

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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November 30, 2021

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Interim Sr. Associate Chancellor for Human
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The State Universities Civil Service System submits the outcome of its FY2020 Governance, Risk, and Compliance Audit of the Office of Human Resources at the University of Illinois at Urbana – Champaign, covering the period of February 1, 2015 – January 31, 2020. This report communicates the overall outcome and assessment of human resource practices during that period, documents risk assessment category findings and provides recommendations to rectify compliance issues discovered through this comprehensive human resource operational audit.

Due to the suspension and overhaul of the audit program in the Fall of 2015, followed by the State of Illinois two-year budget impasse, and the redevelopment of the Exemption Procedures Manual, the current FY2020 audit period of review captured a five-year time frame. Additionally, the Auditor's on-site audit visit in March, 2020, was interrupted by required transmission mitigation measures and public health mandates taken in response to the COVID-19 pandemic, which caused disruption to work across the State. Ultimately, these factors resulted in further delays to the preparation and completion of audit activities across the University System, including the submission of this final report.

First, the System Office wishes to recognize and commend the Human Resource Office Staff at the University of Illinois at Urbana – Champaign for their patience and cooperation during the course of this audit process. One of the largest places of employment in the University System, the University of Illinois at Urbana - Champaign has taken affirmative steps to navigate the impact of procedural changes related to position designation, exemption criteria, and the resulting shifts in hiring processes on campus because of external factors. We acknowledge these important efforts taken by the University.

Early in the Exemption Procedures Manual revision process, which began in the Spring of 2017, the Employer was already anticipating the campus impact of those potential changes and was fully engaged in undertaking a number of new initiatives in Human Resources. Of particular note:

- The Human Resource Office began with a reorganization of the department, combining five separate units into a single IHR Organization by merging the Academic and Staff Human Resource operations, and creating a new Strategic Initiatives Unit that has eliminated redundancies and created efficiencies;
- As the IHR began forecasting the potential impact of future exemption criteria changes in the new and revised Exemption Procedures Manual, department staff conducted a total review of their hiring procedures and made significant changes, including the implementation of the “Professional Employment Redesign Process,” which transformed the classification and hiring process into a single workflow and streamlined the Civil Service application for professional classifications;
- As part of the “Professional Employment Redesign Process,” the Employer developed a strategic plan to assess all exempt positions utilized on campus as part of a collaborative, overall functional review initiative with hiring units, resulting in a totally new approach to their online job board – categorizing job postings from an employment category approach to a job function approach;
- In January, 2019, the Employer rolled out a new program to highlight the variety of work at the University and to publicly recognize that all employees on campus are professionals – no matter what job they have – called “The Illinois Professional” campaign. This well-received initiative was continued in 2020;
- In preparation for the FY2020 Governance, Risk, and Compliance Audit, the Employer reported 195 Exempt positions that were transitioned to civil service during the established audit time frame and another 243 Exempt positions that had become vacant and were re-designated to Civil Service since the new Exemption Procedures Manual became effective on October 1, 2018.

I. Exempt Position Sampling Methodology

The Auditor selected an exempt position sample that not only reflected the procedural requirements in effect at the time of the original appointment, but that also accounted for substantive changes and transitional time relative to the revision of the (now) current Exemption Procedures Manual.

In this respect, the Auditor requested 152 job description documents for **salaried** positions and another 75 job description documents for **hourly** positions the Employer identified as categorically exempt under Section 70/36e of the Act. Reference: **(110 ILCS 70/36e (from Ch. 24 ½, par 38b4))**

The breakdown of the civil service exempt position description sample is listed as follows:

- Subset A: There were 79 **salaried** appointments sampled for review and made between February 1, 2017, and September 30, 2018, during the time period that the procedures were being revised;
- Subset B: There were 73 **salaried** appointments sampled for review and made between October 1, 2018 and December 31, 2020, following the effective date of the (now) current Exemption Procedures Manual and including the end of the audit timeframe;
- Subset C: There were 75 **hourly** appointments sampled for review and made during the entire audit timeframe of February 1, 2015 – January 31, 2020.

II. Exempt Position Review and Analysis

Part of the Auditor's position review and analysis of the sampled exempt job descriptions included both in-person and electronically remote interviews with various employees. During this process, it was determined that, in each time period noted above, a sizeable group of positions were performing duties that directly correspond to specifications for existing Civil Service classifications.

The Draft Audit Report was submitted to the Employer on August 5, 2021. Consistent with the (new) Exemption Procedures Manual, Section 3.3 entitled, "Accountability for Exemption Authorization," the Auditor and the Employer met several times to work through exempt position concerns in an effort to resolve any potentially disputed positions prior to this Final Audit Report being issued.

On September 10, 2021, the Designated Employer Representative, Deborah Stone, Interim Sr. Associate Chancellor for Human Resources, provided an administrative response to the Draft Audit Report, including the following outcomes regarding each time period and type of categorical exemption in the listed tables below:

Risk Assessment Category 1 – Exempted Positions

We have provided a response to each of the positions cited. Beyond that detailed information, the summary information is as follows:

List A: Exempt "Salaried" Positions Appointed Between February 1, 2017 and September 30, 2018

| Action | Number of Positions |
|--|---------------------|
| Positions will be reclassified, Notice of Non-Reappointments issued | 33 |
| Positions have already been reclassified | 17 |
| Positions are vacant and will be reviewed for classification if refilled | 11 |
| Positions for further discussion; we believe should remain exempted | 2 |
| Total | 63 |

List B: Exempt "Salaried" Positions Appointed Between October 1, 2018 and December 31, 2020

| Action | Number of Positions |
|--|---------------------|
| Positions will be reclassified, Notice of Non-Reappointments issued | 19 |
| Positions have already been reclassified | 8 |
| Positions are vacant and will be reviewed for classification if refilled | 8 |
| Positions for further discussion; we believe should remain exempted | 10 |
| Total | 45 |

List C: Exempt “Hourly” Positions Appointed Between February 1, 2015 and January 31, 2020

| Action | Number of Positions |
|--|---------------------|
| Positions will be reclassified to Extra Help | 12 |
| Positions are vacant and will be reviewed for classification if refilled | 18 |
| Positions for further discussion; we believe should remain exempted | 1 |
| Total | 31 |

III. Formal Exit Conference

The Employer requested a formal exit conference with the Auditor, which occurred on October 8, 2021. With respect to the overwhelming majority of positions that were of initial concern, the Employer has either converted them to an applicable civil service classification, or they have become vacant and will be reviewed if utilized again, or the positions will be re-designated with notices of non-reappointment already issued. Overall, only thirteen positions remain that the Employer believes should remain exempt and has respectfully requested reconsideration of additional information submitted in making a final determination. These thirteen positions are as follows:

| Employee Name | Position Title | Auditor Recommendation |
|---------------|---------------------------------------|---|
| | Instructor, Fire Service Institute | Professional Extra Help |
| | Director, Native American House | Program Director |
| | Fabrication Technology Specialist | Laboratory Mechanic Series |
| | Instructional Designer | Instructional Development Specialist |
| | Learning & Development Specialist | Instructional Development Specialist |
| | E-Learning Specialist | Instructional Development Specialist |
| | Instructional Video Design Specialist | Instructional Development Specialist |
| | Program Dir., Community Standards | Student Conduct Advisor |
| | Asst. Dir., ACES Study Abroad | Study Abroad Series |
| | Academic Program Advisor | Study Abroad Series |
| | Health Educator/Sexuality & Peer Ed. | Health Education Coordinator |
| | Health Education Generalist | Health Education Coordinator or Program Coordinator |

Based on the additional information provided by the Employer, the Auditor has reconsidered the position designation in these instances and generally concurs with the Employer in the vast majority of cases. Many of the incumbents in these positions also perform teaching, academic advising, and/or student assessments, or are directly accountable for creating lesson plans and determining learning outcomes related to course curriculum. The Auditor remains concerned about two positions highlighted in gray above and will again contact the Employer regarding these minor instances. It is impressive that out of a total of 227 exempt position descriptions sampled and reviewed, only two positions of concern remain. That number simply does not warrant a finding citation in this area.

The Employer’s DER indicates in a letter dated October 22, 2021 that a functional review schedule is being configured to analyze exempt positions in a more efficient manner. This includes an evaluation of positions based on similar functional areas throughout the campus. The University System is very encouraged by this strategic plan to review and analyze exempt positions, which is outlined in further detail in the Positive Observation section of this report.

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On behalf of the Legal and Compliance Services Division, please convey our appreciation to the human resources staff for engaging in the audit process and demonstrating their commitment to addressing the findings. If there are any questions or a personal briefing on any item is desired, please contact Lucinda M. Neitzel, Assistant Director of Legal and Compliance Services at cindyn@sucss.illinois.gov or by phone at (217) 305-6604.

Sincerely,

Unredacted, official version with digital signatures on-file at the University System Office.

Gail Schiesser
Interim Executive Director

STATE UNIVERSITIES CIVIL SERVICE SYSTEM



Governance, Risk and Compliance Audit Report (Final)

November 30, 2021

UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN

Audit Time Frame:

February 1, 2015 – January 31, 2020

On-Site Visit(s):

March 9 – 13, 2020 and March 30 – April 3, 2020

Prepared by:

Unredacted, official version with digital signatures on-file at the University System Office.

