

# STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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



*Julie Annette Jones  
Merit Board Chair  
Gail Schiesser  
Executive Director*

May 23, 2022

Dr. Daniel F. Mahoney  
President  
Southern Illinois University System

Ms. Beverly Bevineau  
Interim Director of Human Resources  
Southern Illinois University Edwardsville

Dr. Duane Stucky  
Senior Vice President for Financial and  
Administrative Services and Board  
Treasurer  
Southern Illinois University System

Ms. Kimberly A. Labonte  
Executive Director of Audits  
Southern Illinois University System

Dr. James T. Minor  
Chancellor  
Southern Illinois University Edwardsville

Ms. Julie Annette Jones  
Merit Board Chair  
State Universities Civil Service System

Dr. Morris Taylor  
Vice Chancellor for Administration  
Southern Illinois University Edwardsville

Mr. John Simmons  
Merit Board Member  
State Universities Civil Service System

Accompanying this letter is the final FY2021 Governance, Risk, and Compliance Audit report by the State Universities Civil Service System of the Office of Human Resources at Southern Illinois University Edwardsville, covering the period of July 1, 2016 – December 31, 2020.

This report communicates the overall outcome and assessment of human resource practices during that period, documents risk assessment category findings, and provides recommendations to rectify compliance issues discovered through this comprehensive human resource operational audit.

We are very pleased to inform you that there are no findings for this reporting period in this final compliance audit report. We commend the Southern Illinois University Edwardsville Human Resource staff members charged with this compliance responsibility. Their business practices lead to this excellent report.

Although not rising to the level of findings, there are two matters of concern to which I would like to draw your attention:

1. Two Extra Help employees exceeded the 900-hour limitation:
  - Employee A\* (Position 01\*) with 905.5 hours;
  - Employee B\* (Positions 02\* and 03\*) with 913 hours.

2. Another Extra Help employee, Employee C\* (Positions 04\* and 05\*), with a total of 1,332.75 hours. These appointments appear to have been incorrectly designated as Extra Help and exempt under 36e(4) of the Act. If the appointment had been exempted, no monitoring of hours would have been required, and no maximum hours-worked limitation would have applied.

\*The identifying information regarding these employees and positions has been removed from this public document to protect the employees' privacy. Please contact me if that information is needed to further the purposes of this audit.

With 879 appointments reported during the audit period, we believe these to be isolated incidents that do not rise to the level of being cited as a finding.

Attending to these Extra Help and incorrect designation matters now, while the errors are small, should prevent the errors from escalating into larger or more persistent problems.

Please convey our appreciation to the human resources staff for engaging in the audit process. If you have any questions or would like a personal briefing on any item, please contact Lucinda M. Neitzel, Assistant Director of Legal and Compliance Services, at [cindyn@sucss.illinois.gov](mailto:cindyn@sucss.illinois.gov) or by phone at (217) 305-6604.

Sincerely,

Gail Schiesser  
Executive Director

# STATE UNIVERSITIES CIVIL SERVICE SYSTEM

---

---



## Governance, Risk, and Compliance Audit Report (Final)

May 23, 2022

---

### Southern Illinois University Edwardsville

**Audit Time Frame:**  
July 1, 2017 – December 31, 2020

**Remote Visit:**  
February 23 – 26, 2021

---

Prepared by:

Assistant Director, Legal and Compliance Services

**State Universities Civil Service System  
Legal and Compliance Services  
*Final Audit Report***

**Table of Contents**

**Overview of Specific Areas Subject to Review .....2**

**Audit Objective and Scope .....3**

**Risk Assessment Categories.....3**

**Executive Summary..... 5**

**State Universities Civil Service System  
Legal and Compliance Services  
Final Audit Report**

**Overview of Specific Areas Subject to Review**

The following Human Resource topic areas are considered and reviewed when identifying the Audit Objective and Scope, Risk Assessment Categories, and Findings identified in this report:

**Assignment of Positions to Class**

A sample of Civil Service position descriptions is selected to ensure proper and timely updates between employees and supervisors, conducts individual desk audit interviews, and completes a review of the Employer desk audit process to ensure accurate classification determinations were assigned.

**Compensation Programs**

An analysis of the Employer's use of pay rates and pay ranges is completed to determine compliance with ranges approved by the Merit Board. The Employer's compensation program is evaluated to ensure merit and pay equity requirements are adequately compared to the regional market area.

**Examination Program**

A review of pre-employment testing procedures is conducted, including a review of admission of applicants to examinations, license and certification verifications, exam security and administration, and register maintenance.

**Administration of Employment and Separation Procedures**

A review of the Employer's business processes related to the Civil Service employment cycle, including the utilization of status and non-status appointments, probationary period requirements, and other employment and separation transactions, such as disciplinary suspensions, dismissals, voluntary demotions, temporary upgrades, reassignments, transfers, and dismissal from probation.

