

## STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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



*Joanne E. Maitland  
Merit Board Chair  
Lewis T. (Tom) Morelock  
Executive Director*

April 5, 2011

Dr. Glenn Poshard  
President  
Southern Illinois University

Dr. J. Kevin Dorsey  
Dean and Provost  
Southern Illinois University School of  
Medicine

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Executive Director – Office of Human  
Resources  
Designated Employer Representative  
Southern Illinois University School of  
Medicine

Mrs. Joanne Maitland  
Merit Board Chair  
State Universities Civil Service System

Mr. John Simmons  
Merit Board Member  
Southern Illinois University

Ms. Kimberly Labonte  
Internal Auditor  
Southern Illinois University

The State Universities Civil Service System respectfully submits the Final Audit Report of the Biennial Institutional Compliance Audit conducted at Southern Illinois University School of Medicine. The audit period tested was June 1, 2008 through June 30, 2010. This report is intended to communicate the final material findings, recommendations and corresponding institutional responses formulated through a comprehensive human resource compliance and operational audit.

On behalf of the audit staff, we thank Southern Illinois University School of Medicine and their human resource staff for a very productive audit experience. If there are any questions or a personal briefing on any item is desired, please call Lucinda M. Neitzel (217) 278-3150 ext. 239.

Lewis T. (Tom) Morelock  
Executive Director

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# Southern Illinois University School of Medicine Final Audit Report

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## State Universities Civil Service System Compliance Audit

April 5, 2011

Audit Period

June 1, 2008 to June 30, 2010

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Prepared by:

Lucinda M. Neitzel  
Audit and Advisory Services Manager

**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 (110 ILCS 70/36b(2)). To achieve this purpose, the Merit Board has been given a broad range of statutory powers and duties, which include the power to make rules to carry out the purpose of the State Universities Civil Service System and to appoint an Executive Director to administer the Act (110 ILCS 70/36d(11) and (12)).

As part of its statutory power, the Merit Board has promulgated rules that delegate to the Executive Director the authority and responsibility for conducting “ongoing audit programs of all Civil Service operations at all places of employment for the purpose of assuring compliance with the [Act (110 ILCS 70/36b et seq.)] and [Part 250 of the Illinois Administrative Code (Code) ([80 Ill. Adm. Code 250](#))] and for improving the programs of personnel administration of its constituent employers” ([80 Ill. Adm. Code §250.140\(c\)](#)).

This report communicates the final outcome of a comprehensive human resource operational audit, which included an on-site evaluation that was conducted October 27-29, 2010.

#### OVERVIEW

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

- **Administration and Employment Protocols of Positions Exempt from Civil Service Guidelines**

The Auditor completes a review of the employment protocols and assigned responsibilities for Principal Administrative Appointments. This review is conducted to assure compliance with recognized exemption authorization procedures. The Employer's exemption forms and related position descriptions are reviewed and selected incumbent interviews are conducted for validation of approved exemptions. The audit process also includes a review of the Employer's administrative procedures related to these appointments and their approved exemption status.

- **General Review of the Employer's Human Resource Program**

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

- **Other Follow-up Items from Previous Audit**

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

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

[Lucinda Neitzel, Audit and Advisory Services Manager](#)

[Jeff Brownfield, Manager of Operations Division](#)

[Paula Mitchell, Human Resource Assistant](#)

**Southern Illinois University School of Medicine**  
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**Executive Summary**  
**YEAR ENDED -- FY2011**

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

**SUMMARY OF MATERIAL FINDINGS**

<b><u>Number of</u></b>	<b><u>This Report</u></b>
Findings	1
Repeated findings from previous audit®	1®

**SCHEDULE OF MATERIAL FINDINGS**

<b><u>Item</u></b>	<b><u>Page</u></b>	<b><u>Description</u></b>
SIUSOM FY11-01	4	FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT) Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications

**Southern Illinois University School of Medicine**  
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**Material Findings, Recommendations, Institutional Corrective Action Plans and  
Additional Auditor Comments**

**SIUSOM FY11-01** Exemption Authorization Applied to Positions That Match Civil Service  
Classification Specifications

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

- 1) [State Universities Civil Service Act \(Act\), Section 36\(e\)](#)
- 2) [Illinois Administrative Code \(Code\), Section 250.30\(a\) Coverage](#)
- 3) [Exemption Procedures Manual, Section 1.1 Overview](#)
- 4) [Exemption Procedures Manual, Section 6.3 System Office Review](#)
- 5) [Exemption Procedures Manual, Section 8.2 Changing an Exempt Position to a Civil Service Position](#)

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

Periodic job description review and update procedures may indicate that a position originally identified as a Principal Administrative Appointment (PAA) may have incorrectly been classified or may have changed to the point whereby a department now must convert this position, and any employee currently occupying these positions, to an identified and appropriate Civil Service classification.

In this respect, biennial compliance audits of University System employers will include, but not be limited to:

- Comprehensive review of position descriptions
- Compliance with statutory and procedural criteria for exemptions
- Adequacy and thoroughness of related employment procedures
- Adequacy of internal review and approval processes
- Thoroughness and accuracy of quarterly reporting requirements
- Any other associated special interest items

When it has been determined and established that the job responsibilities and duties of a position do not meet the criteria for a PAA exemption under Section 36e(3), the Employer may



be required to change the position from an exempt appointment to an appropriate Civil Service appointment in a recognized classification.

