

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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April 29, 2013

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The State Universities Civil Service System respectfully submits the Final Audit Report of the Biennial Institutional Compliance Audit conducted at Illinois State University. The audit period tested was June 1, 2010 through May 31, 2012. 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 Illinois State University 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.

A handwritten signature in dark ink, appearing to read "Lewis T. Morelock".

Lewis T. (Tom) Morelock
Executive Director

Illinois State University Final Audit Report



State Universities Civil Service System Compliance Audit

April 29, 2013

Audit Period

June 1, 2010 – May 31, 2012

Prepared by:

Lucinda M. Neitzel

Audit and Advisory Services Manager

Illinois State University
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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 September 24-28, 2012. On February 13, 2013, a Draft Audit Report was submitted to the Employer, which captured both Material and Non-Material Findings observed during the audit. A formal exit conference was conducted on March 4, 2013, which 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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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	5
Repeated findings from previous audit®	5®

SCHEDULE OF MATERIAL FINDINGS

<u>Item Number</u>	<u>Page</u>	<u>Description</u>
		FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT)
ISU FY13-01	5	Improper Register Maintenance and Referral of Candidates®
ISU FY13-02	11	Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications®
		FINDINGS (ILLINOIS ADMINISTRATIVE CODE)
ISU FY13-03	16	Failure to Provide Verification of Probationary Evaluations®
ISU FY13-04	19	Non-Compliance with Extra Help Employment and Position Limitations®
ISU FY13-05	22	FINDINGS (SUCSS PROCEDURE MANUALS) Cyclic Review of Civil Service Position Descriptions®

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Material Findings, Recommendations, and Institutional Corrective Action Plan

ISU FY13-01 Improper Register Maintenance and Referral of Candidates

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

- 1) *State Universities Civil Service Act (Act), Section 36d(7) Power and Duties of the Merit Board*
- 2) *State Universities Civil Service Act (Act), Section 36h Appointment*
- 3) *Illinois Administrative Code (Code), Section 250.60 (d)(3)(5) Eligible Registers*
- 4) *Employment Procedures Manual, Section 1.5 Certification*

These reference points establish guidelines for the proper maintenance of employment registers and referral of candidates for status positions. In accordance with the State Universities Civil Service Act, Section 36(d), the “Merit Board shall have the power and duty to cause to be established from the results of examination registers for each class of positions in the classified service of the State Universities Civil Service System, of the persons who shall attain the minimum mark fixed by the Merit Board for the examination; and such persons shall take rank upon the registers as candidates in the order of the relative excellence as determined by examination, without reference to priority of time of examination.”

Section 250.60(d)(3)(5) of the Illinois Administrative Code states in part; “When ties in scores exist on an original entry register or promotional register for a class, all candidates with a tie score, and hence of the same relative excellence, shall be equally eligible to be considered as one of the available candidates certified from the register. No person on the register shall be eligible or available for certification as one of the three persons standing highest on the register if three or more persons are eligible at a higher score level as a result of tie scores. The Employer shall conduct a personal interview with, and shall consider, all candidates certified from the register in this manner prior to making its recommendation for selection, except that a single selecting official for the Employer shall not be required to interview more than once the same candidate, as currently certified from the register, for a position of the same class. A promotional register and/or an original entry register become closed for the purpose of certification of the names of candidates to a particular vacant position at a time established by the Employer.”

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

While on-site, the Auditor reviewed a sampling of approximately forty-two (42) application and employment records for new civil service employees in order to evaluate compliance with the application process, examination procedures, and corresponding employment registers to

verify the proper admittance to testing and position referral actions conducted during the audit time frame.

The Auditor reviewed the employment records for Erica Johnson, Administrative Aide with an appointment date of 9/16/2010; and Dongmei Li, Accountant II, with an appointment date of 3/28/2011. The Employer was unable to provide any documentation in either instance to validate these employment transactions and could not locate examination or register information. Therefore, the Auditor was unable to determine if the applicants were properly referred and subsequently employed within statutory guidelines.

With respect to reviewing and reconstructing employment registers, comparisons were made utilizing both E-Test validation and documented registers maintained separately by the Employer. The following observations were noted by the Auditor:

1. The Office Support Specialist Original Entry Register was reviewed to validate the employment of Julie Russo, date of appointment 8/16/2010 with an examination score of 86. Three (3) Promotional candidates were on the register with scores of 92, 90, and 84 respectively. Several candidates were determined not to have applied for this particular position posting due to their failure to positively respond to this individual posting. Among candidates listed on this register, the following were referred with examination scores and comments as noted:

Wagler, Nancy	98	<i>Candidate Did Not Apply</i>
Senior, Marcia	96	<i>Candidate Did Not Apply</i>
Cain, Candice	92	<i>Referred and Interviewed</i>
Shoemaker, Elizabeth	92	<i>Candidate Did Not Apply</i>
Kelly, Connie	92	<i>Referred and Interviewed</i>
Davis, Janet	90	<i>Candidate Did Not Apply</i>
Johnson, Melissa	90	<i>Candidate Did Not Apply</i>
Miller, Theresa	90	<i>Candidate Did Not Apply</i>
Cook, Kristine	90	<i>Candidate Did Not Apply</i>
Pelo, Rickielee	90	<i>Candidate Did Not Apply</i>
Kearney, Jennie	90	<i>Candidate Did Not Apply</i>
Moritz, Sonja	90	<i>Referred and Interviewed</i>
Westfall, Penny	88	<i>Referred and Interviewed</i>
Larson, John	88	<i>Referred and Interviewed</i>
Hill, Nicole	88	<i>Candidate Did Not Apply</i>
Molck, Erin	88	<i>Candidate Did Not Apply</i>
Williamson, Carol	88	<i>Candidate Did Not Apply</i>
Mutchler, LeAnna	86	<i>Referred and Interviewed</i>
**Russo, Julie	86	<i>Referred and Hired (8/16/2010)</i>

It is important to remember that once an applicant has been qualified and placed on an employment register, their interest in any position opening has to be considered active. This is most consistent with the concept and intent of 'open and continuous testing'. The Employer

indicated that all candidates on any register are sent a notice of vacancy for each position posting. It is extremely important that proper notice to applicants on the appropriate register must be confirmed in order to justify their removal from consideration due to a lack of interest.

