## State Universities Civil Service System

## **52nd Annual Report**

July 1, 2002-June 30, 2003



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## Message from the Executive Director

In my first full year as the Executive Director of the State Universities Civil Service System, I am proud of the progress we have made to re-energize and re-emphasize our role within the State of Illinois higher education community. Our primary focus has been to establish a new identity of efficiency, customer service, employee partner, and overall advocate and facilitator of the teaching and research mission of our many fine state universities and affiliated agencies. Through many collaborative efforts and strong initiatives, we have demonstrated our ability to do so much more with even less resources. The collaboration and cooperation of system experts, and the potential consolidation of financial resources, will enable us to continue to fulfill our mission and provide superior service to the many employees, universities, and agencies within our jurisdiction.



I would like to take a brief moment to mention our new agency focus, which is to become an even more prevalent party in the overall student experience at our many fine state universities. We currently have well over 26,000 status and non-status civil service

employees across the State of Illinois public higher education community. They routinely perform most of the basic services in support of the academic programs at our public universities, from very basic janitorial and food service activities through various complex technical and administrative functions. However, the role of civil service employees in the Illinois higher education community is far more complex than just what is contained in the job descriptions of the many classifications used. Civil service employment is more importantly about how we perform the duties and responsibilities associated with our positions, how we conduct ourselves, and how we interact with other staff, faculty, and most importantly, our students. Simply stated, our agency and each civil service employee is and should be viewed as a primary element in the overall student experience and a primary facilitator of the teaching and research mission of our fine universities. That should become our primary identity and how we must come to be known.

I salute each and every employee within the Illinois public higher education community for their superior commitment, dedication, and loyalty to our most valuable resource – the education of our students and the many support systems that nurture this growth.

As our new mission statement so properly declares, the State Universities Civil Service System will strive to champion excellence in education and auxiliary programs by providing a comprehensive foundation of human resource practices and standards that facilitate the recruitment, retention, and development of a quality staff, in support of the teaching and research mission of each university and affiliated agency. We are committed to providing an environment of equal opportunity and access, thereby establishing a foundation for each university/agency to fulfill their mission and for each individual to reach their potential. We will constantly endeavor to build a quality of life that sets the standard for the nation.

I personally am deeply honored to be a small part of this effort and it is a privilege for me to serve in this capacity. I proudly present to you our FY 2003 Annual Report for your review.

Respectfully submitted,

Lewis T. (Tom) Morelock

## <u>MISSION</u>

The State Universities Civil Service System strives to champion excellence in education and auxiliary programs by providing a comprehensive foundation of human resource practices and standards that facilitate the recruitment, retention, and development of a quality staff, in support of the teaching and research mission of each university and affiliated agency. We are committed to providing an environment of equal opportunity and access to all services and thereby establishing a foundation for each university agency to fulfill their mission and each individual to reach their potential. We endeavor to build a quality of life that sets the standard for the nation\_

### **Purpose**

To carry out its statutory obligation to establish a sound program of personnel administration at state supported institutions of higher education and at certain allied agencies, the State Universities Civil Service System, hereinafter referred to as the University System, provides the essential function of administering, developing, and maintaining the basic rules and procedures related to the employment of professional (non-academic), technical, and support staff at each major Illinois public higher education university and affiliated agency. Among its many responsibilities, the University System provides direct guidance and support services to universities/agencies in such areas as employment, examinations, classification plan management, salary administration, compliance audit reviews, disciplinary procedures, and other business operations related to the management of support staff personnel.

### **Jurisdiction**

Our authority is provided through legislative Statute and the University System is empowered through the Merit Board to develop, maintain, and administer a comprehensive and efficient program of human resource administration for the higher education community, specifically related to the employment and employment relationship with their auxiliary and support staff positions. In accomplishing this task, the University System has developed a comprehensive set of Administrative Rules and procedures which effectively facilitate the administration of many aspects of the employment relationship.

The University System was created as a separate entity of the State of Illinois by the 67th General Assembly and became operative on January 1, 1952. The State Universities Civil Service Act (Act) is presently codified in the Illinois Complied Statutes at 110 ILCS 70/36b *et seq.* (West 2003) and the University System Administrative Rules (Administrative Rules) are presently codified in the Illinois Administrative Code (Administrative Code) at 80 Ill Adm. Code 250 (2003). Headquartered at 1717 Philo Road, Suite 24, Urbana, Illinois, the University System serves the following public universities and agencies with respect to the employment relationship with their professional (non-academic), technical, and support staff:

#### University of Illinois at Chicago

Morton Arboretum
Drug and Horticultural Experiment Station
College of Medicine at Rockford
College of Medicine at Peoria
Hospital and Clinics
Division of Specialized Care for Children (Springfield)
Division of Specialized Care for Children, Chicago

#### University of Illinois at Springfield

#### University of Illinois at Urbana-Champaign Robert Allerton House

Robert Allerton Park
Bondville Road Station—Monticello Road Station
County Agriculture and/or Home Economics Extension Office
Department of Agronomy, College of Agriculture
Dixon Springs Agricultural Center
Vermilion River Observatory
Northeastern Agronomy Research Center
Prairie Observatory—Oakland
Department of Horticulture, River Valley Sand Field Plot, Mason County

### Department of Horticulture's St. Charles Horticulture Research Center Southern Illinois University at Carbondale

Alton Madison County East St. Louis

Southern Illinois University School of Medicine at Springfield

Southern Illinois University at Edwardsville

Jurisdiction (Continued)

# Organizational Dynamics

Chicago State University
Eastern Illinois University
Governors State University
Illinois State University

Northeastern Illinois University

#### **Northern Illinois University**

Lorado Taft Field Campus
College of Continuing Education, Glenn Ellyn
College of Continuing Education, Cook County
Rockford Project, CHANCE Program
St. Clair County
Kankakee County
Woodstock Conference Center
Hoffman Estates
Naperville Center

#### Western Illinois University

Quad-Cities Center for Continuing Education

Illinois Board of Higher Education Illinois Community College Board Illinois Student Assistance Commission State Universities Retirement System State Universities Civil Service System

Section 36e of the Act (110 ILCS 70/36e (West 2003)) provides that all employees of the constituent institutions and agencies shall be covered except the following persons:

- ♦ the members and officers of the Merit Board and the boards of trustees, and the commissioners of the institutions and agencies covered;
- the presidents and vice-presidents of each educational institution;
- other principal administrative employees of each institution and agency who meet delegated Merit Board criteria;
- the teaching, research and extension faculties of each institution and agency; and
- students employed under rules prescribed by the Merit Board without examination or certification.