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

Through a review of approximately fifty (50) exempt position descriptions, including on-site interviews with various exempted employees, it was determined that six (6) exempted positions listed below were performing duties matching the specifications for various Civil Service classifications. These positions are listed below, with the corresponding Civil Service classification match.

<b><u>Employee</u></b>	<b><u>PAA Title</u></b>	<b><u>Civil Service Classification Match</u></b>
Paul Fleming	Computer Information Specialist	Information Technology Management Series or Information Technology Manager/Administrative Coordinator
John Black	EHR Project Coordinator	Information Technology Management Series or Information Technology Technical Associate
Christopher Rector	Computer Information Specialist	Network Specialist Series, Information Technology Management Series or Information Technology Technical Associate
Lynda Hall	Coordinator, Customer Service Unit	Collection Specialist Series, Accountant Series, Accounting Associate or Business/Administrative Associate
Linda Hawker	Agency Relations Specialist	Community Affairs Specialist Series
Evan Wilson	Director of Medical School Admissions	Admissions and Records Supervisor

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

According to the Employer's records, 'standard' titles approved for use by the System Office were applied to the majority of exempted positions.



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

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

**Finding from Previous Audit:**

The Auditor identified five (5) exempted positions that appeared to be performing duties and responsibilities comparable to those found in Civil Service classification(s) in the FY2009 compliance audit and three (3) positions in the FY2007 audit. *[Finding Code SIUSOM FY09-01, pages 4-6 and SIUSOM FY2007, pages 12-14].*

**Recommendation:**

In accordance with the statutory intent and basic premise contained in [Section 36\(e\)](#) of the Act and other related procedures, the assignment of positions to Civil Service classifications when the position description matches appropriate classification specifications must take precedence over the use of exemptions through utilizing general titles.

We recommend that the Employer complete an in-depth review of the position descriptions for the positions listed to further determine if they meet the specifications of the recommended Civil Service classifications. If it is determined that these positions match the specifications of the recommended Civil Service classifications, they should be transitioned to a Civil Service appointment as soon as possible. *It is strongly recommended that these positions be moved immediately, or at the next employment contract renewal date if applicable. Specifically, positions that are flagged as a result of Auditor recommendations discovered through the compliance audit process must be reviewed as a matter of standard protocol at the next contract renewal date.* We refer the Employer to the [Exemption Procedures Manual, Section 8.2, Changing an Exempt Position to a Civil Service Position](#) for guidance in transitioning these positions to appropriate Civil Service Appointments.

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

**Institutional Corrective Action Plan—provided by Kay Titchenal, Executive Director of Human Resources**

**2010 Audit**

The Following position is vacant and will not be filled as PAA:

Linda Hawker                      Agency Relations Specialist

The Following positions will be evaluated for proper classification and changes made if appropriate:

Paul Fleming                      Computer Information Specialist

John Black                      EHR Project Coordinator

Christopher Rector      Computer Information Specialist

Lynda Hall                      Customer Service Unit Coordinator (Position was also cited in 2006 audit)

The following position should remain as currently exempted:

Vacant                      Director of Medical School Admissions

Justification: SIU School of Medicine (SIU-SM) is unlike the majority of universities in the State Universities Civil Service System who process applications for undergraduate students. SIU-SM recruits and trains degreed students as physicians. The individual in this position reports directly to the Associate Dean for Student Affairs, an MD and faculty member, who reports directly to the Dean and Provost. A bachelor degree plus several years of experience is required at a minimum with a preference for an individual holding a Master's degree.

The classification recommended in your audit report does not require a degree in order to qualify nor reflects the majority of the functions required of this position. We would agree that in a majority of situations, experience can be as relevant as education for an individual to be successful in their position. However, in this case, it is imperative that the individual recruiting, counseling, and working closely with medical students throughout their education at SIU-SM not only have relevant experience but at a minimum the formal education required of our first year medical students and an appointment that appropriately mirrors positions utilized at other medical schools.



### **2008 Audit**

The following position is vacant and will not be filled as PAA:

70312                      Academic Technology Coordinator

The following positions will be evaluated for proper classification and changes made if appropriate:

70135                      Computer Information Specialist

70296                      Marketing Development Specialist

70319                      Grants Development Specialist

This position significantly changed in scope and responsibilities and has been reclassified as the Assistant Director of Human Resources (Business Operations)

8739                      Computer Information Specialist

### **2006 Audit**

This position was reallocated to the Civil Service title of Health Care Administrator I

SMS310                      Cardiothoracic Business Office Specialist

The following positions will be evaluated for proper classification and changes made if appropriate:

SMS571                      Medical School Records Specialist

SMS310                      Computer Information Specialist

**Additional Auditor Comments:** With respect to the Director of Medical School Admissions, the position description submitted and reviewed as part of the audit did not adequately convey the level of responsibility indicated in the Employer's response. The description reviewed for this position by the auditor was either inaccurate or outdated. Even if the position description is expanded to include the components contained in the Employer's response, the position may still fit specifications within the Civil Service class plan, such as the Business/Administrative Associate Pilot Program Classification or, as recommended, the Admissions and Records Supervisor and requesting a specialized position certification (Specialty Factor).

The Auditor recommends that the Employer conduct a further review and analysis of this position prior to employing an incumbent to determine whether the position should be Civil Service. Conversely, if it is determined that the duties of this position and its educational requirements are truly authoritative and distinct in this respect, as the Employer suggests,



developing a more robust position description that clearly conveys a high level of administrative authority is required for exemption from Civil Service guidelines.