

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

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October 23, 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 Northern Illinois University. The audit period tested was September 1, 2010 through September 30, 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 Northern Illinois 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.

Lewis T. (Tom) Morelock
Executive Director

Northern Illinois University Final Audit Report



State Universities Civil Service System Compliance Audit

October 23, 2013

Audit Period

September 1, 2010- September 30, 2012

Prepared by:

Lucinda M. Neitzel

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Northern Illinois University
Final Audit Report

Table of Contents

Introduction	1
Executive Summary	4
Material Findings, Recommendations, Institutional Corrective Action Plans and Additional Auditor Comments	5

Appendices

Appendix A: Exemption Authorization Applied to Positions That Match Civil Service
Classification Specifications

Northern Illinois University **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 January 8-11, 2013. A Formal Exit conference was conducted on August 14, 2013 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 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
Danielle Routh, Human Resource Associate

Northern Illinois University
Final Audit Report

Executive Summary
YEAR ENDED--FY2013

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	3
Repeated findings from previous audit®	3®

SCHEDULE OF MATERIAL FINDINGS

<u>Item Number</u>	<u>Page</u>	<u>Description</u>
		FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT)
NIU FY13-01	5	Exemption Authorization Applied to Positions That Match Civil Service Classification Specifications
NIU FY13-02	23	Failure to Monitor and Validate Temporary Upgrade Assignments
NIU FY13-03	26	Employees Paid Outside of Approved Salary Ranges

Northern Illinois University
Final Audit Report

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

NIU FY13-01 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 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):

The FY2013 Biennial Compliance Audit time frame for Northern Illinois University was September 1, 2010 through September 30, 2012. Based on a payroll snapshot taken at the end of the audit time frame, the Employer reported four hundred eight (408) Principal Administrative Appointments, 36e(3) exempt, actively employed at that time. Additionally, this report identified one-thousand seven-hundred sixty-seven (1,767) Teaching, Research, and Extension Faculty Appointments, 36e(4) exempt. The Auditor selected position description samples from both groups to ensure proper exemption designation and category.

Through a review of approximately one-hundred (100) position descriptions in the ***Principal Administrative Appointment 36e(3)*** employment category, including on-site interviews with various exempted employees, it was determined that fifty-one (51) exempted positions listed in **Appendix A** were performing duties matching the specifications for various Civil Service classifications. Additionally, a review of approximately forty-one (41) exempted positions descriptions in the ***Teaching, Research, and Extension Faculty Appointment 36e(4)*** employment category were sampled, and it was determined that nine (9) of these exempted positions, also listed in **Appendix A** were performing duties matching the specifications for various Civil Service classifications. Overall, the positions cited in this finding do not appear to contain the duties or level of authority and responsibility that would typically fall outside the specifications of standard professional or technical Civil Service classifications.

After the FY2011 Biennial Compliance Audit regarding this topic, the Employer indicated that procedures were in place to properly evaluate position descriptions. The Employer provided assurances that as updated position descriptions are received, they are reviewed for proper classification and exemption. Positions found to meet the specifications of the recommended Civil Service classifications through the audit process are tagged and the position transitioned to Civil Service upon the departure of the employee and reevaluation of the duties. The Employer emphasized their diligence in this practice and that they would continue to utilize their existing procedures to evaluate job descriptions as positions become vacant, and committed to augment those procedures to assure future processing review and oversight.

An integral part in determining whether previous audit findings are properly addressed and resolved includes an in-depth review with respect to this topic and assess whether the Employer's corrective actions were fulfilled and provide a subsequent foundation for future compliance in this respect. As part of the current FY2013 Biennial Compliance Audit, the Auditor reviewed the exempted positions cited during the previous audit to determine if vacancies had in fact occurred since its completion or if the positions had been accurately flagged. If the positions had been filled, the analysis and exemption determination were once

again reviewed. As a result, the Auditor determined that seven (7) positions cited during the FY2011 Biennial Compliance Audit, and listed below, became vacant, were refilled with new employees and once again exempted during the current FY2013 Biennial Compliance Audit time frame:

- The position of Assistant Director (4353), located in the Admissions Department, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Charles A. Albert. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that Colleen M. Murphy, with an appointment beginning date of 3/16/2011, currently occupies this position in the Admissions Department with the same position number (4353) cited in the previous audit.
- The position of Coordinator (4177), located in the Art Museum, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Diana L. Arntzen. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that Heather C. Green, with an appointment beginning date of 7/1/2012, currently occupies this position in the Art Museum Department with the same position number (4177) cited in the previous audit.
- The position of Specialist (4307), located in Outreach Communications, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Amanda L. Carrier. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that Gillian A. King-Cargile, with an appointment beginning date of 9/1/2011, currently occupies this position in the Outreach Communications area with the same position number (4307) cited in the previous audit.
- The position of Associate Director (4263), located in the Admissions Department, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Melissa M. Gillis. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that William A. Hlubek, with an appointment beginning date of 4/23/2012, currently occupies this position in the Admissions Department with the same position number (4263) cited in the previous audit.
- The position of Coordinator (33882), located in the Intercollegiate Athletics Department, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Russell D. Houghtaling. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that Matthew P. Scheerer, with an appointment beginning date of 7/25/2011, currently occupies this position in the Intercollegiate Athletics Department with the same position number (33882) cited in the previous audit.

- The position of Specialist (4662), located in the University Press Department, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Linda L. Manning. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that Mark A. Heineke, with an appointment beginning date of 3/17/2011, currently occupies this position in the University Press Department with the same position number (4662) cited in the previous audit.
- The position of Assistant Director (35092), located in the Admissions Department, was previously cited in the FY2011 Biennial Compliance Audit and occupied by Aaron J. Posey. However, payroll documents provided by the Employer for the FY2013 Biennial Compliance Audit indicate that Arielle S. Kalvelage, with an appointment beginning date of 4/1/2012, currently occupies this position in the Admissions Department with the same position number (35092) cited in the previous audit.

