

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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September 4, 2008

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The State Universities Civil Service System respectfully submits the Final Audit Report of the Biennial Institutional Compliance Audit conducted at the University of Illinois at Chicago. The audit period tested was December 1, 2004 through April 30, 2007. This report is intended to communicate the final material findings, recommendations and corresponding institutional responses formulated through a comprehensive human resource compliance and operational audit.

On behalf of the audit staff, 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 call Jeff Brownfield (217) 278-3150 ext. 236.

[REDACTED]

Lewis T. (Tom) Morelock
Executive Director

University of Illinois at Chicago Final Audit Report



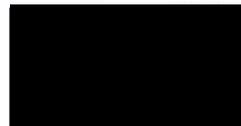
State Universities Civil Service System Compliance Audit

September 4, 2008

Audit Period

December 1, 2004 to April 30, 2007

Prepared by:



Jeff Brownfield
Assistant Director

University of Illinois at Chicago
Final Audit Report

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Introduction

PURPOSE

The State Universities Civil Service System was created in 1952 as a separate entity of the State of Illinois and is under the control of the University Civil Service Merit Board as set forth in Section 36b(3) of the State Universities Civil Service Act (Act) ([110 ILCS 70/36b\(3\)](#)). The purposes of the State Universities Civil Service System is to establish a sound program of personnel administration for its constituent employers (110 ILCS 70/36b(2)). To achieve this purpose, the Merit Board has been given a broad range of statutory powers and duties, which include the power to make rules to carry out the purpose of the State Universities Civil Service System and to appoint an Executive Director to administer the Act (110 ILCS 70/36d(11) and (12)).

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 all places 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 programs of personnel administration of its constituent employers” ([80 Ill. Adm. Code §250.140\(c\)](#)). The Act and Code are hereinafter referred to as the Statute and Rules.

This report communicates the final outcome of a comprehensive human resource operational audit, which included an on-site evaluation that was conducted on September 17-21, 2007 and October 15-29, 2007. An exit conference conducted June 4, 2008 provided the opportunity for the Draft Audit Report to be discussed with the Employer. Upon completion of the exit conference, the draft report is parceled out to a Final Audit Report (Material Findings only) and a supplement (Non-material Findings).

OVERVIEW

The following Human Resource activities were reviewed and utilized in identifying the Material (Final Audit Report) and Non-material Findings (Supplement):

- **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 classifications. There is also an evaluation of the Employer’s desk audit process and conclusions during the time span audited.

- **Compensation Programs**
The Auditor completes an analysis of the Employer's use of pay rates and pay ranges approved by the Merit Board. An overall evaluation is then conducted of the Employer's compensation program and initiatives to meet requirements of pay equity within the Employer's market area.
- **Administration of Employment and Separation Procedures**
The Auditor reviews the Employer's business processes and procedures related to the employment cycle, including pre-employment activities, probationary and status employment, and employment separation programs. There is also an assessment of the Employer's utilization and monitoring of non-status appointments.
- **Administration and Employment Protocols of Principal Administrative Appointments (PAA)**
The Auditor completes a review of the employment protocols and assigned responsibilities for Principal Administrative Appointments. This review is conducted to assure compliance with the exemption authorization provided to each employer. The Employer's exemption forms and related position descriptions are reviewed and selected incumbent interviews are conducted for further validation of approved exemption. The audit process also includes a review of the Employer's administrative procedures related to these appointments and their approved exemption status.
- **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. The impact of new technology on the recordkeeping and processing of information is also an element for review.
- **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 subjects.

The following staff members from the System Office, Audit and Advisory Services Division, were directly responsible for conducting various aspects of the audit:

Jeff Brownfield, Assistant Director
Roger Frick, Human Resource Officer
Paula Mitchell, Human Resource Assistant

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YEAR ENDED – 2008

RELEASE DATE – September 4, 2008

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 Procedure Manuals, applicable University/agency policies/procedures, and auditing standards.

SUMMARY OF MATERIAL FINDINGS

<u>Number of</u>	<u>This Report</u>
Findings	4
Repeated findings®	3®

SCHEDULE OF MATERIAL FINDINGS

<u>Item Number</u>	<u>Page</u>	<u>Description</u>
FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT)		
FY 08-01	4	Exemption Authorization Applied to Positions that match Civil Service Classification Specifications®
FY 08-02	17	Exemption Authorization applied to Academic Hourly Positions that match Civil Service Classification Specifications
FINDINGS (SUCSS PROCEDURES)		
FY 08-03	27	Unauthorized Transition of Civil Service Employees/Positions to Principal Administrative Appointments within the Same Organizational Unit®
FINDINGS (ILLINOIS ADMINISTRATIVE RULES)		
FY 08-04	30	Non-compliance with Extra Help Employment and Position Limitations®

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**Material Findings, Recommendations, Institutional Corrective Action Plans
and Additional Auditor Comments**

UIC 08-01 Exemption Authorization Applied to Positions that match Civil Service Classification Specifications

- 1) [State Universities Civil Service Act, Section 36\(e\)](#)
- 2) [Illinois Administrative Rules, Section 250.30\(a\)](#)
- 3) [Principal Administrative Appointments Procedures Manual, Section 1.3 Exemptions](#)
- 4) [Principal Administrative Appointments Procedures Manual, Section 1.8 Changing a Principal Administrative Appointment \(PAA to a Civil Service Position\)](#)

These guidelines provide that all positions are civil service, except as categorically outlined. Exemptions are allowed in accordance with procedures, requiring either documented exemption approval from the System Office or verification of exemption authorization through the position description when standard titles are used. Accordingly, a periodic review and update of position descriptions is required to confirm that these exemption authorizations remain valid.

The [Principal Administrative Appointment Procedures Manual, Section 1.8](#), states that “Periodic job description review and update procedures may indicate that a position originally identified as a Principal Administrative Appointment (PAA) 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.”

A review of sixty-seven job descriptions of various exempted positions, plus thirty-three interviews of various exempted employees, discovered that sixty-seven of these one hundred exempt positions were performing duties matching the specifications for various civil service classifications. Not only did sixty-seven out of one hundred exempt positions match specifications of various Civil Service Classifications, but as the information contained in Appendix A confirms, many of the exempted titles used by the University are quite similar to the recommended Civil Service Classification titles.

According to the University of Illinois at Chicago, ‘standard’ titles approved for use by the System Office were applied to the majority of the exempted positions.

A failure to establish appropriate classification plan management protocols that properly update, analyze and evaluate position descriptions leads to unauthorized exemption authorizations, utilization of inappropriate employment protocols, and non-compliance with Statute, Rules and procedures. Consequently, positions are improperly identified and appropriate civil service protocols circumvented, significantly increasing the possibility of employment issues.

This was a repeat finding from the previous audit conducted April 4-8, 2005 and April 18-22, 2005 where eight exempt positions that matched the specifications of various civil service classifications were identified, [*Finding Code FY-05 pages 25 through 30*].

It should be noted that the level of non-compliance regarding this topic is significant and a cause for concern. In accordance with the statutory intent and basic premise contained in the [State Universities Civil Service Act, Section 36\(e\)](#) and other related procedures, the assignment of positions to Civil Service Classifications when the position description matches appropriate classification specifications must take precedence over the use of exemptions through the [Standard Titles](#). It is apparent that business processes and accountability standards consistent with statutory and procedure reference on this matter are either not in place or significantly disregarded.

We recommend that the University employees directly responsible for performing the position description review and authorization of the civil service exemptions renew their skills in classification plan management specifically related to the analysis of position descriptions and the proper match to specifications of the delivered classification structure. This should also include an understanding of other classification plan management concepts, including the establishment of a periodic position development and review process for all Principal Administrative Appointments/Exemptions, in accordance with the [Principal Administrative Appointments Procedures Manual, Section 1.3 Exemptions](#).

We also recommend that the University establish a timeline to complete an in-depth analysis of the position descriptions of the sixty-seven positions identified in Appendix A to further determine if they meet the specifications of the recommended Civil Service Classifications. If it is determined that these positions match the specifications of the recommended Civil Service Classifications, they should be transitioned to a civil service appointment as soon as possible, but no later than at such time that these positions become vacant again. We refer the University to the SUCSS [Principal Administrative Appointments Procedures Manual, Section 1.8. Changing a Principal Administrative Appointment to a Civil Service Position \(PAA to a Civil Service Position\)](#), for guidance should the University decide to move any of these positions immediately.

Acknowledging that the University has incorporated all six classifications of the Pilot Program in their local classification structure, we support and recommend the application of these classifications, when appropriate, to the sixty-seven positions to be reviewed. These [Pilot Program](#) classifications utilize more flexible employment protocols and would offer a more transparent transition.