Provided the above condition had been met, it appears that too many candidates were inappropriately referred to the department for consideration in this instance. This inappropriate action allowed a candidate of lower rank and examination score to be incorrectly considered and employed. This employment activity is considered a statutory violation.

2. The Police Officer Original Entry E-Test Register was reviewed to validate the employment of Bradley Kurtzweil, with an examination score of 93, and John Hamrin, with an examination score of 89. In each instance below, the Employer utilized the same register and referral (freeze) date of July 26, 2010. The following is intended to capture other candidates who were also referred with examination scores and details as noted:

<i>Bruens, Arik</i>	98	<i>Candidate Declined Interview</i>
<i>Goeden, Megan L.</i>	95	<i>Candidate Not Available for Interview</i>
*Blecha, Matthew	95	<i>Referred: Hired (12/6/2010)</i>
<i>Donovan, Justin</i>	95	<i>Candidate Did Not Apply</i>
*Reichard, Benjamin	94	<i>Referred: Hired (12/6/2010)</i>
*Droba, Walter	94	<i>Referred: Hired (12/6/2010)</i>
<i>Miller, Tyler</i>	94	<i>Candidate Did Not Apply</i>
<i>Zimmerman, Josh</i>	93	<i>Candidate Declined Interview</i>
*Clay, Leslie	93	<i>Referred: Hired (Subsequently Terminated)</i>
<i>Johnston, Tyler</i>	93	<i>Candidate Withdrew Application</i>
*Kurtzweil, Bradley	93	<i>Referred: Hired (3/16/2011, Resign 1/6/2012)</i>
<i>Wissel, D. Rene</i>	91	<i>Candidate Withdrew Application</i>
*Simeroth, Matthew	91	<i>Referred: Hired (7/1/2011)</i>
*Melville, Matthew	91	<i>Referred: Hired (7/1/2011)</i>
*Erickson, David	90	<i>Referred: Hired (9/12/2011)</i>
<i>Swearingen, David</i>	90	<i>Candidate Withdrew Application</i>
<i>McElhoe, Matthew</i>	89	<i>Candidate Withdrew Application</i>
<i>Leopold, William</i>	89	<i>Candidate Withdrew Application</i>
*Hamrin, John	89	<i>Referred: Hired (7/1/2011)</i>
<i>Radliff, Joshua</i>	89	<i>Candidate Did Not Apply</i>
*Layendecker, Jonathan	88	<i>Referred: Hired (9/12/2011)</i>
<i>Parker Jr., Glen</i>	88	<i>Candidate Did Not Apply</i>
<i>Murray, Thomas</i>	88	<i>Candidate Did Not Apply</i>
<i>Beauchamp, Robert</i>	87	<i>Candidate Declined Interview</i>
<i>Pickett, James</i>	87	<i>Candidate Declined Interview</i>
<i>Michaels, Travis</i>	87	<i>Interviewed, Not Selected</i>
<i>Roan, Zachary</i>	87	<i>Candidate Did Not Apply</i>
<i>McCabe, Brian</i>	86	<i>Candidate Declined Interview</i>
<i>Wells, Zachary</i>	86	<i>Candidate Declined Interview</i>
<i>Riley, Brandon</i>	86	<i>Candidate Did Not Apply</i>
*Brunner, Jason	84	<i>Referred: Hired (3/26/2012)</i>
<i>Deprow, Carlos</i>	82	<i>Candidate Interviewed, Not Selected</i>

It is important to remember that once an applicant has been qualified and placed on an employment register, their interest in any position opening has to be considered active. This is most consistent with the concept and intent of 'open and continuous testing'. The Employer indicated that all candidates on any register are sent a notice of vacancy for each position posting. It is extremely important that proper notice to applicants on the appropriate register must be confirmed in order to justify their removal from consideration due to a lack of interest.

The Auditor was unable to determine exactly how many vacancies were being filled at a specific point in time, since the same register was utilized for each referral over a fifteen (15) month time period, with a common register referral date of July 26, 2010. Additionally, since the register utilized was in paper form and not electronic, hand written notations documenting these actions were not clear or concise. Based on the common register referral date and documentation presented to the Auditor, too many candidates were referred to the department for consideration. The Employer was unable to validate the proper referral of candidates in this classification based on the employment dates documented on this register. It also appears that candidates who were either unavailable for or otherwise declined an interview or withdrew their application from an earlier posting were not considered for subsequent position referral opportunities. Instead, it appears they were bypassed by candidates who were of lower rank and examination score. This employment activity is considered a statutory violation.

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

Based on discussions with the Employer on-site, the Police Officer register was simply not utilized properly, nor was it among those sampled in the follow up actions required as a result of the previous FY2011 Biennial Compliance Audit. The date of appointment (8/16/2010) for the candidate employed from the Office Support Specialist register occurred as a result of the Employer's previous practices which were captured during the FY2011 Biennial Compliance Audit, but technically occurred during the current FY2013 audit time frame. In terms of providing accurate register documentation, the Employer indicated that a former Employment Consultant in the Human Resource Office destroyed several records prior to moving to another department on campus, which prevented the Employer from demonstrating true compliance in this respect.

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

Improper register maintenance and application of the 'Rule of Three' resulted in candidates being improperly referred and employed outside of fundamental statutory guidelines. In two of these instances, candidates with higher scores appeared to be skipped in the referral process in favor of those with lower scores. Additionally, the Employer's inability to provide source documentation or validation that proper employment actions were taken regarding admittance to the examination or referral for vacancies puts the Employer at risk for other significant liability regarding their final employment actions.