Lucinda M. Neitzel
Assistant Director, Legal and Compliance Services

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

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

Overview of Specific Areas Subject to Review

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

Assignment of Positions to Classes

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

Compensation Programs

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

Examination Program

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

Administration of Employment and Separation Procedures

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

Administration and Employment Protocols of Positions Exempt from Civil Service Regulations

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

General Review of the Employer's Human Resource Program

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

Other Follow-up Items from the Previous Audit

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

Audit Objective and Scope

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

Audit Scope: The Scope of this FY2020 Audit for the University of Illinois at Urbana – Champaign included a comprehensive evaluation of employment designations and/or category of status, non-status, and exempt appointments; register maintenance and management; extra help appointments and compliance with the 900-hour limitation; position audits and description review for Civil Service and Exempt appointments; time frame requirements for Temporary Upgrade Assignments; personnel file reviews and documentation; and previously cited audit findings.

Risk Assessment Categories

Topics of Specific Focus by Risk Assessment Category: Prior to performing audit functions, specific risk assessments were assigned and categorized for each topic area reviewed during the compliance audit process. The Auditor considers the following factors when determining the appropriate level of compliance violation and/or course of action:

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

While subject to change, audit findings are typically defined and issued based on these designated and predetermined risk assessments as follows:

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

For the current FY2020 Governance, Risk, and Compliance Audit at the University of Illinois at Urbana – Champaign, the following risk assessments and areas of focus were communicated to the Employer prior to conducting the audit examination:

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

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

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

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

University of Illinois at Urbana – Champaign
Final Audit Report

Executive Summary
YEAR ENDED—FY2020

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

SUMMARY

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

REPORT SCHEDULE OF AUDIT FINDINGS

| <u>Item</u> | <u>Page</u> | <u>Description</u> |
|--------------------|--------------------|--|
| | | <u>POSITIVE OBSERVATIONS</u> |
| UIUC FY20-01 | 5 | Comprehensive Policy Modifications Related to Exemptions Transition of Exempt Positions to Appropriate Civil Service Classifications |
| | | <u>RISK ASSESSMENT CATEGORY 1 FINDING</u> |
| UIUC FY20-02 | 12 | Non-Compliance with Temporary Upgrade Provisions |
| | | <u>RISK ASSESSMENT CATEGORY 3 FINDING</u> |
| UIUC FY20-03 | 20 | Non-Compliance with Extra Help Employment and Position Limitations |

University of Illinois at Urbana – Champaign
Final Audit Report

Positive Observations and Auditor Comments

**UIUC FY20-01 1) COMPREHENSIVE POLICY MODIFICATIONS RELATED TO EXEMPTIONS
2) TRANSITION OF EXEMPT POSITIONS TO APPROPRIATE CIVIL SERVICE
CLASSIFICATIONS**

CRITERIA/STANDARDS:

- 1) *State Universities Civil Service Act (Act), Section 70/36e Coverage;*
- 2) *Illinois Administrative Code (Code), Section 250.30(a) Coverage; and*
- 3) *Exemption Procedures Manual, Section 1.2, Overview.*

(110 ILCS 70/36e) (from Ch. 24 ½, par 38b4)

Sec. 36e. Coverage.

All employees of the Illinois Community College Board, Southern Illinois University, Chicago State University, Eastern Illinois University, Governors State University, Illinois State University, Northeastern Illinois University, Northern Illinois University, Western Illinois University, University of Illinois, State Universities Civil Service System, State Universities Retirement System, the Illinois Student Assistance Commission, and the Board of Higher Education shall be covered by the University System described in Sections 36b to 36q, inclusive, of this Act, except the following persons:

- (1) The members and officers of the Merit Board and the board of trustees, and the commissioners of the institutions and agencies covered hereunder;
- (2) The presidents and vice-presidents of each educational institution;
- (3) Other principal administrative employees of each institution and agency as determined by the Merit Board;
- (4) The teaching, research and extension faculties of each institution and agency;
- (5) Students employed under rules prescribed by the Merit Board, without examination or certification.

The current Exemption Procedures Manual was approved by the Merit Board and became effective on **October 1, 2018**. These procedures contain the guidelines and criteria used in properly designate and validate positions, and employees in those positions, as exempt from the Act as categorically defined above.

The Merit Board permits the Designated Employer Representative (DER) at each of the universities and agencies to make an initial determination as to whether a position qualifies as an exemption pursuant to Section 36e of the Act.

Exemptions are authorized in accordance with current procedures, requiring verification of exemption authorization through the comprehensive development and ongoing review of accurate position descriptions. Accordingly, it is important that employers maintain an updated, accurate, and complete position description for all positions. A routine and regular position review program is necessary to properly assign classification designations and accurately validate exemption status.

Periodic job description reviews, updated procedures, and ongoing classification plan changes may indicate that a position originally identified as exempt from the Act has been revised or changed, and may now fall within civil service classification plan parameters, requiring the department and/or the Human Resource Office to transition a specific position, and any employee currently occupying the position, to an identified and appropriate Civil Service classification.

BACKGROUND/CONTEXT:

As mentioned in the cover letter of this report, the FY2020 Governance, Risk, and Compliance Audit timeframe for the University of Illinois at Urbana-Champaign is February 1, 2015 – January 31, 2020. In this respect, it bears mentioning that under the direction of the Merit Board and the University System Office, the Exemption Procedures Manual was under review and revision during much of this audit period.

With this in mind, the Auditor selected a position sample for this Employer that not only reflected previous procedural requirements in effect at the time of appointment, but also accounted for substantive changes and transitional time relative to the revision of the (now) current Exemption Procedures Manual that became effective October 1, 2018.

Positions categorically exempt from Civil Service regulations are sampled and reviewed under the purview of a Category 1 Risk Assessment to determine proper designation and exemption from the Act. As part of the current FY2020 Governance, Risk, and Compliance (GRC) Audit Process, the Auditor provided the Employer's DER with a Pre-Audit Questionnaire, which often provides context when requesting additional materials, reviewing reports, and selecting audit samples.

The Employer was asked to provide their new internal policy for exempting positions from the Act, consistent with University System Merit Board approved exemption procedures. The Auditor notes that this policy is currently the most comprehensive policy utilized in the University System, and is outlined in the following table(s) subsequent to the applicable standard from the Exemption Procedures Manual:

| UNIVERSITY SYSTEM MERIT BOARD Exemption Standard for §36e(3) Principal Administrative Appointments | |
|--|--|
| <p>SUCSS Procedure Manual excerpt Sec. 2.2(a): Principal Administrative Appointments (PAA) may be exempt pursuant to §36e(3) of the Act, whose primary duties constitute senior management or senior administrative functions for an entire university, campus, agency, administrative/business department/unit, or an academic department/unit. If the position does not fit within the general scope, duties, or function of an existing civil service classification, the following criteria may be considered in determining whether the primary duties constitute senior management or senior administrative functions:</p> <ol style="list-style-type: none"> 1. Whether and to what extent the position has the authority to represent and obligate the university, campus, agency, or department/unit in matters of significance. 2. Exemption as an executive or administrative employee according to the Fair Labor Standards Act, 29 USC 213(A)(1) duties test is necessary, but <u>not</u> alone sufficient to qualify for exemption under 36e(3) of the Act. | |
| UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN 36e(3) Exemption Criteria Definitions | |
| Civil Service | Academic Professional |
| <ul style="list-style-type: none"> • Substantially matches existing civil service classification, AND • Meets FLSA overtime-exempt duties criteria: <ul style="list-style-type: none"> ○ Acts with discretion and independent judgment on matters of significance | <ul style="list-style-type: none"> • Does not substantially match existing civil service classification, AND • Primary job duties (50+%) constitute senior management or senior administrative functions, AND • Meets FLSA overtime-exempt duties criteria: <ul style="list-style-type: none"> ○ Acts with discretion and independent judgment on matters of significance |
| Civil Service Functions | Senior Management/Senior Administrative Functions |
| <ul style="list-style-type: none"> • Exercises discretion/judgment with little direct guidance within position's purview; provides consultation and expert input • Interprets policy and existing precedent; recommends solutions and improvements to current process or policy; resolves complaints; sets policy and procedure within position's purview • Consequences of error may incur significant costs | <ul style="list-style-type: none"> • Sets or leads organizational priorities/objectives; defines metrics or performance goals; allocates program/unit resources • Approves exceptions or waivers of policy; sets new precedent in areas of policy ambiguity; sets policy and procedure for entire program/unit • Consequences of error may include risk to the institution beyond financial cost • Accountable for overall results and sustainable operation of unit or function |

| | |
|---|---|
| <ul style="list-style-type: none">• Responsible for day-to-day operation of a function• Negotiates or makes agreements within defined scope or on recurring matters• Participates in internal or external committees/venues/organizations to provide professional expertise and input; represents the position of the university or unit as directed or within defined parameters | <ul style="list-style-type: none">• Negotiates agreements in rare/atypical or high-stakes circumstances• Represents the university or unit with the ability to make commitments/finalize resolution without consulting the supervisor; may represent the university in a role defined by law or regulation |
|---|---|

UNIVERSITY SYSTEM MERIT BOARD
Exemption Standard for §36e(4)
Teaching, Research, and Extension Faculty Appointments

SUCSS Procedure Manual excerpt Sec. 2.3:

a. In accordance with §36e of the Act, all positions are designated civil service, except for the following positions specified in §36e(4) of the Act:

1. All faculty positions as determined by each university's own internal processes.
2. Teaching positions include those whose primary function is to instruct or counsel students of the institution or its Laboratory Schools, most specifically related to the normal academic curricula.
 - A. Positions with the primary duty of teaching, tutoring, instructing, or lecturing in the activity of imparting knowledge, whether in the classroom, field, clinical, online or other similar forms of teaching. These teachers include regular academic teachers; teachers of kindergarten or nursery school pupils; teachers of gifted or disabled children; teachers of skilled and semi-skilled trades and occupations; teachers engaged in automobile driving instruction; aircraft flight instructors; home economics teachers; and vocal and instrumental music instructors; and athletic coaches or trainers. This excludes positions for which the primary duty is the teaching or training of other employees of the university or agency.
 - B. Exemption pursuant to this subsection does not require that the position be a tenured or tenure-track position. These positions have traditionally been referred to as adjunct or extension, professor, teacher or instructor.
 - C. Academic advising when that position is granted formal authority by an academic unit (university, college, school, or department) to approve the student's academic program of study and assist the student in progressing toward the appropriate degree.
 - D. Positions for which the primary duty is recruiting students.
 - E. Residence hall directors.
 - F. Deans, assistant deans, associate deans or other positions with primary administrative or supervisory responsibility for faculty exempt positions within a single department or program shall be exempt as teaching or extension faculty, respectively.

b. Research positions primarily engaged in research activities, normally under the direct oversight of an academic department or college and are frequently funded by outside sources. Research in this context is not necessarily limited to the laboratory work typical of the physical sciences, but may also include field historical research, linguistic studies, archaeology, etc. Academic rank is not a prerequisite to inclusion of a particular position in this category. Likewise, those positions with primary administrative or supervisory responsibility for a group of employees falling within this category are considered exempt in accordance with this standard.

c. Extension faculty positions as determined by each university's own internal processes include instructional positions created to provide both credit and non-credit instructional programs offered by the institution, which typically do not lead to a degree.