Since the level of potential non-compliance is so significant, the System Auditors will be scheduling a follow-up on this topic within the next twelve months. This will include simply a review of all exemptions, specifically the position descriptions, authorized from this time forward in an attempt to verify that proper business processes and accountability standards, consistent with statutory and procedural guidelines, have been reinforced and are being followed in this respect.

Institutional Corrective Action Plan—provided by Annie Lemond, Director, Compensation and Classification

University’s Review of Findings:

The use of Principal Administrative Appointments (PAA) is critical to the success of operations at UIC. The jobs in this category are high-level administrative and operate under broad supervision. At times it may appear that the jobs are similar to those described by Civil Service Class Specifications; however on closer scrutiny it becomes apparent that in the majority of these cases the incumbents in these roles have broader scopes of responsibility, and the role requires higher levels of experience and educational requirements as well.

While we acknowledge that the exemption process has not been perfect, we disagree that all of the jobs in Appendix A are misclassified. Based on a further review of them, we found that most of those listed in Appendix A are properly classified (*about 75% counting all categories except those labeled “misapplied” and “still under review”*) with the caveat that this determination is based on the facts particular to a job (e.g. some were approved by Civil Service, some have broader duties than the Civil Service Class duties, etc.) Only a small fraction (*about 16%*) was found to be improperly classified.

The following table is an attempt to summarize and categorize the findings into meaningful segments for further analysis should it become necessary.

Category	Count	% of Total
Approved by CS	7	10%
Broader duties in exempted role	14	21%
Job Description	8	12%
Misapplied Exemption	11	16%
OBFS - UA	5	7%
Pilot Program	14	21%
Recommendation does not match	3	4%
Still under review	5	7%
Grand Total	67	100%

- **Approved by Civil Service** – refers to PAPEs that had been previously approved by the Civil Service System Office. Once PAPEs became dated, the Campus HR Office requested updated versions that were supplied by Departments to ensure that job duties remained accurate and to update pay rates if necessary. In cases where the duties changed immaterially, the PAPE was again approved.
- **Broader duties in the exempted role** – while some of the job duties in the PAPE may overlap some of those in the Civil Service Class Specification, the duties of the Academic Professional jobs were a cut above, had more depth or higher level of responsibility. Additionally, in many cases the impact of the total Academic Professional role on the organization amounted to more than just the sum of the duties. There is often times a

level of judgment and risk associated with the roles (e.g. Editorial Associate – described below) where the risk to the organization can be tremendous if the “work” is not done properly.

- **Job Description** – in these instances, we could not locate a valid PAPE. However, the department was able to produce a job description that is purportedly based off of the PAPE. However, without the actual approved PAPE it would be a mistake to assume that the initial approval was not appropriate.
- **Misapplied Exemption** - in these instances, the job was improperly classified as Academic Professional. The HR Compensation Office will establish procedures to monitor these roles to ensure that they are classified properly once vacated by the current incumbent.
- **OBFS – UA** – these PAPEs are approved and administered through a different University office, not UIC HR.
- **Pilot Program** – UIC has instituted the use of the Pilot Program where possible incorporating all six of the classifications into its operation. The results, however, have been mixed at best. Because there have been no overwhelming benefits to using the Pilot titles and the fact that use of the Pilot Program is voluntary, the titles have not been further incorporated. There are several outstanding questions related to the use of the Pilot Program that have yet to be answered by the Civil Service System Office. For example, if the Pilot Program goes away (and jobs have been collapsed into broad categories) we are left managing yet another separate process for employees in that class; the position elimination process becomes more difficult to manage given all of the selective jobs that have been created, etc.
- **Recommendation does not match** - in these instances; the recommendation for a Civil Service Class specification made by the Auditor was poorly matched. The job duties in these specifications did not match the duties outlined in the PAPE.
- **Still under review** – still researching

Academic Professional Positions Identified in Appendix A:

This table identifies – for all of the jobs identified in Appendix A – the category in which it fits should further analysis of the exemption be required.

Category	Position Reviewed	Total
Approved by CS	Admissions Counselor	1
	Assistant Athletic Director	1
	Assistant Director	1
	Assistant Director, Housing	2
	Fiscal Administrator	1
	Project Coordinator	1
Approved by CS Total		7
Broader duties in exempted role	Assistant Director, AHR/Records	1
	Assistant Director, CRWG & WISE	1
	Assistant Director, Dining Services	1
	Assistant Director, Finance and Operations	1
	Assistant to the Dean	1
	Assistant to the Director, Great Cities Institute	1
	Associate Director	1
	Associate Director for Business and Finance	1
	Associate Director of Marketing Communications	1
	Associate Director, Human Resources	1
	Development	1
	Clinic & Patient Care Coordinator, Orthodontics	1
	Coordinator of Clinical and Research Programs in Psychiatry	1
	Coordinator of Online Communications	1
Research Information Coordinator	1	
Broader duties in exempted role Total		14
Job Description	Admissions Counselor	1
	Archival Operations & Reference Specialist	1
	Assistant Director, Grants and Contract Office	1
	Assistant Director/Project Manager	1
	Assistant to the Head	1
	Coordinator of Case Management for the Elderly	1
	Coordinator, International Admissions	1
	Director, Food & Cafeteria Services	1
Job Description Total		8
Misapplied Exemption	Advisement Specialist, LGSB	1
	Area Coordinator, Housing	1
	Assistant Director, Budget	1
	Assistant to the Associate Dean	1
	Associate Director of the News Bureau	1
	Clinic Inventory Coordinator	1
	Coordinator (Ticket Operations)	1
	Coordinator of Admissions	1
	Coordinator, Campus Programs	1

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	EOHS Academic Coordinator	1
	Project Coordinator, Department of Psychiatry	1
Misapplied Exemption Total		11
OBFS - UA	Accounts Receivable Specialist	1
	Assistant Director of Budget and Financial Analysis	1
	Assistant Director of Payroll Services	1
	Business and Financial Specialist	1
	Senior Contract Coordinator	1
OBFS - UA Total		5
Pilot Program	Application Developer (Specialist)	1
	Application Specialist	1
	Assistant Network Analyst (Specialist)	1
	Associate Director for Billing & Collections, Dentistry	1
	Associate Director of Human Resources, Dentistry	1
	Business Analyst	1
	Business Operations Coordinator	1
	Computer Support Specialist	1
	Coordinator for Web Communications	1
	Coordinator of Information Technology and System Programming	1
	Coordinator, Administrative	1
	Customer Service Technical Analyst (Specialist)	1
	Data Analyst Specialist	1
	Network Analyst	1
Pilot Program Total		14
Recommendation does not match	Assessment Program Coordinator	1
	Associate Director, AHR/Records	1
	Data Base Management and Analysis Specialist	1
Recommendation does not match Total		3
Still under review	Assistant Director Administration	1
	Assistant Director, COM Human Resources	1
	Billing Compliance Specialist	1
	College Human Resource Specialist	1
	Director, Visual Resources Library	1
Still under review Total		5
Grand Total		67

Comments relative to the jobs that have broader scopes in the Academic Professional roles versus the recommended Civil Service Classification titles

Current Academic Professional (AP) Title	Title Recommended by Auditor	Comments
Assistant Director, AHR/Records	Human Resource Manager	While some of the duties in this role may overlap with those in the HR Manager Civil Service Class Specification, a key differentiator between the two roles is the “systems thinking” that is required. Most of the focus of the Academic Professional role is on problem solving and troubleshooting systemic problems and mitigating risk to the organization (e.g. through the proper management and oversight of claims against the organization). As such, the impact of and the risk associated with the AP role is much more significant.
Assistant Director, CRWG & WISE	Business Manager I or II	While the AP role is responsible for the fiscal matters of the unit, it also charged with the operational effectiveness of and long range planning for the unit. A significantly key differentiator between the AP role and the civil service role is the fact that the Assistant Director acts on behalf of the Director in his/her absence and when necessary.
Assistant Director, Dining Services	Food Service Manager	The AP role does not simply focus on the preparation and presentation of food (as would the Food Service Manager) but also on the operations and logistics required for managing the campus wide dining program. Additionally, the AP role is externally focused in that it is responsible for contracting managing vendor relationships, develops pricing structures as well as managing food and labor costs. The Food service manager, if there was a position, would report to the Assistant Director.
Assistant Director, Finance and Operations	Grants and Contract Administrator or Business Manager I or II	As compared to the Business Manager recommendation, the AP role provides the direction for planning not simply contributing to the process, so the AP role is broader. In fact, the AP role has budget approval authority and this is not the case with the Business Manager. While some of the duties may overlap with the Grants and Contracts role, the key differentiator is that the AP role has approval authority over budgets

