

# STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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



**Lyneir R. Cole**  
**Merit Board Chair**  
**Jeff Brownfield**  
**Executive Director**

May 24, 2018

**FILE COPY**

Dr. Randy J. Dunn  
President  
Southern Illinois University

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

Dr. Jerry Kruse, M.D., MSPH  
Provost and Dean  
Southern Illinois University-School of  
Medicine

Mr. George Perich  
Executive Director of Human Resources  
Designated Employer Representative  
Southern Illinois University-School of  
Medicine

Ms. Kimberly Labonte  
Executive Director of Internal Audits  
Southern Illinois University-School of  
Medicine

Mr. Lyneir R. Cole  
Merit Board Chair  
State Universities Civil Service System

The State Universities Civil Service System respectfully submits the FY2018 Governance, Risk, and Compliance Audit of the Office of Human Resources at Southern Illinois University School of Medicine, covering the period of July 1, 2014 through December 31, 2017. We are pleased to inform you that the results of this compliance audit concluded that there are no findings for this reporting period. Those personnel charged with this compliance responsibility are to be commended for their business practices leading to this excellent report.

However, please note that the designation and exemption of §36e(3) appointments (principal administrative employees) were not reviewed as part of this audit. As stated in a letter dated June 8, 2017, the University Civil Service Merit Board directed this office to review, coordinate, and develop standards related to the exemption of positions. Once those standards are in place, the Auditor will resume their standard audit practices related to this topic during the next scheduled audit period. **These new standards will go into effect October 1, 2018.**

On behalf of the Legal and Compliance Services Division, we thank you and the human resource staff for a very productive audit experience. If there are any questions or if a personal briefing on any item is desired, please contact David L. DeThorne, Legal and Compliance Services Manager and Legal Counsel or Lucinda M. Neitzel, Assistant Director of Legal and Compliance Services at (217) 278-3150, Ext. 224 or by email at [cindyn@sucss.illinois.gov](mailto:cindyn@sucss.illinois.gov).

Sincerely,

Jeff Brownfield  
Executive Director

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**Merit Board Chair**  
**Jeff Brownfield**  
**Executive Director**

May 24, 2018

Mr. George Perich  
Executive Director of Human Resources  
SIU School of Medicine  
327 W. Calhoun Avenue  
P.O. Box 19601  
Springfield, IL 62794-9601

Dear George:

As you are aware, the State Universities Civil Service System was created 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 University System Office is charged with establishing "a sound program of personnel administration for its constituent employers." (110 ILCS 70/36b(2)).

Pursuant to this statutory authority, the Merit Board has delegated 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 Administrative Rules, and for improving the programs of personnel administration of its constituent employers. (80 Ill. Adm. Code §250.140(c)). The purpose of the Governance, Risk, and Compliance (GRC) Audit program is to assist Employers in complying with applicable Illinois law and governing regulations.

This communication serves to formally outline these regulatory requirements and to further demonstrate our commitment to transparency with respect to the FY2018 Governance, Risk, and Compliance Audit for Southern Illinois University School of Medicine. Prior to the on-site visit, your office was provided with the Audit Charter, approved by the Merit Board on August 17, 2016, as well as a detailed audit scope statement and associated risk assessment evaluation for each area or program being evaluated.

The Legal and Compliance Services Division is the unit responsible for determining whether an existing personnel program is consistent with the Act, governing regulations, and procedural standards. However, in conjunction with that requirement, it is also our goal to assist Employers in meeting the needs and expectations of administrators and civil service employees alike, identify problems and propose solutions, and provide staff assistance and guidance where needed. We believe that a collaborative approach through open communication provides the necessary avenue to which compliance is best achieved.

The following report communicates the final outcome of the comprehensive Governance, Risk, and Compliance Audit, which included an extensive evaluation of data outcomes, questionnaires, interviews, and an on-site evaluation conducted April 25-26, 2018.

Congratulations on the final outcome of this audit report. If there are any questions with respect to this report or its contents, please contact our office at (217) 278-3150.

A handwritten signature in cursive script that reads "David L. DeThorne". The signature is fluid and extends to the right.

David L. DeThorne  
Legal Services Manager and Legal Counsel

# STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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

May 24, 2018

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## SOUTHERN ILLINOIS UNIVERSITY SCHOOL OF MEDICINE

Audit Time Frame:  
July 1, 2014 – December 31, 2017

On-Site Visit:  
April 25-26, 2018

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Prepared by:

Lucinda M. Neitzel  
Assistant Director, Legal and Compliance Services

**Southern Illinois University School of Medicine**  
***Final Audit Report***

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## Southern Illinois University School of Medicine **Final Audit Report**

### **Introduction**

#### **PURPOSE**

The State Universities Civil Service System was created 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, and ensure that all certificates, appointments and promotions are made solely on the basis of merit and fitness. (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)).

Pursuant to its statutory power, the Merit Board has delegated to its Executive Director the authority to conduct audit activities of Civil Service operations at each place of employment for the purpose of assuring compliance with the State Universities Civil Service Act and corresponding administrative rules, which have the full force and effect of Illinois law. (80 Ill. Adm. Code §250.140(c)).

#### **OVERVIEW**

For the purposes of conducting the audit at Southern Illinois University School of Medicine, the following Human Resource programs and categories were reviewed:

- **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 position audit process and corresponding determinations.
- **Compensation Programs**  
The Auditor completes an analysis of the Employer's use of pay rates and pay ranges, as approved by the Merit Board. An overall evaluation is 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, security, and register management.
- **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.

- **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 topics.

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

**Lucinda Neitzel, Assistant Director**  
**David DeThorne, Legal Counsel**  
**Paula Mitchell, Human Resource Assistant**

**Southern Illinois University School of Medicine**  
**Final Audit Report**

**Executive Summary**  
**YEAR ENDED -- FY2018**

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**

<b><u>Number of</u></b>	<b><u>This Report</u></b>
Findings	0
Repeated findings from previous audit®	0