Finding from Previous Audit:

During the FY2011 Biennial Compliance Audit, the Auditor reviewed approximately forty-nine (49) newly employed applicant records and position referrals conducted during the audit time frame. Regarding register maintenance, the Auditor determined that the Employer did not properly maintain information components to validate their employment actions. The Auditor was unable to determine exactly when the employment register was referred out to departments for interview and consideration of applicants. There were six (6) instances where employment registers were improperly maintained and candidates were inappropriately referred for vacant positions. *[Finding Code ISU FY11-02, pages 8-13].*

Recommendation:

As a result of the previous FY2011 Biennial Compliance Audit, the Employer was required to submit quarterly reports and employment registers to the Auditor to insure compliance with proper register maintenance protocols and specifically, the 'Rule of Three'. The audit time frame during the FY2011 Biennial Compliance Audit was June 1, 2008 through May 31, 2010, with the Final Audit Report published on April 27, 2011. On March 17, 2011, the Auditor provided extensive training and orientation for Human Resources staff with respect to this topic and worked closely with the Employer to insure compliance through the quarterly reports. Based on the register sampling conducted for these reviews, it appeared that the Employer had taken appropriate steps to insure that compliance was being achieved with respect to register maintenance and proper referral of candidates. While there are fewer discrepancies related to this topic observed during the FY2013 Biennial Compliance Audit time frame, the Employer's inability to provide register documentation for Erica Johnson, Administrative Aide and Dongmei Li, Accountant II are of serious concern.

As suggested in the previous FY2011 Biennial Compliance Audit, it is once again recommended that the Employer implement additional protocols that strictly adhere to statutory employment requirements to insure that all candidates have been properly referred and employed accordingly. Since various aspects of the Employer's overall employment examination recordkeeping, applicant referral process and register maintenance protocols have been cited in the previous two audits in both FY2009 and FY2011, the Auditor requests that the Employer submit quarterly follow-up reports to the Auditor, listing all new civil service employment actions, including a list of newly employed applicants and applicable register documentation to validate employment decisions in each case, until the next scheduled biennial compliance audit.

As noted above, once an applicant has been qualified and placed on an employment register, their interest in any position opening in that classification has to be considered active. This is most consistent with the concept and intent of 'open and continuous testing'. The Employer indicated that all candidates on any register are sent a notice of vacancy for each position posting in that classification. It is extremely important that proper notice of any vacancy be provided to applicants on the appropriate register in order to justify their removal from consideration due to a lack of interest. This notification must be confirmed and recorded in some way. The Employer is therefore asked to maintain a record of delivery/receipt of such notifications for those active applicants who fail to respond to a vacancy posting.

Institutional Corrective Action Plan—provided by Tammy Carlson, Assistant Vice President for Human Resources

Illinois State University partially agrees with the Auditor's finding.

While Illinois State University contends that it referred candidates properly in these cases, our records are insufficient to prove this fact.

Illinois State University has already begun to implement changes based on the Auditor's suggestions. Steps taken to remedy this finding include the following:

1. Human Resource staff received training from SUCSS on how to best utilize the e-test registers to show 1) date register was frozen, 2) candidates referred, 3) comments for each, 4) multiple positions vacant (if applicable), 5) candidate selected, and 6) removal from the active register.
2. For Civil Service examinations that are in paper form, we have started to utilize a form (applicant referral sheet) that was used several years ago and was acceptable to the auditors. The form will show all the same details as the e-test registers.
3. Effective April 1, 2013, Illinois State University will send quarterly reports of new civil service hires to SUCSS. We understand for classifications that have an e-test we are only to send the 1) name, 2) date of hire and 3) classification. For the classifications that have a paper exam, we must send the "applicant referral sheet" and the active/inactive registers as of the date the register was frozen.

During the post audit conference we discussed how applicants who are on an active register are notified of a vacancy via email. We explained that at the time the vacancy is posted on the Illinois State University employment website, an email is generated to each applicant on the active register. The email provides details to the applicant about the vacancy (i.e. title, department, full/part time, pay rate, deadline to apply, link to employment website). If interested, the applicant may review the posting, update their application materials and attach materials to the announcement- thus expressing interest in the position. During the post audit conference the Auditor requested examples of three emails sent and a printout showing who received the email, which were submitted for review.

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Material Findings, Recommendations, and Institutional Corrective Action Plan

ISU FY13-02 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 70/36e Coverage*
- 2) *Illinois Administrative Code (Code), Section 250.30(a) Coverage*
- 3) *Exemption Procedures Manual, Section 1.1 Overview*
- 4) *Exemption Procedures Manual, Section 3.1 Principal Administrative Appointments*
- 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 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) of the Act, 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):

As part of the current FY2013 Biennial Compliance Audit, the Auditor selected a sample of one-hundred twenty-five (125) Principal Administrative Appointment (PAA) position descriptions. The Auditor reviewed and analyzed these position descriptions, which also included on-site interviews with various exempted employees. It was determined that seventy-two (72) exempted positions listed in **Appendix A** were performing duties matching the specifications for various Civil Service classifications. The positions cited in **Appendix A** simply do not contain the duties or level of authority and responsibility that would typically fall outside the specifications of standard professional or technical Civil Service classifications.

It should be noted that upon initial review and check-in of the audit materials, it was determined that six (6) position descriptions requested could not be located by Human Resources and were not submitted to the Auditor for review. Additionally, it was determined that seven (7) position descriptions contained extremely vague or were completely absent of any listed job duties. However, supplemental information was provided as part of the Employer's Institutional Corrective Action Plan (ICAP) and these position descriptions were provided for the Auditor's review and exemption evaluation. Of the seven (7) position descriptions that contained extremely vague or absent job duties, the following position descriptions provided by the Employer were not updated to reflect any additional information, and therefore the Auditor was unable to validate the Civil Service exemption status:

- | | |
|--------------------------------------|----------|
| 1. Assistant Director, Career Center | 10364000 |
| 2. Specialist, University Retiree | 10188700 |

The Auditor's review of the position description must include a comprehensive analysis of the job duties and responsibilities associated with a position, which is far more detailed than a general summary statement or overview of a position. *This is of particular concern since exemption status is determined primarily by a thorough and comprehensive review of the position description.*

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. With respect to the position descriptions that contained missing, incomplete or vague duties, it appears the Employer does not have adequate business processes to adequately maintain position descriptions and properly exempt positions in accordance with standardized protocols.

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/or exempted and appropriate Civil Service protocols circumvented, significantly increasing the possibility of employment issues.

