

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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April 12, 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 - College of Medicine at Rockford. The audit period tested was July 1, 2008 through July 31, 2010. This report is intended to communicate the final material findings, recommendations and corresponding institutional responses formulated through a comprehensive human resource compliance and operational audit.

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

Lewis T. (Tom) Morelock
Executive Director

University of Illinois College of Medicine at Rockford Final Audit Report



State Universities Civil Service System Compliance Audit

April 12, 2011

Audit Period

July 1, 2008 to July 31, 2010

Prepared by:

A handwritten signature in dark ink, reading "Lucinda M. Neitzel". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

Lucinda M. Neitzel
Audit and Advisory Services Manager

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

Introduction

PURPOSE

The State Universities Civil Service System was created 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 November 18-19, 2010. An exit conference was conducted on March 25, 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 conference and submission of the Institutional Corrective Action Plan, a Final Audit Report (Material Findings only) is sent to the Employer, and a Supplemental Report (Non-material Findings) is sent to the campus/agency Human Resource Office for internal use.

OVERVIEW

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

- **Assignment of Positions to Classes**

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

- **Compensation Programs**

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

- **Examination Program**

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

- **Administration of Employment and Separation Procedures**

The Auditor reviews the Employer's business processes and procedures related to the employment cycle, including pre-employment activities, probationary and status employment, and employment separation programs. There is also an assessment of the Employer's utilization and monitoring of non-status appointments.

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

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

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

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

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

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

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

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

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

[Paula Mitchell, Human Resource Assistant](#)

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Executive Summary

YEAR ENDED -- FY2011

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

SUMMARY OF MATERIAL FINDINGS

<u>Number of</u>	<u>This Report</u>
Findings	2
Repeated findings from previous audit [®]	1 [®]

SCHEDULE OF MATERIAL FINDINGS

<u>Item</u>	<u>Page</u>	<u>Description</u>
UICOMR FY11-01	5	FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT) Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications
UICOMR FY11-02	8	Exemption Authorization Applied to 'Academic Hourly' Positions That Match Civil Service Classification Specifications

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Material Findings, Recommendations, and Institutional Corrective Action Plan

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

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

- 1) [State Universities Civil Service Act \(Act\), Section 36\(e\)](#)
- 2) [Illinois Administrative Code \(Code\), Section 250.30\(a\) Coverage](#)
- 3) [Classification Procedures Manual, Section 2.2 Job Descriptions](#)
- 4) [Exemption Procedures Manual, Section 1.1 Overview](#)
- 5) [Exemption Procedures Manual, Section 6.3 System Office Review](#)
- 6) [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 twenty-five (25) position descriptions, including on-site interviews with various exempted employees, it was determined that two (2) exempted positions listed below were performing duties matching the specifications for various Civil Service classifications. These positions are listed below, with the corresponding Civil Service classification match.

Employee	PAA Title	Civil Service Classification Match
Mark Meurer	Assistant Director of Public Relations and Marketing	Program Director Series, Program Services Specialist, Administrative Assistant Series, or Business/ Administrative Associate
Michelle Bunyer	Information Services Specialist	Program Services Specialist, Clerk Series, or Administrative Aide

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

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

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

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

Finding from Previous Audit:

The Auditor identified two (2) exempted positions that appeared to be performing duties and responsibilities comparable to those found in Civil Service classification(s) in the FY2009 compliance audit. *[Finding Code UICOMR FY09-01, pages 4-6].*

Recommendation:

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

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

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

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

We have begun an in-depth review of the following position descriptions.

1. Mark Meurer, Assistant Director of Public Relations and Marketing
2. Michelle Bunyer, Information Services Specialist

If our review finds that these two exempted positions are performing duties comparable to those found in Civil Service classifications, it is our plan to transition these positions to Civil Service appointments as soon as possible, but not later than the beginning of the new contract year, which is August 16, 2011.

Further, the following two positions were identified in our 2008 audit.

1. Vicki Weidenbacher-Hoper, Program Coordinator RMED
2. Karen Lytwyn, Information Services Specialist – This employee retired on 4/30/09 from Health Systems Research and we did not replace her.

At that time we indicated that we would transition these positions at the time the position became vacant. However, in light of your recommendation, it is our plan to transition Vicki's position to Civil Service appointment as soon as possible, but not later than the beginning of the new contract year, which is August 16, 2011.

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Material Findings, Recommendations, and Institutional Corrective Action Plan

UICOMR FY11-02 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 twenty-four (24) 'Academic Hourly' position descriptions, it was determined that two (2) position titles and eight (8) incumbents listed below were performing duties matching Civil Service Classification specifications. These positions are listed below, with the corresponding Civil Service classification match.

Employee	PAA Title	Civil Service Classification Match
Ray Empereur April Brownell James Powers Kathleen Gallagher	Research Data Specialist	Statistician Series
Rebecca Pedersen Sandra Neinaber Julia Zaiser Cynthia McGrath	Nurse Practitioner	Nurse Practitioner

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

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

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 is considered a significant compliance violation.

Finding from Previous Audit:

No findings in this topic area were made during the last operational audit in FY2009.

Recommendation:

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

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

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

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

Ray Empereur	Research Data Specialist	Rebecca Pedersen	Nurse Practitioner
April Brownell	Research Data Specialist	Sandra Neinaber	Nurse Practitioner
James Powers	Research Data Specialist	Julia Zaiser	Nurse Practitioner
Kathleen Gallagher	Research Data Specialist	Cynthia McGrath	Nurse Practitioner

Academic hourly appointments on the Rockford campus have typically been utilized for academic employees who are working on short term or intermittent time periods. In fact, of the employees who are listed above, Ray Empereur, Rebecca Pederson, April Brownell, Sandra Neinaber and Kathleen Gallagher are no longer employed. Only James Powers, Julia Zaiser and Cynthia McGrath are active employees and each of these work very limited hours. We have reviewed the job duties of all academic hourly employees and have decided to transition the majority of the positions to “extra help” appointments. The three aforementioned employees will be transitioned to extra help. We would note that we believe there will be two other academic hourly positions (not included in the list above) that will transition to Civil Service classifications.