In these instances, the Auditor was unable to conclusively determine whether the Employer remained consistent with their internal protocols in evaluating previously flagged positions prior to employing new incumbents. There was no evidence to verify an analysis had been completed or to justify the exemption determination.

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

According to the Employer's payroll records, 'standard' titles approved for use by the System Office were applied to the majority of exempted positions in both the 36e(3) and 36e(4) employment categories. It appears the Employer does not have adequate business processes in place to properly analyze positions, manage employment protocols, designate exemption status, or maintain accurate position descriptions in order to properly exempt positions in accordance with standardized protocols.

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

Of the exempted positions cited in **Appendix A**, twenty-six (26) appointments were either new or renewed during the FY2013 Biennial Audit time frame and fifteen (15) additional appointments began within five years of the beginning of the audit time frame, which accounts for 68% of the total number of positions cited in this finding. This appears to indicate an on-going failure in understanding or establishing appropriate classification plan management protocols that properly update, analyze and evaluate position descriptions, leading to unauthorized exemption authorizations and non-compliance with the Act, Code and Procedures.

Finding from Previous Audit:

During the FY2011 Biennial Compliance Audit, the Auditor identified fifty-one (51) exempted positions that appeared to be performing duties and responsibilities comparable to those found in Civil Service classifications. *[Finding Code NIU FY11-01, pages 5-7].*

Recommendation:

Due to the level of non-compliance related to this topic, the Employer is again 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 exemption determinations. 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.

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 and Section 4.1, Teaching, Research, and Extension Faculty Appointments, approved by the Merit Board in June 2009. 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.

In order to properly regulate and manage these appointments, we request that the Human Resource Office immediately establish additional protocols to routinely review and maintain all exempt position descriptions 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 Civil Service appointments and those positions that truly meet exemption authorization standards, either as a Principal Administrative Appointment (36e(3)) or as a Teaching, Research, or Extension Faculty Appointment (36e(4)).

Specifically regarding the seven (7) positions listed above that were cited in the previous audit and were refilled during this audit time frame, we recommend that they be transitioned at the next contract renewal date to an appropriate Civil Service appointment as previously recommended. Additionally, we recommend that the Employer complete an in-depth review of the position descriptions for those 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. ***Again, 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.***

Institutional Corrective Action Plan—provided by Steve Cunningham, Executive Vice President for Business and Finance and Chief of Operations:

As position descriptions are received, an analysis of the position description is conducted. If, while the position is occupied, it is determined that the position may now be considered civil service, the position is flagged. When the position becomes vacant and the department moves to refill the position, the position is reevaluated and migrated to civil service. Northern Illinois University is diligent in this process and had moved fourteen positions at the time of the audit.

The auditor makes reference to seven (7) positions that were cited in the 2011 compliance audit and were refilled by the university. Information specific to these positions and the actions taken by the university are as follows:

- **Assistant Director (4353) Admissions** – This position was refilled on March 16, 2011 prior to receiving the draft audit from the systems office on September 7, 2011. Upon receipt of the audit, the position description was reviewed along with the recommended classifications of Admissions and Records Series and Program Adviser. It was determined that neither the Admissions and Records Series nor the Program Adviser fit the level of responsibility and duties outlined in the job description. The position will be reevaluated once it becomes vacant.
- **Coordinator (4177)** – The position was evaluated and determined that it should remain exempt because the individual in the position was required to perform a multitude of tasks at a high level while maintaining flexibility to perform other cross functional duties. The civil service classification, while descriptive of a museum educator at a large institution, did not cover the range of knowledge and skills required of the employee. In addition to the duties outlined in the classification specification, the position required an individual who could produce and disseminate public relations information, had the knowledge and skills to utilize/execute social media, and assist in curatorial responsibilities as needed.
- **Specialist (4307) Outreach Communication** – Mrs. King-Cargile was hired into position 4307 on December 1, 2010, which was prior to receiving the draft audit from the systems office on September 7, 2011. Upon receipt of the audit, the position description was reviewed along with the recommended series of Public Information. The position has been flagged and will be reevaluated when it becomes vacant. September 1, 2011 is indicated on the extract because that is the date the position was changed from specialist to coordinator

based on a request from the department and a reevaluation of the job description was completed.

- **Associate Director (4263) Admissions** – A position review was conducted upon the request of the department to refill the position. It was determined that the Program Adviser (effective 1987) classification recommended by the auditor did not fit the level of responsibility and duties outlined in the job description. A national search was conducted and Mr. Hlubek was the selected candidate.
- **Athletics Media Coordinator (33882)** – A national search for this position was started in April 2011 prior to receiving the draft audit from the systems office on September 7, 2011. Upon receipt of the audit the position description was reviewed along with the recommended Sports Information Series. It was determined that the position would be flagged and reevaluated once it became vacant.
- **Specialist (4662)** – Ms. Manning left the university in September 2010 at which time the division submitted a request to restructure the position and the job description was evaluated. A national search for the Executive Acquisitions Editor/Editor-in-Chief was launched in November 2010 and Mr. Heineke, who began employment in March 2011, was the candidate of choice. The auditor's recommendation was received after the search and hire process was completed. The position will be reevaluated once it becomes vacant.
- **Assistant Director (35092) Admissions** – A position review was conducted upon the request of the department to refill the position. It was determined that the Program Adviser (effective 1987) classification recommended by the auditor did not fit the level of responsibility and duties outlined in the job description.

The University disagrees with the auditor's statement regarding the use of 'standard' titles indicating that as a result the University does not have adequate business processes in place to properly manage employment protocols, designate positions, or maintain accurate position descriptions in order to properly exempt positions in accordance with standardized protocols.

The University conducts a comprehensive analysis of position descriptions as updates are received and at the time of vacancy. If a civil service classification may be appropriate, the recommendation is made to the employing department and further discussion, clarification, and implementation plans discussed. This process is continuous and cumbersome and has resulted in the transfer of more than twenty positions to civil service at the time of vacancy.

