

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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July 19, 2021

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The State Universities Civil Service System respectfully submits the Governance, Risk, and Compliance Audit of the Office of Human Resources at the Illinois Board of Higher Education (IBHE), covering the period of August 1, 2015, through June 30, 2020.

We are pleased to inform you that the results of this compliance audit concluded that there are no findings for this reporting period. Those IBHE staff members charged with this compliance responsibility are to be commended for their business practices leading to this excellent report. All compliance questions related to employment records and register maintenance provided in the Draft Audit Report have been satisfactorily resolved.

On behalf of the Legal and Compliance Services Division, we thank you and the human resource staff for a very productive audit experience. If there are any questions or a personal briefing on any item is desired, please contact my office at (217) 278-3151 or Lucinda M. Neitzel, Assistant Director of Legal and Compliance Services at (217) 305-6604.


Gail Schiesser
Interim Executive Director

STATE UNIVERSITIES CIVIL SERVICE SYSTEM



Governance, Risk and Compliance Audit Report (Final)

July 19, 2021

ILLINOIS BOARD OF HIGHER EDUCATION

Audit Time Frame:
August 1, 2015 – June 30, 2020

On-Site Visit:
August 24-25, 2020

Prepared by:

[Redacted]

Lucinda M. Neitzel
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.....	1
Audit Objective and Scope	2
Risk Assessment Categories.....	2
Executive Summary.....	3

**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 Classes

The Auditor completes a review of selected job descriptions for timely updates, proper administration, and correct assignment of position classifications. Additional desk audits of selected positions are conducted onsite for appropriateness of position classification. There is also an evaluation of the Employer's position audit process and corresponding determinations.

Compensation Programs

The Auditor completes an analysis of the Employer's use of pay rates and pay ranges, as approved by the Merit Board. An overall evaluation is conducted of the Employer's compensation program and initiatives to meet requirements of pay equity within the Employer's market area.

Examination Program

The Auditor conducts a review of pre-employment testing operations. This includes test administration, admission procedures of applicants to examinations, license and certification verifications, scheduling, security, and register management.

Administration of Employment and Separation Procedures

The Auditor reviews the Employer's business processes and procedures related to the Civil Service employment cycle, utilization and monitoring of non-status appointments, probationary and status employment transactions, and separation programs.

Administration and Employment Protocols of Positions Exempt from Civil Service Regulations

The Auditor completes a review of the employment protocols and assigned responsibilities related to those positions categorically exempt from Civil Service regulations to ensure compliance with the Act and recognized procedures. The Employer's method of exemption, administrative procedures, and related position descriptions are reviewed; and selected incumbent interviews are conducted for validation of approved exemptions.

General Review of the Employer's Human Resource Program

The Auditor completes a general review of the Employer's human resource programs with respect to effectiveness, efficiency and levels of communication to constituencies. There is also an assessment of the recognition and interaction of human resource programs within the Employer's faculty, administrative and support staff employee groups.

Other Follow-up Items from Previous Audit

Other follow-up items from previous audits, as well as other matters deemed necessary and appropriate, may have been reviewed and submitted as additional audit topics.

Audit Objective and Scope

Objective: As stated in the Governance, Risk, and Compliance Audit Charter for the State Universities Civil Service System, and 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, evaluating 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 Audit Cycle for Illinois Board of Higher Education (IBHE) included a comprehensive evaluation of employment designations and/or category of status, non-status, and exempt appointments, employee interviews, register maintenance, and personnel file reviews.

Risk Assessment Categories

Prior to performing audit activities, the University System Office (SUCSS) reviews and prioritizes specific areas of risk system-wide and categorizes each topic area to be evaluated during the upcoming compliance audit cycle. While subject to change, audit findings are typically issued and defined consistent with the following 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 the Illinois Board of Higher Education, the following risk assessments and areas of focus were communicated to the Employer prior to conducting the audit examination:

Category I: 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, 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.

In general, each Employer is evaluated on the basis of compliance history, specific topic area, and Auditor discretion. The Legal and Compliance Division recognizes and identifies these three finding categories based on the facts presented by the Employer during the audit process, which are evaluated against requirements consistent with regulatory guidelines in the Act, Code, and System Procedures.

While not a definitive statement of outcome, documented findings depend largely on the severity of the violation.

Illinois Board of Higher Education
Final Audit Report

Executive Summary
YEAR ENDED—FY2021

The compliance testing performed during this examination was conducted in accordance with 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

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