

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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June 15, 2011

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The State Universities Civil Service System respectfully submits the Final Audit Report of the Biennial Institutional Compliance Audit conducted at the University of Illinois at Chicago (UIC). The audit period tested was May 1, 2007 through December 31, 2009. 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.

It is important to acknowledge the significant amount of resources that has been dedicated to resolving the various findings contained in this Final Audit Report. Chancellor Allen-Meares and her administrative staff, along with the campus Human Resource Office staff, have devoted an extraordinary amount of budgetary and personnel support in addressing these issues. UIC is to be commended for this resource commitment.

Throughout the course of this audit process, UIC has developed and implemented several new business processes regarding the complex human resource activities surrounding these various human resource topics. In many respects, these actions have served to modernize the delivery of their campus human resource program, particularly those related to the management of their classification plan. Our office appreciates the professional approach to these topics and the willingness to communicate and collaborate with our office in this respect. Significant efforts have been made to establish UIC as a very

progressive, best-practice campus human resource model that can serve as an example across our entire system.

On behalf of the State Universities Civil Service System, we thank the University of Illinois at Chicago and their human resource staff for a very professional and productive audit experience. We remain committed to provide the resources necessary to assist in your resolution of the findings contained herein. If there are any questions or a personal briefing on any item is desired, please call my office or Lucinda M. Neitzel at (217) 278-3150, ext. 239.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Lewis T. Morelock", with a long, sweeping horizontal line extending to the right.

Lewis T. (Tom) Morelock
Executive Director

University of Illinois at Chicago Final Audit Report



State Universities Civil Service System Compliance Audit

June 15, 2011

Audit Period

May 1, 2007 to December 31, 2009

Prepared by:

A handwritten signature in blue ink, reading "Lucinda M. Neitzel", is written over a horizontal line.

Lucinda M. Neitzel
Audit and Advisory Services Manager

University of Illinois at Chicago
Final Audit Report

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University of Illinois at Chicago **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 May 3-7, 2010 and October 4-8, 2010. An exit conference was conducted on March 11, 2011 and provided an opportunity for the Employer to discuss both the Material and Non-Material findings contained in the initial Draft Audit Report. Upon completion of the exit conferences and submission of the Institutional Corrective Action Plan, a Final Audit Report (Material Findings only) is sent to the Employer, and a Supplemental Report (Non-Material Findings) is sent to the campus/agency Human Resource Office for internal use.

OVERVIEW

The following Human Resource activities were reviewed and utilized in identifying the Material (Final Audit Report) and Non-material Findings (Supplemental 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 Principal Administrative Appointments (PAA)**

The Auditor completes a review of the employment protocols and assigned responsibilities for Principal Administrative Appointments. This review is conducted to assure compliance with 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](#)

University of Illinois at Chicago
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Executive Summary

YEAR ENDED--2010

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

SUMMARY OF MATERIAL FINDINGS

<u>Number of</u>	<u>This Report</u>
Findings	9
Repeated findings from previous audit®	8®

SCHEDULE OF MATERIAL FINDINGS

<u>Item Number</u>	<u>Page</u>	<u>Description</u>
FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT)		
UIC FY10-01	6	Inadequate Internal Business Processes Regarding the Authorization and Employment of Exempt Positions®
UIC FY10-02	24	Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications®
UIC FY10-03	33	Exemption Authorization Applied to 'Academic Hourly' Positions That Match Civil Service Classification Specifications®
UIC FY10-04	38	Employees Paid Outside of Approved Salary Ranges®
UIC FY10-05	41	Failure to Monitor and Validate Temporary Upgrade Assignments®
FINDINGS (ILLINOIS ADMINISTRATIVE CODE)		
UIC FY10-06	45	Non-Compliance with Extra Help Employment and Position Limitations®
UIC FY10-07	49	Failure to Maintain a Position Control Management Process

UIC FY10-08	52	Inadequate Classification Plan Management Protocols; Failure to Maintain and Verify Civil Service Position Changes through Position Audit Activities®
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UIC FY10-09	55	FINDINGS (SUCSS PROCEDURE MANUALS) Cyclic Review of Civil Service Position Descriptions®
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University of Illinois at Chicago
Final Audit Report

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

UIC FY10-01 Inadequate Internal Business Processes Regarding the Authorization and Employment of Exempt Positions

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

- 1) [State Universities Civil Service Act \(Act\), Section 70/36b\(2\)](#)
- 2) [Illinois Administrative Code \(Code\), Section 250.140 Delegation of Authority and Responsibilities](#)
- 3) [Exemption Procedures Manual, Section 1.1 Overview](#)
- 4) [Exemption Procedures Manual, Section 6.3 System Office Review](#)

Section 70/36b(2) of the Act states, “The purpose of the University System is to establish a sound program of personnel administration for 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. All certificates, appointments, and promotions to positions in these agencies and institutions shall be made solely on the basis of merit and fitness, to be ascertained by examination, except as specified in Section 36e.”

As stated in Section 250.140 of the Code, “Delegation of Authority and Responsibilities”:

- a) “Delegation to the Executive Director. The Executive Director is delegated the authority and responsibility to effectively administer the State Universities Civil Service System in accordance with the Act and this Part. The Executive Director may be further delegated the authority and responsibility to act on behalf of the Merit Board by specific authorization or direction of the Merit Board.”
- b) “Delegation by the Executive Director. The Executive Director is authorized to delegate to the employer, and to members of the University System staff, such duties and responsibilities as, in his/her judgment, are appropriate and effective for the efficient administration of the service of the System to its constituent institutions and agencies.”
- c) “Conduct of Audits. The Executive Director shall conduct ongoing audit programs of all Civil Service operations at all places of employment for the purpose of assuring compliance with the Act and this Part and for improving the programs of personnel administration of its

constituent employers and shall prepare, distribute, and follow up on audit reports in accordance with Merit Board direction.”

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

As further captured in the Exemption Procedures Manual, accountability for the Exemption Authorization process is clearly defined. It states in part, “The Audit and Advisory Services division of the University system office will audit selected exempt positions as a regular part of their biennial audit of each University System employer. If it is noted that significant changes have occurred in job content, suggesting a revision to the position description and corresponding employment designation, the University System employer will be requested to make appropriate corrections as described in the audit findings.”

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

The FY2008 Final Audit Report (FAR), published September 4, 2008, and covering the time period December 1, 2004 through April 30, 2007, summarized a series of audit topics, including an in-depth review and analysis of the position management, exemption authorization, and employment protocols regarding Principal Administrative Appointments (PAA) and ‘Academic Hourly’ Appointments (AH). This audit documented a significant level of non-compliance regarding this topic, specifically finding that exemption authorizations were being applied to positions whose descriptions matched Civil Service classification specifications. This audit cited approximately 67 PAA positions, out of 100 tested that potentially met Civil Service classification specifications.

The FY2009 Final Supplemental Audit Report, published July 29, 2009, and covering the time period June 5, 2008 through December 31, 2008, confirmed the continued failure to establish and/or follow adequate personnel protocols in this respect, leading once again to the inappropriate exemption of positions and subsequent employment decisions in direct violation of statutory intent and defined regulations. This audit cited approximately 78 PAA positions, out of 115 tested that potentially met Civil Service classification specifications. The Institutional Corrective Action Plan (ICAP) submitted by the Employer to address this topic outlined specific strategies and process changes to resolve these violations, which included quarterly updates for those positions specifically identified by the Auditor as matching Civil Service classification specifications. Due to the level of noncompliance demonstrated in both audits, the Auditor’s follow-up activities in this respect were conducted as required.

As part of the FY2010 Biennial Compliance Audit process, the Auditor conducted an overall status review of the specific findings cited in the FY2008 Biennial Compliance Audit and the FY2009 Supplemental Audit to determine whether corrective action has been taken in accordance with the Employer's corrective action plan. In the sections that follow, the Auditor's observations in this regard are noted, and separated by specific topic area related to PAA and 'Academic Hourly' employment designation.

1) Status of Previous Audit Findings:

The following charts summarize the most current personnel activity status, as of November 30, 2010, regarding those specific position findings cited during the previous two audits:

Principal Administrative Appointments	FY2008 Biennial Audit	FY2009 Supplemental Audit
Terminated	23	28
Converted to Civil Service	1	9
Pending/Will Be Converted to Civil Service	32	22
<i>UIC Recommends Position Remain PAA</i>	9	10
<i>UIC Transitioned Position to Another PAA</i>	2	9
Total:	67	78

'Academic Hourly' Appointments	FY2008 Biennial Audit	FY2009 Supplemental Audit
Terminated	18	12
Converted to Civil Service	0	2
Pending/Will Be Converted to Civil Service or Extra Help	1	3
<i>UIC Recommends Position Remain PAA</i>	2	1
<i>UIC Transitioned Position to Another PAA</i>	0	0
Transitioned to Another Position/Graduate Asst.	0	1
Miscoded in Payroll	0	1
Total:	21	20

After the completion of these two audits, the Employer implemented a formal job analysis process to be applied to all exempt positions utilizing a comprehensive electronic job analysis tool. This process is intended to thoroughly evaluate all job element components relevant to each position and assist in the preparation of a comprehensive position description. This would then become the foundation for comparison to the civil service classification plan and validate the PAA exemption authorization. While a large number of positions cited in the two employment categories during both audits appear to have been terminated, there still remain a significant number of positions pending job analysis and/or conversion to Civil Service.

The Employer communicated the status of these cited positions through the quarterly reports. The Employer's assurances that these cited positions are currently in the process of being converted to Civil Service are of some concern due to the length of time pending any sort of

personnel action. However, this can partially be explained by the recent change in the Employer's focus on managing this issue, moving to a more organized departmental review of positions rather than a more general widespread approach based on these specific findings.

As part of the current FY2010 Biennial Compliance Audit, the Auditor selected a small sample of positions cited during the previous two audits to verify whether required employment actions have been taken, consistent with previous recommendations and the previous institutional corrective action plans. An integral part in determining whether previous audit findings were properly addressed and resolved is to conduct a validation study to assess whether the Employer's corrective actions were completed. This review provides a subsequent foundation for future compliance in this respect.

As documented in **Appendix A**, the Auditor requested a sample of fifty (50) current position descriptions for this validation study. It was determined that only two (2) positions, identified in green, were processed through the job analysis tool implemented by the Employer. Twenty-four (24) positions were still in the job analysis process at the time of the request for the audit sample, therefore an actual position description was not available or submitted to the Auditor for review. In these instances, the Auditor made an attempt to review and classify these positions, based solely on the position summary and referencing the recommendations made during the previous audits.

The Auditor did not receive position description documentation for eleven (11) of the exempted positions out of this sample of fifty (50) position descriptions requested for the validation study. The Auditor did receive these position descriptions in one of the previous audits, so they should have been available for this audit as well. Since the Employer failed to provide the position description documentation for these 11 positions, the Auditor could not determine or validate their exemption from Civil Service guidelines.

Additionally, of the eleven (11) position descriptions not received, four (4) positions described below were identified by the Employer in the most recent quarterly status report as remaining exempt, or were being transitioned to another exempt position, which was contrary to the Auditor's previous recommendations.

- The position of Associate Director for Billing and Collections (C57957) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer transitioned the incumbent, Cynthia Collins, to another exempt position on 8/16/10. According to payroll records dated 11/2/10, this incumbent currently occupies the same position number (C57957) with the title of *Director of Clinical Operations* and remains exempt from Civil Service guidelines.
- The position of Marketing and Communications Specialist (C33700) was previously cited in the FY2009 Supplemental Audit. Status reports indicate that the Employer recommends the position remain exempt from Civil Service. According to payroll

records dated 11/2/10, this incumbent, Christine Mulcahy, occupies the same position number (C33700) with the same title, and remains exempt from Civil Service guidelines.