Position Number	Date of Employment	Job Begin Date	Recommended Civil Service Classification Options	University Response
4497	9/20/2010	9/20/2010	Intramural and Recreation Coordinator	Position appears to have been properly exempted in 2010 prior to SUCSS updating the recommended classification, which did not occur until 1/15/2011. A national search was conducted and an out of state candidate selected. The position will be evaluated once it becomes vacant.
4015	5/01/1986	8/16/1986	Publication Series	Position appears to have been properly exempted and approved by the Merit Board in 1986 prior to SUCSS updating the recommended classification, which did not occur until 2/15/2011. The position will be evaluated once it becomes vacant.
31946	3/12/2012	3/12/2012	Business/Administrative Associate or Administrative Assistant	Position appears to have been properly exempted in 2012. The Business/Administrative Associate released in 2002 did not cover a large portion of the position responsibilities including compliance with HIPAA and clinical operations. The update to the Administrative Assistant classification was not complete until 10/15/2012 after the position hire. The <i>Assistant To</i> standard title was selected because it best encompassed the far reaching duties of the position. The position will be evaluated once it becomes vacant.
35094	10/16/2011	10/16/2011	Program Adviser or Admission and Records Series	Position appears to have been properly exempted in 2011 as the duties were not consistent with the Admission and Records Series (updated in 2006/2009) and how the university utilizes the classification. The current Program Adviser classification effective 1987 did not include a large portion of the position responsibilities. The position will be evaluated once it becomes vacant.

4705	3/1/1999	3/1/1999	Information Technology Technical Associate	Position appears to have been properly exempted in 1999 prior to SUCSS updating the recommended classification, which did not occur until 2004. The position will be evaluated once it becomes vacant.
34679	1/1/2007	1/1/2007	Information Technology Support Associate or Information Technology Technical Associate	Position appears to have been properly exempted in 2007 because of the teaching related duties required and being performed as part of the position. The position will be evaluated once it becomes vacant.
29643	5/14/2001	7/1/2007	Accounting Associate	The University understood the position to be properly exempted when the transfer of the individual was reviewed by SUCSS in the 2008 audit. The position will be evaluated once it becomes vacant.
4161	1/19/1999	1/19/1999	Information Technology Technical Associate	Position appears to have been properly exempted in 1999 prior to SUCSS updating the recommended classification, which did not occur until 2004. The position will be evaluated once it becomes vacant.
34885	7/1/2003	8/1/2007	Program Adviser	Position appears to have been properly exempted in 2007 as the Program Adviser classification effective 1987 did not include a large portion of the position responsibilities. The position will be evaluated once it becomes vacant.
36403	1/3/2006	5/16/2011	Instructional Development Specialist	Position appears to have been properly exempted in 2011. The recommended classification is associated with instructional development and works closely with faculty. While this position does do some work with faculty, the majority of the time spent is working with senior administration, BOT, and developing media to recruit students and market the university. The position will be monitored for change in scope.

4091	1/1/1992	5/1/1998	Radio Station Production Supervisor	Position appears to have been properly exempted in 1998 when the position was transferred from the civil service classification Radio Operations Supervisor (deleted in 2002). The scope and level of responsibility associated with this position go well beyond the recommended classification. The position will be evaluated once it becomes vacant.
4487	4/16/2008	4/16/2008	Editorial Series or Publication Series	Position appears to have been properly exempted and approved by the Merit Board in 1984 prior to SUCSS updating the recommended classifications, which did not occur until 7/15/2012 and 2/15/2011 respectively. A national search was conducted and an out of state candidate selected. The position will be evaluated once it becomes vacant.
4975	11/1/2000	11/1/2000	Information Technology Technical Associate or Applications Programmer Series	Position was properly exempted in 2000 prior to SUCSS updating the recommended classifications, which did not occur until 2004 and 2001 respectively. The position was evaluated when it became vacant and transferred to civil service
4979	6/3/1991	10/1/2000 (7/1/2005)	Information Technology Technical Associate	Position appears to have been properly exempted in 2000 prior to SUCSS updating the recommended classification, which did not occur until 2004. The employee went into the position in 2000 and in 2005 the position title was updated. The position will be evaluated once it becomes vacant.
5003	12/26/1992	2/1/2001 (12/1/2009)	Information Technology Manager/Administrative Coordinator	Position appears to have been properly exempted in 2001 prior to SUCSS updating the recommended classification, which did not occur until 2003. The 12/1/2009 date was included in the extract because that is the date when a change in title only occurred. The position will be evaluated once it becomes vacant.

4774	9/20/2010	9/20/2010	Intramural and Recreation Coordinator	Position appears to have been properly exempted in 2010 prior to SUCSS updating the recommended classification, which did not occur until 1/15/2011. A national search was conducted and an out of state candidate selected. The position will be evaluated once it becomes vacant.
35729	7/1/2011	7/1/2011	Information Technology Technical Associate, Webmaster, or Web Specialist Series	Position is a research associate position that is responsible for discriminating key information on the leading school improvement site for Illinois schools. The position will be evaluated once it becomes vacant.
4851	6/29/1987	2/1/2000	Information Technology Technical Associate or Applications Programmer Series	Position appears to have been properly exempted in 2000 prior to SUCSS updating the recommended classifications, which did not occur until 2004 and 2001 respectively. The position will be evaluated once it becomes vacant.
36408	1/1/2011	1/1/2011	Public Information Series	Position appears to have been properly exempted in 2011. The Public Information Series released in 1988 does not encompass a large portion of the position responsibilities including videography, AVID, and editing. The position will be evaluated once it becomes vacant.
32510	1/1/2004	1/1/2004	Information Technology Support Associate	Position appears to have been properly exempted in 2003 (for the start of the search) prior to SUCSS updating the recommended classification, which did not occur until 5/15/2004. The position will be evaluated once it becomes vacant.
4756	8/16/2003	8/16/2003	Information Technology Manager/Administrative Coordinator	Position appears to have been properly exempted on 8/16/2003 prior to SUCSS updating the recommended classification, which did not occur until 10/1/2003. The position will be evaluated once it becomes vacant.