Finding from Previous Audit:

During the FY2011 Biennial Compliance Audit, the Auditor identified twenty (20) exempted positions that appeared to be performing duties and responsibilities comparable to those found in Civil Service classifications. The Auditor identified eight (8) exempted positions that appeared to be performing duties and responsibilities comparable to those found in Civil Service classifications in the FY2009 compliance audit and three (3) positions in the FY2006 audit. *[Finding Code ISU FY11-04, pages 18-20; ISU FY09-04, pages 13-15; and FY2006, pages 12-14].*

Recommendation:

The Illinois Administrative Code, Section 250.30(a) specifically provides that the Merit Board has the authority to determine Principal Administrative Appointments (PAA) at each institution or agency. Specifically, it states that "The Director shall publish guidelines for such exemptions, as approved by the Merit Board."

We refer the Employer to these guidelines located in the Exemption Procedures Manual, Section 3.1, Principal Administrative Appointments, approved by the Merit Board in June 2009. By definition, a PAA is "...an employee who is charged with high level administrative responsibilities, whose decisions are based on administrative policies, and who exercises discretion and independent judgment. In addition, a PAA can be defined as an employee who is in a position requiring knowledge of an advanced type in a field of science or learning customarily acquired by a prolonged course of specialized intellectual instruction and study...and which requires the consistent exercise of discretion and judgment, e.g., physician, attorney, engineer, architect."

In accordance with the statutory intent and basic premise contained in these standards, 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. Improper exemptions from Civil Service regulations can lead to a fundamental breakdown of several interrelated human resource functions; including employment status, position classification, seniority, recruitment, compensation, performance, and benefit administration.

We recommend that the Employer complete an in-depth review of the position descriptions for the positions listed in **Appendix A** to further determine if they meet the specifications of the recommended Civil Service classifications. *Specifically, positions determined to be inappropriately exempted and flagged through the compliance audit process must be reviewed as a matter of standard protocol at the next contract renewal date.* 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 positions designated to be transitioned to Civil Service appointments be moved as soon as possible, preferably at the next employment contract renewal date, but certainly no later than at such time that these positions become vacant again. 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. Please note that positions designated for transition through the audit process will be reviewed in the next biennial audit process and must be monitored by the Employer periodically.

Consistent with the Exemption Procedures Manual, it is strongly recommended that the Employer immediately establish additional business protocols to properly establish and maintain position descriptions for all exempted positions. It is also recommended that the Employer emphasize the fundamental importance of the establishment of a periodic position development and review process for all Principal Administrative Appointments/Exemptions, in accordance with the Exemption Procedures Manual.

As previously discussed with the Employer, the former Pilot Program classifications (Custom Classifications) have been incorporated into our standardized classification plan and are required to be utilized in accordance with standardized civil service protocols. These classifications provide a more flexible and transparent transition and may be appropriate for several of the positions cited in **Appendix A**. *Again, it is strongly recommended that these positions be moved immediately, or at the next employment contract renewal date if applicable.*

Note: "Custom Classifications" refer to the former Pilot Program designations of Accounting Associate, Human Resource Associate, Business/Administrative Associate, Information Technology Manager/Administrative Coordinator, Information Technology Technical Associate, and Information Technology Support Associate.

Institutional Corrective Action Plan—provided by Tammy Carlson, Assistant Vice President for Human Resources

Illinois State University partially agrees with the Auditor's finding.

While Illinois State University has enthusiastically utilized the custom classifications, especially in our technical areas, we have not transitioned positions that were historically in AP titles.

Illinois State University will thoroughly evaluate all positions identified in **Appendix A** for proper classification determination. In an effort to begin the change management process, Human Resources will have preliminary discussions with impacted departments after our review is completed. It is our intention to make changes from A/P to CS at the time these positions become vacant. As indicated in the post audit conference, we do have concerns about the age of some the classification specifications and examinations for some of the recommended classifications.

In addition, the Civil Service and Academic Employment units in HR have implemented a collaborative process for evaluating position descriptions for all vacant A/P positions to determine whether a position fits a Civil Service classification. As A/P positions become vacant our office is committed to reviewing the job descriptions to evaluate fit with an existing Civil Service specification.

The six positions that were specifically cited in this finding as not being available at the time of the audit have been located and have been provided to the Auditor for review. Four of the seven positions that were specifically cited in this finding as being vague have now been updated and provided to the Auditor for review.

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Material Findings, Recommendations, Institutional Corrective Action Plan, and
Additional Auditor Comments

ISU FY13-03

Failure to Provide Verification of Probationary Evaluations

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

1) Illinois Administrative Code (Code), Section 250.90(a) Purpose of Probationary Period

Section 250.90(a) of the Illinois Administrative Code (Code) outlines the purpose of the probationary period of employment as "...an integral part of the examination process, and shall be utilized by the Employer for close observation and evaluation of the employee's work, for obtaining the most effective adjustment of a new employee to his/her position, and to determine whether an employee demonstrates the ability and qualifications necessary to furnish satisfactory service. Periodically, throughout the probationary period, the Employer should discuss with the employee his/her progress on the job. An employee who is dismissed during a probationary period shall be given the reason for his/her dismissal, with the understanding that the reason is not reviewable."

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

While on-site, the Auditor reviewed approximately forty-two (42) employee records to validate residency, examination score, licensure/certification, and minimum acceptable qualifications for employment into status positions. Of these records, eighteen (18) of them did not contain the necessary probationary evaluations that provide notification of successful completion of the probationary period and subsequent status appointment.

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

It appears the Employer was not ensuring that probationary evaluations were being conducted consistently for newly employed status employees.

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

Failure to ensure that appropriate documentation with respect to employee performance during the probationary period is insufficient in properly recording the final testing element in obtaining a civil service status position. This can lead to other discrepancies related to the continued employment or separation of that employee, such as the utilization of a dismissal during the probationary period. Since the reason for dismissal is not reviewable, it does not necessarily relieve the Employer from communicating progress through the use of a probationary evaluation.

Finding from Previous Audit:

While on-site, the Auditor reviewed approximately fifty-five (55) employee records to validate residency, examination score, licensure/certification, and minimum acceptable qualifications for employment into status positions. Of these records, fourteen (14) of them did not contain the necessary probationary evaluations that provide communication to the employee in determining continued status employment. *[Finding Code NMISU FY11-02, pages 3-4].*

Recommendation:

Since this issue has been identified during this FY2013 Biennial Compliance Audit, we again recommend that the University develop a consistent procedure and tracking mechanism with respect to conducting routine probationary evaluations to ensure new status employees are provided the opportunity to understand their expectations on the job and receive regular feedback regarding their progress in accordance with the Code. It also becomes the final record to establish a status appointment and properly capture seniority components.