- The position of Project Coordinator (C04379) was previously cited in the FY2009 Supplemental Audit. Status reports indicate that the Employer recommends the position remain exempt from Civil Service. According to payroll records dated 11/2/10, this incumbent, Desiree Vargas, occupies a different position number (C03586) with the title of *Visiting Coordinator of Clinical Services*, which the Employer currently indicates is exempt from Civil Service guidelines.
- The position of Coordinator of Clinical Research Programs in Psychiatry (C54825) was previously cited in the FY2009 Supplemental Audit. Status reports indicate that the Employer recommends the position remain exempt from Civil Service. According to payroll records dated 11/2/10, the incumbent, Katherine Samuels, occupies a different position number (C50092) with the title of *Visiting Research Data Analyst*, which the Employer currently indicates is exempt from Civil Service guidelines.

Since the Employer failed to provide the position description documentation in these four (4) instances, the Auditor could not determine whether they should be truly exempt from Civil Service guidelines. The Employer's decision to transition these exempt positions to other exempt positions, or otherwise indicate through quarterly status reports that the positions should remain exempt, without providing validation that exemption is appropriate through a review of a current position description, is again a technical violation of exemption authorization and employment guidelines.

2) Position Control and Administration:

The Auditor reviewed a recent payroll document dated November 2, 2010. In terms of position control and management, the Auditor made comparisons between position titles and position numbers cited during the previous audits and the status of those positions outlined in the most current quarterly status reports from the previous audits, dated November 30, 2010. Observations noted by the Auditor are as follows:

- The position of Coordinator of Clinical Research Programs in Psychiatry (C55071) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer terminated the employment of incumbent Krista A. Kohl on 3/21/09. This same position title and position number (C55071) was reutilized on 4/8/09 with the new employment of Rachel A. Heaston. A new position description for this title was not provided to the Auditor for analysis to validate this exemption.
- The position of Project Coordinator (C27597) was previously cited in the FY2009 Supplemental Compliance Audit. Status reports indicate the Employer terminated the employment of incumbent Arianna Sundick on 6/15/09. This same position title and

position number (C27597) was reutilized on 7/20/09 with the new employment of Stephen M. Klapproth. A new position description for this title was not provided to the Auditor for analysis to validate this exemption.

- The position of Assistant Director of Budget and Financial Analysis (C82563) was previously cited in the FY2008 Compliance Audit. Status reports indicate the employment of Lenis Lee remains 'pending' at this time. However, this same position number (C82563) was reutilized on 7/12/10 with the new employment of Stephen F. Kiraly in the title of *Assistant Director of Report and Data Analysis*. A new position description for this title was not provided to the Auditor for analysis to validate this exemption.
- The position of Database Management and Analysis Specialist (C93778) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer terminated the employment of incumbent Ravi Samitamana on 8/15/09. However, incumbent Denis K. Roarty currently occupies the same position title and position number (C93778) as the one previously cited with an employment date of 6/6/05.
- The position of Assistant Network Analyst/Specialist (C66850) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer terminated the employment of incumbent Parvathi Srinivasan on 9/20/07. However, incumbent Pedro Valencia currently holds the position of Network Specialist and occupies the same position number (C66850) previously cited with an employment date of 5/23/06.
- The position of Coordinator of Clinical Research Programs in Psychiatry (C02384) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer terminated the employment of incumbent Julie A. Jackson on 4/5/08. However, according to payroll records dated 11/2/10, this incumbent is currently employed in the same position title and position number, and remains exempt from Civil Service guidelines.
- The position of Project Coordinator (C01275) was previously cited in the FY2009 Supplemental Compliance Audit. Status reports indicate the Employer transitioned the incumbent, Margareta Bora to another exempt position on 3/16/10. However, according to payroll records dated 11/2/10, this incumbent currently occupies the same position number (C01275) previously cited with the title of *Visiting Grants Coordinator*, and remains exempt from Civil Service guidelines.
- The position of Coordinator for a Center of Excellence for the Elimination of Health Disparities (C49108) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer terminated the employment of incumbent Marsha S. Erving on 6/15/10. However, according to payroll records dated 11/2/10, this

incumbent currently occupies the same position number (C49108) with the title of *Visiting Social Work Coordinator* and remains exempt from Civil Service guidelines.

- The position of *Clinic Inventory Coordinator* (C58032) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer is in the process of converting the position of the incumbent, Kathleen Boyce to Civil Service. However, according to payroll records dated 11/2/10, this incumbent occupies the same position number (C58032) previously cited, with the same title, and remains exempt from Civil Service guidelines.
- The position of *Coordinator of Online Communications* (C56145) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer is in the process of converting the position of the incumbent, Ebonie Saunders to Civil Service. However, according to payroll records dated 11/2/10, this incumbent occupies the same position number (C56145) previously cited, with the same title, and remains exempt from Civil Service guidelines.
- The position of *Assistant Director of Housing* (C41639) was previously cited in the FY2008 Compliance Audit. Status reports indicate the Employer transitioned the incumbent, Matthew T. Miller to a faculty appointment. However, according to payroll records dated 11/2/10, this incumbent occupies the same position (C41639) previously cited, with the same title, and remains exempt from Civil Service guidelines.

These specific examples appear to give an indication that required position management protocols remain inadequate, as related to previously cited position audit findings. This validation study also suggests that the lack of position control in this respect appears to simply perpetuate previous, current, and potentially future exemption violations. Utilizing basic position movements and job title changes as a method of addressing these violations does not provide verification of the institutional corrective action plan or validation of the current exemption from statutory guidelines. Moreover, it demonstrates a failure to properly follow through on recommended action taken with respect to specific position findings cited in both the FY2008 Biennial Compliance Audit and the FY2009 Supplemental Audit.

3) Employment Protocols:

Several observations were noted upon review of recent payroll documents dated August 5, 2010 and October 4, 2010 as submitted by the Employer. This review by the Auditor revealed that a large number of the newly employed exempt positions during the FY2010 Biennial Compliance Audit time frame, and the time period following the supplemental audit period, are the same, or in similar titles as those positions cited in the last two compliance audits as matching Civil Service classification specifications. Additionally, the method of coding positions through the UIC payroll process was confusing and, in many instances, it appeared that several titles were not properly coded or designated as either statutory 36e(3) exemptions or 36e(4)

exemptions. These observations prompted a further in-depth review and several follow-up communications with the Employer. While on-site it was discovered that various campus departmental personnel are directly responsible for the employment processing, coding, and exemption authorization of their departmental employees in the payroll system, with little or no oversight from the campus HR office.

In terms of overall employment activity, it appears the Employer continued to exempt and employ positions in the Principal Administrative Appointment (PAA) employment category at a higher rate, despite previously cited audit findings. The table below provides a summary of the PAA employment activity, audit sampling, and findings observed over a five year period, covering the previous two biennial compliance audit time frames:

		<u>Total PAA's</u>	<u>New PAA's</u>	<u>Audit Sample</u>	<u>Non-Compliant</u>
<i>FY2008 Biennial Audit</i>	PAA	5,479	997	100	67
<i>(Dec 1, 2004-Apr 30, 2007)</i>	AH	479	224	54	21
<i>FY2009 Supplemental Audit</i>	PAA	6,290	330	115	78
<i>(Jun 5, 2008 – Dec 31, 2008)</i>	AH	927	166	37	20
<i>FY2010 Biennial Audit</i>	PAA	6,639	1160	209**	162
<i>(May 1, 2007 – Dec 31, 2009)</i>	AH	1,111	412	52**	30

*****The FY2010 Audit Sample reflects the actual number of position description documents received from the Employer and is not indicative of the quantity requested. Section 4 provides further details regarding the actual sample size requested by the Auditor.***

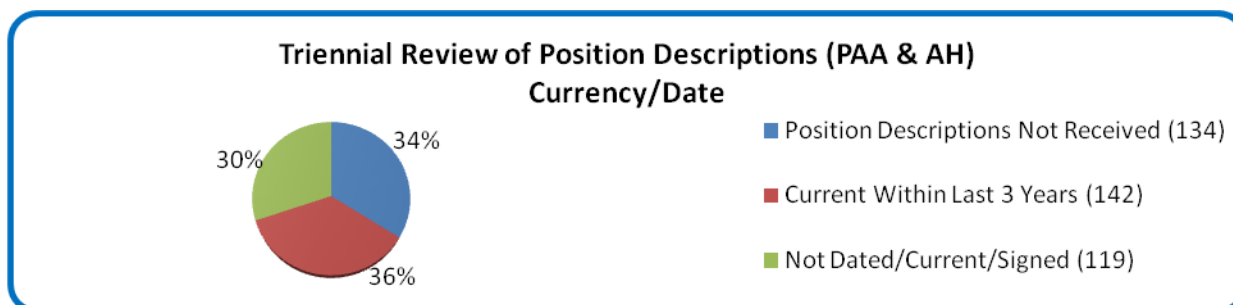
The payroll document dated 8/5/10 was compared to the system-wide Quarterly Report of Employees Served covering the time period July 1, 2010 – September 30, 2010. The total number of exemptions in the 36e(3) and 36e(4) categories reported for this time period appear to indicate a total of 3,393 exempt employees. This total is inconsistent with payroll records, since those reports appear to indicate that approximately 6,639 were employed at the time the report was submitted to the Auditor. The difference in employee headcount between the two documents is clearly significant, prompting questions regarding how information was being reported to the System Office, accountability for employees serving in multiple appointments, or whether payroll totals include employees from other subordinate campuses, such as the UI College of Medicine-Rockford, UI College of Medicine-Peoria, and the Division of Specialized Care for Children (DSCC). Further, because 'Academic Hourly' is technically a Civil Service exempt employment designation which is difficult to track by exemption authorization category, it is unknown whether these employees are included in the overall population reported. Therefore, based on payroll records submitted by the Employer, it would appear that approximately 1,111 employees in this "Academic Hourly" category may simply not be reported to the System Office. Absent an approximate headcount match through the payroll documents, the integrity of the data reported in the Quarterly Report of Employees Served appears to be significantly compromised.

4) FY2010 Position Description Review and Analysis:

The Auditor requested a sample of 258 Principal Administrative Appointment (PAA) position descriptions and 137 'Academic Hourly' position descriptions for review. The total number of position descriptions requested was three-hundred ninety-five (395).

As documented in **Appendix B**, the Auditor was unable to obtain forty-nine (49) Principal Administrative Appointments and eighty-five (85) 'Academic Hourly' position descriptions from the Employer. This results in a total of one-hundred thirty-four (134) position descriptions that were not received or subject to review.

The following chart outlines the overall receipt, currency, and date of the Principal Administrative Appointment and 'Academic Hourly' position description documents requested by the Auditor as part of the FY2010 audit sample. This sample also includes the fifty (50) position descriptions requested as part of the validation study mentioned previously.



The position description sample size requested for this audit was larger by comparison to the two previous audits. The purpose was to further analyze previously cited position descriptions and make comparisons to determine follow-up personnel action, to assess whether positions had been retained, reutilized, transitioned to civil service, or terminated and to comprehensively assess whether position control practices or personnel administration protocols had been effectively established to address this major issue.

In terms of being able to obtain current, complete, and accurate position descriptions, it appears the situation had worsened by comparison to the two previous audits. The Employer was only able to obtain position description documentation for two-hundred sixty-one (261) positions of the three-hundred ninety-five (395) requested. Since exemption status is primarily justified through the position description, exemption authority and proper employment designation is not validated and continues to be significantly compromised. Quite simply, 64% of the position descriptions requested have either been unobtainable for review by the Auditor or have not been properly updated and communicated to the employee in accordance with the triennial review standard. In these two categories combined, valid justification for the exemption of these positions from civil service guidelines is nonexistent. This again represents a significant regulatory issue and subsequent liability risk.