4419	7/15/1982	1/1/2003	Student Conduct Program Series	Position appears to have been properly exempted in 1991 when the employee was placed in the position. The position continued to be properly exempted in 2003 prior to the SUCSS updating the recommended classification, which did not occur until 5/1/2013. The position will be evaluated once it becomes vacant.
29408	1/1/2008	7/1/2012	Statistician Series or Institutional Research Data Specialist	Position appears to have been properly exempted in 2012. The recommended classifications do not appear to fit the duties outlined in the job description. The position will be evaluated once it becomes vacant.
29849	10/9/2001	9/1/2001	Information Technology Support Associate	Position appears to have been properly exempted in 2001, when the employee was placed into the position prior to SUCSS updating the recommended classification, which did not occur until 2004. The position will be evaluated once it becomes vacant.
5045	8/16/2008	8/16/2008	Multimedia Technology Communications Series or Arena Technician	The University is reviewing this recommendation with the hiring department. The Multimedia Technology Communications Series was not put into place until 2012, which was after the hire and the Arena Technician classification is not one that University currently utilizes. The position will be evaluated once it becomes vacant.
28733	10/31/2011	10/31/2011	Business/Administrative Associate or Administrative Aid	Position appears to have been properly exempted in 2011. The position has and will continue to have NCAA compliance components that lend it to be exempt from civil service. These positions are nationally recruited. The position will be evaluated once it becomes vacant.
36605	5/2/2005	7/1/2011	Information Technology Support Associate	The position is responsible for client relations and does not necessarily complete tasks that are listed in the classification spec. The position will be evaluated once it becomes vacant.

33950	7/1/2000	10/1/2005	Facilities Manager Series, Construction Project Coordinator Series or Superintendent of Buildings	Position appears to have been properly exempted in 2005, when the employee was placed into the position prior to SUCSS updating the Facilities Manager Series, which did not occur until 2007 or the Construction Project Coordinator Series which was updated in 2010. The Superintendent of Buildings classification is not currently used by the University and does not appear to be appropriate for this position given the limited subset of buildings comparative to the number of campus buildings. The position will be evaluated once it becomes vacant for possible allocation into the housing series.
4637	10/25/1999	10/25/1999	Editorial Series or Publications Series	Position appears to have been properly exempted and approved by the Merit Board in 1984 prior to SUCSS updating the recommended classifications, which did not occur until 7/15/2012 and 2/15/2011 respectfully. The position will be evaluated once it becomes vacant.
4622	7/1/2012	7/1/2012	Program Coordinator Series	Position appears to have been properly exempted in 2012. The position has and will continue to have NCAA compliance components that lend it to be exempt from civil service. These positions are nationally recruited. The position will be evaluated once it becomes vacant.
33889	3/1/2006	3/1/2006	Information Technology Technical Associate	Position is a research associate position that is responsible for discriminating key information on the leading school improvement site for Illinois schools. The position will be evaluated once it becomes vacant.
4889	6/19/2000	6/19/2000	Radio/Television Producer/Announcer Series	Position appears to have been properly exempted in 2000. The scope and level of responsibility associated with this position goes well beyond the recommended classification. The position will be evaluated once it becomes vacant.

4316	8/1/2011	8/1/2011	Graduate School Specialist	The University has not used the recommended classification outside of the Graduate School. The University will undertake a review with the college on the position and determine a classification once the position becomes vacant.
4795	2/1/2011	2/1/2011	Instructional Development Specialist	The University has undertaken a review of the position in coordination with the department and believes that it was appropriately exempted. The position focus and responsibilities are not consistent with the recommended classification. The position will be evaluated once it becomes vacant.
4235	5/1/2011	5/1/2011	Information Technology Support Associate	Position appears to have been properly exempted in 2011. The position has and will continue to have NCAA compliance components that lend it to be exempt from civil service. These positions are nationally recruited and out of state candidates selected. The position will be evaluated once it becomes vacant.
4014	8/31/1999	4/1/1997	Information Technology Technical Associate	Position has been flagged and will be migrated to civil service at the time of vacancy.
34991	12/16/1999	6/1/2009	Financial Aide Adviser Manager	Position appears to have been properly exempted in 2009 prior to SUCSS updating the recommended classification, which did not occur until 2012. The position will be evaluated once it becomes vacant.
4805	10/18/1999	10/18/1999	Information Technology Technical Associate or Applications Programmer Series	Position appears to have been properly exempted in 1999 prior to SUCSS updating the recommended classifications, which did not occur until 2004 and 2001 respectively. The position will be evaluated once it becomes vacant.
4762	6/1/2006	6/1/2006	Publicity-Promotion Specialist	A large portion of the incumbent's duties do not appear to be encompassed by the recommended classification. The University will work with the department once the position becomes vacant.