Direct oversight authority spans across over 26,000 civil service positions throughout the state and, to a lesser degree, across over 19,000 student employment positions and over 7,000 administrative appointments. Following is the June 30, 2003 employee served report, providing a snapshot of our basis employee jurisdictional responsibilities. The University System administers a classification/examination program consisting of over 1,200 classes and corresponding examinations resulting in the testing of over 20,000 applicants or promotional candidates each year. The University System also has oversight authority over the thousands of other basic employment transactions performed through the many human resource offices throughout the system, including such actions as transfers, promotions, layoffs, and separations.

Jurisdiction (Continued)

# Organizational Dynamics

Employees Served Data: April 1, 2003 - June 30, 2003

	Civil	Total	Total	Total				
Organizations Served	Service	Status	Non-Status	Student	36e(3)	36e(4)	Total	Total
Ţ	Employees	Employees	Employees	Employees	Exemptions	Exemptions	Exemptions	Employees
System Total	26,613	21,662	4,951	19,070	7,712	3,529	11,241	56,924
University of Illinois	14,219	11,365	2,854	7,732	5,039	2,088	7,127	29,078
Urbana-Champaign	7,234	5,286	1,948	6,353	2,559	912	3,471	17,058
Chicago Campus	3,134	2,762	372	1,105	1,992	1,048	3,040	7,279
Chicago Health Center	2,637	2,334	303	0	292	62	354	2,991
DSCC	294	291	3	0	10	2	12	306
UICOM-P	210	174	36	0	24	13	37	247
UICOM-R	238	216	22	0	43	9	52	290
Springfield	472	302	170	274	119	42	161	907
Southern Illinois University	4,044	3,320	724	4,066	811	507	1,318	9,428
Carbondale	2,013	1,734	279	1,327	381	174	555	3,895
School of Medicine	847	694	153	0	101	33	134	981
Edwardsville	1,184	892	292	2,739	329	300	629	4,552
Other Universities	7,656	6,298	1,358	7,272	1,698	934	2,632	17,560
Chicago State	586	445	141	823	182	18	200	1,609
Eastern	1,117	962	155	509	199	51	250	1,876
Governors State	283	228	55	56	116	57	173	512
Illinois State	1,684	1,498	186	867	376	210	586	3,137
Northeastern	656	475	181	614	168	76	244	1,514
Northern	2,326	1,731	595	2,531	395	476	871	5,728
Western	1,004	959	45	1,872	262	46	308	3,184
<b>Board of Higher Education</b>	14	14	0	0	85	0	85	99
<b>Community College Board</b>	16	16	0	0	41	0	41	57
State Universities Civil Service System	15	15	0	0	0	0	0	15
State Universities Retirement System	117	117	0	0	6	0	6	123
Student Assistance Commission	532	517	15	0	32	0	32	564

### University Civil Service Merit Board

The governing body of the University System is the University Civil Service Merit Board, hereinafter referred to as the Merit Board. The Merit Board is composed of 11 members representing the public universities of the State of Illinois. Members of the Merit Board are appointed by their respective university governing boards. During FY 2003 the Merit Board met on September 18, 2002, January 29, 2003, and April 30, 2003. These meetings were held at the University System office. The Executive Committee consists of John Brewster, Chair; Nancy Froelich; Nancy Masterson; and Betsy Mitchell. Members as of October 1, 2003 include:



Peggy Montes, Bruce Friefeld, Nancy Froelich, and Dennis Smith

Chair John Brewster representing Southern Illinois University

Vice Chair Nancy Froelich representing Illinois State University

Dr. Frances G. Carroll representing University of Illinois

Mr. Bruce Friefeld representing Governors State University

Ms. Nancy J. Masterson representing Northeastern Illinois University

Ms. Betsy D. Mitchell representing Eastern Illinois University

Ms. Peggy Montes
representing Chicago State University

Mr. Dace E. Richardson representing Western Illinois University

Mr. Niranjan S. Shah representing University of Illinois

Ms. Marjorie E. Sodemann representing University of Illinois

Ms. Barbara Giorgi Vella representing Northern Illinois University



Dennis Smith, Secretary for the Merit Board, John Brewster, Merit Board Chair, Tom Morelock, Executive Director, and Clive Follmer, Merit Board Legal Counsel

University Civil Service Merit Board (Continued)

# Organizational Dynamics

The Merit Board meets on a regular basis at the University System office to conduct activities necessary for the routine maintenance and business function of the agency. The powers and duties of the Merit Board are set forth in section 36d of the Act (110 ILCS 70/36d (West 2003)) as follows:

- ♦ To approve a classification plan and delegate to its Executive Director the duty of assigning positions to appropriate classes.
- ♦ *To prescribe the duties of each class of positions.*
- ◆ To prescribe the range of compensation for each class or to fix a single rate of compensation for employees in a particular class.
- ◆ To approve ranges and rates for the payment of wages paid generally in the community for work of a similar character.
- To recommend standards of hours of work, holidays, sick leave, overtime compensation and vacation.
- ♦ To prescribe standards of examinations for each class, the examinations to be related to the duties of such class.
- ♦ To authorize the continuous recruitment and to delegate to the Executive Director and staff the power and duty to conduct open and continuous competitive examinations for all classifications.
- ◆ To cause to be established from the results of examinations registers for each class of positions.
- ♦ To provide by its rules for promotions in the classified service.
- ♦ To provide by its rules for employment of physically handicapped persons.
- ♦ To make and publish rules, to carry out the purpose of the University System, and for examination, appointment, transfer and removals to include layoffs.
- ♦ To appoint an Executive Director and such assistants and other clerical and technical help as may be necessary to efficiently administer the Act.
- ♦ To submit to the Governor on or before November l of each year prior to the regular session of the General Assembly a report of the University System's business and an estimate of the amount of appropriation from state funds required for the purpose of administering the University System.
- ♦ To review transcripts of hearings and findings of fact as made by hearing boards and enter decisions and orders in discharge and demotion proceedings.







### **University System Office**

The University System office provides support services to employers in most aspects of the personnel administration program and encourages the concept of participative management by involving a variety of levels of the employer's staff, as well as employee representatives, in decisions affecting the implementation of the Act, the Administrative Code and procedures.