Institutional Corrective Action Plan—provided by Tammy Carlson, Assistant Vice President for Human Resources

Illinois State University partially agrees with the Auditor's finding.

Section 250.90(a) is quoted in the draft audit report that the employer "should discuss" with the employee his/her progress on the job. Illinois State University does not disagree with this and we believe discussions are taking place. What is central to this finding is a disagreement about whether the discussions must be reduced to writing. We contend Section 250.90(a) does not require written documentation.

The draft audit report indicated that the performance appraisal becomes the final record to establish a status appointment. We understand Section 250.90(b)2 partially states: *The probationary period shall begin on the date of assignment to duty and shall expire at the close of business on the last working day that completes the probationary period for the class, regardless of percentage of time of employment during the probationary period. If the employee is not dismissed during the probationary period, the employee shall become a status employee at its conclusion.* We understand this to mean the employee will automatically establish a status appointment without a written performance appraisal unless dismissed during probation.

The Auditor commented on the utilization of a dismissal during the probationary period. Probationary dismissals are centralized at Illinois State University and supervisors communicate with Human Resources anytime there are deficiencies during the probationary period. Furthermore, Human Resources require documentation from the department in order to support a dismissal during probation. This documentation may or may not be in the form of an appraisal.

Additional Auditor Comments:

In general, the Employer's records do not consistently demonstrate that written Probationary Evaluations are in fact being conducted. Section 250.90(a) of the Illinois Administrative Code states, in part, that "The probationary period is an integral part of the examination process." To record and document this essential element of the examination process is a fundamental necessity. A simple failure to record such an important action can pose liability issues for the Employer with respect to properly recording the final testing element in obtaining a Civil Service status position or providing accurate justification in the event the dismissal of an employee is warranted. Since an employee who is dismissed during the probationary period shall be given the reason for his/her dismissal, with the understanding that the reason is not reviewable, obtaining the necessary documentation in this respect at the time of dismissal or after the fact appears to be inconsistent with the actual intent of this rule.

Illinois State University
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Material Findings, Recommendations, and Institutional Corrective Action Plan

ISU FY13-04 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 B**, twenty-five (25) 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 C**, it was also determined that seven (7) Extra Help positions were utilized for more than 900 hours of actual work within a 12 month period without a six month lapse. It appeared that a few of the positions cited have different incumbents employed through them at the same time.

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

During the previous FY2011 Biennial Compliance Audit, the Employer indicated that with the implementation of the new Peoplesoft HRIS system in July 2011 that departments will have the ability to better monitor the number of hours worked by their Extra Help employees. While there appears to be some improvement in the overall monitoring of the Extra Help provision since the previous audit, it does not appear that adequate protocols at the departmental level to efficiently and effectively monitor Extra Help limitations were established or maintained in these instances.

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

Current Employer position management practices in this respect make 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 appear 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 FY2011 Biennial Compliance Audit, twelve (12) employees were found to have worked beyond the 900-hour Extra Help limitation without the required 30-day break in service. It was also determined that fifteen (15) Extra Help positions were utilized for more than 900 hours of actual work within a 12 month period without a six month lapse. Several positions cited had several incumbents employed through them at the same time. During the FY2009 Biennial Compliance Audit, eleven (11) appointments and thirty-five (35) positions were determined to have been utilized beyond the 900 hour limitations without the appropriate breaks. *[Finding Code ISU FY11-08, pages 29-31 and ISU 09-05, pages 16-19].*

Recommendation:

We recommend that the Employer identify and implement additional position management protocols at the department level that will adequately monitor and regulate Extra Help positions, and employees assigned to those positions, in accordance with Section 250.70(f) of the Code. The Employer is reminded that while Extra Help appointments are intended to be utilized to assist during position vacancies, leaves of absence, and during peak work periods, position management protocols with respect to the 900 hour limitation must remain in place in accordance with established guidelines.

Additionally, to reduce the frequency of these findings, the Employer may be able to further utilize Extra Help Extensions, when applicable, and/or conduct an operational analysis to determine if there is need for the creation of additional status appointments in instances where there is a long term extensive use of these positions for similar job assignments.

Institutional Corrective Action Plan—provided by Tammy Carlson, Assistant Vice President for Human Resources

Illinois State University agrees with the Auditor's finding.

Illinois State University has taken measures since the audit to better monitor the 900 hour limit and to utilize the request for extra help extension per the Auditor's suggestion.

Process changes that have been implemented since the audit are outlined below:

- The Employment Consultants when working with a supervisor to fill an extra help position notifies them of the 900 hour rule.
- Our current payroll system (iPeople) shows supervisors the number of hours the extra help employee has worked to date.
- The Civil Service Employment team has a dedicated staff member who runs a query after each pay period and will send out a report to supervisors informing them of the number of hours their extra help employees have accumulated. The email informs the supervisors of the 900 hours limitation and informs them if the employee is nearing that limit to work with the Employment Consultant on either determining a termination date or request an extension.

In addition to the above, the same staff member will let each Employment Consultant know of extra help employees who are near or at the 800 hour mark. The Employment Consultant will then contact the supervisor directly to either determine a termination date or draft the request for extension.

Illinois State University believes that in the few months these extra measures have been in place, we have seen an improvement in the number of extra help appointments being terminated prior to or at the 900 hour limit. We have also requested several extra help extensions that have been approved.

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Material Findings, Recommendations, and Institutional Corrective Action Plan

ISU FY13-05 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 requested a sample of one-hundred thirty-two (132) position descriptions for compliance with the review standard. Upon review and check in of the audit materials, it was determined that only one (1) position description appeared to validate communication between the supervisor and incumbent of position duties and responsibilities.

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

It appears that the Employer has not maintained adequate business processes to properly manage Civil Service position descriptions as procedurally required. According to the Employer, they currently do not have procedures to assure that job descriptions are updated within the appropriate time frame designated.