1. The non-credit component includes instructional programs, including but not limited to Early Childhood Education, Adult Education, Continuing Education, and English as a second language.
2. Positions within this exemption category may be employed solely for the duration of the specific course(s) being offered, based on professional experience in a particular profession or industry, or may be subject-matter experts who are employed as regular academic staff members at another educational institution.
3. A position with primary administrative or supervisory responsibility for a group of exempt extension faculty positions within a single department or program shall be exempt as extension faculty.

UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN
36e(4) Exemption Criteria Definitions/Examples

Teaching/Instruction

Examples of Academic Professional teaching duties:

- Direct contribution to the course content and pedagogical methods of formal academic classes (i.e., leading to a degree)
- Clinical/practical instruction in the methods, norms, and professional standards of a field of study, commonly practitioners in a field overseeing students training in that field. Such as:
 - Theater students studying set design, costuming, etc. in theatrical productions
 - Journalism students working alongside professional reporters
 - Law students assisting clients in a clinic
 - Business students providing consultant services to companies
- Academic advising: Approving student's courses of study; counseling students; providing guidance in students' educational choices, as well as career paths following their time as a student
- Design/development of educational experiences and programs incorporated into an individual student's course of study (e.g., study abroad programs)
- Educating students outside of, or complementary to, formal academic curriculum, such as:
 - Cultural and diversity programming
 - Health or nutrition education
 - Residential life programs (i.e., residence hall directors)
- Educating the public in credit and non-credit instructional programs, such as:
 - Horticulture programs disseminating cultivation/gardening techniques
 - Museum exhibits
 - Consumer education workshops
 - Training sessions certifying prospective foster parents
 - Professional development programs for elementary/secondary education teachers

Research

Examples of Academic Professional research duties:

- Conducting research: Identifying lines of inquiry, performing experiments, carrying out research protocols, gathering data, interpreting/analyzing data. Research processes such as:
 - Analysis of empirical data or existing research literature, including statistical meta-analysis
 - Investigations of literature, culture, and history, such as in humanities disciplines and the arts
 - Data collection in natural or laboratory settings, such as field studies; surveys; physiological or physical testing; testing or imaging of specimens, samples, and organisms
 - Development of theory and models, conceptual and/or computational
- Authoring or contributing to research reports/articles or other research products; peer review of others' research results and manuscripts
- Enforcing consistent methodology among members of the research team (e.g., training graduate assistants who actually collect the data)
- Engaging as a technical expert in research compliance or protocol review with input on research methods and practices

CONDITIONS/FACTS:

As previously referenced, the Employer provided the response to the DER Questionnaire, which included preliminary information regarding headcount, personnel processes, and campus policies related to Act, Code, and System Procedures.

The Employer provided all preliminary information for each category of position, as well as the number of positions converted from Exempt to Civil Service during the audit period. In this respect, the Employer reported 195 positions that were transitioned from Exempt to Civil Service; and that an additional 243 other exempt positions became vacant and were reappointed as Civil Service since the implementation of new Exemption Procedures on October 1, 2018.

As described in the cover letter of this report, the Employer indicated in their DER Questionnaire response that in preparation for the exemption criteria changes, a thorough review of hiring processes in the Human Resource Office was conducted and modified as follows:

The Professional Employment Redesign process transformed their classification and hiring processes into a single workflow, streamlining their Civil Service application for professional classifications, instituted a collaborative qualification review with hiring units, and implemented a totally new approach to their job board – moving from an employment category approach (Civil Service or Academic) to a job function approach (faculty, administrative, research, service, etc.).

- In January 2019, the Employer rolled out an innovative program to highlight the variety of work at the University and to recognize that all of their employees are professionals – no matter what job they have. The Illinois Professional campaign has a monthly release of either a video or podcast featuring employees describing their work in their own words, ending with the “I am an Illinois Professional” tagline. The Chancellor filmed the first video and launched the campaign, which was so well received that the initiative was continued in 2020.

AUDITOR’S COMMENTS:

The Auditor commends the Employer for their prompt attention to compliance in this matter consistent with statutory requirements and Merit Board procedures. Over the course of this extensive five-year audit timeframe, along with the months following the on-site visit conducting follow-up discussions, the Employer has refined their position evaluation process to ensure that the comprehensive analysis of individual position descriptions is conducted in a manner that guards against incorrect position designations. In addition, and as previously referenced in the cover letter of this report, the Employer has also modified their overall public messaging related to position vacancies by ensuring inclusivity among all professional positions and occupations regardless of employment category as civil service or exempt.

The University of Illinois at Urbana-Champaign has historically maintained a routine and regular position description review and update schedule. The University System Office is confident that any positions of concern during this audit have either been analyzed since the on-site visit, transitioned to civil service, become vacant, or will be reviewed for proper designation during the coming months.

In terms of a schedule of exempt position reviews on campus going forward, the Employer has provided the Auditor with a functional review schedule for the next two years; which it should be noted is currently well into the next FY2023 GRC Audit timeframe. It also bears noting that individual departmental reviews

of hundreds of positions on campus will simply take time and persistence that will be ongoing for some time.

Nonetheless, the Employer submitted a proposed schedule to the Auditor in which to complete this functional review. This proposed schedule (below) is incredibly aggressive and will require the Human Resource Office to conduct a thorough review of positions – nearly three times more positions in each year going forward than their ability to review in 2019 and 2020.

The Employer estimates that with this timeline for completed functional reviews, they will need to review approximately 1,992 positions in 2022 and 1,723 positions in 2023. Given these estimates, the University System Office will provide additional time, assistance, and support as necessary. In addition, the Auditor’s sample in the FY2023 GRC Audit will focus primarily on any functional reviews remaining on campus along with new exempt positions appointed after December 1, 2021.

| Functional Area | Sequence | Job Descriptions Reviewed/Completed |
|---|-----------|-------------------------------------|
| Human Resources | 2019 | 206 |
| Business and Finance | 2020 | 688 |
| Communications/Public Relations/Advancement | 2021/2022 | |
| Athletics/Recreation | 2022 | |
| Creative/Fine Arts | 2022 | |
| Student Services | 2022 | |
| Research Disciplines/Support | 2022 | |
| Facilities/Public Safety | 2023 | |
| Health/Medical | 2023 | |
| Educational | 2023 | |
| Information Technology Systems | 2023 | |

University of Illinois at Urbana – Champaign
Final Audit Report

Risk Assessment Category 1 Finding
Recommendation, Administrative Response, and Additional Auditor Comments

UIUC FY20-02 NON-COMPLIANCE WITH TEMPORARY UPGRADE PROVISIONS

CRITERIA/STANDARDS:

- 1) *Illinois Administrative Code (Code), Section 250.100 Reassignments and Transfers; and*
- 2) *Employment and Separation Procedures Manual, Section 4.2 Temporary Downgrading and Upgrading Assignments.*

According to Section 250.100(b)(3) of the Illinois Administrative Code, "...temporary upgrading and downgrading assignments must not be for more than 30 consecutive work days duration."

The Employment and Separation Procedures Manual, Section 4.2 states, "...upgrading assignments shall be limited to filling vacancies due to absence of incumbents or when it is necessary because of agreements which require a supervisory employee for a special work assignment or project." Further, "[u]pgrading is not required when the employee performs only certain duties and/or assumes only partial responsibility for the overall duties of the position to which assigned."

BACKGROUND/CONTEXT:

As previously referenced in this report, the current FY2020 Governance, Risk, and Compliance Audit timeframe at the University of Illinois at Urbana-Champaign is February 1, 2015 – January 31, 2020. Due to the sheer volume of Temporary Upgrade data that would have been needed to encompass an entire five-year time period, the Auditor opted to utilize a more targeted time period sampling approach and only request data for specific timeframes. Therefore, the data requested for review during this audit were only sampled from February 1, 2015 – December 31, 2016, and January 1, 2018 – December 31, 2019.

The utilization of a Temporary Upgrade assignment is reviewed and analyzed under a Category 1 Risk Assessment to determine whether the duration of assignments exceeds 30 consecutive work days in duration. As a practical matter, this topic is typically audited during every cycle at each Employer location that routinely utilizes these assignments. For the University of Illinois at Urbana-Champaign, the total number of days in a Temporary Upgrade status reported during this audit time frame provides a level of compliance risk under Category 1/Serious Impact.

As a secondary part of the review of this topic, temporary upgrades that continue for an extended period of time, even though they may not exceed the 30-day limitation in any one singular time frame or assignment, may convey the need for a permanent position at the upgraded classification.