Certain functions required by the Act have been defined and delegated to the institutions and agencies under the University System. Through this delegated authority, the institutions and agencies are responsible for the recruitment, examination, and appointment to various employment



positions, as well as the assignment of specific duties to be performed by each employee. The employer is also responsible for all employee relations, including disciplinary actions. Individuals employed into positions under the guidelines of the University System are employed directly by the university/agency and are not employees of the University System.

Personnel transactions are to be conducted within the framework of the Act and the Administrative Code, with all transactions subject to audit by the University System staff to insure continued compliance with University System policies and procedures. Additionally, such transactions and audit reviews may become the basis for appeal procedures and corrective action.

There are three operational divisions within the University System office and are directed by the following staff: Dennis N. Smith, Deputy Director, Compliance/Policy Analysis/Development Division; Jeffrey G. Brownfield, Assistant Director, Classification/Compensation/Examination Division; and Teresa Rademacher, Administrative Assistant, Administrative Division. Kenneth L. Price, Coordinator of Special Projects, provides an additional primary operational function of managing and directing various ad-hoc projects that require internal and external statewide collaboration and consolidation of input and resources. This is a primary operational function since many of our business processes and procedures are products of a major collaborative system-wide effort. Within that collaborative context, these divisions are closely interrelated; each truly dependent upon the other, and our external constituency, to discharge its area of responsibility. With a current staff of only 16 people, each of the individual position responsibilities often overlap. We are quite proud of our important role within the higher education community and our ability to most efficiently fulfill our statutory function.

The Merit Board is charged with making and publishing Administrative Rules to carry out provisions of the Act establishing the merit program. These rules provide detailed procedures along a broad spectrum of human resource activities including examinations, eligible registers resulting from examinations, appointments (both status and non-status), probationary periods, reassignments and transfers, separations and demotions, and seniority. The University System staff are involved in the development, implementation, and maintenance of rules and procedures, providing a review and appeal process for applicants, employees and employers, as well as hearing procedures in matters related to discharge and demotion.

The Executive Director and the University System staff are responsible for coordinating and implementing all

University System Office (Continued)

# Organizational Dynamics

statutes, rules, and procedures associated with the merit program which includes preparing all examinations, conducting ongoing validation studies, continuous monitoring and reporting of wage and salary programs of the institutions served, conducting a continuous and ongoing audit program of both records and operational procedures at each institution, and developing and maintaining a responsible classification and human resource program. The staff also is responsible for the technical functions essential to the effective administration of a merit program, including the development and presentation of training and workshop sessions for the designated employer representatives, university/agency human resource staff, and members of the various State Universities Civil Service Advisory Committees.

The Compliance/Policy Analysis/Development Division is responsible for the continual maintenance of our Act, Administrative Code, procedures, Board Bylaws, and employee policies to preserve consistency with current human resource philosophy/trends and to insure compliance with other federal/state statutes and regulatory guidelines. This unit has direct responsibility for our routine compliance audit process and conducts, on a biennial basis, a comprehensive on-site human resource compliance audit at each employment location to insure the consistent application of rules and procedures and to validate the delivery of a comprehensive human resource program. This unit manages the final discharge appeal process for the Merit Board in coordinating the hearing, communicating with the parties of record, certifying the final record and findings of fact, and all other procedural elements prior to review and decision by the Merit Board. This unit is also responsible for the routine data collection and analysis of staffing information provided by each university/agency, preparation of several standardized reports, and the final distribution to the appropriate university/agency contacts. This unit is the first line contact for all constituency issues, from either an employer or an employee, as it relates to the application, interpretation, or administration of our many rules, procedures, and policies. Likewise, this unit develops and monitors all of our external communications, including the preparation and distribution of our quarterly newsletter, communication of policy revisions, and any response to inquiries from employers, employees, and other external agencies or individuals. This unit also prepares and conducts training programs with respect to its primary activities. Various legislative activities are also a major part of their function, including the monitoring of our appropriation bills, review of all new legislation impacting our agency, and preparation of any statutory change to be submitted for legislation.

The Classification/Compensation/Examination Division is responsible for the development, periodic revision, and routine administration of our comprehensive classification and corresponding examination system. We currently maintain a system of over 1,200 classifications and examination instruments, ranging across a series of occupational areas including skilled trades, professional, clerical, managerial, custodial, food service, medical, and security. This unit also manages an on-line electronic statewide salary data system that provides a state-of-art compensation administration program through the authorization of salary ranges for each university and agency employment location. This unit provides routine reports of statewide salary ranges, coordinates the routine review and revision of exam instruments and classification specifications, communicates to our constituency all proposed changes, implements all changes in the examination/classification program, responds to inquiries regarding the examination/classification program, and serves to some degree as the final appeal stage for issues regarding the examination/classification program. This unit also provides training to the university/agency human resource offices on various employment protocols and authorizes/monitors all employee trainee, learner and apprentice programs at each university/agency. This unit also monitors and provides routine reports on the demographics of the applicant pools at each university/agency to assist in the development and evaluation of their specific diversity and affirmative action programs. This unit has a huge responsibility when looking at the volume of activity in their operational focus. Last fiscal year alone, there were over 20,000 examinations administered statewide at the various university/agency testing sites.

University System Office (Continued)

# Organizational Dynamics

The Administrative Division is responsible for the general internal office human resource function, budget management, procurement services, internal customer service and clerical support, and general telecommunications/technology coordination. This unit monitors our budget, process purchases, process our payroll, provide reception and clerical support for the rest of the staff, and interface with CMS on other services such as employee benefits and telecommunication/technology services.

The University System is unique in that it empowers the individual university and agency employment locations, through a designated employer representative, to deliver our classification plan, examination instruments, and generally administer many of our rules and procedures. It is important in this type of organizational structure that we maintain a close contact with both the employers and employees in the administration of these rules and procedures. We have done so through various committees, special focus groups, and other collaborative relationships with individual universities, affiliated agencies, other state agencies, and employee groups. This collaborative business approach has proven to be very economically efficient and customer service oriented. A more detailed account of yearly divisional activities will follow.