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

During the FY2008 Biennial Compliance Audit, the FY2009 Supplemental Audit, and the FY2010 Biennial Compliance Audit time frames, the Employer did not have institutional control or adequate business processes in place to properly manage employment protocols, designate positions, or maintain job descriptions for exempt positions.

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

The Employer's past failure to implement and maintain effective business protocols regarding exemption authority and employment of PAA positions has presented a multitude of serious consequences. Primarily, significant numbers of positions were improperly exempted from Civil Service regulations without proper oversight or monitoring, leading to a fundamental breakdown of several interrelated human resource functions, including employment status, position classification, seniority, recruitment, compensation, evaluation, performance, and benefit administration.

On August 11, 2010, a Joint Senate Committee, composed of the members of the Senate Higher Education Committee and Senate Appropriations II Committee, was convened to discuss 'civil service employment classifications, exemptions, and protocols at the University of Illinois at Chicago'. The University System Office was asked to initiate actions to address these problems and provide recommendations on updating regulatory components to more aggressively address compliance issues within our jurisdiction. Pursuant to their request, the University System Office provided a list of follow-up activities directly related to our statutory charge of administering the state university personnel management system, and to insure that specific regulations in this respect are strictly followed through our regulatory compliance audit process and Merit Board procedures.

At the 178th Meeting of the University Civil Service Merit Board on November 17, 2010, a specific agenda action item was opened to discussion and consideration of recommendations to address serious, ongoing audit issues at the University of Illinois at Chicago. As a result of this meeting, the Merit Board opted to direct the System Office to collaborate with UIC to implement and establish a process to effectively manage these audit issues in order to achieve compliance in this respect.

Finding from Previous Audit:

Please refer to the Final State Universities Civil Service Compliance Audit Report (FAR) for the University of Illinois at Chicago (UIC) issued on September 4, 2008, which included a compilation of findings, recommendations, and Employer responses related to this topic.

The FY2009 Final Supplemental Audit Report for the University of Illinois at Chicago, published July 29, 2009 confirmed the continued failure to establish and/or follow adequate personnel protocols in this respect, leading once again to the inappropriate exemption of positions and subsequent employment decisions in direct violation of statutory intent and defined

regulations. *[Finding Code UIC FY08-01, pages 4-16, UIC FY08-02, pages 17-26, UIC FY08-03, pages 27-29; Finding Code UIC FY09-01, pages 2-13].*

Recommendation:

Recent discussions with the Employer revealed the continued decentralization of the overall employment process with respect to the exemption authorization and initial employment into PAA positions. Although recent changes in some campus procedures appear to be consistent with System guidelines in this respect, it is evident that progress in achieving compliance standards and managing positions and position descriptions in this employment category has been extremely difficult and may require several months to complete. A huge amount of resources and personnel activities are required to properly address and rectify these findings, while simultaneously maintaining the employment process to properly fill vacancies in these PAA positions.

As previously mentioned, the Employer has recently executed a formal and comprehensive job analysis process to evaluate new PAA position requests and review all current PAA positions, utilizing an electronic job analysis tool and designated staff for this purpose. Although a very limited number of positions were evaluated utilizing the job analysis tool during the course of this audit, the job analysis process was demonstrated to System Office staff and does appear to have the capability to accurately define positions, provide comprehensive descriptions, and assist in determining proper Civil Service classification designation or exemption from Civil Service guidelines. The implementation of this job analysis tool has been phased in gradually over the last 12-18 months and, while initial observations appear to be encouraging, the final outcome of this new business process will eventually determine its success in addressing this issue.

The Employer has communicated their firm commitment to achieving compliance and is making gradual strides in implementing internal protocols and evaluating positions in this respect. New PAA vacancies now require campus HR to evaluate positions through the job analysis tool to determine proper exemption and classification prior to posting the vacancy. Quarterly status reports regarding previous position findings have been submitted to the University System Office consistent with the Employer's stated Institutional Corrective Action Plan (ICAP) from previous audits. Specified campus departments have been targeted for a full and complete analysis of all PAA positions located in those areas for proper exemption authorization or civil service designation. For example, as of January 31, 2011, 384 exempt PAA positions have been evaluated through the job analysis process at the UIC Medical Center. 262 of these positions were determined to be Civil Service appointments and are now in the process of being converted from PAA to Civil Service at this time.

Consistent with regulatory guidelines, it is recommended that the Employer continue to aggressively pursue compliance in this respect, utilizing their newly implemented job analysis process and centralized exemption authorization protocols. The University System Office recognizes the Employer's development and implementation of new business procedures

utilizing a more comprehensive position description model to effectively identify positions and validate exemption authorization.

Recognizing the Employer's approach in addressing this issue, both from a new employment approval process and a review of all current positions by designated departments, the Employer is asked to submit the following reports to serve as verification that the current business processes are adequately addressing this significant finding.

- A report will be provided to SUCSS every 30 days listing all new exempt PAA positions that have been requested to be employed within that time frame. Position descriptions will also be provided for those requests approved for exemption as PAA and for those requests determined to match Civil Service classification specifications.
- Regular reports will be provided to SUCSS regarding the Job Analysis process as conducted for each unit/department, listing all current exempt PAA positions reviewed, including some indication of whether each will remain exempt or be transitioned to an appropriate Civil Service classification. Position descriptions will be provided for those that will remain as exempt PAA. These reports will be submitted by unit/department upon the completion of the Job Analysis process for that entire unit/department.
- A PAA payroll report to SUCSS every three months to further verify personnel actions indicated in the other reporting parameters.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

UIC's Chancellor is committed to addressing issues identified in the findings from the recent series of Civil Service audits, though as acknowledged in the audit recommendation, "a huge amount of resources and personnel activities are required to properly address and rectify these findings, while simultaneously maintaining the employment process to properly fill vacancies in these PAA positions." Specifically, the Chancellor has committed to developing the proper business processes that further tighten and consolidate the management and control of exemption authorization protocols for Academic Professional positions.

To achieve compliance, UIC has worked closely and continually in collaboration with the SUCSS Office throughout the entire process to review and update business practices, position review and the conversion process. In fact, in September 2010, the SUCSS staff was formally presented with a demonstration of the new job analysis instrument being utilized in the evaluation of positions. During the Medical Center job analysis process, a joint meeting with Medical Center leadership and the SUCSS leadership team was held to determine the proper classification of

certain positions. It was found that positions could not always be clearly matched to an existing Civil Service classification. In those instances, the SUCSS leadership committed to working closely with us to update the class specifications to ensure compliance with State/Federal patient care requirements.

As we strive to improve business practices and policies to ensure future compliance with Civil Service rules we are mindful of the significant changes resulting from this very important endeavor. These changes go much farther than transitioning employees from one employee group to another; but require a cultural paradigm shift and have serious implications for the University's research mission, patient care initiatives and overall operations. The implications for UIC's future cannot be discounted. Given the finite resources dedicated to this process we believe the best use of those resources is in looking forward and focusing on the future. The considerable effort that has already been exerted to ensure new practices and policies are appropriate and will continue until we have achieved audit compliance.

It is important to communicate these messages broadly across campus as well as to our external stakeholders to create awareness and understanding. Many such communications have taken place over the past year and more recently, a formal presentation to the Merit Board covering in detail the status of audit compliance. Additionally, various types of communications to leaders, administrators and staff within the University have occurred.

Response to audit recommendations:

- ***Decentralization of the overall employment process.***

Given the necessity of any major research university to attract and hire the most talented employees, the business model and employment processes for Academic Professional at UIC is designed to provide as much flexibility as possible to ensure expedited hiring in critical positions. Though the employment process will continue to be decentralized, there are several new employment procedures and requirements being implemented that must be met prior to hiring into an Academic Professional position.

In addition to the comprehensive job analysis plan (to be discussed in the next section), UIC has created new hiring protocols for new positions and search requests that further ensure compliance with exemption requirements and to eliminate the inappropriate exemption of future positions. The new protocols include the following:

- ***Policy Revision of HR Policy 404-01***

As a result of the audit findings from 2007, HR Policy #404-01 was updated to reflect the requirement that Academic Professional positions are to be documented via job descriptions. This change in policy represented a significant shift in the Organization's hiring process. Given the current job analysis process that is underway, enforcement of this policy is now possible

since there is a mechanism by which to monitor the creation of new positions.

In summary, the policy states that “The University of Illinois at Chicago will establish Academic Professional positions based on exemption criteria detailed in Sections 36e(3) and 36e(4) of the Statutes and Rules of the State Universities Civil Service System (SUCSS). Therefore, these exempted positions are not subject to the Statutes and Rules of SUCSS. Determination of whether or not new positions will be approved for exemption or existing positions modified will be based on a review of the essential duties, scope and level of responsibility as well as a consideration for other positions with the same or similar internal value to the organization, as documented in the job description.”

- ***Approval of job descriptions attached to searches for permanent vacant positions***

Working in collaboration with the Office for Access and Equity (OAE) at UIC, we are in a better position to halt the new position creation process before employees are hired into those roles. This new process requires all position descriptions submitted with documents to initiate a search for an Academic Professional position must have been reviewed and have the approval of the HR Compensation Office. This step allows UIC HR to make a determination whether or not the position requested is appropriate as an Academic Professional or if a different employee class is needed. Position descriptions used in the hiring process that are three (or more) years old are no longer valid for hiring.

- ***Approval of job descriptions attached to searches for temporary (visiting) vacant positions***

Again, working in collaboration with OAE, we are in a better position to halt the new position creation process before employees are hired into those roles. This new process requires search waivers be submitted and approved prior to hiring into a visiting Academic Professional position. The position descriptions submitted with documents to initiate search waivers must have been reviewed and have the approval of the HR Compensation Office. This step allows UIC HR to make a determination whether or not the position requested is appropriate as an Academic Professional or if a different employee class is needed.

- ***Requirement of current job descriptions for any new vacant position***

While UIC is in the process of conducting a job analysis, the need to hire employees will not cease. To ensure that positions are not inappropriately created as Academic Professional, all position descriptions used in the hiring process that are three (or more) years old are no longer valid for hiring and must be reviewed and approved by the HR Compensation Office.

In December 2010, communications were sent to the UIC Deans, Directors, Department Heads and other departmental contacts that coordinate HR functions regarding the strict enforcement of exemption protocols and these new procedures.

- **Comprehensive job analysis.**

With the support of UIC's Chancellor and senior leadership team, a campus wide job analysis (the systematic study of jobs to identify their observable duties and responsibilities, as well as the knowledge, skills and abilities required to perform a particular task or group of tasks) study has been initiated for Academic Professional jobs at the UIC campus. The goals of this process are to achieve compliance with Civil Service exemption protocols (ensuring that only jobs that meet the specified criteria are exempt from CS), to systematically define and document (through the creation of job descriptions) each Academic Professional job and finally to create a pathway to implement critical HR programs starting with compensation and professional development. While the audit seemed to focus on one aspect of this process (i.e. ensuring that positions are properly exempted), the benefits of the job analysis process are greater.

The job analysis process began in late January 2010 and will continue until it has been administered across all Campus Administrative Units and Colleges. The focus of the analysis will be on positions currently exempted under Civil Service 36e(3) and 36e(4) exemption categories and have job titles that fall within the standard titles between Specialist and Executive Director. Job Analysis is a common job classification technique that has been in existence in various forms since the early 1900's. It is an inherently slow process but after licensing an automated software application to assist with the process, the process can be expedited with greater, more consistent results.

The job analysis process is described in detail in the response to the next audit finding related to improper exemption.