NORTHERN ILLINOIS UNIVERSITY
STATE UNIVERSITIES CIVIL SERVICE SYSTEM COMPLIANCE AUDIT

4472	7/1/2012	7/1/2012	Manager of Sports Facilities	Position is currently vacant and under review for exemption or migration into a civil service classification.
32595	4/1/2012	4/1/2012	Development Officer	The position will be reevaluated once it becomes vacant.
34874	7/1/2012	7/1/2012	Program Adviser	Position appears to have been properly exempted in 2012 as the program adviser classification effective 1987 did not include a large portion of the position responsibilities. The position will be evaluated once it becomes vacant.
35023	7/16/2009	7/16/2009 (7/1/2011)	Intramural and Recreation Coordinator	Position appears to have been properly exempted in 2009 when the incumbent was placed into the position, prior to SUCSS updating the recommended classification, which did not occur until 1/15/2011. The position will be evaluated once it becomes vacant.
36618	7/1/2011	3/16/2012	Administrative Aid	Position appears to have been properly exempted on 3/16/2012 when the incumbent was placed into the position, prior to SUCSS updating the recommended classification, which did not occur until 10/15/2012. The position will be evaluated once it becomes vacant.
35638	2/1/1978	1/1/2009	Office Support Series	The position will be reevaluated once it becomes vacant.
4894	4/18/1998	7/1/2000	Business/Administrative Associate or Administrative Aid	Position appears to have been properly exempted in 2000 prior to SUCSS updating the recommended classifications in 2002 and 2012 respectively. The position will be evaluated once it becomes vacant.
36098	9/12/2011	9/12/2011	Information Technology Support Associate	The position will be reevaluated once it becomes vacant.
4260	8/16/2007	8/16/2007	Stage Foreman	The position will be reevaluated once it becomes vacant.
28730	1/1/2004	9/1/2007	Statistician Series or Institutional Research Data Specialist	Position appears to have been properly exempted in 2007. The recommended classifications do not appear to fit the duties outlined in the job description. The position will be evaluated once it becomes vacant.

NORTHERN ILLINOIS UNIVERSITY
STATE UNIVERSITIES CIVIL SERVICE SYSTEM COMPLIANCE AUDIT

4596	9/1/2011	9/1/2011	Accounting Series, Accounting Associate, or Budget Analyst Series	The position will be reevaluated once it becomes vacant.
35513	3/1/2012	3/1/2012	Assistant Director of Alumni Relations	Position is a director level position and appears to have been properly exempted on 6/28/2011 when a search was launched prior to SUCSS updating the recommended classification, which did not occur until 8/15/2012. A national search was conducted. The position will be evaluated once it becomes vacant.
4242	7/11/2000	10/16/2010	Test Specialist	Position appears to have been properly exempted as an Assistant Director level position as the individuals who are in the recommended classification report to this position. The University will work with department to ensure that the duties are adequately documented. A search was conducted for this position. The position will be evaluated once it becomes vacant.
35583	11/17/2008	11/17/2008	Grants and Contracts Development Specialist	Position appears to have been properly exempted and is similar to parallel positions that were previously approved to be exempt by SUCSS during the last audit.
4455	7/1/1996	7/1/2006	Curator of Art III	The position will be evaluated once it becomes vacant.
4331	6/16/2011	6/16/2011	Information Technology Support Associate	The duties encompass more than the duties outlined in the Information Technology Support Associate classification. The position will be evaluated once it becomes vacant.
36275	11/16/2011	11/16/2011	Program Services Specialist	The classification recommended does not appear to be consistent with the professional licensure required and may be more in line with the professional exemptions in SPS. The University will work with the department to ensure the duties are properly documented and will reevaluate the position once it becomes vacant.

4143	8/20/1990	8/20/1990	Financial Aid Adviser Series	Position appears to have been properly exempted in 1990 prior to SUCSS updating the recommended classification, which did not occur until 2012. The position will be evaluated once it becomes vacant.
4148	9/1/2012	9/1/2012	Financial Aid Adviser Series	Position appears to have been properly exempted on 9/1/2012 prior to SUCSS updating the recommended classification, which did not occur until 10/15/2012. The position will be evaluated once it becomes vacant.
4428	9/11/1995	9/11/1995 (8/1/2003)	Publicity-Promotion Specialist	Position appears to have been properly exempted in 1994/5 when the position was exempted. The change that occurred in 2003 was an update to the incumbent's title. The position will be evaluated once it becomes vacant.
4961	11/27/2003	6/27/2005	Special Events Facilitator	The position will be evaluated once it becomes vacant.

Additional Auditor Comments:

The Employer indicates that several of the positions cited in **Appendix A** had been previously approved as exemptions either by the System Office or the Employer prior to updates to the recommended Civil Service classification specifications. To retain or originally designate a position as exempt from Civil Service regulations because it met exemption standards several years ago is simply short-sighted and does not conform with any standard business process regarding the management of a complex, ever-changing personnel system. If at any point the position duties are found to meet the criteria of a Civil Service classification, the position is to be converted to such a designation. Therefore, indicating that an approved exemption (which may be decades old) provides justification for the position to now be designated as PAA, is a very inaccurate, simplistic interpretation and not recognized as justification for the exemption status.

The University Civil Service System has historically contained a huge array of professional classifications designed to meet the academic support and business operations of our very diverse campus environments. Many of these professional classification structures have been upgraded and now provide a significant amount of flexibility through alternative employment protocols. Likewise, rigid performance standards may be captured and applied throughout these classification structures. Additionally, the Employer has the capability to include many specific additional duties and responsibilities to each position to meet operational or occupational standards. The classification plan is changing constantly, so what may have been exempt yesterday may not be exempt today, especially with the use of new classification broad-banding concepts. Accordingly, there are many Civil Service classifications which contain

the duties and responsibilities directly associated with the positions outlined in this finding and listed in **Appendix A**. Please note also that an Employer's failure or unwillingness to utilize a specific classification does not insulate them from findings in this regard. Those positions listed will be flagged and included in the Auditor's review during the next audit period.

The Employer is again reminded that a Civil Service class specification is a general definition of a job class and is not intended to provide the specificity of job duties and direct responsibilities in positions assigned to a particular classification, but rather provide broad information about the scope of work, general duties, and minimum qualifications. This framework provides the flexibility necessary to properly designate several different types of positions within the assigned classification plan and still insure that other vital human resource functions are fairly and equitably implemented and maintained. Employers are provided a significant amount of flexibility to include additional duties, qualifications, and credentials to positions as needed to meet important operational or business needs. Therefore, when Civil Service classifications are available, for any position within the University System, it is first required to be inclusive within the Civil Service classification plan and not an optional election. According to the Exemption Procedures Manual, ***"if a position description matches the specifications for any Civil Service classification, the position must be designated as Civil Service"***. To simply indicate that the position specifications do not completely match the job duties is no longer justification for exemption, especially with the expansion of specialty factor designations and the custom class designations.