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		for the program.
Assistant to the Dean	Administrative Assistant I or HR Series	The AP role is focused on managing the entirety of the recruitment process for the college. Unlike the Administrative assistant series that is recommended, the AP role is responsible for promotions and faculty tenure coordination, faculty recognition programs, annual reporting for faculty, preparation of marketing and communications material to be sent to constituents to improve the reputation of the college. The HR Series recommendation is a complete mismatch for the Assistant to Dean role.
Assistant to the Director, Great Cities Institute	Administrative Assistant I or II	While some of the general administration duties are similar between both roles, there are a couple of key differentiators between AP and the Civil Service Classification. The AP role is expected to consult with high ranking members and officials of other universities and organizations (locally, nationally and internationally) to trouble shoot and resolve issues. Additionally, the AP role is responsible for managing confidential and sensitive communications on behalf of the Director.
Associate Director	Administrative Assistant I or II	While some of the general administration duties are similar between both roles, a key differentiator is the fact that the AP job is also responsible for the development of certain programs, not just the management of those already in existence. The AP job requires someone with a higher skill level as evidenced by the degree requirement (which is minimally a bachelors but preferably a masters) and it provides a level of promotional opportunity that would not otherwise be available in the civil service promotional line.
Associate Director, Human Resources Development	Training and Development Specialist or Training Assistant	The AP role is not just internally focused and has significant external focus in contracting with and managing vendor relationships for organizations that provide service to UIC. These duties do not exist in the recommended Civil Service Class. Additionally, the AP role goes beyond simply supervising the staff (which is the primary duty of the civil service classification), but is responsible for marketing of the programs developed and evaluation of those programs.

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Associate Director for Business and Finance	Accounting Associate or Business Manager	The Accounting Associate position recommended by the Auditor is part of the pilot program. The Academic Professional position is responsible for the overall business and finance operation; relatively it is at least two management levels higher than the Business Manager role suggested by the Auditor.
Associate Director of Marketing Communications	Graphics Designer or Business/Administrative Associate	The Business/Administrative Associate position recommended by the Auditor is part of the pilot program. The Academic Professional position is a management position and is focused on more than performing the work but has a fair amount of oversight of the process.
Clinic & Patient Care Coordinator, Orthodontics	Patient Services Specialist or Administrative Assistant	While there is a clerical component to the AP job it is not limited in this regard. The Civil Service job is limited to the clerical functions of the clinic (e.g. patient admitting and billing) while the AP job has supervisory and staff training responsibility, manages the day to day operations of the clinic and provides feedback in the evaluation process for Residents assigned to the clinic. The AP job reports directly to the department head.
Coordinator of Online Communications	Public Information Specialist	The AP job is a hybrid job consisting of duties related to website development and management as well as public relations. The primary focus seems to be on the web development, but to the extent that a "media strategy" needs to be communicated or the results thereof, this role would be involved. The recommended civil service job is not a good match for this role since it only focuses on traditional public relations issues and duties and not the development and management of the website.
Coordinator of Clinical and Research Programs in Psychiatry	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and

		arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects
Research Information Coordinator	Institutional Research Data Coordinator or Grants and Contracts Series	The first recommendation by the auditor for the IRDC role is a complete mis-match since the duties described in the PAPE are summarily different than those in the recommended classification. The Grants and Contracts Coordinator role has duties that are similar to the AP role, however, the AP role has a key differentiating duty and that is this incumbents will have signature authority on behalf of the Vice Chancellor for Research. As such the level of experience and education required would be expected to be significantly higher in the AP role, as described in the PAPE.

University’s Review of Recommendations:

The University employees directly responsible for performing the position description review and authorization of the civil service exemptions have recently changed. New staff has been hired to review position classification and revamp the process to ensure successful compliance with the established requirements.

The University has begun an in-depth analysis of the position descriptions of the sixty-seven positions identified in Appendix A to further determine if they meet the specifications of the recommended Civil Service Classifications. If it is determined that these positions match the specifications of the recommended Civil Service Classifications, they will be transitioned to a civil service appointment at such time that these positions become vacant again.

Additionally, Campus Human Resources is taking a number of proactive measures to ensure that HR services are effective, efficient, proactive, and legally compliant. For example, members of the Campus HR Office have collaborated with other State of Illinois public universities to review the exemption process. This collaboration has resulted in the development and planned implementation of a consistent policy to govern the exemption process across the universities. Additionally, members of the Campus HR Staff will be working more closely with senior leaders and colleges within the organization to ensure that the necessary programs, policies and procedures are in place to support efficient operations.

With new leadership in the Campus Human Resources Office, other initiatives are underway to ensure that innovative human capital management methods are employed and that the barriers to organizational success are removed. In fact, a comprehensive review of policies and processes, many of which may have been lacking in the past, is underway across all areas of HR. Part of this process includes the development of a formal compensation program for Academic Professional roles. The cornerstone of this program is job analysis, which is the systematic study of positions to identify their observable duties and responsibilities, as well as the knowledge,

skills and abilities required to perform a particular task or group of tasks. This analysis will result in more accurately defined jobs and the creation of job descriptions that serve as job documentation as well as provide a foundation for the creation of a myriad of new and exciting HR programs (e.g. performance planning and appraisal, development of succession plans, etc). While UIC plans to develop the compensation program over the next fiscal year, the implementation will be phased in parts to reduce any disruption to the organization and to ensure a better chance of success.

Additional Auditor Comments

Classification plan management protocols include base line standards for exemption authorization and evolve simply around one central concept, an evaluation of the position description. The Employer's response is quite comprehensive, however for the most part it does not directly relate to this core evaluation element. Following are some additional comments with respect to the categorical justifications contained in the Employer's response to this Finding.

Approved by Civil Service – The Employer indicated that these positions had been approved by the System Office. When delegating the authority to each Employer to designate positions as PAA, which included the introduction of the Standard Titles, the PAPE Form was virtually eliminated as a vehicle for approval. A triennial position description review was to be instituted for all PAA positions including a review of the position upon vacancy. If at any point the position duties were found to meet the criteria of a civil service classification, the position was to be converted to such designation. Therefore, indicating that an approved PAPE Form (which may be decades old) allows for each of the listed positions to now be designated as PAA, is a very inaccurate interpretation and not a business practice that is condoned or recognized. Essentially, this justification does not provide a foundation for exemption.

Broader Duties in the Exempted Role – This assessment provides no direct link to the actual duties being performed. Abstract components such as responsibility level and risk are also components of the recommended civil service classification specifications. Again, there is no foundation for exemption upon review of the actual position duties and responsibility level. These positions clearly match civil service classification specifications.

Job Description – In these instances, the Employer has indicated that they have no documented foundation for exemption approval. These positions are therefore considered not formally approved for exemption, as indicated by the Employer's response.

Misapplied Exemption – In these instances, the Employer indicated that these positions were improperly classified as Academic Professional. The Employer indicated that the HR Compensation Office will establish procedures to monitor these roles to ensure that they are classified properly once vacated by the current incumbent. Again, it should be noted that these positions were not properly exempted.

OBFS – UA – The Employer has indicated that they do not directly manage these positions, so they have no obligation to insure compliance standards and exemption protocols are met. While

these positions are approved and administered through a different University office, not UIC HR, it is still the responsibility of the Employer to insure that proper exemption protocols are followed. These positions just simply cannot be ignored. Again, through their own admission, the Employer has indicated that these positions may not have been properly exempted.

Pilot Program – The Employer’s response in these instances is just simply not logical. Just because a position was recommended for a Pilot Program classification designation does not provide justification that these positions should be retained in exemption status. In every instance, each recommendation for a Pilot Program classification, as provided by the Auditor, also included an alternative standard/traditional civil service title recommendation.

Recommendation Does Not Match – In these instances, the Employer indicated that the recommendation for a Civil Service Class specification made by the Auditor was poorly matched. Again, there are many alternative classifications in the Civil Service System. Without further review of the position description, this justification has no merit.

Still Under Review – The Employer is still researching these positions. Accordingly, the Employer has not yet been able to provide any justification for exemption.

Overall, the justifications provided by the Employer qualifying the many listed positions as exempt are not compelling. This indicates an ongoing misunderstanding of the appropriate application of the exemption standards that were outlined in the Audit Finding.