- **Employer should continue to aggressively pursue compliance.**

Without question, UIC is aggressively addressing the compliance findings of the most recent Civil Service Audits. To this end, the UIC Chancellor has pledged her full support for time and resources necessary to ensure

compliance with Civil Service guidelines. The Chancellor has also committed to complying with the recommendations put forth in the Draft and Final Audit Reports from Civil Service, developing processes to ensure tighter position management protocols for Academic Professional positions, converting jobs that have been inappropriately exempted from Civil Service to Civil Service classifications and to evaluate all remaining PAA jobs, and document them via job descriptions to ensure the appropriate employment class has been assigned.

A significant indicator of UIC's goal to achieve compliance is the massive conversion process that follows job analysis. This process focuses on the transition of any (not just those identified in the audit findings) Academic Professional position to Civil Service classifications where it has been determined through job analysis that the Academic Professional position substantially mirrors a classification within the Civil Service class plan. The conversion process is highly complex and the issues are significant enough such that if not resolved thoughtfully can have serious implications on UIC's standing as well as its ability to attract and hire into any employment category. The issues range in complexity and are summarized below:

- Transitioning from FLSA (i.e. Fair Labor Standards Act) exempt to non-exempt status and the costs and implications of employees suddenly becoming overtime eligible. Additionally, addressing any back pay (and potential penalties) issues associated with classifications as exempt during that time period.
- Retention of sponsored employees who are working on Visa requirement Conversion also impacts an employee's ability to maintain a Visa.
- Residency restrictions for employees given the requirement for Civil Service employees to be residents of the State of Illinois.
- Academic contract and notice rights issues.
- Funding implications for grant funded positions.
- Effect of this change on employee work life (including pay, paid time off and benefits).
- Transition of employees to unionized positions.
- Implementation of Civil Service elements like seniority within the Civil Service System.

Given the complexity of these issues, it has been necessary to work in close collaboration with the Civil Service System office. Nevertheless, UIC has tackled these issues and are in the process of implementing several hundred conversions and expect that more will become necessary.

The data collection and design/classification portions of the job analysis process have concluded in the Medical Center. UIC is in the process of communicating the required changes (as indicated above) to the employees whose positions will be converted from Academic Professional to Civil Service. There are approximately 280 employees being converted.

- **Requested Reporting**

UIC is committed to providing the following reports requested via the audit report in the requested time frame.

Report 1 – New exempt PAA positions that have been requested to be employed within the time frame. This report will be provided to the Civil Service System Office every thirty days; and in fact, the first such report has been provided to the System Office. Position descriptions created as a result of the job analysis process will also be provided for these requests for each exemption granted for PAA.

Report 2 – Current Activity – Job Analysis report. This report will be provided to the Civil Service System Office.

Report 3 – Payroll report for PAA positions. This report will be provided to the Civil Service System Office once per month to verify personnel actions.

Additional Auditor Comments:

The Employer's implementation of new business procedures utilizing a formal, comprehensive job analysis tool to evaluate new and current PAA positions should provide a solid foundation to accurately evaluate and properly manage positions, consistent with regulatory guidelines. The University System Office has been in regular contact with the Employer regarding this topic, and has been directly involved with the integration of the Job Analysis Model by providing feedback regarding the monthly reports and position descriptions submitted as previously mentioned in the Auditor's recommendation and the Employer's corrective action plan.

The Auditor acknowledges that through implementing these steps to address specific portions of this finding related to employment protocol, position control, and personnel administration are indeed complex and will certainly require a significant cultural paradigm shift. The University System Office understands that this will require some necessary adjustments by all employees campus-wide. However, the continued decentralization of the employment process may remain problematic in terms of the overall adequate review and analysis of AP positions at UIC. The actual success of these new business processes at UIC cannot be validated until an

adequate number of position description documents and monthly reports are submitted and reviewed by the University System Office over an extended period of time.

During the month of February 2011, the Employer submitted a report for the UIC Medical Center which indicated that 384 positions were reviewed by the Employer utilizing the newly implemented Job Model Analysis program. Of those analyzed, the Employer determined that 262 of those positions should be transitioned to Civil Service. However, based on the monthly reports submitted, only two (2) of those positions appear to have actually been transitioned to Civil Service for the month ending April 30, 2011.

With respect to the findings cited in the FY2008 Biennial Audit and FY2009 Supplemental Audit, the Employer continues to provide the Auditor with regular quarterly status reports pursuant to previous agreements. However, it should be noted that many of the positions cited during these audits either still remain under review, are pending conversion to Civil Service, and/or have been transitioned to other AP appointments. While it is the Employer's intent to focus their future PAA position reviews by department or campus unit, these previous audit findings cited in FY2008 and FY2009 were extracted from a cross campus sampling, and in terms of review and position analysis, must also be addressed and not allowed to remain noncompliant.

The Auditor will continue to maintain close contact with UIC HR representatives in monitoring employment and position management activities related to this topic through the monthly reports submitted to the University System Office in accordance with the Employer's Institutional Corrective Action Plan (ICAP). Additionally, this contact may often include requesting additional supporting documentation and job summaries utilized in the Job Analysis Model for developing position descriptions and determining whether exemption was appropriate and authorized. This type of oversight will be critical to ensuring future compliance with the Act and Code.

University of Illinois at Chicago
Final Audit Report

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

UIC FY10-02 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 two-hundred nine (209) Principal Administrative Appointment (PAA) position descriptions, including on-site interviews with various exempted employees, it was determined that one-hundred sixty-two (162) exempted positions listed in **Appendix C** were performing duties matching the specifications for various Civil Service classifications. (78%)

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

The Employer has indicated, and it is evident through this analysis, that the campus Human Resource Office does not play a significant role in the employment process for many of these exempt appointments, and therefore has a limited monitoring capacity to ensure proper position description management, regulatory compliance, and exemption designation/authorization. Employing departments have been delegated the authority to employ individuals in these positions. Staff members within the departmental units charged with these employment decisions have limited training and background in classification plan management, exemption authorization protocols, regulatory standards, or Civil Service employment guidelines. Further, the Employer did not have institutional control or adequate business processes in place to properly manage or maintain exempt positions and their position descriptions.

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 significant employment issues.

Finding from Previous Audit:

Please refer to the Final State Universities Civil Service Compliance Audit Report (FAR) for the University of Illinois at Chicago (UIC) issued on September 4, 2008, which included a compilation of findings, recommendations, and Employer responses related to this topic.

The FY2009 Final Supplemental Audit Report for the University of Illinois at Chicago, published July 29, 2009 confirmed the continued failure to establish and/or follow adequate personnel protocols in this respect, leading once again to the inappropriate exemption of positions and subsequent employment decisions in direct violation of statutory intent and defined regulations. *[Finding Code UIC FY08-01, pages 4-16, UIC FY08-03, pages 27-29; Finding Code UIC FY09-02, pages 14-18].*

Recommendation:

Because this topic has once again surfaced as a material finding, the Employer is reminded that exemption authorization is a direct statutory responsibility delegated to the Merit Board, who has specifically empowered Employers through various procedures to make these determinations in some instances. The Designated Employer Representative (DER) of each university and affiliated agency has the responsibility to develop and maintain protocols consistent with the statutory and procedural guidelines related to this important delegated authority. Consistent with this intent, such primary exemption authority was never intended to be relegated to other campus officials without some basic accountability standards and protocols properly administered through the Designated Employer Representative or the major campus Human Resource Office.

In order to properly regulate and manage these appointments, we again recommend that the Human Resource Office establish protocols to routinely review and maintain all exempt position descriptions, and update as required every three years, in accordance with the [Exemption Procedures Manual](#). Based on a regular position review, the Employer should be able to properly identify those positions that truly should be a Civil Service appointment of some type and those positions that truly meet exemption authorization standards, either as a Principal Administrative Appointment or as a Teaching, Research, or Extension Faculty Appointment.

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 the use of general titles.

Consistent with regulatory guidelines, it is recommended that the Employer continue to aggressively pursue compliance in this respect, utilizing their newly implemented job analysis process and centralized exemption authorization protocols. The University System Office recognizes the Employer's recent development and implementation of new business procedures utilizing a more comprehensive position description model to effectively identify positions and validate exemption authorization.

As part of that review process, we further recommend that the Employer complete an in-depth review of the position descriptions for the positions listed in **Appendix C** 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 must be transitioned to a Civil Service appointment. *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 in the compliance audit process must be reviewed as a matter of standard protocol as soon as possible, but no later than 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.

Recognizing the Employer's approach in addressing this issue, both from a new employment approval process and a review of all current positions by designated departments, the Employer is asked to submit the following reports to serve as verification that the current business processes are adequately addressing this significant issue and finding.

- A report will be provided to SUCSS every 30 days listing all new exempt PAA positions that have been requested to be employed within that time frame. Position descriptions will also be provided for those requests approved for exemption as PAA and for those requests determined to match Civil Service classification specifications.
- Regular reports will be provided to SUCSS regarding the Job Analysis process as conducted for each unit/department, listing all current exempt PAA positions reviewed, including some indication of whether each will remain exempt or be transitioned to an appropriate Civil Service classification. Position descriptions will be provided for those that will remain as exempt PAA. These reports will be submitted by unit/department upon the completion of the Job Analysis process for that entire unit/department.
- A PAA payroll report to SUCSS every three months to further verify personnel actions indicated in the other reporting parameters.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

General Comments:

UIC's Chancellor is committed to addressing issues identified in the findings from the recent series of Civil Service audits, though as acknowledged in the audit recommendation, "a huge amount of resources and personnel activities are required to properly address and rectify these findings, while simultaneously maintaining the employment process to properly fill vacancies in these PAA positions."

To address concerns that specific positions have been inappropriately exempted from Civil Service, a review of the identified positions has been made to ensure that exemptions are

appropriate. Where the exemptions were not appropriate, a conversion process will be implemented.

While not a specific recommendation of the audit, a campus wide job analysis process has been launched with the support of UIC's Chancellor and senior leadership team. Job analysis is the systematic study of jobs to identify their observable duties and responsibilities, as well as the knowledge, skills and abilities required to perform a particular task or group of tasks. It is a common job classification technique that has been in existence in various forms since the early 1900's.

The job analysis process began in late 2010 and will continue until it has been administered across all Campus Administrative Units and Colleges. The focus of the analysis will be on positions currently exempted under Civil Service 36e(3) and 36e(4) exemption categories and have job titles that fall within the standard titles between Specialist and Executive Director. It is an inherently slow process but after licensing an automated software application to assist with the process, the process can be expedited with greater, more consistent results.

The results of the job analysis will be used to help in determining the appropriate employment category (i.e. Academic Professional or Civil Service). As important, however, are the long term benefits for investing in such an approach. For example, the results will provide information that allows for the creation of a jobs framework which organizes work into meaningful role segments (e.g. Management versus individual contributor role) across various disciplines (e.g. Human Resources, IT, Finance, etc.).

The job analysis process will be conducted for the applicable Academic Professional positions in each college and major administrative unit. To date, analyses have been conducted for the Chancellors and Provosts Offices and the results are forthcoming. Additionally, job analysis has been completed in the UIC Medical Center, the Central HR Office, and the Division of Athletics and will begin in the Offices of the Vice Chancellor for Student Affairs the week of March 14, 2011.

It is difficult to predict when the job analysis process will be concluded at UIC since each unit poses unique issues that will need to be addressed along the way. However, UIC is committed to expediting the process as much as is feasible (including the addition of new staff) to ensure that the goals are achieved.

The process being established to determine appropriate exemption will continue for any new position request once the campus wide job analysis plan has been completed and audit compliance achieved.