CONDITIONS/FACTS:

Prior to the on-site audit visit, the Auditor requested materials from the Employer with respect to their utilization of Temporary Upgrade assignments during the audit period. An Employer may authorize temporary upgrade assignments by assigning status employees to classifications of a higher classification level, either within or outside of the employee's promotional line, and that results in an increase in salary for the designated upgrade assignment period.

As outlined in the Audit Request Material Checklist, sent to the Employer on January 15, 2020, this data request is referenced in Section IV (E), Employment and Separation Procedures, *Temporary Upgrade Assignments*. The data elements requested include employee name, classification, assigned upgrade classification, specific days of upgrade assignment, exam score, and date of exam.

Based on the reports submitted by the Employer, the Auditor reviewed a listing of approximately 477 employees assigned temporary upgrades during the sampled periods of February 1, 2015 – December 31, 2016 and January 1, 2018 – December 31, 2019, accounting for approximately 36,655 total days in an upgrade status. As documented in *Table 1*, below, 14 employee instances that appeared to exceed the 30-day temporary upgrade limitation as specified in the Illinois Administrative Code:

Table 1:

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|--|--|
| <i>Temporary Upgrade Assignments Exceeding the 30-Day Limitation</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Number of Consecutive Days Upgraded</i> |
| ██████████ | Machinist to Tool & Instrument Mechanic 3/9/2015 – 4/30/2015 | 39 |
| ██████████ | Plumber to Supervisor of Building Craftsmen 7/13/2015 – 9/4/2015 | 40 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 7/13/2015 – 8/25/2015 | 32 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 7/1/2016 – 8/31/2016 | 38 |
| ██████████ | Machinist to Tool & Instrument Mechanic 3/21/2016 – 5/5/2016 | 34 |
| ██████████ | Furniture Restorer to Furniture Restorer Supervisor 2/18/2016 – 4/1/2016 | 32 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 2/15/2016 – 3/31/2016 | 34 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 9/14/2016 – 11/4/2016 | 37 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 7/9/2018 – 8/31/2018 | 40 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 1/22/2019 – 3/22/2019 | 44 |
| ██████████ | Carpenter to Carpenter Sub-Foreman and/or Foreman 4/4/2016 – 5/20/2016 | 35 |

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|--|--|
| <i>Temporary Upgrade Assignments Exceeding the 30-Day Limitation (Continued)</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Number of Consecutive Days Upgraded</i> |
| ██████████ | Locksmith to Locksmith Sub-Foreman and/or Foreman 3/25/2019–5/9/2019 | 34 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 2/22/2019–4/11/2019 | 35 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 7/10/2019–8/22/2019 | 32 |

As previously noted in this finding, and documented in **Table 2**, below, it appears that there are approximately 84 instances where employees were temporarily upgraded on a frequent and consistent basis. While temporary upgrade assignments are not permitted to continue beyond 30-consecutive days, upgrading employees on an extended and continual basis for 90 days or more, and accounting for approximately 250 work days per year, appears to be inconsistent with intent of the Illinois Administrative Code.

Table 2:

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|---|--------------------------------------|
| <i>Extended Utilization of Temporary Upgrade Assignments</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Total Number of Days Upgraded</i> |
| ██████████ | Machinist to Tool & Instrument Mechanic 1/5/2015–12/30/2015 | 219 |
| ██████████ | Machinist to Tool & Instrument Mechanic 1/5/2016–7/29/16 | 132 |
| ██████████ | Plumber to Supervisor of Building Craftsmen 5/1/2015–12/31/2015 | 133 |
| ██████████ | Plumber to Supervisor of Building Craftsmen 1/4/2016–9/9/2016 | 126 |
| ██████████ | Culinary Worker III – Culinary Worker IV 11/6/2018–5/10/2019 | 96 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/5/2015–12/30/2015 | 220 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/4/2016–12/29/2016 | 230 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/2/2018–11/30/2018 | 188 |
| ██████████ | Building Service Worker to Building Service Foreman 12/5/2017–12/21/2018 | 171 |
| ██████████ | Electrician to Electrician Sub-Foreman 9/26/2017–12/31/2019 | 324 |

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|--|--------------------------------------|
| <i>Extended Utilization of Temporary Upgrade Assignments (Continued)</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Total Number of Days Upgraded</i> |
| ██████████ | Electrician to Electrician Sub-Foreman 1/5/2015 – 12/23/2015 | 142 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 1/5/2015 – 11/25/2015 | 192 |
| ██████████ | Const.Laborer to Const.Laborer Sub-Foreman 4/11/2019 – 12/31/2019 | 133 |
| ██████████ | Const.Laborer to Const.Laborer Sub-Foreman 3/13/2018 – 12/21/2018 | 170 |
| ██████████ | Sheet Metal Worker to Supervisor of Building Craftsmen 1/20/2015 – 12/30/2015 | 131 |
| ██████████ | Sheet Metal Worker to Supervisor of Building Craftsmen 1/4/2016 – 7/8/2016 | 100 |
| ██████████ | Const.Laborer to Const.Laborer Sub-Foreman 3/16/2015 – 12/28/2015 | 165 |
| ██████████ | Machinist to Tool & Instrument Mechanic 2/2/2015 – 12/30/2015 | 180 |
| ██████████ | Machinist to Tool & Instrument Mechanic 1/4/2016 – 7/29/2016 | 139 |
| ██████████ | Food Service Sanitation Laborer to Food Service Supv. 8/10/2015 – 12/16/2016 | 258 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/2/2015 – 12/30/2015 | 216 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/4/2016 – 12/30/2016 | 183 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/10/2018 – 12/31/2018 | 216 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/2/2019 – 12/23/2019 | 212 |
| ██████████ | Building Service Worker to Building Service Foreman 3/19/2018 – 5/31/2019 | 180 |
| ██████████ | Food Service Supv. To Food Service Administrator II 1/19/2016 – 12/30/2016 | 204 |
| ██████████ | Building Service Worker to Grounds Worker 3/22/2018 – 10/30/2018 | 122 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/7/2019 – 12/28/2019 | 172 |
| ██████████ | Building Service Worker to Building Service Foreman 1/13/2019 – 12/21/2019 | 130 |
| ██████████ | Grounds Worker to Grounds Equipment Mechanic 1/2/2018 – 12/14/2018 | 107 |
| ██████████ | Grounds Worker to Grounds Equipment Mechanic 1/2/2019 – 12/12/21/2019 | 139 |

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|---|--------------------------------------|
| <i>Extended Utilization of Temporary Upgrade Assignments (Continued)</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Total Number of Days Upgraded</i> |
| ██████████ | Carpenter to Carpenter Sub-Foreman 1/12/2015 – 12/14/2015 | 167 |
| ██████████ | Carpenter to Carpenter Sub-Foreman 1/4/2016 – 6/28/2016 | 100 |
| ██████████ | Electrician Sub-Foreman to Electrician Foreman 4/3/2019 – 12/31/2019 | 115 |
| ██████████ | Driver to Automotive Sub-Foreman 5/7/2018 – 3/22/2019 | 118 |
| ██████████ | Refrig. Mech./Pipefitter to Refrig. Mechanic Foreman 1/7/2016 – 11/17/2016 | 163 |
| ██████████ | Electrician to Electrician Sub-Foreman 2/2/2015 – 12/30/2015 | 115 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/26/2016 – 12/29/2016 | 130 |
| ██████████ | Electrician to Electrician Sub-Foreman 2/1/2018 – 12/13/2018 | 106 |
| ██████████ | Electrician to Electrician Sub-Foreman 2/1/2019 – 12/23/2019 | 118 |
| ██████████ | Building Service Worker to Building Service Foreman 5/6/2019 – 11/15/2019 | 91 |
| ██████████ | Pipefitter to Pipefitter Sub-Foreman 4/1/2015 – 11/10/2015 | 122 |
| ██████████ | Pipefitter to Pipefitter Sub-Foreman 1/13/2016 – 12/22/2016 | 147 |
| ██████████ | Building Service Worker to Building Service Foreman 7/5/2018 – 12/20/2019 | 199 |
| ██████████ | Pipefitter to Pipefitter Sub-Foreman 4/15/2015 – 12/9/2015 | 111 |
| ██████████ | Pipefitter to Pipefitter Sub-Foreman 1/11/2016 – 12/22/2016 | 161 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 9/21/2015 – 12/29/2016 | 292 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 1/2/2018 – 12/14/2018 | 203 |
| ██████████ | Sheet Metal Worker to Sheet Metal Sub-Foreman 1/2/2019 – 11/1/2019 | 198 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 9/10/2018 – 11/1/2019 | 260 |
| ██████████ | Pipefitter to Supervisor of Building Craftsmen 12/11/2015 – 9/27/2016 | 147 |
| ██████████ | Electrician to Electrician Sub-Foreman 6/15/2018 – 6/7/2019 | 159 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/5/2015 – 12/23/2015 | 190 |