In general, the majority of the justifications used by the Employer in the response to the Audit Finding, to retain or originally designate a position as PAA, are simply not within recognized standards and formal guidelines. The audit focused on the position descriptions, and an evaluation of the actual duties and responsibilities assigned to each position. Accordingly, there were many Civil Service classifications which contained duties and responsibilities directly associated with the positions outlined in the Audit Finding. In the majority of discussion points presented by the Employer, there appears to be a direct disregard for virtually all professional and semi-professional Civil Service classifications, including those contained in the Pilot Program, in favor of the designation of positions as exempt.

Please be aware that 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.

Even if all of the Employer’s responses were to be found as valid justifications, there are still a significant number of positions in the sample that would be labeled as an inappropriate exemption. In subsequent audits, a request will be made to provide documentation on the status of the positions which were specifically designated to the Employer for review and inclusion into civil service designation.

Since the level of potential non-compliance is significant, the System Auditors will be scheduling a follow-up audit on this topic within the next twelve months. This will include a review of all exemptions, and their corresponding position descriptions, as authorized and employed beginning June 5, 2008. This secondary visit will provide an opportunity to verify that proper business processes and accountability standards, consistent with statutory and procedural guidelines, have been reinforced and are being followed.

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UIC 08-02 Exemption Authorization applied to Academic Hourly Positions that match Civil Service Classification Specifications

- 1) [State Universities Civil Service Act, Section 36\(e\)](#)
- 2) [Illinois Administrative Rules, Section 250.30\(a\) Coverage](#)
- 3) [Illinois Administrative Rules, Section 250.70\(g\) Extra Help Appointments](#)
- 4) [Illinois Administrative Rules, Section 250.80 Status Appointments](#)
- 5) [Employment Procedures Manual, Section 2.10 Non-status Appointment](#)
- 6) [Principal Administrative Appointments Procedures Manual](#)
- 7) [Classification Procedures Manual, Section 2.2 Job Descriptions](#)

These guidelines provide that all positions are civil service, except as categorically outlined. Exemptions are allowed in accordance with procedures, requiring documented exemption approval from the System Office or, when standard titles are used, verification of exemption authorization through the position description. Accordingly, a periodic review of position descriptions is required to confirm that these exemption authorizations remain current and valid.

Employees hired by the University to any position whose duties match the specifications of any Civil Service Classification may be temporarily employed in various non-status civil service appointments, including Extra Help. Guidelines for Extra Help positions and Extra Help appointments are contained in the Illinois Administrative Rules. Understanding the need for continued temporary assistance, Extra Help extensions are allowed in specific instances in accordance with procedural guidelines.

“Academic hourly” is an employment designation created by the University and defined within [UIC policies and procedures](#) as “...specified temporary academic appointments...” According to University protocols, these positions are considered exempt from civil service guidelines. Upon review of the position descriptions of fifty-four “academic hourly” appointments, it was determined that twenty-two of the fifty-four, or 40%, of the academic hourly exempt appointments selected for testing, should be appropriately classified as civil service positions since their duties and responsibilities match the specifications of various Civil Service Classifications. Additionally, since these appointments are “temporary”, they should most likely be categorized as “Extra Help”. Designation and employment of these academic hourly appointments are usually the responsibility of the employing department, and therefore the applications and the corresponding job descriptions are maintained within the employing department.

According to the university, the campus Human Resource Office does not play a significant role in the application and employment process for many of these academic hourly appointments, and

therefore has a limited monitoring capacity to ensure regulatory compliance, including proper exemption designation and authorization.

Irrespective of a position's status, temporary/permanent, or its designation, "academic hourly" in this instance, positions may only be exempted from civil service guidelines in accordance with the [Principal Administrative Appointments Procedure Manual, Section 1.3 Exemptions](#). Failure to follow these guidelines and properly categorize exempt positions results in a circumvention of standard civil service employment protocols and considered a significant compliance violation.

Additionally, temporary positions that match the specifications of Civil Service Classifications should be properly categorized and employed in accordance with standardized civil service guidelines, such as Extra Help.

There were no findings regarding this item noted in previous audits, however there were some informal comments provided in the general overview of the previous audit [*Finding Code FY05, Page 9*].

It should be noted that exemption authorization is a direct statutory responsibility delegated to the Merit Board, who has specifically empowered Employers through various procedures to make these determinations in some instances. The Designated Employer Representative of each university and affiliated agency has the responsibility to develop and maintain protocols consistent with the statutory and procedural guidelines related to this important delegated authority. Consistent with this intent, such primary exemption authority was never intended to be relegated to other campus officials without some basic accountability standards and protocols managed closely through the Designated Employer Representative or the major campus Human Resource Office.

In order to properly regulate and manage these appointments, we recommend that the Human Resource Office establish protocols to routinely review and maintain all "academic hourly" position descriptions, and update as required every three years, in accordance with the [Classification Procedures Manual, Section 2.2 Job Descriptions](#) and the [Principal Administrative Appointments Procedures Manual, Section 1.5 Reviews of Exempted Positions](#). Based on a regular position review, the Employer should be able to properly identify those "academic hourly" positions that truly should be a civil service appointment of some type and those positions that meet exemption authorization standards, either as a Principal Administrative Appointment or as a Teaching, Research, or Extension Faculty Appointment. We also recommend that the University further review the position descriptions of the twenty-two positions referenced above, and listed in Appendix B, in order to most appropriately determine the proper employment category. If it is determined that these positions match the specifications of the recommended Civil Service Classifications, they should be transitioned to a civil service appointment as soon as possible, but no later than at such time that these positions become vacant again. We refer the University to the SUCSS [Principal Administrative Appointments Procedures Manual, Section 1.8, Changing a Principal Administrative Appointment to a Civil Service Position \(PAA to a Civil Service Position\)](#), for guidance should the University decide to convert any of these positions immediately.

Institutional Corrective Action Plan—provided by Anniese Lemond, Director, Compensation and Classification

University’s Review of Findings:

The use of Principal Administrative Appointments (PAA) is critical to the success of operations at UIC. Academic hourly employees have jobs with duties that are high-level administrative and operate under broad supervision. The essential duties performed in these roles meet the minimum requirements established for Principal Administrative exemption but are performed on a part time, hourly, short term/intermittent basis.

While we acknowledge that the exemption process has not been perfect, we disagree that all of the jobs in Appendix B are misclassified. Based on a further review of them, we found that most of those listed in Appendix B are properly classified (*about 82% counting all categories except those labeled “inappropriate exemption”*) with the caveat that this determination is based on the facts particular to a job (e.g. some were approved by Civil Service, some have broader duties than the Civil Service Class duties, etc.) Only a small fraction (*about 18%*) was found to be improperly classified.

The following table is an attempt to summarize and categorize the findings into meaningful segments for further analysis should it become necessary.

Category	Count	% of Total
Approved by Civil service	2	9%
Broader duties in AP role	11	50%
Inappropriate exemption	4	18%
Mismatch of recommendation	2	9%
Pilot Program	3	14%
Grand Total	22	100%

- **Approved by Civil Service** – refers to PAPEs that had been previously approved by the Civil Service System Office. Once PAPEs became dated, the Campus HR Office requested updated versions that were supplied by Departments to ensure that job duties remained accurate and to update pay rates if necessary. In cases where the duties changed immaterially, the PAPE was again approved.
- **Broader duties in the exempted role** – while some of the job duties in the PAPE may overlap some of those in the Civil Service Class Specification, the duties of the Academic Professional jobs were a cut above, had more depth or higher level of responsibility. Additionally, in many cases the impact of the total Academic Professional role on the organization amounted to more than just the sum of the duties. There is often times a level of judgment and risk associated with the roles (e.g. Editorial Associate – described below) where the risk to the organization can be tremendous if the “work” is not done properly.

- **Inappropriate Exemption** - in these instances, the job was improperly classified as Academic Professional. The HR Compensation Office will establish procedures to monitor these roles to ensure that they are classified properly once vacated by the current incumbent.
- **Pilot Program** – UIC has instituted the use of the Pilot Program where possible incorporating all six of the classifications into its operation. The results, however, have been mixed at best. Because there have been no overwhelming benefits to using the Pilot titles and the fact that use of the Pilot Program is voluntary, the titles have not been further incorporated. There are several outstanding questions related to the use of the Pilot Program that have yet to be answered by the Civil Service System Office. For example, if the Pilot Program goes away (and jobs have been collapsed into broad categories) we are left managing yet another separate process for employees in that class; the position elimination process becomes more difficult to manage given all of the selective jobs that have been created, etc.
- **Recommendation does not match** - in these instances, the recommendation for a class specification made by the Auditor was poorly matched. The job duties in these specifications did not match the duties outlined in the PAPE.