Institutions Corrective Action Plan/Response:

- **Comprehensive Job Analysis.**

Job analysis is the systematic study of jobs to identify their observable duties and responsibilities, as well as the knowledge, skills and abilities required to perform a particular task or group of tasks. The goals of this process are to achieve compliance with Civil Service exemption protocols (ensuring that only jobs that meet the specified criteria are exempt from CS), to systematically define and document (through the creation of job descriptions) each Academic Professional job and finally to create a pathway to implement critical HR programs starting with compensation and professional development. While the audit seemed to focus on one aspect of this process (i.e. ensuring that positions are properly exempted), the benefits of the job analysis process are greater.

The job analysis process underway at UIC involves three major steps: data collection, design and classification and finally, job documentation and evaluation.

Step 1: Data Collection

Data will be collected in two ways. First via a pre-interview questionnaire (PIQ), a necessary step to understand what is done in the job. The PIQ will be administered to each Academic Professional job holder via an online survey tool. The questionnaire is designed to gain demographic information about the job holder (e.g. title, work location, manager/supervisor information) and most important, the essential duties currently being performed in the job role. The manager's early participation in this meeting is critical to ensure there is consistency.

Secondly, each job holder will participate (with his/her manager) in a face to face interview to drill down into the information provided in the PIQ and will focus on how the job is done. To ensure fairness and consistency in the review process, UIC leadership has determined that the jobs will each be assessed across a common set of job factors including: Expertise, autonomy, thinking skills, planning & development, communication & interpersonal skills, responsibility for resources, responsibility for staff, responsibility for relationships with others, working conditions and physical demands. Each of these factors will be assessed along two dimensions so that the breadth and depth of involvement in each of the factors is accounted for. Additionally, each dimension will be assessed along five to seven degrees of responsibility.

Step 2: Design and Classification

The information gained from the PIQ in conjunction with that gained from the in-depth interview with the job holders and managers will be consolidated into a draft/preliminary job description. Note, since this is a campus wide initiative and jobs span the boundaries of particular colleges or units, the job descriptions will remain in draft form until the job analysis process has been completed. By the end of the

process, we will have determined the true nature of work performed in like jobs across the campus.

The draft job description will be reviewed against the current Civil Service class list to determine if the duties reflected represent work that currently exists within the Civil Service Class plan. If the job duties match those of an already existing classification, a determination will be made that the position must convert to that corresponding Civil Service classification. Managers will have the ability to respond to the determinations and appeal the decision.

This appeals process is critical for several reasons. There are more than 1000 Civil Service job classifications. Many of the current classifications overlap in duties. One such example contains jobs in the administrative series (e.g. Administrative Aide, Program Administrative Assistant, Administrative Assistant, etc.). Another example is within the HR series (e.g. HR Officer and HR Associate). Managers' input is necessary in ensuring that the appropriate classification is selected for an employee. Additionally, many of the civil Service class specifications are not current. For example, many of the class specifications have not been revised in more than 10 years, while others have not been revised since 1977. The duties outlined and qualifications for many of the classes have not been updated to reflect current industry standards or legal requirements.

After appeals process has been exhausted, final (draft) job descriptions will be created and provided to managers as working documents for hiring, performance planning, compensation, etc.

UIC is currently preparing a list of Civil Service classifications requiring revision and updates consistent with current occupational standards. SUCSS has committed to prioritizing and working with UIC on these revisions.

Step 3: Job Documentation and Evaluation.

Documentation:

At the conclusion of the job analysis process, the knowledge, skills, abilities and duties will be documented via final job descriptions for all positions that were part of the job analysis process (i.e. for both Academic Professional and Civil Service positions). These final documents will be added to an online (internet based) job library accessible by all employees and managers at the campus.

The Academic Professional job library is a repository of all approved Academic Professional jobs. Only those jobs contained within the library (i.e. those that have been analyzed as part of the campus wide job analysis process and deemed

appropriate as Academic Professional) are allowed for use for future hiring. Jobs not analyzed via the job analysis process can be at anytime if it becomes necessary. The same process steps as outlined above would apply.

Evaluation:

Job evaluation is the internal ordering (based on relative worth) of jobs within an organization. It is the process that defines relationships between jobs (e.g. Director is a higher level than Assistant Director) so that there is a clear understanding of order so that questions like “what promotional opportunities exist for a particular job?”, “what jobs are equivalent (in terms of scope and responsibility) to a particular job?”, “what jobs are at a lower level than a particular job?” become answerable. The job analysis and documentation process provides the necessary inputs to develop such a hierarchy.

Academic Professional jobs that have been deemed to be appropriately exempted will be organized into a type of hierarchy. This framework categorizes jobs by role (i.e. whether the job requires management responsibilities or is an individual contributor) and by discipline/job family.

- **Requested Reporting**

UIC is committed to providing the following reports requested via the audit report in the requested timeframe.

Report 1 – New exempt PAA positions that have been requested to be employed within the time frame. This report will be provided to the Civil Service System Office every thirty days. Position descriptions created as a result of the job analysis process will also be provided for these requests for each exemption granted for PAA as well as for those that will be classified as Civil Service.

Report 2 – Current Activity – Job Analysis report. This report will be provided to the Civil Service System Office.

Report 3 – Payroll report for PAA positions. This report will be provided to the Civil Service System Office once per quarter to verify personnel actions.

Additional Auditor Comments:

The Employer’s implementation of new business procedures utilizing a formal, comprehensive job analysis tool to evaluate new and current PAA positions should provide a solid foundation to accurately evaluate and properly manage positions, consistent with regulatory guidelines. The University System Office has been in regular contact with the Employer regarding this topic, and has been directly involved with the integration of the Job Analysis Model by providing

feedback regarding the monthly reports and position descriptions submitted as previously mentioned in the Auditor's recommendation and the Employer's corrective action plan.

The Auditor acknowledges that through implementing these steps to address specific portions of this finding related to employment protocol, position control, and personnel administration are indeed complex and will certainly require a significant cultural paradigm shift. The University System Office understands that this will require some necessary adjustments by all employees campus-wide. However, decentralization of the employment process may remain problematic in terms of the overall adequate review and analysis of AP positions at UIC. The actual success of these new business processes at UIC cannot be validated until an adequate number of position description documents and monthly reports are submitted and reviewed by the University System Office over an extended period of time.

During the month of February 2011, the Employer submitted a report for the UIC Medical Center which indicated that 384 positions were reviewed by the Employer utilizing the newly implemented Job Model Analysis program. Of those analyzed, the Employer determined that 262 of those positions should be transitioned to Civil Service. However, based on the monthly reports submitted, only two (2) of those positions appear to have actually been transitioned to Civil Service for the month ending April 30, 2011.

With respect to the findings cited in the FY2008 Biennial Audit and FY2009 Supplemental Audit, the Employer continues to provide the Auditor with regular quarterly status reports pursuant to previous agreements. However, it should be noted that many of the positions cited during these audits either still remain under review, are pending conversion to Civil Service, and/or have been transitioned to other AP appointments. While it is the Employer's intent to focus their future PAA position reviews by department or campus unit, these previous audit findings cited in FY2008 and FY2009 were extracted from a cross campus sampling, and in terms of review and position analysis, must also be addressed and not allowed to remain noncompliant.

The Auditor will continue to maintain close contact with UIC HR representatives in monitoring employment and position management activities related to this topic through the monthly reports submitted to the University System Office in accordance with the Employer's Institutional Corrective Action Plan (ICAP). Additionally, this contact may often include requesting additional supporting documentation and job summaries utilized in the Job Analysis Model for developing position descriptions and determining whether exemption was appropriate and authorized. This type of oversight will be critical to ensuring future compliance with the Act and Code.

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Material Findings, Recommendations, Institutional Corrective Action Plans

UIC FY10-03 Exemption Authorization Applied to 'Academic Hourly' 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) [Illinois Administrative Code \(Code\), Section 250.70\(f\) Extra Help Appointments](#)
- 4) [Illinois Administrative Code \(Code\), Section 250.80 Status Appointments](#)
- 5) [Classification Procedures Manual, Section 2.2 Job Descriptions](#)
- 6) [Employment Procedures Manual, Section 2.5 Extra Help Appointments](#)
- 7) [Exemption Procedures Manual, Section 1.1 Overview](#)
- 8) [Exemption Procedures Manual, Section 6.3 System Office Review](#)
- 9) [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-two (52) 'Academic Hourly' position descriptions, including on-site interviews with various exempted employees, it was determined that thirty (30) positions listed in **Appendix D** were performing duties matching the specifications for various Civil Service classifications. (58%)

In a review of payroll documents submitted by the Employer, it was observed that approximately sixty-five (65) different incumbents in the position of Field Interviewer shared a limited number of what appeared to be pooled position numbers, identified as C02264, C01774, and C03563. As noted in **Appendix D**, two (2) position descriptions with this title were reviewed as part of the audit sample (Samuel Grant and Antonio Tovar) and determined to match the classifications contained in the Civil Service Survey Interviewer Series.

As noted during the FY2008 Biennial Compliance Audit and the FY2009 Supplemental Audit, a large number of Standardized Patient Specialists were employed, which the Auditor determined should be categorized as Civil Service Extra Help. Consistent with this recommendation, the Employer agreed to transition those positions. Upon review of payroll documents during the FY2010 Biennial Compliance Audit, the Auditor found that the Standardized Patient Specialist title was continuing to be utilized as 'Academic Hourly' for approximately forty-seven (47) incumbents. In follow-up discussions with the Employer, it was indicated that the incumbents in these positions had been considered inactive for years. However, since those departments utilizing these positions are responsible for submitting the termination transactions in the Banner Front End System, these inactive employees were not properly terminated at the appropriate time. Assurances were provided by the Employer that inactive employees would be terminated or, if it was determined that these positions were active, their transition to civil service would occur as soon as possible.

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

The Employer has indicated that the campus Human Resource Office does not play a significant role in the employment process for many of these exempt 'Academic Hourly' appointments, and therefore has a limited monitoring capacity to ensure proper position description management, regulatory compliance, and exemption designation/authorization. Employing departments are given the flexibility and freedom to employ individuals in these positions. Staff members working within these employing units making these employment decisions have limited training and background in classification plan management, exemption authorization protocols, regulatory standards, or employment practices. Further, the Employer did not have

institutional control or adequate business processes in place to properly manage or maintain exempt positions and their position descriptions.

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

Irrespective of a position's status (temporary/permanent) or its designation, 'Academic Hourly' in this instance, positions may only be exempted from Civil Service guidelines in accordance with the [Exemption Procedures Manual, Section 1.1 Overview](#). Failure to follow these guidelines and properly categorize exempt positions results in a circumvention of standard Civil Service employment protocols and considered a significant compliance violation.

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

Finding from Previous Audit:

Please refer to the Final State Universities Civil Service Compliance Audit Report (FAR) for the University of Illinois at Chicago (UIC) issued on September 4, 2008, which included a compilation of findings, recommendations, and Employer responses related to this topic.

The FY2009 Final Supplemental Audit Report for the University of Illinois at Chicago, published July 29, 2009 confirmed the continued failure to establish and/or follow adequate personnel protocols in this respect, leading once again to the inappropriate exemption of positions and subsequent employment decisions in direct violation of statutory intent and defined regulations. *[Finding Code UIC FY08-02, pages 17-26 and Finding Code UIC FY09-03, pages 19-25]*

Recommendation:

Because this topic has again surfaced as a material finding, the Employer is reminded that exemption authorization is a direct statutory responsibility delegated to the Merit Board, who has specifically empowered Employers through various procedures to make these determinations in some instances. The Designated Employer Representative (DER) of each university and affiliated agency has the responsibility to develop and maintain protocols consistent with the statutory and procedural guidelines related to this important delegated authority. Consistent with this intent, such primary exemption authority was never intended to be relegated to other campus officials without some basic accountability standards and protocols properly administered through the Designated Employer Representative or the major campus Human Resource Office.