### System Office Employees

Lewis T. (Tom) Morelock Executive Director

#### Administrative Division

Mary Jane Blixen, Secretary III
Sandy Burr, Secretary III
Tanya Flynn, Supervisor Clerical Support
Teresa Rademacher, Administrative Assistant II
Lucretia Williams, Secretary III

#### Classification/Compensation/Examination Division

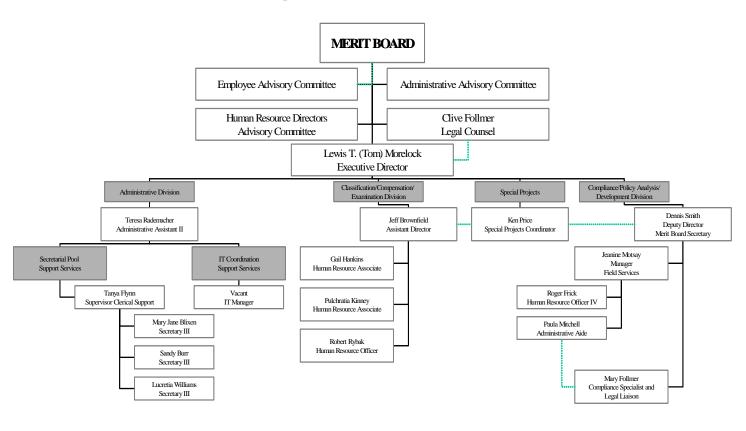
Jeffrey G. Brownfield, Assistant Director Gail Hankins, Human Resource Associate Pulchratia Kinney, Human Resource Associate Robert Rybak, Human Resource Officer

#### Compliance/Policy Analysis/Development Division

Mary Follmer, Assistant Legal Counsel Roger Frick, Human Resource Officer Paula Mitchell, Administrative Aide Jeanine Motsay, Manager Field Services Dennis Smith, Deputy Director

<u>Special Projects</u> Ken Price, Special Projects Coordinator

### <u>State Universities Civil Service System</u> <u>Organizational Chart</u>



### <u>Fiscal Accountability</u> <u>and Yearly Budget Process</u>

The University System is a participant and component in the Illinois Board of Higher Education's (IBHE) yearly budget review and appropriation process for the Illinois public higher education community. As a member of the Illinois public higher education community, our final yearly budget and appropriation request is the culmination of a process of review and formal approval by the IBHE. This process begins in early September with a budget presentation and proposal to our Merit Board. Upon their approval, our budget and appropriation request is forwarded to the IBHE office for discussion and review. After a statewide review of the budget and appropriation proposals submitted by the entire Illinois public higher education community, the IBHE issues a recommended final budget and appropriation proposal for the entire Illinois public higher education community. Further presentations and discussion with the IBHE are then afforded as a means to provide additional clarification/input and possible revision of the recommended budget and appropriation proposal.

Ultimately, the IBHE adopts the final budget and appropriation proposal for the entire Illinois public higher education community. The University System's final line item appropriation request, as approved by the IBHE, is therefore a component of the final Illinois public higher education budget recommendation which is submitted to the Governor's office for state budget appropriation planning and subsequent legislative consideration.

Significant oversight and review of budget parameters are conducted by the Merit Board, IBHE, Governor's Budget Office, and various legislative committees before final yearly appropriations are approved and distributed. Additionally, the University System office is subject to a routine biennial compliance audit conducted by the State Auditor General's Office.

### Advisory Committees

The Administrative Advisory Committee, created by the Merit Board and chaired by John Brewster, meets on call of its Chair, the Executive Director, or any member of the committee. The committee is composed of top administrative personnel representing each of the governing boards served by the Merit Board, the Merit Board Legal Counsel, and the administrative staff of the University System and considers matters of major policy. Membership as of October 1, 2003 include:



John Brewster, Merit Board Chair
Stephen Bragg, Illinois State University
Joseph Cipfl, Illinois Community College Board
Jeff Cooley, Eastern Illinois University
Steve Cunningham, Northern Illinois University
Nancy Hall-Walker, Chicago State University
A. G. Monaco, Southern Illinois University

Stephen K. Rugg, University of Illinois

Deb Smitley, Illinois Board of Higher Education

Jackie K. Thompson, Western Illinois University

Marcia Thompson, Illinois Student Assistance Commission

John T. Tuohy, Governors State University

Mark Wilcockson, Northeastern Illinois University



The **State Universities Civil Service Advisory Committee** is mandated by section 36c of the Act (110 ILCS 70/36c (West 2003)). The Committee is chaired by Alice Costa, Southern Illinois University School of Medicine at Springfield and meets at least quarterly at campuses throughout the state, welcoming civil service employees at the particular campus to attend. Members of the committee are elected by civil service employees at each of the universities and agencies served. Committee members

represent their constituents by functioning in an advisory capacity to the Merit Board on "All matters pertaining to the University System." Membership as of October 1, 2003 include:

#### **University of Illinois**

Chicago Campus — Sharon Coleman, James Jones, and Daniel Sarhage

Division of Specialized Care for Children — *Teresa L. Long* Springfield Campus — *Pearl Stanulis* 

Urbana-Champaign Campus — Barney Bryson, Gary Fry,

Robert Schweighart, and Tim Wood

#### **Southern Illinois University**

Carbondale Campus — *Jay Brooks*Edwardsville Campus — *Linda Wense*School of Medicine at Springfield — *Alice F. Costa, Chair* 

#### **Other Universities**

Chicago State University — Virnita Wilkerson-Williams

Eastern Illinois University — Terry Tomer

Governors State University — Catherine H. Swatek

Illinois State University — David Turner

Northeastern Illinois University — John M. Murray

Northern Illinois University — Sara Clayton

Western Illinois University — Sheila L. Kirby

Advisory Committees [Continued]

# Organizational Dynamics

In December 2003, the **Human Resource Directors Advisory Committee** was reactivated. This Committee is composed of the human resource director or designated employer representative from each university/agency. It was disbanded some years ago, but has become very essential in our overall general review and updating of University System rules and procedures. Their collaboration is essential in creating a system of rules and procedures consistent with the changing demands of the various complex employment environments within the University System. Following is a list of active participants on this committee:

Janell Mason, Chicago State University
Charles L. Phillips, Eastern Illinois University
Gail Bradshaw, Governors State University
Julie Jenson, Illinois State University
Gary J. Hamburg, Northeastern Illinois University
Steve Cunningham, Northern Illinois University
Jeri Scott, Western Illinois University
Kathleen M. Blackwell, SIU at Carbondale
Kay Titchenal, SIU School of Medicine
Darron Cannon, SIU at Edwardsville
John R. Loya, U of I General Office
Denise Hendricks, U of I at Urbana-Champaign
Michelle Pitre-Young, U of I at Chicago

Janet Rucks, Division of Specialized Care for Children
Dottie Knoedler, U of I College of Medicine at Peoria
Jim Schmitt, U of I College of Medicine at Rockford
Jodi Tyrrell, Northern Illinois University
Wesley R. Weisenburn, U of I at Springfield
Peggy J. Podlasek, Illinois Board of Higher Education
Sarah Aughenbaugh, Illinois Community College Board
Joanne Tolbert, Illinois Student Assistance Commission
Terrin Krantz, State Universities Retirement System
A. G. Monaco, SIU at Edwardsville
Tammy Carlson, Illinois State University
Kim Hensley, Northern Illinois University





## FY 2003 Agency Activities

### Compliance/Policy Analysis/Development Division

During FY 2003, the Compliance/Policy Analysis/Development Division was created to address and monitor compliance requirements, follow legislative activities that may impact operations, analyze and maintain all policy/procedure manuals and documents, initiate/develop new projects, and manage the compliance audit program. This unit is the first line contact in directly addressing issues of our constituencies and the interpretation of our Act, Administrative Code, policies, and procedures.