Academic Hourly positions listed in Appendix B:

This table identifies – for all of the jobs identified in Appendix B – the category in which it fits should further analysis of the exemption be required.

Count of Category		
Category	Position Reviewed	Total
Approved by Civil service	COORD Ticket Operations	1
	DIR ASST STSVC FINAD	1
Approved by Civil service Total		2
Broader duties in AP role	Coor Campus Recreation	1
	COORD CLIN & RES PRGMS PSYCH	3
	COORD CLIN&RES PRGM PSYCHIAT	1
	COORD CLIN&RES PRGM	
	PSYCHIATRY	1
	COORD OF CLIN & RES PROG	1
	RES SPEC	1
	VST EDITORIAL ASSOC	1
	VST PRGM ASSOC	2
Broader duties in AP role Total		11
Inappropriate exemption	ASST TO THE HEAD	1
	COORD RSSPT VISTN	1
	Program Coordinator for IES	1
	PROJ COORD	1
Inappropriate exemption Total		4
Mismatch of recommendation	COORD ATHRC CMREC	2

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Mismatch of recommendation Total		2
Pilot Program	RSRC POLICY ANLYS	1
	RSRSC & POLICY ANLYS	1
	SPEC IT WEBSP	1
Pilot Program Total		3
Grand Total		22

Comments relative to the jobs that have broader scopes in the Academic Professional roles versus the recommended Civil Service Classification titles

COORD CLIN&RES PRGM PSYCHIAT	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects
COORD OF CLIN & RES PROG	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects
Coor Campus Recreation	Program Administrative Asst.	The duties in the AP role are broader in scope. That is, the AP role is concerned with more than just the handling the administrative details of the program as suggested by the Civil Service title. The AP role is charged with the oversight and administration of the program and is also charged with supervision of the staff which includes, hiring, firing and training not just general supervision (as denoted in the Civil Service specification).

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		The AP role coordinates the program's special events; the incumbent is considered to be a key member of the unit's management team and requires a higher level of degree and experience. Note, based on the review of another Campus Recreation Coordinator PAPE, we observed that the auditor recommended the job be matched to a different Civil Service Class specification (in the same audit report).
VST PRGM ASSOC	Program Coordinator Series	While a few of the job duties may overlap, the majority of them do not. Fundamentally, the AP job is more focused on the evaluation of the effectiveness of a CPS School to ensure it's meeting the requirements of a grant. However, the Civil Service job is more concerned with daily administration of a program, not just the effectiveness of it. The civil service specification also describes and experiential based program, which the CPS Schools initiative is not.
COORD CLIN & RES PRGMS PSYCH	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects
COORD CLIN & RES PRGMS PSYCH	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects

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COORD CLIN & RES PRGMS PSYCH	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects
COORD CLIN&RES PRGM PSYCHIATRY	Administrative Aide	While a few of the job duties may overlap, there are significant differences between the job recommended by the auditor and AP job. The AP job has several facets, an administrative component where the day to day activities of the operation managed, a patient care/referral component in that the AP role is responsible for preparing treatment plans, referring clients and arranging for follow-up evaluation; and finally this job also writes and edits research solicitation letters to external agencies to secure funding for research projects
RES SPEC	Applications Programmer III	While some of the duties may be similar, the key differentiator between the Civil Service recommendation and the AP role is that the AP role is primarily focused on development of new software not working on solving problems with software applications that currently exist. The AP role also has a significant database management role.
VST EDITORIAL ASSOC	Publications Editor	While some of the duties are similar, those in the AP job are not as rote as what is described in the Civil Service specification. That is, the AP job is more than just the sum of its parts because of the significant risk to the reputation

		<p>of the organization or the curriculum if the appropriate levels of judgment are not made. This part of the organization serves as the “voice” of our University to the outside world. The role is also responsible overall for the work that is produced for example, if the material needs to be rewritten, this incumbent makes the decision (and may actually do the rewriting)</p>
VST PRGM ASSOC	Program Coordinator Series	<p>While a few of the job duties may overlap, the majority of them do not. Fundamentally, the AP job is more focused on the evaluation of the effectiveness of a CPS School to ensure it's meeting the requirements of a grant. However, the Civil Service job is more concerned with daily administration of a program, not just the effectiveness of it. The civil service specification also describes and experiential based program, which the CPS Schools initiative is not.</p>

University’s Review of Recommendations:

The Human Resource Office will research the possibility of establishing protocols to routinely review and maintain all “academic hourly” position descriptions, and update as required every three years, in accordance with the [Classification Procedures Manual, Section 2.2 Job Descriptions](#) and the [Principal Administrative Appointments Procedures Manual, Section 1.5 Reviews of Exempted Positions](#).

The University has begun an in-depth analysis of the position descriptions of the twenty-two positions identified in Appendix B to further determine if they meet the specifications of the recommended Civil Service Classifications. If it is determined that these positions match the specifications of the recommended Civil Service Classifications, they will be transitioned to a civil service appointment at such time that these positions become vacant again.

Additionally, as part of our Campus HR’s efforts to ensure that innovative human capital management methods are employed and that the barriers to organizational success are removed, we will be increasing communications with and providing more training to colleges and departmental HR representatives and managers to reiterate the requirements relative to Principal Administrative Appointment guidelines. Additionally, we are in process of developing a more formal compensation program for Academic Professional roles. The cornerstone of this program is job analysis, which is the systematic study of positions to identify their observable duties and responsibilities, as well as the knowledge, skills and abilities required to perform a particular task or group of tasks. This analysis will result in accurately defined jobs and roles as well as the creation of job descriptions which will outline the essential duties and requirements of the job.

Additional Auditor Comments

The Employer claims that many of the positions require a high level of expertise or professional knowledge that is outside of the scope of civil service designation. However, by definition these positions/incumbents are hired on an hourly basis, with no benefit package, no expectation of continued appointment and no continuity of services provided. The fact that these positions do not meet the FLSA-exemption standards, and are paid hourly, most likely indicates that they also do not meet the civil service exemption standards and should be considered as civil service classified.

Further, the Auditor continues to have concern that this employment designation has been created and in some instances used to circumvent civil service employment protocols and or extra help employment process and procedures. The specific Academic Hourly employment designation is not identified within the Statute and Rules, and can only be defined through some elements of 36(e)(3) or 36(e)(4) exemption criteria. As such, standardized exemption protocols must be applied.

As in the previous Finding 08-01 in this current audit, the Employer has attempted to categorize and provide some justification for the exemption of the listed positions. *Please review Auditor's Comments in Finding 08-01 above.*

Overall, the justifications provided by the Employer qualifying the many listed positions as exempt are not compelling. This indicates an ongoing misunderstanding of the appropriate application of the exemption standards that were outlined in the Audit Finding.

In general, the majority of the justifications used by the Employer in the response to the Audit Finding, to retain or originally designate a position as PAA/Academic Hourly, are simply not within recognized standards and formal guidelines. The audit focused on the position descriptions, and an evaluation of the actual duties and responsibilities assigned to each position. Accordingly, there were many Civil Service classifications which contained duties and responsibilities directly associated with the positions outlined in the Audit Finding. In the majority of discussion points presented by the Employer, there appears to be a direct disregard for virtually all professional and semi-professional Civil Service classifications, including those contained in the Pilot Program, in favor of the designation of positions as exempt.

Please be aware that 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 and the use of Extra-Help or Temporary Appointment employment protocols must be implemented.

Even if all of the Employer's responses were to be found as valid justifications, there are still a significant number of positions in the sample that would be labeled as an inappropriate exemption. In subsequent audits, a request will be made to provide documentation on the status

of the positions which were specifically designated to the Employer for review and inclusion into civil service designation.

Since the level of potential non-compliance is significant, the System Auditors will be scheduling a follow-up audit on this topic within the next twelve months. This will include a review of all exemptions, and their corresponding position descriptions, as authorized and employed beginning June 5, 2008. This secondary visit will provide an opportunity to verify that proper business processes and accountability standards, consistent with statutory and procedural guidelines, have been reinforced and are being followed.

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UIC 08-03 Unauthorized Transition of Civil Service Employees/Positions to Principal Administrative Appointments within the Same Organizational Unit

- 1) [Principal Administrative Appointments Procedures Manual, Section 1.2 Position Standards](#)

Exemption from civil service standards are allowed in accordance with the [Principal Administrative Appointments Procedures Manual, Section 1.2 Position Standards](#). These guidelines provide that System Office approval is required prior to the transition of any civil service position (vacant or encumbered) to a principal administrative appointment within the same organizational unit or when a current civil service employee is to be employed in a PAA exempt position in the same organizational unit.