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:

No findings in this topic area were made during the last operational audit in FY2011.

Recommendation:

Consistent with the Classification Procedures Manual, it is strongly recommended that the Employer immediately establish additional business protocols to properly maintain the position descriptions for all Civil Service positions. It is also recommended that the Employer emphasize the fundamental importance of the establishment of a periodic position development and review process for all Civil Service positions, in accordance with the Classification Plan Management Procedures Manual.

Institutional Corrective Action Plan—provided by Tammy Carlson, Assistant Vice President for Human Resources

Illinois State University partially agrees with the Auditor’s finding.

In some cases our job descriptions are more than 3 years old. Our current system for electronic job descriptions does not have built in workflow to demonstrate whether a job description has been shared with the incumbent or not. It is our expectation that employees be shown their job description each time it is reviewed and/or updated; however, our records are insufficient to prove this actually occurred.

Illinois State University is in the process of updating all job descriptions to ensure compliance with the requirements prior to the next biennial audit. We are also in the process of completing a system upgrade for our electronic job description system, PeopleAdmin. As part of the upgrade, we intend to add additional workflow that should address the needed documentation to demonstrate job descriptions have been shared with employees.

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Appendix A

***Principal Administrative Appointments
Position Descriptions Matching Civil Service Specifications***

Employee Name	Title	Date of Employment	Job Begin Date	Annual Salary	Position Number	Recommended Civil Service Classification Options
Abu-Qulbain, Majeed	Computer Infrastructure Support Services Specialist	8/13/2001	10/15/2001	\$67,332.00	10297400	Information Technology Technical Associate
Anderson, April	Specialist, Milner Library	4/11/2011	4/11/2011	\$61,800.00	10261100	Library Operations Associate
Arthur, Kate	Media Relations Coordinator	10/1/2007	10/1/2007	\$54,624.00	20002678	Public Information Series
Berkowitz, Scott	Coordinator, Campus Recreation	8/1/2011	8/1/2011	\$36,000.00	10291000	Intramural & Recreation Coordinator
Blair, Janice	Sr. Specialist, Dean of Students	1/9/2012	1/9/2012	\$40,500.00	20001505	Student Judicial Programs Series
Bond, Andrew	Assistant to the Director, Intercollegiate Athletics	3/19/2012	3/19/2012	\$51,204.00	10318400	Sports Information Director Series or Public Information Series
Booher, Jennifer	Event Coordinator, Student Center	10/1/2007	10/1/2007	\$49,056.00	10342400	Events Administrator Series
Butler, Colby	Computer Infrastructure Support Services Specialist	7/2/2007	7/2/2007	\$57,036.00	10336200	Information Technology Technical Associate
Cable, Bradley	Computer Infrastructure Support Services Specialist	7/15/2011	7/15/2011	\$54,000.00	20000103	Information Technology Technical Associate
Caracci, Rachel	Admissions Coordinator	6/2/2006	8/1/2006	\$41,076.00	10022300	Program Advisor or Admissions & Records Series
Clark, Jennifer	Assistant Director, Special Olympics Illinois	1/19/2011	1/19/2011	\$49,680.00	10304500	Program Coordinator
Curl, Kathryn	Associate Director of Financial Aid	7/1/2005	7/1/2005	\$67,164.00	10021200	Financial Aid Advisor Manager
Deterding, Peyton	Assistant Director, Intercollegiate Athletics Internal Operations	7/30/2007	7/30/2007	\$53,112.00	10054000	Manager of Sports Facilities or Field House Facilities Supervisor
De Roeck, Edward	Assistant Director, Campus Recreation	5/19/1997	5/19/1997	\$48,336.00	1030900	Intramural & Recreation Coordinator
Duquenne, Stephanie	Associate Director, Alumni Relations	3/23/2009	3/23/2009	\$55,680.00	10389600	Assistant Director of Alumni Relations
Easton, Rebecca	Assistant Director, Special Olympics Illinois	9/13/2010	9/13/2010	\$61,656.00	10397800	Accounting Associate or Accountant Series
Enomoto, Daniel	Computer Support Specialist	9/17/2007	9/17/2007	\$44,280.00	10229200	Information Technology Support Associate
Fissel, Jennifer	Financial Aid Coordinator	11/27/1995	11/27/1995	\$44,988.00	10341200	Financial Aid Advisor Series
Folken, Diane	Associate Director, Business and Finance	7/1/1999	7/1/1999	\$63,324.00	10370400	Financial Analyst/Planner Series or Business/Administrative Associate
Franson, Bruce	Computer Support Specialist	10/15/1996	10/15/1996	\$54,972.00	10323300	Information Technology Support Associate
Gillibrand, Marie	Financial Aid Coordinator	6/5/1995	6/5/1995	\$48,612.00	10022400	Financial Aid Advisor Series
Guerrero, Scott	Financial Aid Specialist	8/13/2010	12/16/2010	\$35,532.00	10058800	Financial Aid Advisor Series
Gutierrez, Gilbert	Admissions Counselor	7/21/2011	7/21/2011	\$34,140.00	10016300	Admissions & Records Series or Program Adviser
Halle, Craig	Assistant Director, Publications Unit	8/16/2008	7/25/2011	\$34,908.00	10075300	Publications Series
Hansen, Marjorie	Specialist, Student Services and Referral Center	12/15/2003	12/15/2003	\$37,620.00	10325600	Admissions/Records Specialist Series
Harding, Kristin	Associate Director of Admissions	12/1/2000	12/1/2000	\$64,788.00	10250500	Program Adviser or Admissions and Records Series
Havens, Jeremy	Assistant to the Director, Intercollegiate Athletics	11/12/2010	11/12/2010	\$45,000.00	10171800	Publicity-Promotion Specialist