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 or by designating them as 'Academic Hourly'.

Consistent with regulatory guidelines, it is recommended that the Employer continue to aggressively pursue compliance in this respect, utilizing their newly implemented job analysis process and centralized exemption authorization protocols. The University System Office recognizes the Employer's current establishment of new business procedures utilizing a more comprehensive position description model to more effectively identify positions and validate exemption authorization.

As part of that review process, we further recommend that the Employer complete an in-depth review of the position descriptions for the positions listed in **Appendix D** 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 must be transitioned to a Civil Service appointment. *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 in the compliance audit process must be reviewed as a matter of standard protocol as soon as possible, but no later than 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.

Recognizing the Employer's approach in addressing this issue, both from a new employment approval process and a review of all current positions by designated departments, the Employer is asked to submit the following reports to serve as verification that the current business processes are adequately addressing this significant issue and finding.

- A report will be provided to SUCSS every 30 days listing all new exempt PAA positions (including "academic hourly") that have been requested to be employed within that time frame. Position descriptions will also be provided for those requests approved for exemption as PAA and for those requests determined to match Civil Service classification specifications.
- Regular reports will be provided to SUCSS regarding the Job Analysis process as conducted for each unit/department, listing all current exempt PAA positions reviewed, including some indication of whether each will remain exempt or be transitioned to an appropriate Civil Service classification. Position descriptions will be provided for those

that will remain as exempt PAA. These reports will be submitted by unit/department upon the completion of the Job Analysis process for that entire unit/department.

- A PAA payroll report to SUCSS every three months to further verify personnel actions indicated in the other reporting parameters.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

UIC will be decommissioning the 'Academic Hourly' employee class effective immediately. Positions that remain will be converted to the appropriate extra help category.

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UIC FY10-04 Employees Paid Outside of Approved Salary Ranges

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

- 1) [State Universities Civil Service Act \(Act\), Section 36d\(3\) Powers and Duties of the Merit Board](#)
- 2) [State Universities Civil Service Act \(Act\), Section 36k\(1\) Regional Compensation and Registers](#)
- 3) [Pay Administration Procedures Manual, Example 1.1e Statewide Salary Data Processing System](#)

The Merit Board is empowered to prescribe the range of compensation for each class or to fix a single rate of compensation for employees in a particular class and can prescribe different ranges or rates of compensation for different places of employment within the State. The Statewide Salary Data Processing System, as described in the Pay Administration Procedures Manual, is the instrument by which pay rates and ranges are submitted and authorized. This reconciliation process captures those employees being paid outside of approved salary ranges and lists them in an Exception Report. These Exception Reports are then provided to the appropriate Employer for review and possible action.

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

The Auditor reviewed a Civil Service payroll listing, dated March 8, 2010 that contained approximately 5,950 employees in both open range and negotiated classifications. Upon initial review of these records, the Auditor noted several inconsistencies, including the miscoding of employees and inaccurate pay information. Approximately 1,500 employees appeared to be paid outside of approved and established rates/ranges for their classification. These employees held Civil Service status appointments in various classifications. The vast majority of employees occupied classifications with negotiated rates/ranges.

Further review of the Civil Service payroll document revealed inaccurate salary information. In some instances, employees were listed with salary amounts inconsistent with reporting parameters, including rates that reflected payments provided to employees serving in a Temporary Upgrade capacity and/or receiving a simple shift differential. In addition, due to the miscoding of employees, the payroll document included not only employees at the UIC campus, but also employees from subordinate campuses/agencies and separate places of employment, such as those located at the U of I College of Medicine at Peoria, the U of I College of Medicine at Rockford, and the Division of Specialized Care for Children. Several of these employees who

appeared to be paid outside of approved rates/ranges were submitted in error as employees at UIC.

Following the on-site audit, the Employer was promptly notified of these errors and instructed to correct the information for employees whose salary rates/ranges were inconsistent with regulatory guidelines. The Employer immediately began updating ranges as requested.

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

According to the Employer, there was no diligent effort in the past to maintain and update salary rates/ranges for Civil Service classifications within the Statewide Salary Data Processing System (SSDPS) as required. Salary rate/range adjustments were not routinely submitted during the audit time frame to reconcile and update approved salary components in accordance with designated procedures. In the majority of instances, the rates/ranges in SSDPS were not updated upon settlement of collective bargaining agreements.

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

Inaccurate information negatively impacts the credibility and integrity of the Statewide Salary Data Processing System, which is utilized by the entire system in their compensation management programs. The Employer risks significant financial liability in the overpayment or underpayment of employees along with non-compliance of the Act and its corresponding procedure.

Finding from Previous Audit:

During the FY2005 compliance audit, the Auditor found 146 employees paid outside of the approved pay rates/ranges. This finding was brought to the Employer's attention prior to the on-site operational audit. *[Finding Code UIC FY2005, pages 19-20]*

During the FY2008 compliance audit, it appeared that thirty-nine (39) employees were paid below the minimum of the range and that 1,064 employees were paid above the approved maximums. The Employer corrected the deficiencies upon notification and therefore, an official audit finding was not mentioned regarding this topic. The Employer provided assurances to the Auditor that these deficiencies would not recur in the future.

The Auditor concluded during both compliance audits that pay rate/range adjustments were not routinely submitted through SSDPS for approval by the System Office. This lack of attention and monitoring of business processes regarding this topic has resulted in recurring discrepancies and is directly responsible for current outcomes.

Recommendation:

Since the on-site audit, the Employer has worked collaboratively with the Auditor to resolve these discrepancies and has updated hundreds of salary rates/ranges to comply with the requirements outlined in this finding. The Employer has effectively updated and corrected the rates/ranges for negotiated employees and is reviewing the impact of adjusting the Open

Range maximums to assure compliance. With respect to negotiated employees, it is imperative that salary modifications are promptly entered at the conclusion of the collective bargaining process to accurately reflect any rate/range changes.

We recommend that the Employer continue to submit salary range adjustments as soon as possible to the Statewide Salary Data Processing System, in accordance with the [Pay Administration Procedures Manual, Section 1.1 Introduction](#), to alleviate all of these discrepancies. The Auditor further recommends that proper business protocols regarding routine salary reconciliation activities be implemented and followed, by reviewing Salary Survey Exception Reports and making salary rate adjustments accordingly.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

The discrepancies in pay range information have been resolved through communications between the Civil Service and the HR Office.

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UIC FY10-05 Failure to Monitor and Validate Temporary Upgrade Assignments

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

- 1) [State Universities Civil Service Act \(Act\), Section 70/36b\(2\)](#)
- 2) [Illinois Administrative Code \(Code\), Section 250.140 Delegation of Authority and Responsibilities](#)
- 3) [Illinois Administrative Code \(Code\), Section 250.100 Reassignments and Transfers](#)
- 4) [Employment and Separation Procedures Manual, Section 4.2 Temporary Downgrading and Upgrading Assignments](#)

Section 70/36b(2) of the Act states, “The purpose of the University System is to establish a sound program of personnel administration for 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. All certificates, appointments, and promotions to positions in these agencies and institutions shall be made solely on the basis of merit and fitness, to be ascertained by examination, except as specified in Section 36e.”

As stated in Section 250.140 of the Code, “Delegation of Authority and Responsibilities”:

- a) “Delegation to the Executive Director. The Executive Director is delegated the authority and responsibility to effectively administer the State Universities Civil Service System in accordance with the Act and this Part. The Executive Director may be further delegated the authority and responsibility to act on behalf of the Merit Board by specific authorization or direction of the Merit Board.”
- b) “Delegation by the Executive Director. The Executive Director is authorized to delegate to the employer, and to members of the University System staff, such duties and responsibilities as, in his/her judgment, are appropriate and effective for the efficient administration of the service of the System to its constituent institutions and agencies.”
- c) “Conduct of Audits. The Executive Director shall conduct ongoing audit programs of all Civil Service operations at all places of employment for the purpose of assuring compliance with the Act and this Part and for improving the programs of personnel administration of its

constituent employers and shall prepare, distribute, and follow up on audit reports in accordance with Merit Board direction.”

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, “Upgrading 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.”

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

The Employer submitted documentation to the Auditor with respect to Temporary Upgrade assignments. Upon review of this report, it was determined that there were 12,478 individual entries, with multiple payroll transactions processed on single work days, including overtime, differentials, payroll add-on’s, and several other payroll codes. This report was inconsistent with standardized Temporary Upgrade reporting parameters.

At the Auditor’s request, the Employer attempted to build an additional report to capture the Temporary Upgrade assignments utilized during the audit time frame. It was then revealed that the information previously submitted to the Auditor was strictly a payroll dump from the Facilities Department, that it was not representative of all upgrades on campus, and that the proper code/suffix was not used to query or submit accurate information. Additionally, since the report originated from the Facilities Department, UIC HR was not involved in compiling or verifying the data to the Auditor, thereby failing to demonstrate the appropriate utilization and management of Temporary Upgrade provisions during the audit time frame. Therefore, the data submitted was determined to be unreliable and inaccurate. It became apparent that there was not an effective business process in place to properly document or monitor this basic personnel action and compliance activity. Consequently, the Employer failed to meet the requirements in validating or monitoring Temporary Upgrade transactions utilized during the audit time frame.

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

The Employer has indicated, and it is evident through this analysis, that the campus Human Resource Office did not play a significant role in managing these transactions, and therefore had a limited monitoring capacity to ensure proper utilization and reporting of Temporary Upgrade transactions. Employing departments were delegated the authority to implement these transactions with little oversight. Staff members in these employing units with responsibility in this respect had limited training and background in personnel administration, specifically related to regulatory guidelines in this respect.

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

The Auditor was unable to collect and analyze any Temporary Upgrade information with respect to the audit time frame to determine compliance with the Act, Code, and Procedures.

Finding from Previous Audit:

During the FY2008 compliance audit, it was noted that nine (9) employees exceeded the thirty-day temporary upgrade limitation. The Auditor recommendation was for the Employer to confirm that monitoring standards and notification protocols had been conveyed to the departments causing the violations with an emphasis on compliance and position monitoring. *[Finding Code NMUIC FY08-01, page 1-2].*

Recommendation:

Effective July 1, 2010, the Employer implemented additional campus policies and protocols in which all Temporary Upgrade assignments are specifically requested and processed through UIC Human Resources utilizing the Front-End Banner System for approval. Following the implementation of these new protocols, the Employer was able to produce an accurate report with the required data elements from July 1, 2010 – December 30, 2010. However, the new database query was unable to extract any accurate information from the previous audit time frame due to departmental pay coding errors and the lack of oversight from the campus HR office.

It is recommended that the UIC Human Resources Office continue to maintain newly established business protocols to effectively manage and review all temporary upgrade assignments, consistent with regulatory guidelines.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

A change to UIC's temporary upgrade procedure, as outlined below in HR policy #403-02 became effective July 1, 2010. This change brings consistency between the procedural steps and policy statement that establishes that Civil Service temporary upgrading may not exceed thirty consecutive workdays.

Current Procedure (HR Policy, #403-02, Revised 6/25/07):

1. Hiring Official sends a brief description of duties and responsibilities and PITR form to the Human Resources Compensation Section for approval.
2. Human Resources Compensation analyzes the description and determines if a temporary assignment meets classification criteria and if the employee meets Civil Service Register requirements. If approved, enters an additional job record in BANNER for the upgraded position.