Fifty-five (which include positions at both the Campus and College of Medicine) of the conversions of employees/positions from civil service to PAA exempt were within the same organizational unit. System Office approval for these conversions was not secured as required. As is noted in two other material findings, the university's exemption authorization process is inconsistent with statutory and procedural guidelines. This is simply another aspect of the campus exemption authorization process that is inconsistent with System Office requirements in this respect.

According to the university, "All applicants, internal or external, move into Academic Professional (AP) positions following the rules for filling vacant AP positions. A Civil Service (CS) employee would have to apply, as would any other applicant for a vacant AP position. If hired to fill the vacancy, the CS employee would vacate the CS position and move into the new position. This process has not changed."

Failure to follow these SUCSS procedures results in unauthorized conversions and considered a technical compliance violation. In situations where the vacant civil service position is either not filled or deleted, the results are a decrease in total Civil Service employee count and an increase in total Academic Professional employee count. In these isolated inner-departmental exemption transactions, the Employer has not been extended the final authority to conduct this transaction. This may lead to improper position management and the failure to apply appropriate statutory employment obligations.

This was a repeat finding from the previous audit conducted April 4-8, 2005 and April 18-22, 2005. The Employer indicated that, when a civil service employee and/or position has been converted or moved to an exempt 36e(3) appointment, the employee in the civil service position

is required to resign from their current civil service classification prior to moving into an exempt 36e(3) position, [FY05, page 31].

System procedures require that if civil service employees and/or positions are being converted to civil service exempt status in the same operating unit, the Employer should be seeking authorization through the System Office prior to implementing this personnel transaction, irrespective of the technical employment transaction recorded. Therefore, we re-iterate our FY05 recommendation that the Human Resource Department adhere to the [Principal Administrative Appointments Procedures Manual, Section 1.2 Position Standards](#) for any future appointments of this nature and obtain approval from the System Office prior to implementation as required. There is technically no separation from service in this personnel transaction.

Institutional Corrective Action Plan—provided by Annie Lemond, Director, Compensation and Classification

University's Review of Findings:

An audit condition/fact which states that UIC converts Civil Service jobs to Academic Professional jobs is not supported by evidence (i.e. no Appendix detailing the specifics). As such, UIC maintains that it does not convert Civil Service jobs to Academic Professional jobs. As with all positions, Academic Professional job openings are posted internally on UIC's job board. Employees from any employment category are free to apply for an open position provided they meet the requirements of the position. In the event that the candidate selected is employed in a Civil Service role at the time of offer, that employee is terminated and rehired into the Academic position.

University's Review of Recommendation:

The University will make every attempt to monitor job changes occurring in the same organization unit to ensure that established requirements are met.

Additional Auditor Comments

The Employer provided the Auditor with a list of positions/incumbents that were converted or transitioned from Civil Service to PAA designation. Since the documents originated with the Employer, it was assumed there was no need for the Auditor to include this information in an additional appendix. However, a supplemental Appendix C has been provided with the information submitted by the Employer.

These specific transactions require prior approval before implementation. This category of transaction, within the same employing unit, is the only remaining process that requires the employer to seek approval for the creation and/or employment of a PAA position.

If a position/incumbent is transitioned from Civil Service to PAA employment status the Employer should be seeking authorization through the System Office prior to implementing this personnel transaction, regardless of the technical employment transaction recorded. Technically, the employee is not terminated from employment since there is no formal employment separation, break in service, or negative benefit impact.

At this time, the Employer does not have authority to implement this transaction without prior approval.

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UIC 08-04 Non-compliance with Extra Help Employment and Position Limitations

- 1) [Illinois Administrative Rules, Section 250.70\(g\) Extra Help Appointments](#)
- 2) [Employment Procedures Manual, Section 2.10 Nonstatus Appointment](#)

Guidelines for Extra Help positions and Extra Help employees are contained in the Illinois Administrative Rules. An Extra Help appointment may be made, by an employer to any position for work which the employer attests to be casual or emergent in nature, and which meets the following conditions:

- A) the amount of time for which the services are needed is not usually predictable;
- B) payment for work performed is usually made on an hourly basis; and
- C) the work cannot readily be assigned either on a straight-time or on an overtime basis to a status employee.

An Extra Help position may be utilized for a maximum of 900 hours of actual work in any consecutive 12 calendar months. The employer shall review the status of the position at least every three calendar months. If at any time it is found that the position has become an appointment which is other than Extra Help, the employer shall terminate the Extra Help appointment. If an Extra Help position has accrued 900 consecutive hours, the position shall not be reestablished until six months time has elapsed from the date of the termination of the position.

For Extra Help employees, the Act requires that "...upon working 900 hours, an Extra Help employee cannot resume employment in any Extra Help appointment at a place of employment until thirty (30) calendar days have elapsed."

The employer's responsibility as noted in the Rule is that they "... shall review the status of the position at least every three calendar months. If at any time it is found that the position has become an appointment which is other than Extra Help, the employer shall terminate the Extra Help appointment." Understanding the need for continued temporary assistance, Extra Help extensions are allowed in specific instances in accordance with procedural guidelines.

Per the University of Illinois's Civil Service [Policy 3, Position Classification](#), "...The 900 hour limitation will be reviewed on a quarterly basis and regulated by the campus human resources office to ensure compliance with Civil Service Rule 250.70(g)..."

In approximately one hundred and thirty-four instances, it was determined that extra help employees had worked beyond the 900 hour limitation without a 30 day break in service, as

required by the [Employment Procedures Manual, Section 2.10 Non-status Appointments](#). Additionally, there were a significant number of Extra Help positions that exceeded the 900 hour limitation, primarily due to the assignment of multiple incumbents to the same position.

The University of Illinois at Chicago's [UIC Policies and Procedures](#) states "A position may be utilized for a maximum of 900 hours of actual work in any consecutive 12 calendar months..." This policy is not being followed in that several positions are being utilized beyond these limitations. Additionally, it should be noted that this UIC procedure language is somewhat inconsistent with the [Employment Procedures Manual, Section 2.10 Nonstatus Appointment](#) in that it does not include a direct reference to the required six month break for positions reaching 900 hours, specifically stated as "if an Extra Help position has accrued 900 consecutive hours, the position shall not be re-established until six months time has elapsed from the date of the termination of the position."

The University pools Extra Help positions, allowing one extra help position to be shared by an indefinite number of employees concurrently. This does not allow for proper position monitoring and regulating of employee work times in accordance with the Illinois Administrative Rules and System Office Procedures referenced above.

Current University position management practices in this respect make it difficult to determine whether or not an Extra Help position or employee has exceeded employment limitations and should be terminated. Positions and employees are utilized far longer than allowed, impacting the overall employment relationship, which is inconsistent with statutory intent.

This was a repeat finding from the previous audit conducted April 4-8, 2005 and April 18-22, 2005. There were 235 appointments that failed to meet compliance standards, [*Finding Code FY05, page 22*].

We recommend that the University identify and implement proper position management protocols that will adequately monitor and regulate Extra Help positions and Extra Help employees in accordance with [Rule 250.70\(g\), Extra Help Appointments](#) and their own corresponding policies and procedures [UIC Policies and Procedures](#). We also recommend that the University adhere to and include in [UIC Policies and Procedures](#) a reference to the Extra Help position criteria requiring a six month break upon reaching the 900 hour position limitation. To reduce the frequency of these findings, the University may be able to utilize [Extra Help Extensions](#), when applicable.

Institutional Corrective Action Plan—provided by Annie Lemond, Director, Compensation and Classification

We take every precaution possible to review and monitor compliance with the 900 hour civil service extra help rules by monitoring employees and positions.

If work performed is technical or professional in nature and require continuation of work or project, HR works with the employing unit to determine eligibility of request for extension of

appointment. When warranted, requests for extra help extension are submitted to the System office for review and approval.

Additional Auditor Comments

The assignment of more than one person to each extra-help position makes it extremely difficult to monitor and track Extra-Help Appointments to assure that both positions and employees do not exceed 900 hours of employment. This business process in most instances allows for positions to exceed the 900-hour position limitation which is a technical violation. The Auditor strongly urges the Employer to provide a more finite tracking mechanism that can more easily assure that both employees and positions do not exceed the 900-hour limitation. This will continue to be a major audit finding until proper business processes are adjusted and tracking mechanisms implemented.