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|---|--------------------------------------|
| <i>Extended Utilization of Temporary Upgrade Assignments (Continued)</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Total Number of Days Upgraded</i> |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/4/2016 – 12/22/2016 | 182 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/2/2018 – 12/21/2018 | 176 |
| ██████████ | Temp. Control Mechanic to Sub-Foreman or Foreman 1/2/2019 – 11/1/2019 | 191 |
| ██████████ | Building Service Worker to Building Service Foreman 5/6/2018 – 5/13/2019 | 156 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/7/2019 – 12/23/2019 | 205 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/6/2015 – 12/18/2015 | 143 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 11/14/2018 – 11/18/2019 | 178 |
| ██████████ | Carpenter to Carpenter Sub-Foreman 8/7/2015 – 11/21/2016 | 215 |
| ██████████ | Food Service Supv. to Food Service Administrator III 2/2/2015 – 12/22/2015 | 183 |
| ██████████ | Food Service Supv. to Food Service Administrator III 1/4/2016 – 12/20/2016 | 202 |
| ██████████ | Pipefitter to Pipefitter Sub-Foreman 1/7/2015 – 3/11/2016 | 211 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/5/2015 – 11/25/2015 | 118 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/4/2016 – 11/30/2016 | 116 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/3/2018 – 12/14/2018 | 117 |
| ██████████ | Electrician to Electrician Sub-Foreman 1/2/2019 – 12/13/2019 | 123 |
| ██████████ | Pipefitter to Supervisor of Building Craftsmen 1/2/2015 – 12/30/2015 | 133 |
| ██████████ | Pipefitter to Supervisor of Building Craftsmen 1/4/2016 – 8/26/2016 | 125 |
| ██████████ | Food Service Supv. to Food Service Administrator III 5/7/2018 – 5/31/2019 | 182 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/5/2015 – 12/30/2015 | 196 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/4/2016 – 12/22/2016 | 191 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/2/2018 – 12/21/2018 | 198 |
| ██████████ | Const. Laborer to Const. Laborer Sub-Foreman 1/2/2019 – 12/20/2019 | 211 |

| <i>FY2020 Governance, Risk, and Compliance (GRC) Audit</i> | | |
|--|--|--------------------------------------|
| <i>Extended Utilization of Temporary Upgrade Assignments (Continued)</i> | | |
| <i>Employee Name</i> | <i>Upgrade Transaction</i> | <i>Total Number of Days Upgraded</i> |
| ██████████ | Locksmith to Locksmith Sub-Foreman 1/6/2015 – 12/30/2015 | 197 |
| ██████████ | Locksmith to Locksmith Sub-Foreman 1/4/2016 – 12/22/2016 | 197 |
| ██████████ | Locksmith to Locksmith Sub-Foreman 1/2/2018 – 12/21/2018 | 179 |
| ██████████ | Locksmith to Locksmith Sub-Foreman 1/2/2019 – 9/4/2019 | 100 |
| ██████████ | Lab Animal Caretaker to Driver 1/1/2015 – 12/29/2015 | 169 |
| ██████████ | Lab Animal Caretaker to Driver 1/2/2016 – 12/26/2016 | 171 |
| ██████████ | Lab Animal Caretaker to Driver 1/2/2018 – 12/21/2018 | 126 |
| ██████████ | Lab Animal Caretaker to Driver 1/4/2019 – 12/28/2019 | 130 |
| ██████████ | Temp. Control Mechanic to Temp. Control Sub-Foreman 1/14/2019 – 11/1/2019 | 194 |

CAUSE/SOURCE OF CONDITION:

The evidence provided by the Employer suggests that a determination was made not to fill upgraded positions with a permanent status employee or by promotion through a reclassification action. Instead, the Employer continued to overuse of the temporary upgrade provision, particularly for extended periods of time in excess of ninety days.

EFFECT/IMPACT:

The foundation of the Merit System and the primary concept of a classification plan management system is that employees be placed in job classifications based on the predominance of actual duties and level of responsibility. The practice of creating a new job assignment through an overextended upgrade is inconsistent with the intent and purpose of the Act and the Classification Plan Management system.

If a position is upgraded frequently, or is upgraded on a continual basis for an extended period of time, the impacted employee should be promoted, reclassified into the classification, or a new position posted and filled in the classification. Section 36d of the Act, under “Power and duties of the Merit Board” states the following:

§ 36d. Powers and Duties of the Merit Board. The Merit Board shall have the power and duty –

- (8) To provide by its rules for promotions in the classified service. Vacancies shall be filled by promotion whenever practicable. For the purpose of this paragraph, an advancement in class shall constitute a promotion.

FINDING(S) FROM PREVIOUS AUDIT(S):

No findings in this topic area were made during the last operational audit in FY2015.

RECOMMENDATIONS TO EMPLOYER:

It is recommended that the Employer review the provisions regarding the utilization of Temporary Upgrades in accordance with established regulations. As the title suggests, these assignments are temporary in nature and are not intended to be continually or repeatedly utilized on a long-term basis. The Act requires that vacancies be filled by promotion whenever practicable. While the Auditor understands that, in general, employees are appropriately compensated during time served in a Temporary Upgrade assignment, those employees do not accrue seniority in the upgraded classification and are not provided the opportunity for continued compensation beyond the Temporary Upgrade period.

Based on the information provided by the Employer, it appears there are position vacancies that exist. Since audits are retrospective in nature, it is possible that many of these upgrades have since been replaced with permanent employees; and if so, the Auditor requests that the Employer provide this information in the administrative response to this finding. Additionally, the Auditor requests that Temporary Upgrades on an extended basis be discontinued and that these specific transactions are monitored by campus departments consistent with the Code.

EMPLOYER'S ADMINISTRATIVE RESPONSE – SUBMITTED BY MS. DEB STONE, INTERIM SR. ASSOCIATE CHANCELLOR FOR HUMAN RESOURCES:

We do not disagree with the information presented. We will work with the unit to address the finding.

University of Illinois at Urbana – Champaign
Final Audit Report

Risk Assessment Category 3 Finding
Recommendation, Administrative Response, and Additional Auditor Comments

UIUC FY20-03 NON-COMPLIANCE WITH EXTRA HELP EMPLOYMENT AND POSITION LIMITATIONS

CRITERIA/STANDARDS:

- 1) *Illinois Administrative Code (Code), Section 250.70(f) Extra Help Appointments; and*
- 2) *Employment and Separation Procedures Manual, Section 2.5 Extra Help Appointments.*

Guidelines for Extra Help positions and Extra Help employees are contained in the Illinois Administrative Code. “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 that 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 (6) months have elapsed from the date of the termination of the position.”

For Extra Help employees, the Code requires that “[u]pon 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 Code 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 that 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.

BACKGROUND/CONTEXT:

As previously referenced in this report, the current FY2020 Governance, Risk, and Compliance Audit timeframe at the University of Illinois at Urbana-Champaign is February 1, 2015 – January 31, 2020. Due

to the sheer volume of Extra Help data that would have been needed to encompass an entire five-year time period, the Auditor opted to utilize a more targeted time period sampling approach and only request data for specific timeframes. Therefore, the data requested for review during this audit were only sampled from January 1, 2016 – December 31, 2017, and January 1, 2019 – January 31, 2020.

The utilization of Extra Help appointments and positions are typically reviewed and analyzed as a Category 1 Risk Assessment to determine whether both components of the 900-hour limitation were adhered to in accordance with the Illinois Administrative Code. As a practical matter, this category of importance indicates that the topic is typically audited during every cycle at each Employer location that routinely utilizes these appointments.

CONDITIONS/FACTS:

As previously mentioned, Therefore, the data requested for review during this audit were only sampled from January 1, 2016 – December 31, 2017, and January 1, 2019 – January 31, 2020. The Auditor reviewed approximately 15,041 Extra Help appointments, which included 4,558 employees and 7,617 positions.

As documented in *Appendix A*, 29 employees appear to have worked beyond the 900-hour limitation without the required 30-day break in service.

It should be noted that two employees;

- [REDACTED], who appeared to have an Extra Help extension approved only through 4/15/2016, continued employment until 9/30/2016 and accrued a total of 1,762.90 hours, and;
- [REDACTED], who appeared to have an Extra Help extension approved only through 6/30/2016, continued employment until 8/26/2016 and accrued a total of 1,067.55 hours.

As documented in *Appendix B*, 35 positions were utilized for more than 900 hours of actual work within a 12-month period without a six-month lapse.

It is important to note that since the sample did not include Extra Help appointments employed between February 1, 2015 – December 31, 2015; and January 1, 2018 – December 31, 2019, the Auditor was unable to determine whether additional employees and/or positions actually utilized by the Employer were compliant during these time periods. Additionally, the employee and position information included in Appendix C and Appendix D may not fully articulate the entire picture regarding compliance since it only includes the data submitted during the sampled time periods previously described in this finding.

CAUSE/SOURCE OF CONDITION:

The Extra Help data report and accompanying procedures provided to the Auditor is very comprehensive and detailed, so there are several protocols and processes in place to efficiently and effectively monitor Extra Help employee and position hours consistent with limitations outlined in the Illinois Administrative Code. The Employer also does not appear to pool Extra Help positions into the same control number, so there is a solid management structure in place to regulate and monitor the utilization of these positions.

Consistent with the data noted above, the percentage of error for employees exceeding the 900-hour limitation is approximately .009% and that of positions exceeding the 900-hour limitation is approximately .004%. With this in mind, the Auditor does not believe the cause of these findings is systemic or that a

lack of monitoring is occurring. Quite the contrary. The Auditor simply attributes these outcomes to be within a reasonable margin of error considering the over 15,000 appointments utilized during the sampled audit periods of January 1, 2016 – December 31, 2017 and January 1, 2019 – January 31, 2020, which did not include the entire audit timeframe of February 1, 2015 – January 31, 2020.

EFFECT/IMPACT:

Extra Help employees and positions appear to be utilized longer than allowed in some instances, which can have some impact, albeit minimal in this case, over the overall employment environment; however, because the Illinois Administrative Code and Employment/Separation Procedures Manual do not provide an allowance for a margin of error, the Auditor has referenced this issue as a Category 3 finding that results in minimal risk of systemic impact and is noted as an observation only.

FINDING(S) FROM PREVIOUS AUDIT(S):

No findings in this topic area were made during the last operational audit in FY2015, however, there was correspondence provided to the Employer under separate cover with respect to Extra Help appointments of Auditor concern.