With respect to the Employer's administrative response to the seven (7) positions vacated and refilled since the FY2011 Biennial Compliance Audit and previously referenced in this finding, the rationale provided in these instances still does not provide adequate justification for exempting these positions from Civil Service regulatory guidelines again. The timing with respect to when the FY2011 Biennial Compliance Audit Report was issued, in either draft or final form, only serves as a notification protocol and is not relevant to the actual evaluation or exemption decisions of the positions at the HR campus level. Therefore, in order to properly validate these exemptions, the Auditor requests a copy of the review of the position descriptions utilized to support the subsequent exemption decisions made in each instance. These documents should be submitted to the Auditor no later than November 8, 2013. ***Again, as previously noted in the Auditor's recommendation, 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 Civil Service classification specifications, they must be transitioned to a Civil Service appointment.

Northern Illinois University
Final Audit Report

Material Findings, Recommendations, and Institutional Corrective Action Plan

NIU FY13-02 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 250.100 Reassignments and Transfers*
- 3) *Illinois Administrative Code (Code), Section 250.140 Delegation of Authority and Responsibilities*
- 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):

Prior to the on-site audit, the Auditor requested material from the Employer with respect to Temporary Upgrade assignments. This portion is referenced in Section IV (H), Employment and Separations, *Temporary Downgrade and Temporary Upgrade Assignments* as outlined in the Audit Request Material Checklist, sent to the Employer on September 20, 2012. The data elements requested included employee name, classification, assigned upgrade/downgrade classification, date of upgrade/downgrade assignment, exam score and proof of register, and termination of upgrade/downgrade assignment. Following receipt of the checklist and through gathering materials in preparation for the audit, the Employer did not submit a report for these transactions as requested.

Since this was a topic of concern during the previous FY2011 Biennial Compliance Audit, the Auditor again discussed this topic extensively with the Employer during the current FY2013 Biennial Compliance Audit on-site exit conference. In the weeks following the on-site audit, the Employer processed the first Temporary Upgrade transaction consistent with regulatory procedures; however, this transaction was implemented after the end of the current audit time frame.

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

It appears that there was not a business process in place to properly track or document this basic personnel action and compliance activity during the FY2013 Biennial Compliance Audit time frame. Consequently, the Employer failed to meet the requirements in providing data to properly validate the utilization of Temporary Upgrade transactions.

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

The Auditor was unable to collect and analyze 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 FY2011 Biennial Compliance Audit, it was revealed that the Employer did in fact compensate specific craft and trade journeyman employees who routinely assume the duties of a foreman. However, the Employer simply did not reference these types of transactions as Temporary Upgrades. *[Finding Code NMNIU FY11-01, pages 1-3]*.

Recommendation:

As a result of the previous audit, the Employer communicated their commitment to reviewing regulatory provisions regarding Temporary Upgrades and to establish additional internal protocols to properly capture and monitor these personnel activities. Additionally, the Employer indicated through their Institutional Corrective Action Plan (ICAP) for the FY2011 Biennial Compliance Audit that a written procedure would be developed and future reports submitted to the System Office for these transactions. During the current FY2013 Biennial Compliance Audit, it appeared that written procedures had not been previously implemented and that the Employer did not have an actual method of validating compliance with the temporary upgrade provision during the current audit time frame.

As a matter of standard protocol for each Biennial Compliance Audit, as well as in previous audits for this Employer, the System Office has consistently requested the data elements referenced in this finding relative to Temporary Upgrade assignments. While it appears there are now procedures in place to capture these components, the Employer is again reminded that Temporary Upgrades are frequently utilized when necessary to compensate employees when they temporarily assume duties of a higher classification or in other situations where a supervisory employee is temporarily replaced in his/her absence. Personnel actions defined as Temporary Upgrades must be properly administered and monitored.

Institutional Corrective Action Plan—provided by Steve Cunningham, Executive Vice President for Business and Finance and Chief of Operations:

The current policies and practices have been reviewed. While a policy currently exists, the University is in the process of updating both the policy and practices to be able to more accurately identify when a temporary upgrade is appropriate. The University is also in the process of updating time sheet protocols to make it easier to extract the information from PeopleSoft.

Northern Illinois University
Final Audit Report

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

NIU FY13-03 Employees Paid Outside of Approved Salary Ranges

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

- 1) *State Universities Civil Service Act (Act), Section 70/36d(3) Powers and Duties of the Merit Board*
- 2) *State Universities Civil Service Act (Act), Section 70/36k(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 Civil Service payroll documents submitted by the Employer to determine whether Civil Service employee salary rates were paid within established salary ranges. Upon initial review, it appeared that approximately three-hundred eighty (380) employees either did not have an established rate/range, or they were compensated outside the established rate/range as utilized and approved in both open range and negotiated classifications.

During the on-site audit, the Employer was promptly notified of these discrepancies and instructed to correct the information for those employees whose salary rates/ranges were truly inconsistent with regulatory guidelines. While the Employer has been making some progress in this respect since the on-site portion of the audit through submitting updates and modifications through the Salary Data System, it appears that additional updates are required.

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

Many salary rate/range adjustments were not routinely updated through the Statewide Salary Data Processing System (SSDPS) during the audit time frame to maintain and reconcile approved salary components in accordance with designated procedures. In addition, process

changes with the transition of the Statewide Salary Data Processing System from the Employer's location to the System Office may have attributed to additional discrepancies. Additionally, in several instances, the rates/ranges 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 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, as well as non-compliance with the Act and its corresponding procedure.

