. *(Note: The classification of positions remains subject to audit review by the University System office.)*

3. The position will then be officially changed to reflect the appropriate Civil Service classification and all relevant employment protocols will be followed when filling any future vacancy in this position.

b. Transition of an exempt incumbent into a Civil Service Position

1. After converting the exempt position to a Civil Service position, any incumbent in the former exempt position will be officially moved to the designated Civil Service classification assigned to the converted position. At the time of this action, the employer is required to cite this procedure on the *Notice of Employment*.

2. If the incumbent does not meet the minimum acceptable qualifications of the Civil Service classification assigned to the converted position, a Position Change Principal Administrative Appointment to Civil Service Appointment Waiver of Qualification(s) for Incumbent Form must be completed and must be approved by the Executive Director. See *Form 8.2a*. The incumbent will not be required to complete a Civil Service examination for the designated classification provided they meet the minimum acceptable qualifications or have obtained the approved waiver form.

Section 8 – Other Related Actions

(Reference section 36e of the Act (110 ILCS 70/36e)

3. The incumbent will be required to complete a probationary period associated with the designated Civil Service classification/position. Time served in the previous exempt position will count towards the completion of the probationary period. Some specific examples follow:

   Example 1: An employee was hired- in an exempt position and has served 4 months in the position. It is determined that the position should be a Civil Service classification of Human Resource Associate which has a 12-month probationary period. Upon changing the position from exempt status to Civil Service, the employee would be required to complete the 'remaining' 8 months of the 12-month probationary period.

   Example 2: An employee was hired as in an exempt position and has served 14 months in the position. It is determined that the position should be a Civil Service classification of Human Resource Associate which has a 12-month probationary period. Upon converting the position from exempt status to Civil Service, the employee would not be required to complete any additional probationary period.

4. Seniority is accrued from the date that it can reasonably be determined that the position description met the criteria (duties/responsibilities) of a Civil Service classification. This date can be determined based upon a historical evaluation of the job description for the position. In cases where there has been no significant change in the job description, seniority is accrued from the date of employment into the exempt position.

5. Upon change to the Civil Service position, the employee will also begin accruing other benefits at a rate based on their length of service with the State of Illinois.

~~Renumbered – 6/1/09~~
Draft – March 2014

Form 8.2a

STATE UNIVERSITIES CIVIL SERVICE SYSTEM
1717 Philo Road, Suite 24, Urbana, IL 61802-6099

POSITION CHANGE
~~PRINCIPAL ADMINISTRATIVE~~CIVIL SERVICE EXEMPT APPOINTMENT ~~(PAA)~~ TO CIVIL SERVICE APPOINTMENT
WAIVER OF QUALIFICATION(S) FOR INCUMBENT

Place of Employment:

Name, ID, and Department Address of Incumbent:

~~Previous PAA~~ Title of Exempt Position:

Exemption Category: (check one) 36e(2) 36e(3) 36e(4)

New Civil Service Classification:
(Attach new job description)

I hereby request permission to waive the following minimum qualification(s) as set forth in the class specification:

This request is made in accordance with Section 250.30 of the Code (80 Ill. Adm. Code §250.30). The employee's current position does not meet the criterion for exemption from 36e~~(3)~~ of the Act (110 ILCS 70/36e(3)); therefore the former ~~PAA~~exempt position is being converted to a Civil Service position.

Comments: _____

_____

_____

Form 8.2a

STATE UNIVERSITIES CIVIL SERVICE SYSTEM
1717 Philo Road, Suite 24, Urbana, IL 61802-6099

I certify that this person is performing the defined duties and responsibilities associated with the Civil Service classification indicated above and will establish standard classification privileges, including seniority and benefit accrual, in accordance with State Universities Civil Service System Act and Code beginning _____.
(date)

_____ _____
Designated Employer Representative Date

☐ Approved ☐ Not Approved

_____ _____
Executive Director Date