RECOMMENDATION TO EMPLOYER:

We recommend that the Employer conduct an internal review of their procedures and employment protocols with respect to Extra Help appointments to determine and resolve any potential deficiencies in the monitoring process consistent with Section 250.70(f) of the Code.

Due to the large volume of Extra Help appointments utilized during the two sampled time periods, it should be emphasized that Extra Help appointments are intended to address a need that is emergent and casual in nature, and are to be utilized to assist during emergencies, position vacancies, leaves of absence, and peak work periods in accordance with established regulatory guidelines and procedures. Extra Help appointments are not intended to be used as a “go-to” source of employment that would appear to avoid standard procedures with respect to proper examination and referral of candidates to fill status positions.

EMPLOYER’S ADMINISTRATIVE RESPONSE – SUBMITTED BY DEBORAH STONE, INTERIM SR. ASSOCIATE CHANCELLOR FOR HUMAN RESOURCES:

We believe the acknowledgement that we have a solid management structure in place to regulate and monitor Extra Help positions. However, we will, as you suggest, continue to review our process to ensure the highest level of compliance with Extra Help positions.

**State Universities Civil Service System
University of Illinois at Urbana-Champaign
FY2020 Governance, Risk, and Compliance Audit**

Appendix A

Extra Help Employees Exceeding the 900-Hour Rule

| Employee Name | Position Title | Department or Funding Source | Beginning Appointment Date | Ending Appointment Date | Employee Hours Worked |
|---------------|-----------------------------------|------------------------------|----------------------------|-------------------------|-----------------------|
| ██████████ | XH General Services (LU) | Infrastructure Engineering | 6/13/2016 | 12/22/2016 | 908.50 |
| | | | | | |
| ██████████ | EH Asst Head Supv Security | State Farm Center | 1/10/2019 | 9/20/2019 | 353.80 |
| " | DIA-Customer Service | DIA Perm Staff Pay Org | 1/13/2019 | 5/11/2019 | 71.20 |
| " | DIA-Customer Service | DIA Perm Staff Pay Org | 1/25/2019 | 8/22/2019 | 169.40 |
| " | EH Security | State Farm Center | 2/14/2019 | 1/23/2020 | 212.90 |
| " | XH Stagehand (LU) | State Farm Center | 4/5/2019 | 10/5/2019 | 44.00 |
| " | DIA-Fball Event Supervisor | DIA Perm Staff Pay Org | 8/16/2019 | 10/26/2019 | 66.90 |
| " | DIA-Event Staff Other | DIA Perm Staff Pay Org | 8/30/2019 | 1/9/2020 | 132.70 |
| " | DIA-Event Staff Other | DIA Perm Staff Pay Org | 8/31/2019 | 12/6/2019 | 59.44 |
| " | DIA-Football Security | Intercollegiate Athletics | 8/31/2019 | 11/27/2019 | 48.47 |
| " | EH Asst Head Supv Security | State Farm Center | 10/2/2019 | 1/23/2020 | 252.80 |
| " | DIA-Football Event Staff | DIA Perm Staff Pay Org | 10/12/2019 | 10/19/2019 | 17.20 |
| | | | | | 1428.81 |
| | | | | | |
| ██████████ | DIA - Atkins Front Desk | Atkins Timesheet | 1/6/2016 | 12/21/2017 | 1144.00 |
| " | DIA - Atkins Tennis Center | Intercollegiate Athletics | 7/18/2017 | 7/28/2017 | 37.50 |
| | | | | | 1181.50 |
| | | | | | |
| ██████████ | EH Gen Services (LU) | Illini Union-Operator | 8/15/2016 | 6/23/2017 | 872.70 |
| " | XH Stghd (LU) | KCPA-Operation | 9/6/2016 | 9/15/2017 | 194.96 |
| " | EH Prof (LU) | Theatre | 2/27/2017 | 5/20/2017 | 130.45 |
| | | | | | 1198.11 |
| | | | | | |
| ██████████ | XH Research Prog Participant (LU) | Hourly Feeder | 8/29/2016 | 6/9/2017 | 938.90 |
| | | | | | |
| ██████████ | EH Lifeguard | DCR Lifeguards | 4/29/2016 | 12/12/2017 | 531.10 |
| " | EH Lts Instructor | DCR Lifeguards | 6/8/2016 | 6/15/2017 | 49.70 |
| " | EH Head Lifeguard | DCR Lifeguards | 5/31/2017 | 12/21/2017 | 334.60 |
| | | | | | 915.40 |

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| Employee Name | Position Title | Department or Funding Source | Beginning Appointment Date | Ending Appointment Date | Employee Hours Worked |
|---------------|-------------------------------|--------------------------------------|----------------------------|-------------------------|-----------------------|
| ██████████ | EH Staghd (LU) | KCPA-Operations | 1/11/2016 | 12/15/2017 | 796.60 |
| " | EH Staghd (LU) | State Farm Center | 6/16/2016 | 11/5/2017 | 69.60 |
| " | EH Staghd (LU) | KCPA-Operations | 9/24/2016 | 11/9/2017 | 12.00 |
| " | EH Staghd (LU) | State Farm Center | 9/25/2016 | 11/8/2017 | 43.20 |
| " | EH Staghd (LU) | KCPA-Operations | 11/14/2016 | 9/14/2017 | 8.40 |
| " | EH Staghd (LU) | State Farm Center | 3/28/2017 | 11/5/2017 | 14.00 |
| | | | | | 943.80 |
| | | | | | |
| ██████████ | XH Tech (LU) | Illinois Informatics Institute | 3/14/2016 | 9/1/2016 | 979.00 |
| | | | | | |
| ██████████ | XH Tech (LU) | TH Vet Technical Nursing | 2/28/2017 | 11/3/2017 | 1126.70 |
| | | | | | |
| ██████████ | XH Research Prog Participant | Sponsored Research, PE & Comm | 5/17/2017 | 11/13/2017 | 961.20 |
| | | | | | |
| ██████████ | XH Parking Meter Mechanic | Parking Department | 5/28/2019 | 12/2/2019 | 969.50 |
| | | | | | |
| ██████████ | XH Research Prog Participant | Hourly Feeder | 1/18/2017 | 10/5/2017 | 1034.00 |
| | | | | | |
| ██████████ | XH Food Service (LU) | Feeder File Non-Work Study Timesheet | 3/28/2016 | 10/21/2016 | 507.40 |
| " | XH Food Serv Culinary Wrkr II | Feeder File Non-Work Study Timesheet | 10/24/2016 | 1/13/2017 | 396.10 |
| | | | | | 903.50 |
| | | | | | |
| ██████████ | XH Clerical (LS) Bene Rep | University Payroll & Benefits | 8/29/2016 | 5/12/2017 | 1218.50 |
| | | | | | |
| ██████████ | XH Adventure Rec PA | Adventure Rec | 5/9/2016 | 8/23/2017 | 836.50 |
| " | XH Adventure Rec CSA | Adventure Rec | 5/11/2016 | 8/22/2017 | 299.80 |
| | | | | | 1136.30 |
| | | | | | |
| ██████████ | XH Mill Worker (LU) | F&S Administration | 1/19/2016 | 9/30/2016 | 1762.80 |

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| Employee Name | Position Title | Department or Funding Source | Beginning Appointment Date | Ending Appointment Date | Employee Hours Worked |
|---------------|----------------------------|------------------------------|----------------------------|-------------------------|-----------------------|
| ██████████ | XH Tech (LU) | McKinley Lab | 1/25/2016 | 8/26/2016 | 1067.55 |
| | | | | | |
| ██████████ | Extra Help-ORR Beef Center | Animal Sciences | 1/20/2016 | 8/12/2016 | 939.50 |
| | | | | | |
| ██████████ | XH Gen Services (LU) | Allerson Conf Center | 1/11/2016 | 12/1/2017 | 145.35 |
| " | XH Gen Services (LU) | Allerson Conf Center | 1/16/2016 | 12/30/2017 | 67.58 |
| " | XH Gen Services (LU) | Allerson Conf Center | 4/24/2016 | 7/12/2017 | 656.91 |
| " | XH Gen Services (LU) | Allerson Conf Center | 5/7/2016 | 5/3/2017 | 56.22 |
| " | XH Gen Services (LU) | Allerson Conf Center | 6/25/2016 | 12/12/2017 | 29.97 |
| | | | | | 956.03 |
| | | | | | |
| ██████████ | EH Professional | NRES Time Tracker | 3/28/2017 | 10/6/2017 | 973.30 |
| | | | | | |
| ██████████ | EXH Gen Services (LU) CW | Sergeant Administration | 5/23/2016 | 11/28/2016 | 929.50 |
| | | | | | |
| ██████████ | XH Stghd (LU) | KCPA-Operations | 1/15/2016 | 12/15/2017 | 798.00 |
| " | XH Stghd (LU) | KCPA-Operations | 1/24/2016 | 12/11/2017 | 23.40 |
| " | XH Stghd (LU) | Back of House | 3/1/2016 | 11/9/2017 | 165.30 |
| " | XH Stghd (LU) | KCPA-Operations | 3/18/2016 | 10/28/2017 | 19.00 |
| " | XH Stghd (LU) | Back of House | 5/9/2016 | 11/5/2017 | 61.70 |
| | | | | | 1067.40 |
| | | | | | |
| ██████████ | XH Gen Services (LU) | CDL | 1/11/2016 | 7/27/2016 | 993.90 |
| | | | | | |
| ██████████ | XH Gen Services (LU) CW | Unit 22 | 1/14/2019 | 11/26/2019 | 924.50 |
| | | | | | |
| ██████████ | XH Office Asst 2 (LU) | IHR-SH Services | 3/4/2019 | 8/21/2019 | 943.40 |
| | | | | | |
| ██████████ | XH Gen Services (LU) | CDL | 3/11/2019 | 10/18/2019 | 905.30 |