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Employee Name	Title	Date of Employment	Job Begin Date	Annual Salary	Position Number	Recommended Civil Service Classification Options
Healy, Linda	Coordinator, Radio Station WGLT	1/1/2002	1/1/2002	\$41,508.00	10368500	Publicity-Promotion Specialist
Hearn, James	Computer Support Specialist	8/28/2002	8/28/2002	\$52,872.00	10082700	Information Technology Support Associate
Henson, Michelle	Assistant Director, Special Olympics Illinois	12/1/1998	12/1/1998	\$57,720.00	10317700	Program Coordinator
Hoobler, Tyler	Computer Support Specialist	7/11/2011	7/11/2011	\$38,400.00	10322700	Information Technology Technical Associate
James, Emily	Associate Director, Development	8/13/2008	8/13/2008	\$48,000.00	20000321	Development Officer
John, Bobbi	Senior Specialist, Dean of Students	7/1/2004	7/1/2004	\$43,596.00	10059100	Student Judicial Programs Series
Johnston, Ryan	Computer Infrastructure Support Services Specialist	11/7/2002	11/7/2002	\$61,860.00	10060800	Information Technology Technical Associate or Information Technology Manager/Administrative Coordinator
Juvinall, Peter	Computer Support Specialist	12/1/1995	12/1/1995	\$69,552.00	10226600	Information Technology Support Associate
Klocek, Carolyn	Assistant Director, Special Olympics Illinois	10/4/2010	10/4/2010	\$36,576.00	10057100	Program Coordinator Series
Kollross, Matthew	Computer Infrastructure Support Services Specialist	2/21/2007	2/21/2007	\$58,620.00	10078700	Information Technology Technical Associate
Kurz, James	Computer Support Specialist	8/16/1999	8/16/1999	\$69,696.00	10367300	Information Technology Technical Associate
Marcial, Dave	Admissions Counselor	8/4/2008	8/4/2008	\$37,368.00	10028400	Admissions & Records Series or Program Adviser
Matejka, Wesley	Computer Support Specialist	6/1/2001	8/15/2001	\$59,136.00	10160800	Information Technology Manager/Administrative Coordinator
Milligan, Karen	Assistant Director, Special Olympics Illinois	8/27/2007	8/27/2007	\$56,820.00	10305100	Program Coordinator
Mwilambwe, Mboka	Assistant Director, University Housing Services	9/2/1997	9/2/1997	\$52,164.00	10108400	Student Judicial Programs Series
North, John	Assistant to the Director, Intercollegiate Athletics	2/1/2010	2/1/2010	\$60,000.00	10332900	Development Officer
Parmenter, Thomas	Computer Support Specialist	4/19/1999	4/19/1999	\$58,080.00	10016000	Information Technology Support Associate
Patterson, Amber	Program Coordinator, Public Service	3/7/2005	3/7/2005	\$38,808.00	10092000	Special Events Facilitator or Business/Administrative Associate
Peterson, Patricia	Coordinator, Radio Station WGLT	11/1/1995	12/2/1996	\$48,852.00	10308300	Publicity-Promotion Specialist
Pierce, Joanna	Specialist, LEAP Forward	2/13/2012	2/13/2012	\$45,000.00	20001646	Information Technology Technical Associate
Pywell, Alissa	Campus Recreation Coordinator	12/1/2007	12/1/2007	\$39,276.00	10059600	Intramural & Recreation Coordinator
Read, Andrew	Assistant Director, Campus Recreation	1/29/2007	1/29/2007	\$48,240.00	10066800	Publicity-Promotion Specialist
Rogers, Laura	Financial Aid Specialist	4/16/2012	4/16/2012	\$35,004.00	10023100	Financial Aid Advisor Series
Sapp, Verlinda	Assistant Director, Special Olympics Illinois	6/5/1989	6/5/1989	\$57,672.00	10297300	Program Coordinator
Schwab, Matthew	International House Programs Coordinator	7/16/2007	7/1/2009	\$37,008.00	10201600	Program Coordinator Series
Simmons, Soemer	Assistant University Registrar	3/13/2000	3/13/2000	\$55,884.00	10307800	Administrative Aide
Skorpinski, Alex	Computer Support Specialist	7/1/2006	7/1/2006	\$50,700.00	10017000	Information Technology Technical Associate or Information Technology Manager/Administrative Coordinator

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Employee Name	Title	Date of Employment	Job Begin Date	Annual Salary	Position Number	Recommended Civil Service Classification Options
Smith, Justin	Computer Infrastructure Support Services Specialist	1/25/1999	5/3/1999	\$58,872.00	10346600	Information Technology Technical Associate
Snyder, Beth	Assistant Director, Annual Fund	11/30/2009	11/30/2009	\$52,740.00	10281600	Development Officer
Spellmeyer, Melanie	Area Coordinator, Intercollegiate Athletics	11/15/1997	4/1/2011	\$23,664.00	10389700	Assistant Director of Arena
Strauch, Sean	Coordinator, Intercollegiate Athletics	5/12/2010	5/12/2010	\$37,080.00	10369400	Administrative Aide
Thomas, Erin	Coordinator, Dean of Students	7/12/2004	7/12/2004	\$50,400.00	10059000	Program Coordinator Series
Thomas, Todd	Computer Support Specialist	8/28/2006	8/28/2006	\$45,000.00	10014500	Information Technology Support Associate
Tucholke, Jason	Computer Support Specialist	9/25/2000	9/25/2000	\$59,076.00	10200300	Information Technology Support Associate
Vahl, Lindsay	Assistant Director, Admissions	8/14/2006	8/14/2006	\$41,076.00	10016100	Program Coordinator Series or Admissions & Records Officer
VanHeuklon, Jason	Coordinator, Public Service Programs	8/18/1997	8/18/1997	\$46,908.00	10203600	Public Functions Supervisor or Space Administrator Series
Walden, Suzette	Coordinator, Dean of Students	7/21/2003	7/21/2003	\$49,488.00	10286200	Student Judicial Programs Series
Watts, Erin	Coordinator, Marketing and Communications	3/27/2012	3/27/2012	\$44,004.00	20001686	Publicity-Promotion Specialist
Webb, Marlon	Coordinator, Minority Recruitment	9/21/1998	9/21/1998	\$47,556.00	10309900	Admissions & Records Series or Program Adviser
Wildergren, Tracy	Marketing, Research and Analysis Coordinator	1/5/2009	1/5/2009	\$47,748.00	10204600	Graphic Designer Series
Wilkerson, Erika	Assistant to the General Manager, Vidette	2/7/2011	2/7/2011	\$53,880.00	10384100	Advertising Supervisor
Williams, Michael	Assistant to the Director, Media Information	6/1/2009	6/1/2009	\$37,680.00	10062800	Sports Information Director Series or Public Information Series
Wischhusen, David	Computer Support Specialist	8/16/2010	7/1/2011	\$36,000.00	20000066	Information Technology Technical Associate
Woo, Nina	Admissions Counselor	7/21/2011	7/21/2011	\$34,140.00	1022700	Admissions & Records Series or Program Adviser
Yost, Samuel	Computer Support Specialist	9/1/1996	9/1/1996	\$59,208.00	10326100	Information Technology Support Associate

