STATE UNIVERSITIES CIVIL SERVICE SYSTEM

Sunnycrest Center
1717 Philo Road, Suite 24
Urbana, Illinois 61802-6099

James D. Montgomery
Merit Board Chair
Lewis T. (Tom) Morelock
Executive Director

Date mailed

DER

Dear DER:

The purpose of this correspondence is to request information in preparation for the State Universities Civil Service System Biennial Institutional Compliance Audit. In order to initiate the audit process, please review the enclosed Audit Request Material Packet and submit the information as instructed. The information collected in this process is critical and will be utilized by the Audit and Advisory staff to properly complete their audit activities.

Thank you for your immediate attention to this matter and please express our gratitude to the many administrators and employees who will prepare materials, participate in interviews, and assist us during the audit.

Should there be any questions, clarifications, comments, or concerns pertaining to the audit process, I may be contacted at (217) 278-3150 ext. 236 or via email cindyn@sucss.illinois.gov.

Respectfully,

Lucinda M. Neitzel
Assistant Director, Operations and Audit Division
State Universities Civil Service System

cc: Point of Contact

Enclosure 1:   The On-Site Operational Audit
Enclosure 2:   Audit Request Material Spreadsheet

Institution Name

Audit Request Material Packet

State Universities Civil Service System Compliance Audit

Audit Period: From last audit date 3 --- months prior to material due date
Material Due: Due Date
On-Site Audit: Dates while on-site

Introduction

The Executive Director has charged the Audit and Advisory Services Staff with the responsibility to conduct a comprehensive program of auditing. Full and complete access to any records, physical properties, information systems, and personnel relevant to the performance of the audit is expected. Documents and information given to the audit team during a periodic review will be handled in the same prudent and confidential manner as by those employees normally accountable for them.

Certain functions required by the State Universities Civil Service Act (Act) (110 ILCS 70/36b et seq.) and Illinois Administrative Code (Code) (80 Ill. Adm. Code Part 250) have been defined and delegated to the employer, that is, to institutions and agencies under the State Universities Civil Service System. Audit and Advisory Services staff members determine whether the existing personnel program is consistent with compliance standards, meets the needs and expectations of administrators and civil service employees alike, identifies problems, proposes solutions, evaluates the impact of new technology on the total personnel program, and provides staff assistance and guidance. Each university and agency covered by the State Universities Civil Service System is routinely audited once every two years.

The Biennial Institutional Compliance Audit and Outcomes

Audit and Advisory Services staff of the State Universities Civil Service System is the primary audit unit responsible for ensuring overall statewide compliance with the Act and Code. At the institutional level, they perform the functions detailed in the BICAP Process and Procedures. (Attachment to BICAP letter.)

The intent of the audit program is to assist an institution or agency in complying with the governing Act and Code. At the conclusion of a compliance and operational audit, Audit and Advisory Services staff routinely completes two reports. The first report is a Draft Audit Report that identifies initial findings, provides recommendations, and will be utilized for discussion at the exit conference. The Employer has the opportunity to address issues by submitting supporting documentation prior to and/or during the exit conference. Subsequent to the exit conference, we request that administrative responses, including corrective action be submitted for input (verbatim) into the Final Audit Report.

Documentation Request and Specific Instructions

A significant amount of documentation is needed for analysis prior to the on-site visit. While it is our intent to keep follow-up requests for information to a minimum, it may often times become necessary to do so for ensuring completion of the audit request and clarification of information received. To assist the Auditor in this respect, please adhere to the following specific instructions:

1. **Requested material should be submitted in electronic format, preferably in <u>Excel or Word</u>. Please submit all requested materials by email attachment to Danielle Routh, Program Coordinator, Operations and Audit Division at <u>danieller@sucss.illinois.gov</u>.**

2. **Although we use Microsoft Office, we may not be able to convert ALL electronic files from other software programs into a usable format. <u>PDF formatted files are acceptable, however ONLY for position descriptions</u>.**

3. **To assist in completing the on-site audit assignment, the following logistical support requirements are needed:**

   - **A Human Resource Departmental and/or agency organizational chart.**
   - **A Parking Pass upon arrival to the Human Resource Office.**
   - **Access to LAN or Wireless connectivity, to include firewall passwords for internet and VPN use.**

   **<u>Administrative Note</u>: If not already provided, please identify a primary point of contact (POC) to assist your campus/agency in compiling information and resolving questions/issues that may arise prior to and during the on-site operational audit. This individual will coordinate all aspects of the on-site visit including schedules and interviews.