Finding from Previous Audits:

No findings in this topic area were made during the previous FY2011 Biennial Compliance Audit however follow-up activities with the Employer were required following the on-site portion of the audit to make all of the necessary corrections to employee salary rates/ranges to achieve compliance in this respect. Additionally, during the FY2009 compliance audit, the Employer had approximately two-hundred eighteen (218) open range employees that were paid above the approved maximum salary rates for their classification. The Employer also had a series of negotiated employees that were paid above the approved maximum salary rates. *[Finding Code NMNIU FY09-01, pages 1-2].*

Recommendation:

As previously noted in this finding, the Employer has provided updates to some ranges; however, it appears that many employees are still paid outside the established rate/range. With respect to negotiated rates/ranges, it is imperative that salary modifications are promptly entered at the conclusion of the collective bargaining process to accurately reflect any rate/range changes.

In order to validate whether required changes have been made consistent with Auditor recommendations, the Employer is requested to provide the most current Civil Service payroll document to the System Office to determine actual compliance in this respect. Additionally, we request that the Employer continue to submit salary range adjustments as soon as possible to the System Office to alleviate 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 Steve Cunningham, Executive Vice President for Business and Finance and Chief of Operations:

All of the information has been updated. While the University understands the importance of the accuracy of the system, there is a concern with updating the maximums to accommodate longer term employees and contractual pass through language in contracts because it skews the ranges across the system. At this point the University can only rely on the minimums for analysis because experience has shown that the midpoints and maximums have been changed to accommodate various scenarios. Lastly the University has realigned duties within HR and reassigned the duties of updating ranges.

Additional Auditor Comments:

Statistical analysis of actual salary levels and salary ranges is quite complex. Consistency in reporting requirements are fundamental in this process, irrespective of the outcome or final analysis. It is our responsibility to report and make publicly accessible only the most current and accurate salary information with respect to Civil Service employees. From a transparency and fundamental reporting standpoint, all employers must adhere to this reporting standard. Employers are simply not provided the latitude to determine which salaries are reported and which are not.

**State Universities Civil Service System
Northern Illinois University
FY2013 Biennial Compliance Audit**

Appendix A

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

Employee Name	Title	Date of Employment	Job Begin Date	Exemption Designation (Employer)	Monthly Salary	Position Number	Recommended Civil Service Classification Options
Appiah, Eric K.	Assistant Director	9/20/2010	9/20/2010	36e(3)	\$3,672.92	4497	Intramural and Recreation Coordinator
Bean, Susan K.	Editor	5/1/1986	8/16/1986	36e(3)	\$5,450.00	4015	Publications Series
Callahan, Carissa N.	Assistant to the Dean	8/16/1995	8/16/1995	36e(3)	\$5,416.68	31946	Business/Administrative Associate or Administrative Assistant
Campbell, Theodore W.	Assistant Director	10/16/2011	10/16/2011	36e(3)	\$2,834.00	35094	Program Adviser or Admissions & Records Series
Chen, Hongqin	Information Technology Coordinator	3/1/1999	3/1/1999	36e(3)	\$4,808.36	4705	Information Technology Technical Associate
Corvino, Michael	Specialist	1/1/2007	1/1/2007	36e(3)	\$3,857.90	34679	Information Technology Support Associate or Information Technology Technical Associate
Crawford, Dawn M.	Assistant Director	5/14/2001	7/1/2007	36e(3)	\$4,048.78	29643	Accounting Associate
Crittenden, Andre J.	Information Technology Coordinator	1/19/1999	1/19/1999	36e(3)	\$4,544.12	4161	Information Technology Technical Associate
Curry, Regina	Coordinator	7/1/2003	8/1/2007	36e(3)	\$2,679.10	34885	Program Adviser
Del Fiacco, Anthony	Coordinator	1/3/2006	5/16/2011	36e(3)	\$3,900.84	36403	Instructional Development Specialist
Drake, William J.	Director	1/1/1992	5/1/1998	36e(3)	\$5,288.98	4091	Radio Station Production Supervisor
Farranto, Amy E.	Editor	4/16/2008	4/16/2008	36e(3)	\$4,290.06	4487	Editorial Series or Publications Series
Gephart, Monica L.	Information Technology Coordinator	11/1/2000	11/1/2000	36e(3)	\$5,445.18	4975	Information Technology Technical Associate or Applications Programmer Series
Gerenstein, Jan L.	Associate Director	6/3/1991	7/1/2005	36e(3)	\$5,005.38	4979	Information Technology Technical Associate
Hammond, Sabrina T.	Coordinator	12/26/1992	12/1/2009	36e(3)	\$6,975.76	5003	Information Technology Manager/Administrative Coord.
Hampton, Rhonda R.	Assistant Director	9/20/2010	9/20/2010	36e(3)	\$3,416.68	4774	Intramural and Recreation Coordinator
Harkness, Troy C.	Research Associate	7/1/2011	7/1/2011	36e(3)	\$2,824.00	35729	Information Technology Support Associate, Webmaster or Web Specialist Series
Highland, John B.	Information Technology Coordinator	6/29/1987	2/1/2000	36e(3)	\$7,500.40	4851	Information Technology Technical Associate or Applications Programmer Series
Hrubec, Andrew S.	Editorial Associate	1/1/2011	1/1/2011	36e(3)	\$3,076.68	36408	Public Information Series
Hyde, Daniel S.	Information Technology Coordinator	1/1/2004	1/1/2004	36e(3)	\$3,423.98	32510	Information Technology Support Associate
Ingraham, Regina P.	Information Systems Manager	8/16/2003	8/16/2003	36e(3)	\$7,357.80	4756	Information Technology Manager/Administrative Coord.
Jones, Terry D.	Associate Director	7/15/1982	1/1/2003	36e(3)	\$4,857.08	4419	Student Conduct Programs Series
Karolus, Andrew E.	Research Assistant	1/1/2011	7/1/2012	36e(3)	\$1,800.00	29408	Statistician Series or Institutional Research Data Specialist
Kosoric, Aleksander	Information Technology Coordinator	10/9/2001	9/1/2010	36e(3)	\$4,227.54	29849	Information Technology Support Associate
Kurszewski, Christopher D.	Specialist	8/16/2008	8/16/2008	36e(3)	\$2,451.46	5045	Multimedia Technology Communications Series or Arena Technician
Larson, Jason E.	Director	10/31/2011	10/31/2011	36e(3)	\$3,417.00	28733	Business/Administrative Associate or Administrative Aide
Mackey, Michael J.	Specialist	5/2/2005	7/1/2011	36e(3)	\$3,425.22	36605	Information Technology Support Associate
Manning, Jennifer N.	Assistant Director	7/1/2000	10/1/2005	36e(3)	\$3,735.70	33950	Facilities Manager Series, Construction Project Coordinator Series or Superintendent of Buildings
McGowan, Mark	Editorial Associate	10/25/1999	10/25/1999	36e(3)	\$5,065.88	4637	Editorial Series or Publications Series