3. Hiring Official Monitors assignment to assure that it does not exceed 30 continuous work days.

Modified Procedure (HR Policy, #403-02, Revised 7/1/10):

1. Hiring Official sends a brief description of duties and responsibilities ***via email to the Human Resources Compensation mailbox comp@uillinois.edu for approval.***
2. Human Resources Compensation analyzes the description and determines if a temporary assignment meets classification criteria and if the employee meets Civil Service Register requirements. If approved, enters an additional job record in BANNER for the upgraded position ***with a "begin date" and an "end date". The end date will reflect 30 work days from the begin date.***

UHR also generated a report to accurately show the temporary upgrades for any given period of time. This report can be run by UIC HR as necessary.

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

UIC FY10-06 Non-Compliance with Extra Help Employment and Position Limitations

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

- 1) [Illinois Administrative Code \(Code\), Section 250.70\(f\) Extra Help Appointments](#)
- 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 that 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 months have elapsed from the date of the termination of the position."

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

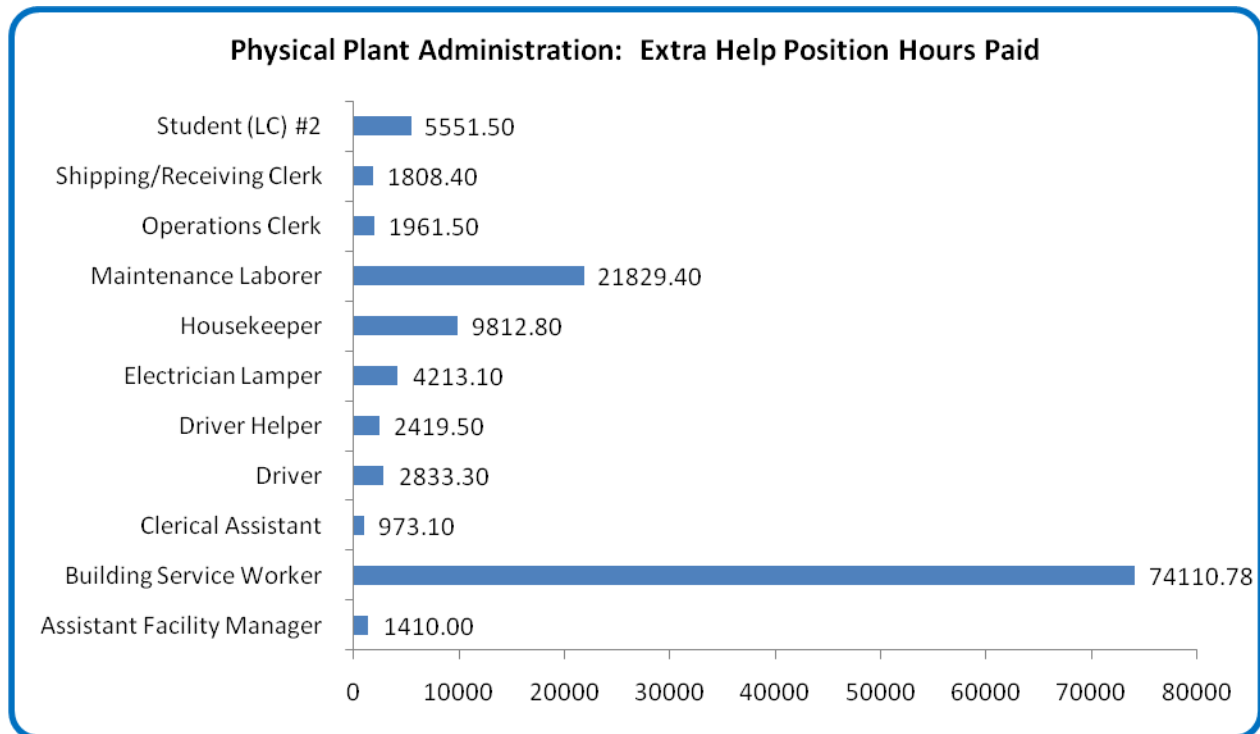
The employer's responsibility as noted in the Code is that they "... shall review the status of the position at least every three calendar months. If at any time it is found that the position has become an appointment that is other than Extra Help, the employer shall terminate the Extra Help appointment."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

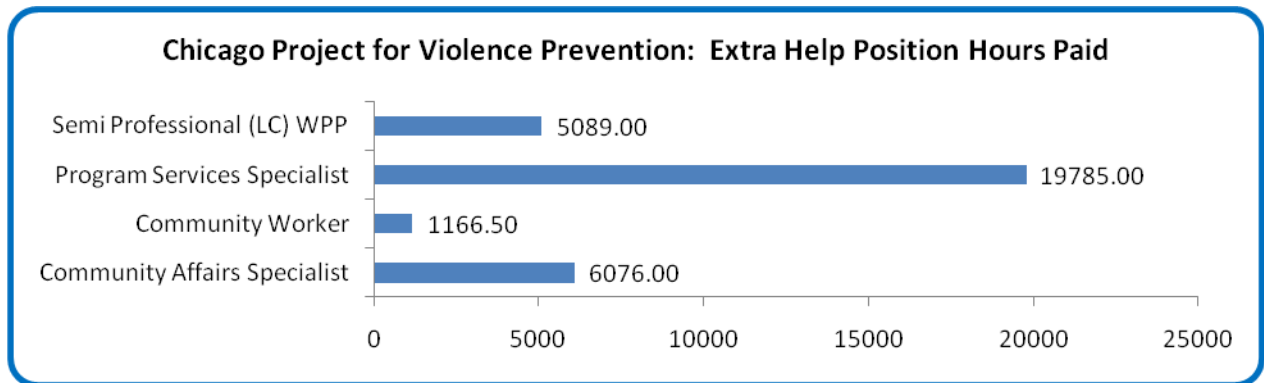
Conditions/Facts (i.e., what actually exists):

As documented in **Appendix E**, eighty-eight (88) employees were found to have worked beyond the 900-hour Extra Help limitation without the required 30-day break in service.

As further documented in **Appendix F**, it was also determined that one-hundred seven (107) Extra Help positions were utilized for more than 900 hours of actual work within a 12 month period without a six month lapse. In the material submitted by the Employer, appointment end dates were not furnished in many instances and it was not possible to determine exactly how many hours were actually utilized for a given position. Several of the positions cited had multiple incumbents employed through them at the same time.

The areas of *Physical Plant Administration* and the *Chicago Project for Violence Prevention* appeared to have the most total number of hours paid by department than other areas on campus. The approximate number of total hours paid by classification during the audit time frame is depicted in the following charts:





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

Based on the information provided by the Employer, it does not appear that adequate protocols to efficiently and effectively monitor Extra Help limitations were established or maintained, especially related to the 900-hour position utilization component. Additionally, based on the data analyzed, it does not appear that the required six month lapse, before a position can be reestablished, has been followed in several instances. This has resulted in the extended use of positions beyond the 900 hour limitation.

In discussions with the Employer, it was discovered that there was a lack of awareness with respect to the position utilization component outlined in the Illinois Administrative Code. This lack of position control and monitoring allowed several positions to accrue literally thousands of hours during the audit time frame. As reflected above, the total number of hours utilized in some of the classifications in these departments may have been considered sufficient enough to create several full-time, status positions.

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

Previous Employer position management practices in this respect made it difficult to determine whether or not an Extra Help position, or employee, has exceeded employment limitations and should be terminated. Extra Help positions/people appeared to be utilized longer than allowed, impacting the overall employment environment, which is inconsistent with the Code and Employment/Separation Procedures Manual.

Finding from Previous Audit:

During the FY2005 compliance audit, the Auditor identified 235 appointments that did not meet compliance standards. Out of those appointments, the Employer was unable to provide documentation for thirty-two (32) of them. *[Finding Code UIC FY2005, page 22].*

During the FY2008 compliance audit, the Auditor determined that in approximately 134 instances, it was determined that employees had worked beyond the 900 hour limitation, primarily due to the assignment of multiple incumbents to the same position. *[Finding Code UIC FY08-04, pages 30-32].*

Recommendation:

This topic was initially discussed with the Employer during the on-site portion of the audit. The System Office was in close contact with the Employer following the on-site visit in attempting to address and reconcile this finding. During that time frame, the Employer implemented a tracking system for the Extra Help position control and utilization component by modifying their existing database. Since many of these positions are pooled, the Employer implemented additional sub-numbers to keep the primary position identifier intact. The Employer gave assurances that this topic will be monitored much more closely and expects that extra help appointments and positions will not exceed 900 hours in the future.

The Employer is reminded that Extra Help appointments are intended to address a need that is 'emergent and casual in nature', and is to be utilized to assist during position vacancies, leaves of absence, and during peak work periods in accordance with established guidelines. Proper monitoring of work hours within classification by department should be routinely reviewed by the campus HR Office. As demonstrated by the large number of hours utilized in one specific classification in the same department in many instances, it is apparent that the Employer should conduct an operational analysis to determine if there is a need for the creation of additional status appointments to address the long term extensive use of these positions in this respect. Additionally, to reduce the frequency of these findings, the Employer may be able to further utilize [Extra Help Extensions](#), when applicable.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

The Civil Service System Auditors identified Non-Compliance with Extra Help Employment and Position Limitations. The Employer has developed a tracking system that will identify positions and employees, to track total extra help hours worked and ensure that positions are not re-used until six months have elapsed. The auditors reviewed a copy of this report and acknowledge that this tracking system and new procedure appear to be consistent with regulatory guidelines and should reconcile this specific finding.

Additional Auditor Comments:

As referenced in the Auditor's recommendation to this finding, the effectiveness of this process and new tracking system will best be determined in subsequent audit reviews.

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UIC FY10-07 Failure to Maintain a Position Control Management Process

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

- 1) [Illinois Administrative Code \(Code\), Section 250.30 Class Specifications](#)
- 2) [Classification Procedures Manual, Section 2.1 Employer Responsibilities](#)
- 3) [Classification Procedures Manual, Section 5.1 Definition](#)

The Illinois Administrative Code (Code), Section 250.30(b)(1) Class Specifications, provides that “The System shall maintain written specifications, as approved by the Merit Board, for each class in the classification plan. Such specifications shall include the class title, function of position, characteristic duties and responsibilities, minimum acceptable qualifications, including any special licenses or certificates required by state or federal laws, and additional desirable qualifications.”

Positions are then allocated to an appropriate classification based on a review of the position description. In accordance with the [Classification Procedures Manual, Section 2.1 Employer Responsibilities](#), the Executive Director has delegated to each Employer the authority to assign positions to Civil Service classifications, subject to post-action audit or review by the System Office.

Position Control is a management tool concerned with the continuing record of the histories of positions. The institution or agency at which the position is located makes the determination that a Civil Service position is required.

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

While on-site, it was determined that the University was failing to maintain a position control system and that there were no records of updated position tracking information including the movement across classification series.

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

According to the Employer, in years past position control records were housed in paper form and managed manually. Since the implementation of Banner, manual position control records were not maintained since the original expectation with Banner was that it would be able to provide an automated mechanism to manage this process. Currently however, Banner’s position control module only provides this information by incumbent and not position. Since

this method does not accurately reflect position control information, to include minimal electronic records, the Auditor was unable to validate these processes.

The Auditor communicated this issue with the Employer consistently in recent months regarding this topic. UHR has been working with UIUC HR regarding their processes to explore the possibility of adopting their position control process as an immediate fix until an alternative solution can be determined. The Employer submitted updated information with respect to their University-wide ITPC HR Vision for providing requested position control information to the System Office. A tentative timeline had been put in place with a formal “go-live” implementation of January 2011.

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

Position control management is outlined in the classification plan process and specifically referenced in both the Code and Classification Procedures Manual. The focal point with respect to position control and what drives the class plan is the detailed actions regarding positions. All Employers under the University System have the ability to provide position control records in accordance with required procedures.