CAMPUS AGENCY: **DATES ON-SITE:**   **AUDIT TIME FRAME:**

State Universities Civil Service System
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Audit Request Material Checklist
DUE DATE:

Section I: Assignment of Positions to Class		
Topic	**Material Requested**	**Rec'd or Response**
Jurisdiction	*A. As of the end of the audit time frame, enter the number of employees in each of the*	
Act 36e	*following employment categories:*	
	Civil Service Status Appointments:	
Procedures Manual:	Civil Service Non-Status Appointments:	
Classification/5.5c	36e(2): Primary Administrator Appointments:	
Exemption/2.1	36e(3): Individual Exempt Principal Administrative Appointments:	
Exemption/3.1	36e(3): Standard Title Principal Administrative Appointments:	
Exemption/4.1	36e(4): Teaching, Research, and Extension Faculties:	
Exemption/7.1	36e(5): Student Appointments:	
	**Number of Positions/Employees transitioned from PAA to Civil Service:	
	**Number of Positions/Employees transitioned from Civil Service to PAA:	
Review of Position	*B. Provide a log that reflects the last update for all civil service job descriptions with the*	
Descriptions	*following position control data:*	
Act 36d(2) & (3)		
Code 250.30(b)	Employee Name	
	Position Number	
Procedures Manual:	Classification	
Classification/2.1	Date of Last Position Description Review	
Classification/2.2		
Sampling for	*C. This sample is a separate request following the initial review of payroll information*	
Proper Classification/	*submitted by the Employer. (Refer to Section II-A)*	
Communication		
Act 36d(2) & (3)		
Code 250.30(b)		
Civil Service	*D. Provide a list of position audits completed or in process during the audit timeframe*	
Position Audits	*with the following information for each audit: What is your retroactive policy?*	
Code 250.30(d-f)		
	Employee Name, Position Number, Previous Classification and New Classification	
Procedures Manual:	Date of Audit Request and Receipt of Position Description	
Classification/2.3	Date of Desk Audit, Date of Examination and Examination Score	
	Decision Date of (Reclassification/Reallocation) and Effective Date of Classification	

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Position Audits	*E. Conduct specified number of interviews with civil service employees and their*	
(On-Site Interviews)	*supervisors while auditors are on site. These selections are determined/scheduled prior*	
Act 36d(2)	*to the Auditor's arrival.*	
Code 250.30(b)		
Position Control	*F. Review of the Employer's practices in the assignment of work to positions and how*	
Management	*classifications are determined. Position Control records document the history of a*	
(On-Site)	*position and include the review of desk audit notes, position descriptions, etc.*	
Act 36d(2)		
Code 250.30(b)		
Section II: Compensation Programs/Pay Administration		
Topic	**Material Requested**	**Rec'd or Response**
Use of Approved	*A. Please provide the most recent payroll report within the audit time frame to include*	
Rates/Ranges and	*ALL of the following information in class code order:*	
Adjustments		
Act 36d(3)	Classification Code	
Code 250.30(c)	Civil Service Title	
	Position Number	
Procedures Manual:	Employee Name	
Pay/2.1	Base Rate of Pay (Calculated as an Hourly Rate)	
Pay/2.2	Pay Type (Open Range- Use R; Negotiated- Use N, etc.)	
Pay/2.3	Percentage of Appointment (FTE)	
Pay/3.1	Date of Appointment to Classification	
Pay 3.2	Date of Employment	
	Standard Workweek Hours (35, 37.5, 40, etc.)	
	Workplace Location (If Different Rates Are Established By Locale)	
	When querying data, please ensure data elements (except employee name) are in	
	separate cells.	
Use of Approved	*B. A follow-up review of Employer rate/range discrepancies as needed or required.*	
Rates/Ranges		
(On-Site)	***Please Note: The Auditor may request a current Civil Service payroll document on-site*	
Act 36d(3)	*to verify corrections to updated ranges.*	
Code 250.30(c)		