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Appendix B

Extra Help Employees Exceeding the 900-Hour Rule

Employee Name	Position Classification	Department	Beginning Appointment Date	Ending Appointment Date	Employee Hours Worked
Bateson, Darrin	EH-Food Service	Dining Services	8/11/11	5/5/12	1094.30
Diaz, Graciela	EH-Semi Skilled	Janitorial	7/16/10	7/15/11	921.50
Downs, Charles	EH-Semi Skilled	Golf Course	7/26/10	11/30/11	662.15
"	EH-Skilled	Campus Services Div. Grounds	11/22/11	4/30/12	29.50
"	EH-Semi Skilled	Golf Course	3/1/12		318.50
					1010.15
Eack, Cynthia	EH-Skilled	Dean of Graduate School	8/3/10	8/31/11	930.00
Fawkes, Daniel	EH Meal Server	Dining Services	8/7/10		1128.01
Fern, Bonnie	EH Semi-Skilled	Dean of Students	8/1/11		224.50
"	"	Health Services	7/1/11		711.50
"	"	"	8/1/11		711.50
					1647.50
Hampshire, Michael	EH Parking Attendant	Parking and Transportation	12/7/07		1611.00
Hurtado, Jesus	EH Semi Skilled	Janitorial	10/16/11	4/30/12	893.00
"	"	"	5/23/12		195.00
					1088.00
Johnson, Jerry	EH Semi Skilled	Janitorial	7/16/10	7/31/11	861.50
"	"	"	8/1/11	12/15/11	539.80
					1401.30
Kasongo, Alain	EH Semi Skilled	Janitorial	7/11/11	1/13/12	951.40
Luepela, Toto	EH Semi-Skilled	Janitorial	2/10/09		1507.50
"	"	"	7/1/11	1/16/12	937.50
					2445.00
Murry, Timothy	EH Meal Server	Dining Services	6/8/09		1281.47

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Extra Help Employees Exceeding the 900-Hour Rule

Employee Name	Position Classification	Department	Beginning Appointment Date	Ending Appointment Date	Employee Hours Worked
Musasa, Catherine	EH Semi Skilled	Janitorial	8/27/09		1497.50
"	"	"	8/1/11	11/30/11	628.00
					3406.97
Navarro, Maria	EH Semi Skilled	Janitorial	1/16/11		644.50
"	"	"	8/1/11	1/31/12	891.90
					1536.40
Nordquist, Troy	EH Food Service	Dining Services	8/11/11		1542.20
Raycraft, Joe	EH Semi Skilled	Janitorial	8/16/11	2/15/12	902.50
Ryburn, Terri	EH Clerical	School of Information Technology	10/11/10		832.50
"	"	"	10/31/11	5/19/12	832.50
					1665.00
Simpson, Amy	EH Food Service	Dining Services	11/8/11		503.20
"	"	"	11/8/11	4/15/12	503.20
					1006.40
Starks, Pamela	EH Semi Skilled	Superintendence	11/16/11	5/23/12	903.50
Thomas, Evan	EH Semi Skilled	Agriculture	4/3/10	7/15/11	1008.50
Tshidibi, Julie	EH Semi Skilled	University Housing Services	5/6/11		787.50
"	"	"	2/7/12		787.50
					1575.00
Ulrich, Stephen	EH Carpenter	Building Maintenance	6/6/11	11/15/11	881.00
"	EH Semi Skilled	"	6/6/11		881.00
					1762.00
Wesslund, Nathan	EH Semi Skilled	Intercollegiate Athletics	8/15/11		1044.00

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Appendix B

Extra Help Employees Exceeding the 900-Hour Rule

Employee Name	Position Classification	Department	Beginning Appointment Date	Ending Appointment Date	Employee Hours Worked
Young, Keith	EH Semi Skilled	Janitorial	9/3/10		883.50
"	"	"	7/14/11	1/13/12	883.50
					2811.00
Zimmerman, Shelli	EH Interpreter	Office of Disability Concerns	8/13/08		3965.27

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Appendix C

Extra Help Positions Exceeding the 900-Hour Rule

Position Number	Employee Name	Position Classification	Department	Beginning Appointment Date	Ending Appointment Date	Employee Hours Worked
13106700	Davis, Reed	EH Semi Skilled	Golf Course	5/10/11	11/30/11	562.00
"	"	"	"	3/1/12		371.50
						933.50
13119400	Downs, Charles	EH Semi Skilled	Golf Course	7/26/10	11/30/11	662.15
"	"	"	"	3/1/12		318.50
						980.65
13135200	Thomas, Evan	EH Semi Skilled	Agriculture	4/3/10	7/15/11	1008.50
	"	"	"	8/16/11	2/29/12	762.50
						1771.00
13148600	Watts, Craig	EH Semi Skilled	Computer Infrastructure Supp. Sv.	10/5/09	7/21/11	892.80
"	"	"	"	9/1/11		895.00
						1787.80
13172800	Coe, Alexander	EH Semi Skilled	Agriculture	7/1/11	12/31/11	768.50
"	"	"	"	2/1/12		643.50
						1412.00
20000741	Olojede, Amos	EH Food Service	Dining Services	10/5/11	5/8/12	876.80
"	St Moritz, Cheryl	"	"	11/28/11	1/21/12	81.40
"	Haynes, Shirley	"	"	1/30/12	5/8/12	472.60
						1430.80
2600002	Rees, Rachel	EH Food Service	Dining Services	9/12/11	10/20/11	179.70
"	Cline, Larry	"	"	10/31/11	5/11/12	737.10
						916.80