**Administration and Employment Protocols of Positions Exempt from Civil Service Regulations**

A review of employment protocols related to positions designated as exempt from Civil Service regulations is completed to ensure accurate designation under Merit Board procedures. The Employer's exemption method, administrative procedures, and related position descriptions are sampled, with incumbent interviews conducted to validate the assigned position exemption.

**General Review of the Employer's Human Resource Program**

A general review of the Employer's human resource programs is completed to determine effectiveness, efficiency, and levels of communication to internal constituency groups, including faculty, principal administrative employees, and support staff. This review may also include investigating concerns from external constituents, including the public, employee committees, and union groups.

**Other Follow-up Items from the Previous Audit**

A review is conducted for any follow-up items from previous audits and evaluates necessary and appropriate compliance matters to meet audit objectives.

## Audit Objective and Scope

### Objective

As stated in the Governance, Risk, and Compliance Audit Charter for the State Universities Civil Service System, as approved by the Merit Board on August 17, 2016, the primary objective and purpose of the audit program is to evaluate and verify compliance with the Act, Code, and System Procedures. The University System is also charged with building strategic partnerships, assessing processes and performance, providing direct guidance and support services, and implementing flexibilities that meet the needs of each Employer, consistent with the Act.

### Audit Scope

The Scope of this FY2021 GRC Audit Cycle included a comprehensive evaluation of employment designations and/or category of status, non-status, and exempt appointments, position description reviews, use of approved rates/ranges, admission of applicants to examinations, register maintenance, compliance with the 900-hour limitation with respect to Extra Help Appointments, contract appointments and transaction documentation, and personnel file reviews.

## Risk Assessment Categories

### Topics of Specific Focus by Risk Assessment Category

Before performing audit functions, specific risk assessments were assigned and categorized for each topic area reviewed during the compliance audit process. The Auditor considers the following factors when determining the appropriate level of compliance violation and course of action:

- Repeat Breaches of the Act, Code, Procedure, or Audit Charter
- Multiple Instances of Non-Compliance
- Employer's Ability and Willingness to Operate in Compliance with the Law
- Employer's Historical Compliance Record
- Employee Concerns

Audit findings are defined and issued based on these designated and predetermined risk assessments as follows:

- Category 1: Serious Impact/Immediate Action Required
- Category 2: Medium Impact/Needs Improvement
- Category 3: Minimal Impact/Observation Only

For the current FY2021 Governance, Risk, and Compliance Audit at Southern Illinois University Edwardsville, the following risk assessments and areas of focus were communicated to the Employer before conducting the audit examination:

**Category 1:** Identification of Civil Service Classifications Used, Use of Approved Rates and Ranges, Admission of Applicants to Examination, Examination Security Protocols, Register Referral of Candidates and Register Maintenance, Layoff Transactions, Specialty Factor Designations, Extra Help Appointments, and Temporary Upgrade Assignments.

**Category II:** Position Control Management, Removal of Names from Registers, Maintenance of Personnel Files, Temporary PAA Assignments, and Transaction Documents (Intern Requests, Disciplinary Suspensions, Dismissals, and Layoff Notices) on file at the University System Office.

**Category III:** Civil Service Desk Audits, Position Description Reviews, Timeliness of Classification Requests (Desk Audits), and Scheduling/Inventory of Examinations.

The Legal and Compliance Division recognizes and identifies these three categories of findings based on the facts presented by the Employer during the audit process, which are then evaluated against requirements consistent with regulatory guidelines. The Category assigned to a documented finding depends on the severity of the issue and its impact related to a violation of the Act, Code, or Procedure.

**NOTE: The university system is responsible for protecting private and sensitive employee information from loss or misuse. As a result, personal information, as defined in the Illinois Freedom of Information Act (FOIA), 5 ILCS 140/2(c-5), and other sensitive employee and position data including, but not limited to pre-employment application information, examination scores, register referrals, salary, and specific disciplinary information, are not included in this report.**

**Southern Illinois University Edwardsville  
Final Audit Report**

**Executive Summary  
YEAR ENDED—FY2021**

The compliance testing performed during this examination was conducted consistent with the State Universities Civil Service Act (110 ILCS 70/36b et seq.), Part 250 of the Illinois Administrative Code (Code) (80 Ill. Adm. Code 250), State Universities Civil Service Procedures Manuals, applicable University/Agency policies/procedures, and auditing standards.

**SUMMARY**

<b><u>Number of</u></b>	<b><u>This Report</u></b>
Category 1 Findings	0
Category 2 Findings	0
Category 3 Findings	0
Repeated findings from previous audit*	0