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Section III: Examination Procedures		
Topic	**Material Requested**	**Rec'd or Response**
Admission of	*A. Provide a list of all new Civil Service appointments during the audit time frame to*	
Applicants to	*include the following information for each appointment:*	
Examinations		
Act 36f	Employee Name	
Code 250.50(b)	Classification Title	
	Exam Date	
Procedures Manual:	Exam Score	
Examination/2.1	Date of Referral (Freeze Date)	
Examination/2.2	Date of Appointment	
Examination/2.3	Veteran's Preference Points Awarded (If Applicable)	
Illinois Residency	*B. Provide a list of* ==out-of-state== *applicants admitted to examinations during the audit*	
Act 36f	*time frame to include the following information for each appointment:*	
Code 250.50(b)(1)		
	Applicant Name	
Procedures Manual:	Classification Tested	
Examination/2.3	Date of Appointment (If Applicable)	
	Exam Date	
	Exam Score	
Licenses, Certifications,	*C. On-site review of documents and procedures to validate that the minimum*	
Veteran's Preference	*qualifications are met for admitting applicants to examinations.*	
(On-Site)		
Act 36f		
Code 250.50(b)(1)		
Administration of	*D. On-site review of examination procedures with on-site observation of exams given to*	
Examinations	*Include proctoring. Overview of audit requirements and observations:*	
--Scheduling		
--Security	Inspection of exam security (access, maintenance, & destruction).	
--Inventory	Review of E-Test security procedures (authentication & access).	
--Scoring	Inspection of randomly selected paper exam materials.	
(On-Site)	Review of exam practices, informing applicants of scores, and register placement.	
Act 36f	Review of practices and timeliness in scheduling of examinations.	
Code 250.50(d-f)		

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Section IV: Employment and Separation Procedures (Appointments, Transactions, and Programs)		
Topic	**Material Requested**	**Rec'd or Response**
Temporary Appointments	*A. Provide a list of all temporary appointments during the audit time frame to include the following for each appointment:*	
Act 36m		
Code 250.70(a)(1)	Employee Name	
	Classification Title	
Procedures Manual:	Date of Appointment	
Employment/2.2	Exam Date and Score	
	Date of Termination (If Applicable)	
Provisional Appointments	*B. Provide a list of all provisional appointments during the audit time frame to include the following for each appointment:*	
Act 36n		
Code 250.70(b)(1)	Employee Name	
	Classification Title	
Procedures Manual:	Date of Provisional Appointment	
Employment/2.3	Date of Status Appointment (If Applicable)	
	Date of Termination (If Applicable)	
Apprentice Appointments	*C. Provide a list of all apprentice appointments during the audit time frame to include the following for each appointment:*	
Act 36e		
Code 250.70(c)	Employee Name	
	Approved Program Title	
Procedures Manual:	Date of Apprentice Appointment	
Employment/2.7	Date of Program Completion (If Applicable)	
	Date of Status Appointment and Date of Termination (If Applicable)	
Intern Appointments	*D. Provide a list of all intern appointments during the audit time frame to include the following for each appointment:*	
Act 36e		
Code 250.70(d)		
	Employee Name	
Procedures Manual:	Approved Program Title	
Employment/2.6	Date of Intern Appointment	
	Starting Pay Rate	
	Effective Date of Pay Rate	

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	Date of Program Completion (If Applicable)	
	Date of Status Appointment (If Applicable)	
	Date of Termination (If Applicable)	
Extra Help	***E. Provide an alphabetical list of all Extra Help appointments utilized during the***	
Appointments	***audit time frame to include the following data for each appointment:***	
Act 36e		
Code 250.70(f)	Employee Name	
	Classification/Job Title	
Procedures Manual:	Position Number	
Employment/2.5	Employing Department	
Employment/2.5a	Begin and End Date For Each Employee (Actual Periods Worked)	
	Begin and End Date For Each Position Utilized	
	Total Hours Worked for Each Employee in the Audit Timeframe	
	Begin and End Dates for each 30-Day and 6-Month Break	
	(As necessary, additional information or reports may be requested.)	
Extra Help	*****Please Note:***	
Appointments (Cont.)		
(Specific Instructions)	***1. Some employees may have more than one appointment during the audit time***	
	frame; list each appointment separately.	
	2. The Auditor must be able to clearly verify that employees were given a thirty day	
	break once 900 hours were reached and/or between appointments/positions.	
	3. The Auditor must be able to verify that a six month break was given prior to	
	reutilizing the same position/position number.	
	4. Identify those positions on the list where Extensions had been	
	requested/authorized.	
	5. Indicate which employees listed have been moved to a status appointment.	
	6. Provide a description of Extra Help employment and monitoring	
	policies/procedures.	