This unit has successfully accomplished a number of major initiatives since its inception. The focus has been to review and revise the University System policies and procedures to provide clarity and better direction for our constituency. For instance, as a result of an extensive review of the discharge and demotion process, Informational Guidelines have been revised and updated, which have provided a significant amount of clarity to this process. Significantly, the first set of Merit Board Bylaws were prepared. On September 17, 2003, the Merit Board approved and adopted both the Informational Guidelines and the Bylaws and all of these documents will be available on the University System website. In the area of operational audits, improvements were implemented to better communicate audit findings and results, minimize audit materials requested of employers in the audit process, and to refocus the audit program to more of a collaborative effort, between the University System and the employer, to assist in establishing the best business practices in conducting their human resource activities. Following is a more specific review of the unit's functional components and corresponding activities.

#### **COMPLIANCE COMPONENT**

#### **Audit Program**

The primary objective of the Audit Program is to determine compliance with the Act, Administrative Code, and University System Procedure Manuals. A secondary audit objective is to provide a review and recommendation instrument for improving the human resource programs and administration pursuant to section 250.140(c) of the Administrative Code (80 Ill. Adm. Code §250.140(c) (2003)).

Operational Compliance Audits Completed for FY 2003										
University/ Agency	University of Illinois College of Medicine at Rockford	Illinois	State		Illinois	Illinois Community College Board & Board of Higher Education	University of Illinois at Springfield	Specialized Care for		Sout hern Illinois Universit y at Carbondale
Onsite Day(s)	2	4	3	3	5	2	3	2	3	4
Onsite Visit	July 2002	August 2002	September 2002	October 2002	November 2002	December 2002	February 2003	March 2003	April 2003	May 2003
Last Audit	August 2000	August 2000	January 2000	May 2000	September 2000	February 2000	November 2000	November 2000	March 2001	June 2001
<b>Audit Samples</b>										
Credentials	15	23	9	19	20	14	21	21	15	27
Registers	9	12	6	19	17	13	12	19	12	18
Pay Rates	213	1743	453	483	939	35	325	284	928	1838
Pay Ranges	167	450	131	141	217	14	121	78	195	343
Descriptions	38	100	106	100	120	35	65	50	150	200
Interviews	9	32	17	17	34	10	19	7	22	25

## FY 2003 Agency Activities

Within the agency, the Field Services unit has the primary audit function responsibility. Each university and agency covered by the University System is routinely audited by Field Services staff approximately once every two years. An operational audit conducted by the University System involves a comprehensive review of internal practices, including both document review and discussions with staff regarding a broad range of human resource-related practices. The audit activities are summarized as follows.

- Human resource staff provide information and documentation requested for analysis and review of its programs.
- Field Services staff arrive at preliminary recommendations based on review and analysis of submitted materials.
- Follow-up discussions occur on-site with management and staff responsible for human resource services.
- On-site discussions are held with key administrators to determine their perspectives on human resources effectiveness and employer needs related to the University System.
- Meetings are held with employee groups and representatives regarding their expectations, appraisals of human resource programs and any University System or local concerns.
- On-site record review occurs, including sampling employment records, reviewing performance evaluations, inspecting separation documentation and reconstructing registers with sampling of applicants admitted to examinations.
- On-site interviews with designated employees and their respective supervisors are conducted to assist in the evaluation of the maintenance and administration of the University System rules and procedures.
- Additional procedure and process observations and analysis occurs as required.
- Evaluations are made by Field Services staff regarding numerous human resource functions with recommendations for any program modification.

The Audit Program and results of the program are designed to be used as a tool to assist an institution in complying with the governing Act and Administrative Code. In concluding an operational audit, Field Services staff complete two employer reports which cover the subjects of an operational audit.

#### ♦ Assignment of Positions to Classes

This includes a review of selected job descriptions for currency and suitability of position classifications. Desk audits of selected positions are conducted on-site for appropriateness of position classifications. There is also an evaluation of the process and results of the employer's desk audits during the time span audited.

#### ♦ Compensation Programs

This starts with an analysis of the employer's use of pay rates and pay ranges 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.

#### ♦ Employment and Separation Procedures

This includes a review of the employer's use of processes and procedures in the employment cycle that encompasses pre-employment, probationary and status employment, and employment separation programs. There is also an assessment of the employer's monitoring and usage of non-status appointments.

## FY 2003 Agency Activities

#### ♦ Principal Administrative Appointments

A review of the employment protocols and assigned responsibilities for Principal Administrative Appointments is conducted since these positions are specifically exempted from University System rules through a designated authorization and qualification review process. The employer's exemption forms and related job descriptions are reviewed and selected incumbent interviews are conducted for further determination of approved exemption. The audit process also looks into the employer's administration procedures related to these appointments and their approved exemption status.

#### ♦ Human Resource Programs

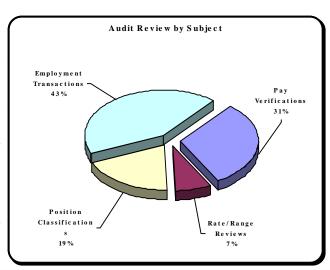
There is a general review of the employer's human resource programs with respect to effectiveness, efficiency and levels of communication to constituencies. There is also an assessment of the recognition and support for human resource programs within the employer's administration and employee groups. The impact of new technology on the recordkeeping and processing of information is an element for review in this area as well.

#### Other Audit Subjects

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 subjects.

During FY 2003, Field Services reviewed and minimized the amount of material requested in the audit process. As of this date, the identified alternative means of gathering audit information has resulted in a 30% reduction in the material that is requested. Efforts are underway to expand this initiative further in FY 2004.

Field Services also reviewed standards of reporting for performance audits, ultimately, improving the audit report platform. This has resulted in audit reports that more effectively organize and communicate the results of each audit to the employer.