**State Universities Civil Service System
Northern Illinois University
FY2013 Biennial Compliance Audit**

Appendix A

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

Employee Name	Title	Date of Employment	Job Begin Date	Exemption Designation (Employer)	Monthly Salary	Position Number	Recommended Civil Service Classification Options
McKillop, Joseph S.	Assistant Director	7/1/2012	7/1/2012	36e(3)	\$2,084.00	4622	Program Coordinator Series
Mohammed Abdul, Muheet	Information Technology Coordinator	3/1/2006	3/1/2006	36e(3)	\$7,921.50	33889	Information Technology Technical Associate
Ostergard, Cindy L.	Director	6/19/2000	6/19/2000	36e(3)	\$3,854.46	4889	Radio/Television Producer/Announcer Series
Preston, Anthony W.	Assistant to the Dean	8/1/2011	8/1/2011	36e(3)	\$3,333.34	4316	Graduate School Specialist
Quillman, Cherie L.	Coordinator	2/1/2011	2/1/2011	36e(3)	\$3,750.00	4795	Instructional Development Specialist
Roley, Peter J.	Assistant Director	5/1/2011	5/1/2011	36e(3)	\$3,333.50	4235	Information Technology Support Associate
Rynkewicz, Randy R.	Information Systems Manager	8/31/1992	4/1/1997	36e(3)	\$5,764.00	4014	Information Technology Technical Associate
Saghu, Inali J.	Associate Director	12/16/1999	6/1/2009	36e(3)	\$4,902.92	34991	Financial Aid Adviser Manager
Sanderson, Irene E.	Information Technology Coordinator	10/18/1999	10/18/1999	36e(3)	\$7,459.50	4805	Information Technology Support Associate or Applications Programmer Series
Scarpaci, Kathleen M.	Underwriting Sales Representative	6/1/2006	6/1/2006	36e(3)	\$4,100.90	4762	Publicity-Promotion Specialist
Skarb, Kyle J.	Director	7/1/2012	7/1/2012	36e(3)	\$2,800.00	4472	Manager of Sports Facilities
Stocksdale, Lisa A.	Coordinator	4/1/2012	4/1/2012	36e(3)	\$3,333.34	32595	Development Officer
Thanepohn, Caley K.	Coordinator	7/1/2012	7/1/2012	36e(3)	\$2,666.68	34874	Program Adviser
Tluczek, Christine E.	Assistant Director	7/16/2009	7/1/2011	36e(3)	\$3,203.84	35023	Intramural and Recreation Coordinator
Tripodi, Rachel M.	Assistant Director	7/1/2011	3/16/2012	36e(3)	\$2,750.00	36618	Administrative Aide
Vest, Allan R.	Coordinator	2/1/1978	1/1/2009	36e(3)	\$3,508.56	35638	Office Support Series
Warner, Julie A.	Assistant To	4/18/1988	7/1/2000	36e(3)	\$3,848.42	4894	Business/Administrative Associate or Administrative Aide
Wilkin, Joshua A.	Assistant To	9/12/2011	9/12/2011	36e(3)	\$2,750.00	36098	Information Technology Support Associate
Winchester, Elizabeth A.	Assistant Director	8/16/2007	8/16/2007	36e(3)	\$2,450.00	4260	Stage Foreman
Wise, Jillian R.	Research Assistant	1/1/2004	9/1/2007	36e(3)	\$3,036.32	28730	Statistician Series or Institutional Research Data Specialist
Wynes, Wanda M.	NIU Foundation Assistant Coordinator	9/1/2011	9/1/2011	36e(3)	\$5,834.00	4596	Accountant Series, Accounting Associate or Budget Analyst Series
Young, Cassandra R.	Director	3/1/2012	3/1/2012	36e(3)	\$4,583.34	35513	Assistant Director of Alumni Relations
Bross, Angela C.	Assistant Director for Test Administration	7/11/2000	10/16/2010	36e(4)	\$4,280.88	4242	Test Specialist
Buford, Andrea	Specialist	11/17/2008	11/17/2008	36e(4)	\$3,720.98	35583	Grants and Contracts Development Specialist
Burke, Josephine E.	Director, NIU Art Museum	7/1/1996	7/1/2006	36e(4)	\$4,573.16	4455	Curator of Art III
Denius, Elizabeth	Specialist	6/16/2011	6/16/2011	36e(4)	\$3,333.34	4331	Information Technology Support Associate
Garcia, Silvia	Specialist	11/16/2011	11/16/2011	36e(4)	\$4,333.34	36275	Program Services Specialist
Hunter, Amy B.	Student Financial Aid Counselor	8/20/1990	8/20/1990	36e(4)	\$3,064.38	4143	Financial Aid Adviser Series
Ibares, Jessica	Student Financial Aid Counselor	9/1/2012	9/1/2012	36e(4)	\$2,500.00	4148	Financial Aid Adviser Series
Kuhar, Anissa K.	Assistant Director	9/11/1995	8/1/2003	36e(4)	\$3,370.76	4428	Publicity-Promotion Specialist
Miller, Amy R.	NIU Naperville Conference Coordinator	11/27/2003	6/27/2005	36e(4)	\$4,325.46	4961	Special Events Facilitator