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Contract	*F. Provide a list of all Civil Service Contract Appointments utilized during the audit time*	
Appointments	*frame to include the following for each appointment:*	
Code 250.80(b)		
	Employee Name *(Newly Employed AND Terminated)*	
Procedures Manual:	Classification/Job Title	
Employment/3.3	Position Number	
	Employing Department or Program	
	Work Location	
Temporary Downgrade	*G. Provide a list of all temporary upgrade and temporary downgrade actions taken*	
and Temporary	*during the audit time frame to include the following for <u>each assignment</u>:*	
Upgrade Assignments		
Code 250.100(b)	Employee Name	
	Classification	
Procedures Manual:	Assigned Upgrade/Downgrade Classification	
Employment/4.2	Date of Upgrade/Downgrade Assignment	
	Exam Score and Date of Exam	
	Termination Date of Downgrade Assignment	
	Termination of Downgrade Assignment	
	(**Please note: The Auditor must be able to verify Temporary Upgrades for <mark>each day</mark>	
	utilized during the audit time frame. Listing total days by pay period does not allow for	
	complete verification of compliance.)	
Civil Service Employees	*H. Provide a list of all Civil Service employees assigned Principal Administrative*	
Assigned Principal	*Appointment duties on a temporary basis during the audit time frame to include the*	
Administrative	*following for each appointment:*	
Appt. (PAA) Duties		
On A Temporary Basis	Employee Name	
Act 36e(3)	Classification/Job Title	
	Title of Temporary PAA Assignment/Position	
Procedures Manual:	Dates Worked Under Temporary Assignment/Duties	
Exemption/8.1	Reason for Temporary Assignment	
	Seniority of Civil Service Employee	

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Layoffs	*I. Provide a list of layoffs, <u>excluding</u> if possible, seasonal layoffs (i.e., Grounds and*	
Code 250.110(d)(1)	*Food Service Workers) during the audit time frame. Please include the following for*	
	each transaction:	
Procedures Manual:		
Employment/4.7	Employee Name	
Employment/4.7a	Classification	
	Date of Layoff	
	Reason for Layoff	
	Date of Return to Work (If Applicable)	
Disciplinary	*J. Provide a list of disciplinary suspensions issued during the audit time frame to*	
Suspensions	*include the following for each transaction:*	
Code 250.110(e)		
	Employee Name	
Procedures Manual:	Classification	
Employment/4.8	Date(s) of Suspension	
Employment/4.8a	Length of Suspension	
	Reason for Suspension	
	(The Auditor will also need to review these personnel records during the on-site visit.)	
Voluntary Demotions	*K. Provide a list of 'voluntary' demotions during the audit time frame to include the*	
Code 250.110(g)(2)	*following for each transaction:*	
Procedures Manual:	Employee	
Employment/4.9	Classification	
Employment/4.9a	Date of Demotion	
	Verification of Voluntary Action (Employee Request or Concurrence)	
Dismissals	*L. Provide a list of probationary employees dismissed during the audit time frame*	
Act 36h(2)	*to include the following for each transaction:*	
Code 250.110(h)		
	Employee Name	
Procedures Manual:	Classification	
Employment/5.7	Date of Employment	
Employment/5.7a	Date of Dismissal	
	Reason for Dismissal	
	(The Auditor will also need to review these personnel records during the on-site visit.)	

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Supported Employee	*M. Provide an alphabetical list of all supported employees to include the following*	
Program	*information for each:*	
Act 36s		
	Employee Name	
Procedures Manual:	Classification Title	
Employment/2.9	Date of Supported Employee Appointment	
Employment/2.9(a)	Date of Status Appointment (If Applicable)	
	Date of Termination (If Applicable)	
Maintenance and	*N. The Auditor will conduct an on-site review of the Employer's new hire employment*	
Review of Registers	*registers and how they are maintained.*	
(On-Site)		
Act 36b(2)	*(**Note: Demonstration (Pilot Program) Project register data will also be reviewed*	
Code 250.60(f-j)	*based on Merit Board approval of program effective July 1, 2012. Please have these*	
	registers sorted separately and only for the classifications approved by the Merit Board.)	
Referrals from	*O. The Auditor will conduct an on-site review of the Employer's new hire employment*	
Registers	*registers and determine how applicants are referred for positions. An in-depth*	
(On-Site)	*review of the "Rule of Three" will be conducted, to include reconstruction of registers*	
Act 36h(1)	*and appropriateness of appointments/classification.*	
	*(**Note: Demonstration (Pilot Program) Project register data will also be reviewed to*	
	determine proper referral from registers based on Merit Board approval of program	
	Effective July 1, 2012.)	
Leaves of Absence	*P. Please provide a spreadsheet of all leave of absence* ==over 30 days without pay== *transactions*	
(On-Site)	*conducted during the audit time frame. The Auditor will then select a sample of records*	
	to review.	