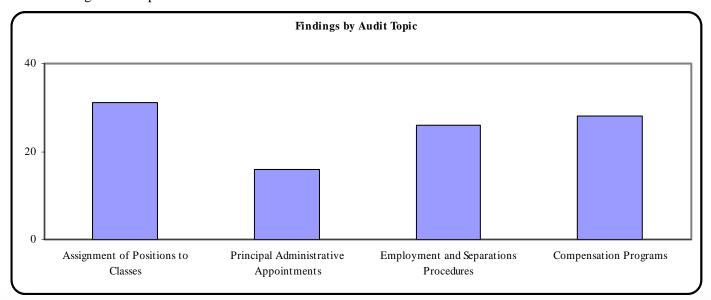
Perhaps of most significance during the FY 2003 audit cycle, a more collaborative approach has been fostered with each employer contact in the audit process. This has transformed the audit experience to one which is focused on best business practices in meeting the needs of the organization, administrators and employees alike, through a process of identifying problems, proposing solutions and providing assistance and guidance in reaching resolution. Following are some general topics addressed with various employers through the FY 2003 audit activities.

- Management and maintenance of pay ranges.
- Classification of positions.
- ♦ Application of the provisions contained in 36(q) of the Act (110 ILCS 70/36q (West 2003)). This issue led to

## FY 2003 Agency Activities

the subsequent development of procedures for such instances of change in position from Principal Administrative Appointment to civil service.

- Reviewing and verifying the employment relationships with independent contractors.
- Completion of classification audit requests within the processing timeframe standard.
- Maintenance of review standards for position descriptions.
- Proper maintenance of authorization and position reviews for Principal Administrative Appointments.
- Documentation and communication of Contract Appointments.
- Review and update of business procedures, as related to consideration of out-of-state applicants.
- Review and update of business procedures, as related to position register and referral process.
- Open and continuous testing procedures.
- Proper updating and maintenance of examination instruments.
- Proper use of change-in-title procedures.
- Assignment of position control numbers.



#### Legal Compliance

Some external legal responsibilities were allocated to an in-house assistant legal counsel assigned to this unit. Accordingly, the unit is responsible for identifying and monitoring state and federal statutes, court rulings, rules and regulations with which the University System must comply and recommending remedial action when appropriate. There are several administrative procedures statutes with which the University System must comply, including the following:

- Illinois Administrative Procedures Act (5 ILCS 100/1 et seq. (West 2003))
- Open Meetings Act (5 ILCS 120/1.01 et seq. (West 2003))
- Freedom of Information Act (5 ILCS 140/1 et seq. (West 2003))

## FY 2003 Agency Activities

♦ Administrative Review Law (735 ILCS 5/3-101 et seq. (West 2003))

Moreover, the University System must monitor a myriad of federal and state employment and civil rights statutes, such as the following to name a few:

- ◆ Title VII of the Civil Rights Act of 1964 as amended by the Equal Employment Opportunity Act of 1972, and the Civil rights Act of 1991 (42 U.S.C. §2000(e) et seq. (2003))
- Fair Labor Standards Act (29 U.S.C. § 201 et seq. (2003))
- Age Discrimination in Employment Act of 1967 (29 U.S.C. § 621 et seq. (2003))
- ♦ Americans With Disabilities Act of 1990 (42 U.S.C. § 12101 et seq. (2003))
- Family and Medical Leave Act of 1993 (29 U.S.C. § 2601 et seq. (2003))
- ♦ Illinois Human Rights Act (775 ILCS 5/1-101 et seq. (West 2003))
- ♦ Illinois Education Labor Relations Act (115 ILCS 5/1 et seq. (West 2003))

In addition, the unit performs in-depth statutory and common law updates on all key areas of law that may affect the Act and Administrative Code, such as monitoring the progress of bills and other legislative activities and evaluating the impact of pending legislation. For example, the Spring Session of 2003 was very active and bills were introduced that could present significant changes in the operations of Merit Board meetings and would require amendments to the Merit Board Bylaws. The University System carefully monitored the activities related to these bills. In August 2003, one of these bills was signed into law and the Merit Board Bylaws were amended accordingly. The University System has an obligation to continue to monitor the progress of pending bills and other new legislative activity to determine its impact on the University System and take appropriate measures to preserve the integrity of its business processes and advocacy of the state public higher education community,

#### Discharge and Demotion

This unit is responsible for managing the Administrative Rules regarding the discharge/demotion process, including the pre-hearing, hearing, and post-hearing phases, to ensure compliance with the Administrative Code and applicable procedures and guidelines. In FY 2003, 64 Written Charges for Discharge were filed with the University System office and 12 hearings were requested from the employees and conducted under the University System direction and control. Of the 12 hearings, one employee resigned the day before the hearing was to have been held, one resigned the day the Hearing was to have been held, one the employer withdrew the Written Charges before the Hearing, and nine employees were Discharged after a final review and action by the Merit Board. Of the nine employees that were Discharged, one of those cases is in Administrative Review. There were no involuntary Notice of Demotions served on employees during FY 2003.

Recently, this unit completed a thorough review of the University System policies and procedures related to the discharge/demotion process. As a result, the unit's objectives of updating and streamlining the procedures and guidelines governing the discharge/demotion process were accomplished. This will significantly reduce the confusion and many questions associated with this process and provide a solid foundation for a final rule and procedural revision if needed. The primary goal was to clearly and simply identify the protocols involved with this process while preserving the intent and meaning currently contained in the many rules and procedures governing discharge/demotion. In FY 2004, the unit will continue to review and potentially revise the Administrative Rules

Compliance/Policy Analysis/Development Division [Continued]

## FY 2003 Agency Activities

governing the discharge/demotion process in an effort to improve the process in areas such as timeliness, efficiency, and clarity, yet still ensuring that each party is given a reasonably opportunity to present their case.

#### <u>Interpretation of the Act and Administrative Code</u>

This unit provides support services to employers in most aspects of the personnel administration program. Although the employers have been delegated certain authority, this unit is available to interpret the Act and the Administrative Code, policies, and procedures and provide the employer assistance in executing any of the University System processes. The goal is to become a partner with employers in achieving their goals and objectives and be a source of information for employers, employees, and the general public.

#### POLICY ANALYSIS/DEVELOPMENT COMPONENT

This unit reviews and revises University System policies, procedures and guidelines to ensure compliance with the Act, Administrative Code, and other legal obligations. Following are some of the following changes that were made to the various procedures manuals during FY 2003.