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Appendix A

Review of Exempted (PAA) Positions (Statute 36e, Rule 250.30(a))

Position Reviewed	Position Number	Recommended Civil Service Classification
¹ Accounts Receivable Specialist	C22084	Cashier III or Cashier IV
² Admissions Counselor	C15155	Admissions/Records Officer
³ Admissions Counselor	C93123	Admissions/Records Officer
⁴ Advisement Specialist, LGSB	C02722	Program Adviser or Administrative Clerk
⁵ Application Developer (Specialist)	C56105	Applications Programmer Series or Information Technology Technical Associate
⁶ Application Specialist	C30004	Applications Analyst or Information Technology Technical Associate
⁷ Archival Operations & Reference Specialist	C60200	Senior Library Specialist
⁸ Area Coordinator, Housing	C41025	Housing Administrator
⁹ Assessment Program Coordinator	C41324	Instructional Research Data Coordinator
¹⁰ Assistant Athletic Director	C22770	Athletic Business Manager or Business/Administrative Associate
¹¹ Assistant Director	C79205	Financial Aid Advisor III or IV
¹² Assistant Director Administration	C49915	Information Technology Management Series, Associate Director or Information Manager/Administrative
¹³ Assistant Director of Budget and Financial Analysis	C82563	Business Manager II
¹⁴ Assistant Director of Payroll Services	C22094	Business/Administrative Associate or Payroll Manager
¹⁵ Assistant Director, AHR/Records	C48921	Human Resource Manager
¹⁶ Assistant Director, Budget	C49483	Budget Manager, Accountant Series or Business/Administrative Associate
¹⁷ Assistant Director, COM Human Resources	C57397	Human Resource Associate or Human Resource Manager
¹⁸ Assistant Director, CRWG & WISE	C84661	Business Manager I or II
¹⁹ Assistant Director, Dining Services	C80457	Food Service Manager

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Appendix A

Review of Exempted (PAA) Positions (Statute 36e, Rule 250.30(a))

Position Reviewed	Position Number	Recommended Civil Service Classification
²⁰ Assistant Director, Finance and Operations	C58666	Grants and Contract Administrator or Business Manager I or II
²¹ Assistant Director, Grants and Contract Office	C22081	Grants and Contracts Development Specialist or Information Technology Technical Associate
²² Assistant Director, Housing	C41639	Housing Administrator
²³ Assistant Director, Housing	C41220	Housing Administrator
²⁴ Assistant Director/Project Manager	C01019	Chief Architectural Draftsman or Construction Project Coordinator
²⁵ Assistant Network Analyst (Specialist)	C66850	University Network Specialist I or Information Technology Support Associate
²⁶ Assistant to the Associate Dean	C59074	Program Administrative Assistant
²⁷ Assistant to the Dean	C07610	Administrative Assistant I or HR Series
²⁸ Assistant to the Director, Great Cities Institute	C95067	Administrative Assistant I or II
²⁹ Assistant to the Head	C07719	Business Manager/Administrative Associate, Staff Clerk or Administrative Aide
³⁰ Associate Director of Human Resources, Dentistry	C59068	Human Resource Associate or Human Resource Manager
³¹ Associate Director	C53219	Administrative Assistant I or II
³² Associate Director for Billing & Collections, Dentistry	C57957	Accountant Series, Accounting Associate, Business/Administrative Associate or Collection Specialist V
³³ Associate Director for Business and Finance	C01392	Accounting Associate or Business Manager
³⁴ Associate Director of Marketing Communications	C06510	Graphics Designer or Business/Administrative Associate
³⁵ Associate Director of the News Bureau	C55823	Public Information Specialist
³⁶ Associate Director, AHR/Records	C48923	Human Resource Associate or Human Resource Manager
³⁷ Associate Director, Human Resources Development	C48912	Training and Development Specialist or Training Assistant
³⁸ Billing Compliance Specialist	C82921	Health Care Compliance Officer

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Appendix A

Review of Exempted (PAA) Positions (Statute 36e, Rule 250.30(a))

Position Reviewed	Position Number	Recommended Civil Service Classification
³⁹ Business Analyst	C22132	Business/Administrative Associate or Budget Analyst Series
⁴⁰ Business and Financial Specialist	C00023	Payroll Manager
⁴¹ Business Operations Coordinator	C63134	Human Resource Associate, Business/Administrative Associate or Business Manager I or II
⁴² Clinic & Patient Care Coordinator, Orthodontics	C58071	Patient Services Specialist or Administrative Assistant
⁴³ Clinic Inventory Coordinator	C58032	Purchasing Officer III
⁴⁴ College Human Resource Specialist	C56004	Human Resource Associate or HR Officer
⁴⁵ Computer Support Specialist	C17890	Information Technology Support Associate or Information Technology Technical Associate
⁴⁶ Coordinator of Online Communications	C56145	Public Information Specialist
⁴⁷ Coordinator (Ticket Operations)	C22231	Ticket Sales Supervisor
⁴⁸ Coordinator for Web Communications	C76984	Information Technology Technical Associate, Information Technology Support Associate, Webmaster
⁴⁹ Coordinator of Admissions	C49663	Admissions/Records Officer
⁵⁰ Coordinator of Case Management for the Elderly	C80415	Program Services Specialist or (Medical Social) Services Series
⁵¹ Coordinator of Clinical and Research Programs in Psychiatry	C52529	Administrative Aide
⁵² Coordinator of Information Technology and System Programming	C01527	Information Technology Technical Associate
⁵³ Coordinator, Administrative	C66682	Business/Administrative Associate, Accountant III or Administrative Clerk
⁵⁴ Coordinator, Campus Programs	C41204	Program Director or Program Coordinator
⁵⁵ Coordinator, International Admissions	C82170	Admissions/Records Supervisor or Immigration Specialist
⁵⁶ Customer Service Technical Analyst (Specialist)	C52349	IT Support Associate or Help Desk
⁵⁷ Data Analyst Specialist	C59647	IT Support Associate or Computer Systems Operations Specialist

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Appendix A

Review of Exempted (PAA) Positions (Statute 36e, Rule 250.30(a))

Position Reviewed	Position Number	Recommended Civil Service Classification
⁵⁸ Data Base Management and Analysis Specialist	C93778	Institutional Research Data Specialist
⁵⁹ Director, Food & Cafeteria Services	C95633	Food Service Administrator IV
⁶⁰ Director, Visual Resources Library	C85392	Instructional Materials Specialist
⁶¹ EOHS Academic Coordinator	C00994	Clerk, Staff Clerk or Administrative Clerk
⁶² Fiscal Administrator	C83091	Coordinator Business/Finance, Business Manager Series or Administrative Aide
⁶³ Network Analyst	C50089	Information Technology Technical Associate or Information Technology Technical Support Associate
⁶⁴ Project Coordinator	C70350	Grants and Contracts Administrator I
⁶⁵ Project Coordinator, Department of Psychiatry	C82727	Grants and Contracts Administrator I
⁶⁶ Research Information Coordinator	C06532	Institutional Research Data Coordinator or Grants and Contracts Series
⁶⁷ Senior Contract Coordinator	C83617	Purchasing Officer IV

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Appendix B

Review of Exempted (Academic Hourly) Positions

Position Reviewed	Position Number	Recommended Civil Service Classification
1 COORD CLIN&RES PRGM PSYCHIAT	C55071	Administrative Aide
2 COORD OF CLIN & RES PROG	C54891	Administrative Aide
3 Program Coordinator for IES	C02691	Program Coordinator or Program Admin. Asst.
4 Coor Campus Recreation	C41253	Program Administrative Asst.
5 COORD ATHRC CMREC	C41260	Intramural and Recreation Coordinator or Program Administrative Asst.
6 RSRC POLICY ANLYS	C60346	Business/Admin. Assoc.; Business Manager Series; Procedures and Systems Analysis III
7 RSRSC & POLICY ANLYS	C60316	Business/Admin. Assoc.; Business Manager Series; Procedures and Systems Analysis III
8 SPEC IT WEBS	C66010	IT Support Associate; Web Specialist Series
9 VST PRGM ASSOC	C85850	Program Coordinator Series
10 DIR ASST STSVC FINAD	C02202	Financial Aide Advisor II or III
11 ASST TO THE HEAD	C15011	Administrative Aide or Secretary IV
12 PROJ COORD	C01463	Program Coordinator Series
13 COORD ATHRC CMREC	C41260	Intramural and Recreation Coordinator
14 COORD RSSPT VISTN	C93831	Program Coordinator w/ specialty factor
15 COORD CLIN & RES PRGMS PSYCH	C00486	Administrative Aide
16 COORD CLIN & RES PRGMS PSYCH	C51128	Administrative Aide
17 COORD CLIN & RES PRGMS PSYCH	C02384	Administrative Aide
18 COORD CLIN&RES PRGM PSYCHIATRY	C54680	Administrative Aide
19 COORD Ticket Operations	C94131	Ticket Sales Supervisor
20 RES SPEC	C03602	Applications Programmer III
21 VST EDITORIAL ASSOC	C96906	Publications Editor
22 VST PRGM ASSOC	C61072	Program Coordinator Series