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|---------------|----------------------|------------------------------|----------------------------|-------------------------|-----------------------|
| ██████████ | XH Gen Services (LU) | Allerton Conf Center | 1/1/2016 | 5/20/2017 | 670.83 |
| " | XH Gen Services (LU) | Allerton Conf Center | 1/22/2016 | 12/31/2017 | 613.59 |
| | | | | | 1284.42 |
| | | | | | |
| ██████████ | XH Office Assoc I | IHR-Extra Help Services | 1/8/2016 | 8/8/2016 | 907.60 |
| | | | | | |
| ██████████ | XH Prof (LU) | Mechanical Sci & Engineering | 3/11/2019 | 1/10/2020 | 951.70 |

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| Position Number | Employee | Position Title | Department | Appointment Timeframe | Begin Date of Work | End Date of Work | Total Hours Worked |
|-------------------|------------|-----------------------------------|----------------------------|-----------------------|--------------------|------------------|--------------------|
| 650214858U9886200 | ██████████ | XH Stghd (LU) | KCPA-Operations | 2/9/2016 - 12/23/2017 | 2/9/2016 | 6/1/2016 | 228.40 |
| 650214858U9886200 | ██████████ | XH Stghd (LU) | KCPA-Operations | " | 8/15/2016 | 3/8/2017 | 511.00 |
| 650214858U9886200 | ██████████ | XH Stghd (LU) | KCPA-Operations | " | 4/6/2017 | 5/14/2017 | 156.40 |
| 650214858U9886200 | ██████████ | XH Stghd (LU) | KCPA-Operations | " | 8/14/2017 | 12/23/2017 | 210.70 |
| | | | | | | | 1106.50 |
| | | | | | | | |
| 650421191UA242100 | ██████████ | XH Prof (LU) | School of Social Work | 6/10/2016 - 4/28/2017 | 6/10/2016 | 1/28/2017 | 747.00 |
| 650421191UA242100 | ██████████ | XH Prof (LU) | School of Social Work | " | 3/1/2017 | 4/28/2017 | 183.50 |
| | | | | | | | 930.50 |
| | | | | | | | |
| 651365988U6403600 | ██████████ | XH Tech Supprt Asst (LU) | IHR-Extra Help Services | 1/4/2016 - 12/22/2017 | 1/4/2016 | 7/29/2016 | 893.20 |
| 651365988U6403600 | ██████████ | XH Tech Supprt Asst (LU) | IHR-Extra Help Services | " | 11/26/2017 | 12/22/2017 | 141.80 |
| | | | | | | | 1035.00 |
| | | | | | | | |
| 652144843U5992900 | ██████████ | XH Gen Services (LU) | Infrastructure Engineering | 2/17/2016 - 10/7/2016 | 2/17/2016 | 8/27/2016 | 891.00 |
| 652144843U5992900 | ██████████ | XH Gen Services (LU) | Infrastructure Engineering | " | 9/27/2016 | 10/7/2016 | 56.00 |
| | | | | | | | 947.00 |
| | | | | | | | |
| 65299529UB110000 | ██████████ | XH Gen Services (LU) | Micro & Nano Tech Lab | 3/23/2016 - 3/8/2017 | 3/23/2016 | 10/28/2016 | 898.00 |
| 65299529UB110000 | ██████████ | XH Gen Services (LU) | Micro & Nano Tech Lab | " | 1/3/2017 | 3/8/2017 | 309.00 |
| | | | | | | | 1207.00 |
| | | | | | | | |
| 653479549U9809496 | ██████████ | XH FD Service (LU) Culi Wrker III | PAR FS | 1/14/2019 - 1/25/20 | 1/14/2019 | 5/10/2019 | 537.90 |
| 653479549U9809496 | ██████████ | XH FD Service (LU) Culi Wrker III | PAR FS | " | 8/15/2019 | 12/20/2019 | 503.60 |
| 653479549U9809496 | ██████████ | XH FD Service (LU) Culi Wrker III | PAR FS | " | 1/20/2020 | 1/25/2020 | 34.80 |
| | | | | | | | 1076.30 |
| | | | | | | | |
| 653520999UB228806 | ██████████ | DIA-Head Supervisor | Intercollegiate Athletics | 8/1/2016 - 9/9/2017 | 8/1/2016 | 12/5/2016 | 467.10 |
| 653520999UB228806 | ██████████ | DIA-Head Supervisor | Intercollegiate Athletics | " | 1/8/2017 | 6/8/2017 | 372.50 |
| 653520999UB228806 | ██████████ | DIA-Head Supervisor | Intercollegiate Athletics | " | 7/29/2017 | 9/9/2017 | 181.60 |
| | | | | | | | 1021.20 |
| | | | | | | | |
| 653665045U7549688 | ██████████ | XH Prof (LU) Sheet Metal | FAC Administration | 7/8/2019 - 1/24/2020 | 7/8/2019 | 12/14/2019 | 860.40 |
| 653665045U7549688 | ██████████ | XH Prof (LU) Sheet Metal | FAC Administration | " | 1/12/2020 | 1/24/2020 | 72.90 |
| | | | | | | | 933.30 |

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| Position Number | Employee | Position Title | Department | Appointment Timeframe | Begin Date of Work | End Date of Work | Total Hours Worked |
|-------------------|----------|-----------------------|-------------------------|------------------------|--------------------|------------------|--------------------|
| 654605189U9276595 | | EH FS Laborer | LAR FS | 1/4/2019 - 1/24/2020 | 1/4/2019 | 5/12/2019 | 340.80 |
| 654605189U9276595 | | EH FS Laborer | LAR FS | " | 6/26/2019 | 6/30/2019 | 7.90 |
| 654605189U9276595 | | EH FS Laborer | LAR FS | " | 8/18/2019 | 12/19/2019 | 609.10 |
| 654605189U9276595 | | EH FS Laborer | LAR FS | " | 1/20/2020 | 1/24/2020 | 23.90 |
| | | | | | | | 981.70 |
| | | | | | | | |
| 654844342U9886200 | | XH Stagehand (LU) | KCPA-Operations | 1/11/2016 - 8/17/2017 | 1/11/2016 | 6/18/2016 | 751.40 |
| 654844342U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 7/18/2016 | 8/23/2016 | 204.10 |
| 654844342U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 1/18/2017 | 1/20/2017 | 2.00 |
| 654844342U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 5/24/2017 | 5/26/2017 | 7.50 |
| 654844342U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 8/16/2017 | 8/17/2017 | 4.90 |
| | | | | | | | 969.90 |
| | | | | | | | |
| 655090895U112900 | | XH Gen Services (LU) | General Chemistry | 1/14/2019 - 12/13/2019 | 1/14/2019 | 7/26/2019 | 788.70 |
| 655090895U112900 | | XH Gen Services (LU) | General Chemistry | " | 8/25/2019 | 12/13/2019 | 425.80 |
| | | | | | | | 1214.50 |
| | | | | | | | |
| 655653232U9886200 | | EH Stagehand | KCPA-Operations | 1/15/2016 - 12/15/2017 | 1/15/2016 | 5/23/2016 | 249.80 |
| 655653232U9886200 | | EH Stagehand | KCPA-Operations | " | 7/10/2016 | 5/15/2017 | 500.60 |
| 655653232U9886200 | | EH Stagehand | KCPA-Operations | " | 7/11/2017 | 12/15/2017 | 355.40 |
| | | | | | | | 1105.80 |
| | | | | | | | |
| 655846367U9110892 | | XH General Laundry | Catering-Ihotel | 2/18/2019 - 11/26/2019 | 2/18/2019 | 6/11/2019 | 554.80 |
| 655846367U9110892 | | XH General Laundry | Catering-Ihotel | " | 7/31/2019 | 11/26/2019 | 569.10 |
| | | | | | | | 1123.90 |
| | | | | | | | |
| 565307344U9886200 | | XH Stagehand (LU) | KCPA-Operations | 1/11/2016 - 12/12/2017 | 1/11/2016 | 6/17/2016 | 265.70 |
| 565307344U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 7/21/2016 | 6/1/2017 | 460.40 |
| 565307344U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 7/25/2017 | 12/12/2017 | 230.10 |
| | | | | | | | 956.20 |
| | | | | | | | |
| 658422196U6403903 | | XH Office Asst 2 (LU) | IHR-Extra Help Services | 1/2/2019 - 1/17/2020 | 1/2/2019 | 3/9/2019 | 250.40 |
| 658422196U6403903 | | XH Office Asst 2 (LU) | IHR-Extra Help Services | " | 4/7/2019 | 1/17/2020 | 895.00 |
| | | | | | | | 1145.40 |