<u>Examination Procedure Manual, Section 2.2 — Verification of Experience Requirements</u> — Provides for current status employees to be admitted to any examinations, irrespective or their current residence under certain circumstances.

<u>Employment and Separation Procedures Manual, Section 4.7 — Layoff</u> — Provides clarification regarding the notice required to be issued to an employee subject to a layoff.

<u>Employment and Separation Procedures Manual, Section 4.10 — Temporary Assignment of Civil Service Employee</u> <u>to Principal Administrative Appointment Duties</u> — Provides a detailed procedure for the temporary assignment of a civil service employee to a Principal Administrative Appointment.

<u>Employment and Separation Procedures Manual, Section 4.11 — Transition of Principal Administrative Appointment into a Civil Service Position</u> - Provides a detailed procedure for transitioning a Principal Administrative Appointment to a civil service position.

<u>Classification Procedures Manual, Section 5.4 — Changing a Principal Administrative Appointment into a Civil Service Position</u> — Provides for periodic review and update of job descriptions and the conversion process for an incorrectly classified Principal Administrative Appointment to move to a civil service position.

<u>Classification Procedures Manual, Section 5.5 — Position Control Record Informational Requirements</u> — Provides clarification regarding information required from employers related to the University System's Employees Served Chart.

<u>Principal Administrative Appointments Manual, Section 1.2 — Position Standards</u> — Provides clarification regarding information required from employers requesting a position change from civil service to a Principal Administrative Appointment.

## FY 2003 Agency Activities

Notably, the unit also coordinates the development of Administrative Rules codified in the Administrative Code to ensure compliance with the statutory rulemaking process and tracks the progress of the proposed rule through the public comment and legislative review stages. In September 2003, the Merit Board approved the revision of required Administrative Rules concerning procedures on public access to information, rulemaking procedures, and the University System office and Merit Board organization. This unit is responsible for ensuring that these rules are submitted in accordance with the statutory rulemaking requirements. Over the next fiscal year, this unit will begin a general review and upgrade of all of our rules and procedures as part of the University System office's overall modernization efforts.

This unit is responsible for identifying areas requiring development, education, and training. Consistent with these objectives and responsibilities the unit has recently revised and formulated procedures and guidelines essential to the discharge/demotion process. These procedures and guidelines have been approved by the Merit Board and are available at our website at <a href="https://www.state.il.us/sucss">www.state.il.us/sucss</a>. The following is a synopsis of the new procedures and guidelines:

#### Summary of Administrative Rules Governing the Discharge and Demotion Process

The Summary of Administrative Rules is a step-by-step analysis of the discharge/demotion process with corresponding references to the University System Act and Administrative Code. The summary will be a useful tool for employers and employees that are involved in the discharge/demotion process.

#### Informational Guidelines for the Discharge and Demotion Process

The Informational Guideline encompass the practice and procedural guidelines for discharge/demotion hearings and incorporates relevant timelines and procedures following the hearing. The guidelines are distributed to the parties and the hearing officer when a discharge or demotion hearing has been requested and is essential to a fair and efficient hearing process.

#### Findings of Fact Template

The Findings of Fact template is provided to the hearing officer presiding over the discharge/demotion hearing. The template serves as an important guide for the hearing officer to use in drafting Findings of Fact in compliance with the University System Act and Administrative Code.

Another initiative that the unit has completed is the first production of a set of University Civil Service Merit Board Bylaws outlining Board activities, the conduct of their meetings, and the protocols associated with their decision-making authority. Many of these regulations were previously contained in meeting minutes. The University System has now captured all of these elements in the Bylaws and this should provide a very good resource of information. The University Civil Service Merit Board Bylaws are available at our website at <a href="https://www.state.il.us/sucss">www.state.il.us/sucss</a>.

The unit is also primarily involved with the production and distribution of a new Quarterly Newsletter started at the beginning of this calendar year. This is a first for the University System and we have received many favorable comments. The "System News" is available at the University System website at <a href="https://www.state.il.us/sucss">www.state.il.us/sucss</a>.

## FY 2003 Agency Activities

### Classification/Compensation/Examination Division

During FY 2003, the University System was reorganized and groups of employees and functions were shifted to better meet the operational needs of the employers served by the University System. The resulting changes created the Classification/Compensation/Examination Division. These changes allowed combining of duties and business processes to create efficiencies in the overall development/revision process of class specification and examinations. However, the function of developing class specifications and examinations will always have separate features.

#### Primary business function includes:

- Development and maintenance of the Classification Plan, including individual class specifications and corresponding examination instruments
- Management of pay rates/ranges, and compensation variables as appropriate, as applied and implemented at each employment location
- Overall management of the human resource transactions related to civil service employment at each employment location

#### Class Specification Creation/Revision

All requests to establish new classifications, as initiated by universities/agencies, are analyzed and addressed. In addition, the University System routinely initiates revisions to classifications or classification series. Existing classes that have undergone changes in duties, responsibilities, or authority, as a result of gradual change or technological advances, are also studied and analyzed for possible revision or expansion.

As part of our new business processes, there is an emphasis on consolidating class specifications and collapsing similar classifications into one series. Currently, the University System supports 1,282 class titles that cover 16 broad occupational areas. Each title is described in detail in a formal, written class specification. Classes which provide employees promotional opportunities into higher-level classes are grouped into promotional lines and described in series specifications. These documents are under periodic review and revision to maintain the most contemporary identification of duties, responsibilities, minimum requirements, knowledge, skills, and abilities. Updating, and more recently collapsing and consolidating, of class specifications is necessary to assure accurate information is used as a basis for test construction, position classification, and recruitment. In the development of new and revised class specifications, constituent universities/agencies and employees have an opportunity to provide input into the content of the class specifications. Following are the activities undertaken this fiscal year in the administration of the classification plan in general.

