

# STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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

To: Merit Board Members  
University Presidents and Chancellors  
Affiliated Agency Directors  
Administrative Advisory Committee  
Designated Employer Representatives  
Human Resources Directors  
State Universities Civil Service Advisory Committee (EAC)

From: Lucinda M. Neitzel   
Assistant Director, Operations and Audit Division

Date: July 1, 2014

Re: FY2015 Biennial Compliance Audit Schedule

As part of its statutory power, the Merit Board has promulgated rules that delegate to the Executive Director the authority and responsibility for conducting “ongoing audit programs of all Civil Service operations at each place of employment for the purpose of assuring compliance with the Act (110 ILCS 70/36b et seq.) and Part 250 of the Illinois Administrative Code (Code) (80 Ill. Adm. Code 250) and for improving the program of personnel administration of its constituent employers” (80 Ill. Adm. Code §250.140(c)).

Accordingly, this letter is to inform you that we have initiated the scheduling and implementation of the FY2015 State Universities Civil Service System cycle of biennial compliance audits. This regulatory requirement includes both information/record analysis and on-site testing that we consider necessary in completing our audit objectives. These objectives will determine whether the internal control structure and business processes surrounding the respective Human Resource activities are adequate to ensure:

- 1) Compliance with the Act, Code and corresponding System Office Procedures is attained;
- 2) Procedural concerns are identified and corrected to reduce findings;
- 3) Comprehensive local compliance is achieved by collaborating and building partnerships with the applicable human resource and internal audit departments; and
- 4) Timely and appropriate corrective action is implemented to address documented issues noted in the audit reports.

Prior to the on-site testing at each University/Agency, we will notify and inform the Employer of the audit process, establish timelines and submit a formal request of records and other documentation necessary in completing our testing requirements. This formal request for records and documentation is routinely updated to include recent rule and procedural changes, clarification of specific data elements, and to further simplify the overall audit process. In some instances, additional information may be requested both during and following the on-site visit to resolve issues and validate specific employment transactions. At the conclusion of the audit, the specific University/Agency may be required to address specific issues or audit findings and/or verify whether corrective measures have been taken prior to a Final Audit Report being issued. In this respect, a Formal Exit Conference is highly encouraged to address and/or rectify some of these concerns.

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The final FY2015 audit schedule is provided below for your reference. This will hopefully assist in your resource scheduling and planning process. Additionally, our audit process and procedures, request for materials, and Final Audit Reports for each University/Agency can be found at the State Universities Civil Service System website under the Operations and Audit Division link. **\*\*Please note that the Northern Illinois University audit will take place in September 2014 and the Illinois State University audit will occur in January 2015.**

As in previous years, our goal will be to engage in positive and interactive learning experiences through the audit process. We are looking forward to the on-site visits. Should there be any questions, comments or concerns throughout the audit process, please feel free to contact me at (217) 278-3150 extension 239 or via e-mail at [cindyn@sucss.illinois.gov](mailto:cindyn@sucss.illinois.gov).

<b>FY 2015 Biennial Audit Schedule</b>			
<b>University/Agency</b>	<b>Scheduled Date/Time Frame</b>	<b>Last Audit</b>	<b>Days On Site</b>
<i>Governors State University</i>	<i>August 5-7, 2014</i>	<i>July 2012</i>	<i>3</i>
<i>Illinois Student Assistance Commission</i>	<i>Sept 10-12, 2014</i>	<i>Aug 2012</i>	<i>3</i>
<b>**Northern Illinois University</b>	<b>September 23-26, 2014</b>	<b>Jan 2013</b>	<b>4</b>
<i>Southern Illinois University School of Medicine</i>	<i>October 22-24, 2014</i>	<i>Oct 2012</i>	<i>3</i>
<i>State Universities Retirement System</i>	<i>November 3-4, 2014</i>	<i>Nov 2012</i>	<i>2</i>
<i>UI-College of Medicine Rockford</i>	<i>November 13-14, 2014</i>	<i>Nov 2012</i>	<i>2</i>
<b>**Illinois State University</b>	<b>January 2015</b>	<b>Sep 2012</b>	<b>5</b>
<i>Chicago State University</i>	<i>February 2015</i>	<i>Feb 2013</i>	<i>3</i>
<i>Eastern Illinois University</i>	<i>March 2015</i>	<i>April 2013</i>	<i>5</i>
<i>University of Illinois at Urbana-Champaign</i>	<i>June 2015</i>	<i>June 2013</i>	<i>10</i>