Inaccurate assignment of positions to classes negatively affects the overall classification plan management process, resulting in inaccuracies related to job content, work assignments, and compensation components.

Finding from Previous Audit:

No findings in this topic area were made during the last operational audit in FY2008.

Recommendation:

It is recommended that the Employer develop or redevelop some position control management system that maps each position and its history, including Civil Service class title, location (i.e., college, department or unit), Civil Service position number and any other relevant position documentation such as the movement of a position across the classification series, etc. A position control system had recently been in place at UIC, so a review and utilization of that system may be adequate.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resource

In years past, prior to Banner, position control records were housed in paper form and managed manually. During the audit periods that coincided with the development and implementation of Banner at the U of I, the position control records were not maintained since the original expectation with Banner was that it would be able to provide an automated mechanism to manage this process. Now that Banner is up and running, the position control module does not operate in a manner that is satisfactory to SUCSS. Banner’s current

functionality allows for tracking of position by incumbent then position in an opposite manner of what SUCSS prefers. In other words, the SUCSS would like to track a position separate from the incumbent to determine its movement and application. To achieve SUCSS' preferred method requires costly customization of Banner and in many instances, a fundamental shift in the way positions are managed within the entire U of I system.

UHR worked with UIUC HR to determine what their position control process was and how they reported data to SUCSS. UIUC is currently using an Access database that was developed internally, and tracks all the information required by SUCSS for audit purposes. They allowed UIC to use their database, but it was determined after the database was set up that the business processes used to collect data at UIC would not work with the Access database. The process is very manual and data would need to be entered more than once in order to populate the database on an ongoing basis.

In response to this and in an effort to have a more automated mechanism by which to collect the necessary position information, UHR developed a report using Banner data that provides the requested information. The report, in its current form, can only be generated on demand by UHR. Moving forward, this report will be available to UIC HR to run as needed or as a scheduled report. This report, however, is not "position control", and is a short-term solution for gathering the required data. A position control system and supporting process is still needed. An ITPC request and template to build a position control system that would be used by HR and Finance was submitted and approved. Once the template is approved at the next level, requirements can start being gathered for the system. A system like this would take some time to build, and the report provided by UHR supplies all of the required data until such time as the system is operational.

Additional Auditor Comments:

The Auditor appreciates the efforts by the Employer in gathering the necessary information required to validate accurate position control data elements and will continue to analyze these reports during future audits.

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Material Findings, Recommendations, Institutional Corrective Action Plans

UIC FY10-08 Inadequate Classification Plan Management Protocols; Failure to Maintain and Verify Civil Service Position Changes through Position Audit Activities

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

- 1) [Illinois Administrative Code \(Code\), Section 250.30\(b\)\(1\) Class Specifications](#)
- 2) [Classification Procedures Manual, Section 2.1 Employer Responsibilities](#)
- 3) [Classification Procedures Manual, Section 2.3c Position Audits, Implementation Guidelines](#)

The Illinois Administrative Code (Code), Section 250.30(b)(1) Class Specifications, provides that “The System shall maintain written specifications, as approved by the Merit Board, for each class in the classification plan. Such specifications shall include the class title, function of position, characteristic duties and responsibilities, minimum acceptable qualifications, including any special licenses or certificates required by state or federal laws, and additional desirable qualifications.”

Positions are then allocated to an appropriate classification based on a review of the position description. In accordance with the [Classification Procedures Manual, Section 2.1 Employer Responsibilities](#), the Executive Director has delegated to each Employer the authority to assign positions to Civil Service classifications, subject to post-action audit or review by the System Office.

When conducting and classifying positions, “As a general standard, incumbents should normally be notified of classification decisions by the Employer within 30 days after receipt of the completed, properly authenticated, job description from the incumbent or department.” To satisfy the intent of the policy, the University may establish policies to retroactively apply the resulting personnel action to some date within the 30 days after receipt of a fully documented position audit request.

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

The Auditor reviewed previous audit findings with respect to Civil Service classification recommendations during the FY2008 Biennial Compliance Audit. At that time, the Auditor had recommended a position audit be completed for six (6) positions. Upon review of the payroll documents for the current audit, it was determined that only one (1) position was actually reclassified post-audit in accordance with previous Auditor recommendations and that five (5) other positions reflected no change in classification.

Upon receipt of the Reclassification/Reallocation Log submitted by the Employer for the FY2010 Biennial Compliance Audit, it was confirmed that the remaining five (5) positions cited during the FY2008 Biennial Compliance Audit were not reviewed or reclassified in accordance with previous Auditor recommendations.

The Auditor followed up with the Employer regarding this topic and requested that position audits be conducted on those instances as soon as possible. Additionally, the Auditor was concerned that the employer was unable to produce an audit log as originally requested, or during the May 2010 onsite audit. The Employer did ultimately submit a Reclassification/Reallocation Log in August 2010 that listed approximately two-hundred (200) desk audits completed during the audit time frame.

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

The Employer indicated an error was made in not completing the requested desk audits following the FY2008 Biennial Compliance Audit. Additionally, current staff was initially unaware of the existence of the Reclassification/Reallocation Log and required assistance in developing the document to obtain data that was part of the overall HRIS system.

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

Inaccurate assignment of positions to classes negatively affects the overall classification plan management process, resulting in inaccuracies related to job content, work assignments, and compensation components. For example, salary survey information is tainted by those positions that are not accurately assigned.

Finding from Previous Audit:

During the FY2005 Compliance Audit, nine (9) Civil Service positions were found to be potentially misclassified. *[Finding Code UIC FY2005, pages 12-17]*.

During the FY2008 Compliance Audit, it was determined that six (6) Civil Service positions were possibly misclassified. The Employer was requested to perform position audits regarding these positions and report the findings to the System Office. *[Finding Code NMUIC FY08-02, pages 3-4]*.

Recommendation:

It is recommended that the Office of Human Resources complete their review of the remaining positions identified during the previous audit and report their findings to the System Office. It is also highly recommended that staff be trained and properly maintain records associated with all Civil Service position audits, and the results of those reviews.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

General Comments:

UIC's Chancellor is committed to addressing issues identified in the findings from the recent series of Civil Service audits, though as acknowledged in the audit recommendation, "a huge amount of resources and personnel activities are required to properly address and rectify these findings. UIC's collective leadership understands the importance of the recommendations made by the Auditors and as such is working aggressively to implement those recommendations. However, the changes recommended require collaboration with the college departments and administrative units.

- 47809** – SUCSS recommended employee, Edna Padilla, be reclassified to Administrative Aide. Department has re-evaluated the employee's to ensure the most appropriate match within the Civil Service classification plan. The evaluation identified the **Business/Administrative Associate** classification to be the most appropriate. As of February 2011, department will follow through with reclassification process.
- 47904** – SUCSS recommended employee, Margarita (Flores) Martinez, be reclassified to Dental Assistant II. The employee is currently classified as such and has been since 7/13/08.
- 69421** – SUCSS recommended employee, Christopher Herndon, be reclassified to IT Technical Associate. Since the audit recommendation, the duties performed by the employee have changed. Christopher passed the **Medical Insurance Specialist** test on 10/27/10 and has been reclassified into this title with an effective date of 11/28/10.
- 82621** – SUCSS recommended employee, Renita Moore, be reclassified to Admissions Record Representative. Unfortunately, the employee has not been able to successfully pass the required examination. The last exam was administered on 2/9/11. The employee will have two additional opportunities to take and pass the exam.
- 89532** – SUCSS recommended employee, Latoria Cotton, be reclassified to Book Store Clerk II. Employee had been in this title since 10/19/08. Based on a change in the employee's duties, she has been reclassified to the **Bookstore Supervisor** classification as of June 2010.
- 90215** – SUCSS recommended employee, Regina Ortiz, be reclassified to Associate Director of Nursing. To date this title is not active in the Civil Service System and as such no change has been made to the current classification (i.e. Clinical Nursing Consultant I).

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

UIC FY10-09 Cyclic Review of Civil Service Position Descriptions

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

- 1) [Classification Procedures Manual, Section 2.2 Job Descriptions](#)

Proper administration and communication of position descriptions is a fundamental element in any human resource program and the precursor to many 'best practice' human resource policies and procedures, particularly those related to classification plan management and performance evaluation. [Classification Procedures Manual, Section 2.2 Job Descriptions](#) requires that "All job descriptions shall be reviewed and updated at least every three years, *including the signatures of the incumbent and supervisor.*" Our biennial audit process includes both a general review of all descriptions and a comprehensive review of a random sample of position descriptions.

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

The Auditor reviewed a Civil Service position description log dated 4/30/10 as submitted by the Employer. Out of approximately 5,921 position description entries, it was determined that only 1,225 (21%) were current within the last three years. Many log entries contained position description data that was either missing, out of date, contained terminated employees, or included log information from the UI College of Medicine—Rockford, UI College of Medicine—Peoria, and the Division of Specialized Care for Children (DSCC).

The Auditor requested a subsequent Civil Service position description log dated 10/1/10 to determine if progress was being made in obtaining current position descriptions. Out of approximately 5,921 position description entries, it was determined that 3,460 (58%) were current within the last three years.

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

The Employer did not follow routine protocols in securing current and updated position descriptions assuring compliance with the triennial review standard.

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

Incomplete or outdated position descriptions may cause misunderstandings between supervisors and employees related to performance expectations. Incomplete or outdated descriptions do not allow for the proper designation of work duties and can result in erroneous classification designations that unfavorably affect employee compensation and seniority

benefits. Incomplete or outdated position descriptions may also compromise the integrity of the performance review and disciplinary process.

Finding from Previous Audit:

During the FY2005 Compliance Audit, the Auditor reviewed a position listing of all of the Employer's position descriptions for timely updates and found that 1,025 (20%) did not meet the triennial review standard. *[Finding Code UIC FY2005, pages 18-19]*

Recommendation:

The Employer is asked to submit an updated position description log for Auditor review reflecting the status of current activity in this respect no later than March 15, 2011. As necessary, the Employer is requested to contact the incumbent and departmental representatives for the listed positions and request an updated/authenticated position description.

Institutional Corrective Action Plan—provided by Maureen Parks, Executive Director and Associate Vice President for Human Resources

UIC understands the importance of job/position descriptions in that they:

- Form the basis for work being performed in the organization
- Help employees to know what is expected. All employees like to know what is expected of them and how they will be evaluated. Job descriptions can also be a great value to employers.
- Outlines the necessary skills, training and education needed by a potential employee and it will spell out duties and responsibilities of the job.
- Serves a basis for interviewing candidates, orienting a new employee and potentially terminating of employees.
- Evaluation of job performance. Using job descriptions is part of good management.

Position descriptions are audited and reviewed regularly as part of the reclassification and reallocation processes. 201 such reclassifications were made during the audit period with an additional 10 requests for individual desk audits by employees.

We are in the process of researching the most effective design of a regularly occurring position description review process for UIC. A critical component of this process (at the

recommendation of the auditor) will involve collaborating with other State Universities who have successfully instituted effective monitoring programs.

Additional Auditor Comments:

Though the Auditor understands that position descriptions are routinely reviewed and updated at the time of a position audit for reclassification and reallocation transactions, the overriding concern is that position descriptions do not appear to be routinely updated in accordance with the Classification Procedures Manual, Section 2.2 Job Descriptions. The procedure stipulates that position descriptions should be updated and signed by the incumbent and supervisor at least once every three years.

The Auditor again requests that the Employer submit a current, updated position description log for Auditor review reflecting the status of this activity. As necessary, the Employer is requested to contact departmental representatives and verify that an updated/authenticated position description exists for all civil service positions.