

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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February 2, 2009

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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 College of Medicine at Rockford. The audit period tested was June 1, 2006 through June 30, 2008. 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 Lucinda M. Neitzel (217) 278-3150 ext. 242.

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Lewis T. (Tom) Morelock
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University of Illinois College of Medicine at
Rockford
Final Audit Report



State Universities Civil Service System Compliance Audit

February 2, 2009

Audit Period

June 1, 2006 to June 30, 2008

Prepared by:


Lucinda M. Neitzel
Audit and Advisory Services Manager

University of Illinois College of Medicine at Rockford
Final Audit Report

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University of Illinois College of Medicine at Rockford *Final Audit Report*

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 purpose 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 October 16-17, 2008. An exit conference conducted January 27, 2009 provided an opportunity for the Employer to discuss both the Material and Non-material findings contained in the initial Draft Audit Report. Upon completion of the exit conference and submission of the Institutional Corrective Action Plan, a Final Audit Report (Material Findings only) is sent to the Employer and a Supplemental Report (Non-material Findings) is sent to the campus/agency Human Resource Office for internal use.

OVERVIEW

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

- 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.

- **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, and security.

- **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

Lucinda Neitzel, Audit and Advisory Services Manager

Roger Frick, Human Resource Officer

Paula Mitchell, Human Resource Assistant

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YEAR ENDED – FY2009

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 OF MATERIAL FINDINGS

<u>Number of</u>	<u>This Report</u>
Finding	1
Repeated findings from previous audit®	0

SCHEDULE OF MATERIAL FINDINGS

<u>Item Number</u>	<u>Page</u>	<u>Description</u>
UICOMR FY09-01	4	FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT) Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications

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Material Findings, Recommendations, and Institutional Corrective Action
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UICOMR FY09-01 Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications

Criteria/Standards (i.e., what should exist):

- 1) State Universities Civil Service Act (Act), Section 36e
- 2) Illinois Administrative Code, Section 250.30(a) Coverage
- 3) Principal Administrative Appointments Procedures Manual, Section 1.3 Exemption Procedures
- 4) Principal Administrative Appointments Procedures Manual, Section 1.8 Changing a Principal Administrative Appointment (PAA to a Civil Service Position)
- 5) Principal Administrative Appointments Procedures Manual, Section 1.5 Reviews of Exempted Positions
- 6) Principal Administrative Appointments Procedures Manual, Section 1.5a PAA Job Description Form

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 descriptions 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 Appointments 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."

Conditions/Facts (i.e., what actually exists):

Through a review of approximately twenty-six (26) position descriptions, including on-site interviews with various exempted employees, it was discovered that two (2) exempt positions were performing duties matching the specifications for various Civil Service classifications. These positions are listed below, with the corresponding Civil Service classification match.

Position #	PAA Title	Civil Service Classification Match
C02856	Coordinator, RMED Program	Administrative Assistant Series or Business Administrative Associate

C78661 Information Services Specialist

**Program Administrative
Assistant, Administrative
Assistant Series or Information
Technology Technical Associate**

Cause (i.e., why deficient condition occurred):

According to the University, 'standard' titles approved for use by the System Office are applied to exempted positions.

Effect (i.e., impact of the problem):

A failure to establish appropriate classification plan management protocols that properly update, analyze and evaluate position descriptions leads to improper exemption authorizations and non-compliance with the Act, Code and Procedures.

Finding from Previous Audit:

No findings in this topic area were made during the last operational audit in FY2007.

Recommendation:

In accordance with the statutory intent and basic premise contained in Section 36e of the Act 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.

We recommend that the University complete an in-depth review of the position descriptions for the positions listed above 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 Employer to the Principal Administrative Appointments Procedures Manual, Section 1.8, Changing a Principal Administrative Appointment (PAA to a Civil Service Position), for guidance should they decide to move any of these positions immediately.

The University may also utilize the Pilot Program classification designations and transition the positions to be reviewed to one of these classifications if appropriate. These Pilot Program classifications utilize more flexible employment protocols and would offer a more transparent transition.

Institutional Corrective Action Plan—provided by Jack Croffoot, Human Resource Manager

We are reviewing the position descriptions of the Coordinator, RMED Program (C02856) and the Information Services Specialist (C78661) to determine if they meet the specifications of the recommended Civil Service classifications. I would note that the employee currently in position C78661 has announced her retirement in April, 2009. We will conduct a thorough review of this

position prior to posting any vacancy notice. With regard to position C02856, if we determine that this position matches the specifications of the recommended civil service classifications, we will transition the position to a civil service appointment no later than at such time the position becomes vacant again.