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Appendix C

Conversion of Employees/Positions from Civil Service To PAA

Employee Name	Current PAA Position Title	Current Position Number	Former CS Classification	Former CS Position Number	Effective Date of Transaction
Moustakis, Sharrone E	SPEC IN PHYSL THER	C63391	PHYS THERAP 1 (LCH)	41463	11/20/2005
Segal, Rachel Lindsay	SPEC IN PHYSL THER	C63393	PHYS THERAP 1 (LCH)	41463	11/20/2005
Wilson, Joyce Y.	HR COORD	C67710	DEPT INFO SUPRV (LC)	34751	8/16/2006
Plys, Erica Lynn	VST HR SPEC	C83464	HR ASST (LC)	21343	7/16/2005
Briggs, Pamela M	DIR HIHAC	C50793	MED SOC ASST (LCP)	02641	9/16/2005
Vodopic, Stephanie L	SPEC IN PHYSL THER	C63396	PHYS THERAP 1 (LCH)	41463	11/20/2005
Zervakis Brent, Mary Ann	VST NURS ANESTH	C52374	STAFF NRS 1 (LCH)	27403	10/24/2005
Querfurth, Martha E	ASST DIR, CAMPUS HSG	C41651	ASST SUPRINTD BLDG (LC)	33502	2/1/2007
Haage, Marie D.	ASSOC DIR, ACCT	C50798	ACTNT 4 (LCP)	00238	10/16/2005
Wilmington, Alan J	COORD OF INFO TECHNOL	C17895	COMMUNIC NTWK SPEC 3 (LC)	47252	2/12/2006
Anderson-Shaw, Lisa K	VST PROJ COORD	C61237	CLIN NURSING CONSULT 2 (LCH)	08662	1/16/2007
Walker, Lassie Latonia	VST ASST DIR-UM/DC PLNG	C65295	CHFHLTHCAREUTILREVCORD (LCH)	45732	7/1/2006
Cowherd, Elaine	NETWORK ANLYS	C54704	DATAPRCSSGEQUIPTECHN2 (LC)	39082	4/23/2006
Smith, Brett	VST MED PHYSICIST	C50243	RADAT ONCOLOGY PHYST (LCH)	48242	6/16/2005
Tubera, Diana M	HLTHCARE PRAC ANLYS (SPEC)	C65328	STAFF NRS 1 (LCH)	27403	11/20/2006
Silva, Adriana C	SPEC IN PHYSL THER	C63394	PHYS THERAP 2 (LCH)	37883	11/20/2005
Vaughn, Pyrai	VST PROJ COORD	C52579	COMMT AFF SPEC 2 (LC)	32871	10/1/2006
Greene-Freeman, Johnnie M.	ACCT REC SPEC	C22084	CASHIER 4 (LC)	06974	1/16/2006
Rebot, Richard M	ASST DIR UNIV ACCT SVCS	C22105	ACTNT 4 (LC)	00236	4/16/2006
Marreddy, Radha Krishna R	RES PRGRMR	C68621	ACTNT 2 (LC)	00113	6/1/2006
Jacobson, Pamela Lyn	SPEC IN PHYSL THER	C63388	PHYS THERAP 1 (LCH)	41463	11/20/2005
Deskin, Caroline	SPEC, SPEECH PATH	C71352	SPEECH PATH 1 (LCH)	30302	11/16/2006
Hefferly, Michael	DIR, AUDIOLOGY	C65357	AUDIOLOGIST 4 (LCH)	48112	2/25/2007

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Employee Name	Current PAA Position Title	Current Position Number	Former CS Classification	Former CS Position Number	Effective Date of Transaction
Kloska, Pamela J.	SPEC IN PHYSL THER	C63389	PHYS THERAP 2 (LCH)	37883	11/20/2005
Koehl, Melissa Beth	SPEC IN PHYSL THER	C63390	PHYS THERAP 1 (LCH)	41463	11/20/2005
Meister, Diana M.	ASST DIR	C50819	ADMINV ASST 1 (LCP)	01712	12/18/2005
Catalla, Jose Jonathan Derilo	VST CLIN NURS SPEC	C63439	STAFF NRS 1 (LCH)	27403	4/10/2005
Fenstermacher, Denise M	NURS PRACTR	C52346	STAFF NRS 2 (LU)	27414	9/15/2005
Verdich, Barbara	MGR OF NURS ADMN SERV	C63355	STAFF NRS 1 (LCH)	27403	7/3/2006
Smith, Nina R.	VST PURCH & PROCUREMENT COORD	C02088	ACNT TECHN 2 (LC)	38523	10/16/2006
Johnson, Bonnye Demetria	VST COORD COMMUNITY OUTREACH	C51297	CLIN NURSING CONSULT 1 (LC)	08651	6/1/2006
Bruce, Debi Jo	VST DOCUMENTATION SPEC	C50273	HLTHCAREUTILREVCOORD2 (LCH)	45722	7/25/2005
Clark, Jeffrey D	SPEC IN PHYSL THER	C63385	PHYS THERAP 1 (LCH)	41463	11/20/2005
Strathman, Brooke R.	SPEC, SPEECH PATH	C71351	SPEECH PATH 1 (LCH)	30302	11/16/2006
Duncombe, Alison M	COORD OF PHYSL THER	C63843	PHYS THERAP 3 (LCH)	41413	11/20/2005
Clark, April E	SPEC IN PHYSL THER	C63384	PHYS THERAP 1 (LCH)	41463	11/20/2005
Dubick, Scott Bruce	INDUST HYGIENIST	C04007	RADAT SAFETY TECHN (LC)	45762	2/12/2006
Esper, Mark J	SPEC PHYSL THER	C63387	PHYS THERAP 1 (LCH)	41463	11/20/2005
Greenia, Joseph A.	VST PROJ COORD	C50569	OPS SUPRT SERV SPEC 1 (LC)	33202	11/19/2006
Carter, Argintrail	RSRSC & POLICY ANLYS	C63911	MED REC PRACR (LCH)	46592	4/23/2006
O'Brien, Kelly Ann	VSTG RES SPEC IN HLTH SCI	C83063	MED INS SPEC 2 (LCH)	45824	6/20/2005
Zimmerman, Kimberley Beth	ASST DIR SPEECH PATH	C71578	SPEECH PATH 2 (LCH)	30322	11/16/2006
Howard, Vanessa	SURG COORD, ORTHO CTR	C68678	STAFF NRS 1 (LCH)	27403	9/26/2005
Javier, Asuncion Mabunga	VST ASSOC DIR	C65259	CLIN NURSING CONSULT 2 (LCH)	08662	3/16/2006
Opel, Sally Jo	VST PATH LAB INFO SYST SPEC	C63360	MED TECHT 2 (LCH)	40962	4/2/2007
Rodriguez, Roberto Jose	GRANTS & CONTRACTS SPEC	C22153	GRANTS&CTRCT ADMIN 2 (LC)	48021	2/16/2007

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Employee Name	Current PAA Position Title	Current Position Number	Former CS Classification	Former CS Position Number	Effective Date of Transaction
Piepenbrink, Kelly L	SPEC IN PHYSL THER	C63392	PHYS THERAP 1 (LCH)	41463	11/20/2005
Beilstein, Heidi J.	MGMT METHODS ANLYS	C50248	STAFF NRS 1 (LCH)	27403	6/27/2005
Dressel, Christine	VST CORE PROCESSING COORD	C65358	MED TECHT 2 (LCH)	40962	1/28/2007
Ruiz, Juana	RSRC & POLICY ANLYS	C04008	ADMINV AIDE (LC)	00582	2/12/2006
Kondos, Peter T	VST ADMN DIR	C65360	CARDIAC TECHT 4 (LCH)	47722	3/16/2007
Leanos, Elisa	VST ASST TO CHIEF NEPHROLOGY	C63660	ADMINV ASST 2 (LCH)	01724	8/16/2006
Clarke, Marianne E.	VST PROJ COORD EDUC & CLIN SVS	C50279	INFO SERVS SUPRV (LC)	36991	8/16/2005
Roat, Shelly G.	ASST DIR OPER DIV SPEC CARE	C86365	ADMINV ASST 1 (LCDA)	01713	3/16/2007
Thorne, Sara Gates	SPEC IN PHYSL THER	C63395	PHYS THERAP 2 (LCH)	37883	11/20/2005