Section V: Principal Administrative Appointments		
Topic	**Material Requested**	**Rec'd or Response**
Review of Exempted	*A. Please provide two payroll documents--the most recent payroll report within the*	
Positions	*audit time frame and a second payroll report from one year prior to the on-site audit.*	
Act 36e(3) and (4)	*The payroll information should include all exempted positions listed in alpha order*	
Code 250.30(c)	*and should properly distinguish:*	

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Procedures Manual:	--36e(2) Primary Administrator Exemptions	
Exemption/1.1	--36e(3) Individual Exemptions	
Exemption/2.1	--36e(3) Standard Title Exemptions	
Exemption/3.1	--36e(4) Teaching, Research, and Extension Faculty Exemptions	
Exemption/4.1		
Exemption/6.1 & 6.2	*B. Please include the following information for each type of position exemption*	
Exemption/7.1	*category listed above:*	
	Employee Name	
	Position Title and Working Title Designation	
	Position Number	
	Annual Salary	
	Department	
	Date of Employment (Employee Hire Date)	
	Date of Appointment in Position (Job Begin Date)	
	Date of Most Recent Position Description	
	C. Provide a separate payroll listing of ALL "Academic Hourly" appointments utilized	
	within the audit period, if applicable, with the same information noted above.	
	D. If possible, provide copies of, or a reference to, any formal internal procedures utilized	
	in the exemption determination and verification process. This may include position	
	description management protocols, position description analysis procedures, exemption	
	authority and recordkeeping standards.	
PAA Position Control	*E. Based on the most recent payroll report referenced above, the Auditor will*	
Management and	*request a subsequent sample of position descriptions for review to determine proper*	
Review of Position	*exemption and verify routine job review protocols.*	
Descriptions		
Procedures Manual:	*F. Provide a copy of employment policies/procedures for these positions, including*	
Exemption/6.2	*the periodic review of position descriptions and authorization standards.*	
Exemption/6.3a		

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Review of Exempted	*G. For current academic year only, provide a list of all student appointments to include*	
Positions	*the following information for each appointment.*	
(Student Appts.)		
Act 36e(5)	Employee Name	
Code 250.70(e)	Date of Student Appointment	
	Current Enrollment Status (Semester Hours for Current Semester)	
Procedures Manual:	Previous Enrollment Status (Semester Hours for Previous Semester)	
Exemption/5.1		
Exemption/5.1a		
PAA Position Audits	*H. The Auditor will conduct specified number of interviews with exempted employees*	
(On-Site Interviews)	*while on-site. These selections are determined and scheduled prior to the Auditor's*	
Act 36e	*arrival.*	

VI: Supplemental Questions		
Topic	**Material Requested**	**Rec'd or Response**
Use of Approved	*A. Have any Open Range Market Salary Adjustments been made during the audit time*	
Rates/Ranges and	*frame? If so, provide any supporting market survey information if applicable.*	
Adjustments		
Act 36d(3)		
Code 250.30(c)		
Pay Procedures Manual		
Collective Bargaining	*B. Have any bargaining units certified or decertified during the audit time frame?*	
Act 36d(3)	*Provide a current status update of expired agreements.*	
Pay Procedures Manual	*(i.e, Extended, Rollover, Arbitration, Re-Openers, Under Negotiations, etc.)*	
	(Please provide website hyperlinks if applicable.)	
Employer's		
Determination of	*C. What are the salary surveys/sources used to determine salary ranges?*	
Market Rates	*Please describe the salary review process.*	
Act 36k(1)		
Pay Procedures Manual		
Grievance Procedure	*D. Provide a written description or website reference to any grievance procedure*	
Review	*currently utilized by the Employer and how employees are notified and obtain access*	
(On-Site)	*to these procedures.*	

CAMPUS AGENCY: **DATES ON-SITE:**   **AUDIT TIME FRAME:**

Seniority Lists/Review	*E. Does the Employer maintain a public and current seniority list? Are individual*	
(On-Site)	*individual seniority lists provided upon request?*	
Code 250.120		
Section VII: Follow Up Activities (Previous Audits)		
Topic	**Material Requested**	**Rec'd or Response**
Follow-Up Topics From	*A. The Employer will have an opportunity to present information relevant to previous*	
Previous Audit	*audit findings and present new HR initiatives/updates since previous audit.*	