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|--------------------|----------|-----------------------------|---------------------|------------------------|--------------------|------------------|--------------------|
| 658630737UB168800 | | Evnt Staff -Assoc Head Supv | State Farm Center | 1/7/2016 - 12/31/2017 | 1/7/2016 | 2/29/2016 | 140.80 |
| 658630737UB168800 | | Evnt Staff -Assoc Head Supv | State Farm Center | " | 3/30/2016 | 4/1/2016 | 2.00 |
| 658630737UB168800 | | Evnt Staff -Assoc Head Supv | State Farm Center | " | 5/11/2016 | 5/15/2016 | 9.40 |
| 658630737UB168800 | | Evnt Staff -Assoc Head Supv | State Farm Center | " | 6/16/2016 | 6/18/2016 | 10.00 |
| 658630737UB168800 | | Evnt Staff -Assoc Head Supv | State Farm Center | " | 7/18/2016 | 5/31/2017 | 512.80 |
| 658630737UB168800 | | Evnt Staff -Assoc Head Supv | State Farm Center | " | 8/6/2017 | 12/31/2017 | 256.80 |
| | | | | | | | 931.80 |
| 658673125U9886200 | | XH Stagehand (LU) | KCPA-Operations | 1/15/2016 - 12/15/2017 | 1/15/2016 | 6/18/2016 | 298.00 |
| 658673125U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 7/21/2016 | 6/1/2017 | 798.00 |
| 658673125U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 7/11/2017 | 12/15/2017 | 413.00 |
| | | | | | | | 1509.00 |
| | | | | | | | |
| 658966052U8461087 | | XH Prof (LU) Driver | HFS FS | 1/11/2016 - 12/18/2017 | 1/11/2016 | 7/29/2016 | 654.90 |
| 658966052U8461087 | | XH Prof (LU) Driver | HFS FS | " | 1/22/2017 | 5/23/2017 | 109.50 |
| 658966052U8461087 | | XH Prof (LU) Driver | HFS FS | " | 6/27/2017 | 10/14/2017 | 230.40 |
| 658966052U8461087 | | XH Prof (LU) Driver | HFS FS | " | 11/12/2017 | 12/18/2017 | 45.70 |
| | | | | | | | 1040.50 |
| | | | | | | | |
| 659578335U4159601 | | XH Porf (LU) | McKinley Admin | 8/11/2016 - 12/15/2017 | 8/11/2016 | 12/3/2016 | 493.00 |
| 659578335U4159601 | | XH Porf (LU) | McKinley Admin | " | 7/4/2017 | 12/15/2017 | 477.50 |
| 659578335U4159601 | | XH Porf (LU) | McKinley Admin | 2/5/2016 - 1/25/2020 | 2/5/2016 | 3/8/2019 | 139.30 |
| 659578335U4159601 | | XH Porf (LU) | McKinley Admin | " | 7/28/2019 | 11/23/2019 | 407.50 |
| 659578335U4159601 | | XH Porf (LU) | McKinley Admin | " | 1/21/2020 | 1/25/2020 | 19.50 |
| | | | | | | | 1536.80 |
| | | | | | | | |
| 6600032526U9815501 | | XH CSA | DCR Member Services | 1/10/2016 - 12/17/2017 | 1/10/2016 | 10/21/2016 | 448.70 |
| 6600032526U9815501 | | XH CSA | DCR Member Services | " | 11/19/2016 | 8/14/2017 | 570.40 |
| 6600032526U9815501 | | XH CSA | DCR Member Services | " | 11/20/2017 | 12/17/2017 | 40.80 |
| | | | | | | | 1059.90 |
| | | | | | | | |
| 660134876UA988200 | | XH Route Driver Helper | F&S Administration | 5/20/2019 - 1/24/2020 | 5/20/2019 | 10/26/2019 | 892.00 |
| 660134876UA988200 | | XH Route Driver Helper | F&S Administration | " | 1/5/2020 | 1/24/2020 | 104.00 |
| | | | | | | | 996.00 |

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|-------------------|----------|----------------------------|-------------------------------------|------------------------|--------------------|------------------|--------------------|
| 661191229U6403902 | | XH Office Asst 2 (LU) | IHR-Extra Help Services | 2/3/2016 - 9/23/2016 | 2/3/2016 | 7/23/2016 | 897.80 |
| 661191229U6403902 | | XH Office Asst 2 (LU) | IHR-Extra Help Services | " | 8/31/2016 | 11/19/2016 | 120.00 |
| | | | | | | | 1017.80 |
| 662294829U8461000 | | XH Prof (LU) Pipefitter | FAC Admin | 6/24/2019 - 1/24/2020 | 6/24/2019 | 11/1/2019 | 864.90 |
| 662294829U8461000 | | XH Prof (LU) Pipefitter | FAC Admin | " | 12/29/2019 | 1/24/2020 | 190.00 |
| | | | | | | | 1054.90 |
| | | | | | | | |
| 662389680U6510201 | | XH Prof (LU) | Agricultural & Biological Engineer | 1/3/2017 - 8/15/2017 | 1/3/2017 | 1/28/2017 | 128.00 |
| 662389680U6510201 | | XH Prof (LU) | Agricultural & Biological Engineer | " | 2/26/2017 | 8/15/2017 | 792.00 |
| | | | | | | | 920.00 |
| 664264576U9886000 | | XH Assembly Hall Attendant | Feeder File Non-Workstudy Timesheet | 2/24/2016 - 12/17/2017 | 2/24/2016 | 3/23/2016 | 46.70 |
| 664264576U9886000 | | XH Assembly Hall Attendant | Feeder File Non-Workstudy Timesheet | " | 4/29/2016 | 5/11/2017 | 554.70 |
| 664264576U9886000 | | XH Assembly Hall Attendant | Feeder File Non-Workstudy Timesheet | " | 6/9/2017 | 12/17/2017 | 463.90 |
| | | | | | | | 1065.30 |
| | | | | | | | |
| 667334234U8184501 | | EH Asst Head Supv Sec-Gen | State Farm Center | 12/5/2016 - 12/31/2017 | 12/5/2016 | 6/3/2017 | 508.30 |
| 667334234U8184501 | | EH Asst Head Supv Sec-Gen | State Farm Center | " | 7/3/2017 | 12/31/2017 | 424.60 |
| | | | | | | | 932.90 |
| | | | | | | | |
| 668513967U9886200 | | XH Stagehand (LU) | KCPA-Operations | 1/15/2016 - 12/12/2017 | 1/15/2016 | 6/14/2016 | 240.60 |
| 668513967U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 8/6/2016 | 5/15/2017 | 426.10 |
| 668513967U9886200 | | XH Stagehand (LU) | KCPA-Operations | " | 7/25/2017 | 12/12/2017 | 260.00 |
| | | | | | | | 926.70 |
| | | | | | | | |
| 669024338U6743301 | | XH Gen Services (LU) | CDL | 3/11/2019 - 10/18/2019 | 3/11/2019 | 9/13/2019 | 905.30 |
| 669024338U6743301 | | XH Gen Services (LU) | CDL | " | 10/13/2019 | 10/18/2019 | 37.50 |
| | | | | | | | 942.80 |
| | | | | | | | |
| 672004824U8222800 | | DIA-Stadium Maintenance | Facility Attendants Timesheet | 8/22/2016 - 10/20/2017 | 8/22/2016 | 2/19/2017 | 883.10 |
| 672004824U8222800 | | DIA-Stadium Maintenance | Facility Attendants Timesheet | " | 8/6/2017 | 10/20/2017 | 385.10 |
| | | | | | | | 1268.20 |
| | | | | | | | |
| 675700446UA930100 | | XH Gen Services (LU) | Allerton Conf Center | 1/22/2016 - 12/31/2017 | 1/22/2016 | 9/6/2016 | 673.38 |
| 675700446UA930100 | | XH Gen Services (LU) | Allerton Conf Center | " | 10/5/2016 | 12/31/2017 | 613.59 |
| | | | | | | | 1286.97 |

**State Universities Civil Service System
University of Illinois at Urbana-Champaign
FY2020 Governance, Risk, and Compliance Audit**

Appendix B

| Position Number | Employee | Position Title | Department | Appointment Timeframe | Begin Date of Work | End Date of Work | Total Hours Worked |
|--------------------|------------|-----------------------------|--------------------------------|------------------------|--------------------|------------------|--------------------|
| 677369005U6403900 | ██████████ | XH Office Asst 2 (LU) | IHR-Extra Help Services | 3/15/2016 - 9/7/2017 | 3/15/2016 | 1/7/2017 | 870.40 |
| 677369005U6403900 | ██████████ | XH Office Asst 2 (LU) | IHR-Extra Help Services | " | 5/9/2017 | 9/7/2017 | 72.60 |
| | | | | | | | 943.00 |
| | | | | | | | |
| 677843853U9886200 | ██████████ | XH Stagehand (LU) | KCPA-Operations | 1/11/2016 - 12/15/2017 | 1/11/2016 | 6/18/2016 | 304.10 |
| 677843853U9886200 | ██████████ | XH Stagehand (LU) | KCPA-Operations | " | 8/14/2016 | 5/26/2017 | 796.60 |
| 677843853U9886200 | ██████████ | XH Stagehand (LU) | KCPA-Operations | " | 8/13/2017 | 12/15/2017 | 274.90 |
| | | | | | | | 1375.60 |
| | | | | | | | |
| 678212305U9847200 | ██████████ | XH Parking Meter Mechanic I | Parking Department | 2/6/2017 - 12/22/2017 | 2/6/2017 | 7/29/2017 | 841.00 |
| 678212305U9847200 | ██████████ | XH Parking Meter Mechanic I | Parking Department | " | 9/4/2017 | 12/22/2017 | 620.50 |
| | | | | | | | 1461.50 |
| | | | | | | | |
| 678924645U60336001 | ██████████ | EH Professional | McKinley Immunization & Travel | 1/14/2019 - 1/24/2020 | 1/14/2019 | 5/11/2019 | 524.00 |
| 678924645U60336001 | ██████████ | EH Professional | McKinley Immunization & Travel | " | 8/18/2019 | 12/20/2019 | 557.90 |
| 678924645U60336001 | ██████████ | EH Professional | McKinley Immunization & Travel | " | 1/20/2020 | 1/24/2020 | 30.00 |
| | | | | | | | 1111.90 |
| | | | | | | | |
| 679885464U9084900 | ██████████ | XH BSW | Division of Campus Recreation | 1/29/2019 - 1/24/2020 | 1/29/2019 | 7/24/2019 | 892.60 |
| 679885464U9084900 | ██████████ | XH BSW | Division of Campus Recreation | " | 8/25/2019 | 1/24/2020 | 707.30 |
| | | | | | | | 1599.90 |