New/Revised Classifications and Examinations

Administrative Secretary Assistant Legal Counsel

Assistant Legal Counsel Building Service Worker

Cartographer

Executive Secretary/Executive Assistant

Medical Assistant

## FY 2003 Agency Activities

Medical Insurance Manager

Medical Insurance Specialist I

Medical Insurance Specialist II

Medical Insurance Specialist III

Medical Insurance Specialist IV

Medical Radiographer I

Medical Radiographer II

Medical Radiographer Coordinator

Medical Radiography Specialist

Orthotist

Pipefitter-Welder

Respiratory Care Administrative Director

Respiratory Care Therapist I

Respiratory Care Therapist II

Respiratory Care Therapist III

Study Abroad Assistant Director/International Programs Specialist

Secretary II

Secretary III

Secretary IV

Staff Secretary

#### New/Revised Classifications and Examinations (in progress)

**Building Service Foreman** 

**Building Service Sub-Foreman** 

Electrician

Electrician Foreman

Electrician General Foreman

Electrician Sub-Foreman

**Human Resource Assistant** 

Human Resource Assistant Manager

Human Resource Manager

**Human Resource Officer** 

Human Resource Representative

#### Occupational Area Classifications (in progress)

Food Service Related Series (40 Classifications)

Information Technology (70 Classifications)

Laboratory Animal Care and Laboratory Animal Care Supervisor (5 Classifications)

Library Clerks and Technical Assistants (15 Classifications)

Pharmacist (2 Classifications)

Pharmacy Technician Series (4 Classifications)

Printers (30 Classifications)

## FY 2003 Agency Activities

#### Collapsed Classifications (completed)

Assistant Legal Counsel I and II

Bilingual Secretarial Assistant

Human Resources/Personnel Assistant I – III

Human Resources/Personnel Officer I – V

Medical Radiographer III

Office Supervisor

Respiratory Care Technical Director and Educational Director

Secretary I

Word Processing Operator I – III and Supervisor

#### **Deleted Classifications**

Adaptive Technologies Specialist

Advanced Coal Development Supervisor

Advanced Coal Development Technician

Alcoholism Counselor I

Alcoholism Counselor II

Alcoholism Counselor III

Architectural Engineer

Assembly Hall Technician

Assistant Director of Athletics for Operations

Assistant Manager of Public Information

**Assistant Mathematics Editor** 

**Bands Librarian** 

**Battalion Fire Chief** 

**Building Operations Technician** 

Cartographic Drafting Technician

Darkroom Technician I

Darkroom Technician II

Dietetic Technician

Dining Room Host/Hostess

Director of Auxiliary Enterprises

Director of Residence Hall Food Services

Director of Student Judicial Program

Dispensing Optician I

Dispensing Optician I

Fire Captain

Fire Equipment Engineer

Fire Fighter

Fire Lieutenant

Fire Prevention/Training Officer

Human Resources Health Care Professional

Junior Proofreader

## FY 2003 Agency Activities

Linotype Operator

Manager of Work Control Center for Building Maintenance and Alterations

Medical Illustrator

Museum Educator

Museum Instructor

Occupational Therapy Aide

Optical Assistant

Orthopedic Technologist

Radio Operations Supervisor

Reactor Operator I

Reactor Operator II

Reactor Operator III

Senior Proofreader

Site Planner

Supervisor of Telephone Marketing

Tax School Program Coordinator

Technical Draftsman-Illustrator I

Technical Draftsman-Illustrator II

Veterinary Technician (Toxicology) I

Veterinary Technician (Toxicology) I

Visiting Nurse

#### **Examination Creation/Revision**

Examinations are developed by the University System staff with the cooperation and participation of members of user institutions who have extensive knowledge in specialized subject matter, labor representatives and other experts. To assure that examinations are job-related and fairly test for elements necessary for the performance of required duties, job descriptions are requested and reviewed, meetings are conducted with experts, and examinations are pre-tested. This methodology results in examinations that are free from bias, job-related, and statistically validated.

Examinations and related materials are furnished to all universities and agencies served. All answer sheets for administered examinations are returned to the University System office and statistically analyzed to identify adverse impact issues, to assist in further validation studies, to monitor pass rates and mean scores and to assist in revising other examinations. Much of the statistical data obtained is provided to university/agency human resource offices for their information and use.

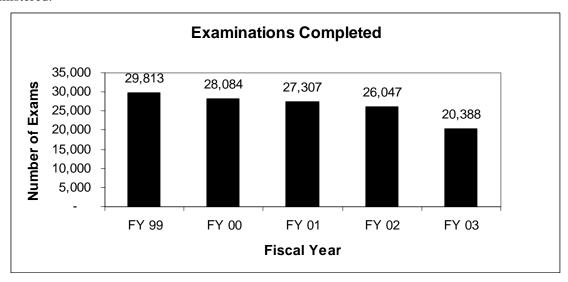
#### **Examination Completion**

A total of 20,388 examinations were given in FY 2003, with an 84.7% passing rate. The average scores for all applicants was 83.78 (a score of 70 is required to pass civil service examinations). Examinations were administered in 642 of the 1,282 approved classes. The lack of use, i.e., failure to give examinations in such a large number of civil service classifications, provides additional encouragement to continue to collapse and consolidate classifications.

As indicated by the following chart, the number of examinations completed has decreased during the past two years.

## FY 2003 Agency Activities

Naturally, difficult economic times directly impact the number of open positions and consequently impact the number of tests administered.



#### Pay Administration

Each employer is required to submit a rate or range of compensation for each classification along with justification. The University System allows significant latitude in the establishment of pay rates/ranges. Employers are required to conduct salary surveys or develop other basis for establishing pay rates/ranges. Collective bargaining agreements and prevailing wage agreements certified by the Illinois Department of Labor for the local area are appropriate justification for the establishment of salary rates/ranges for many "blue collar" occupations and those represented by labor unions.

An on-line process for submission of salary range request was implemented in March 2002 but began in earnest during FY 2003. Each employer has a list of approved salary rates/ranges for each of the classifications used at their location. These salary ranges are subject to University System approval. Through secure website access, university/agency certified personnel can electronically submit changes, revisions, or deletions to the rates/ranges. The University System staff can then complete the authorization process, which notifies each university/agency of the change and immediately updates a standardized statewide salary range report. This process has brought a tremendous increase in efficiency and eliminated an enormous amount of mailings and paperwork. (The previous system required a minimum of three 'send-and-receive' mail transactions.) An additional feature of this system is the salary survey, which takes a raw data 'snapshot' of all university/agency employees across the state and calculates, by university/agency and classification, several employment characteristics including the lowest salary range, highest salary rate, average salary rate, average time in class, total number of employees in class, and relative work week. This feature alone has been very beneficial to many universities/agencies as a valuable tool for planning and human resource management. This system is constantly being reviewed for update and expansion.

The unit reviews, analyzes, and approves all pay rate and range requests annually; including those arrived at through collective bargaining processes. The University System reviewed a total of 1,989 rate/range requests during FY 2003. The unit approved 1,554 of those requested, with 435 being sent back to the university/agency for further

Classification/Compensation/Examination Division [Continued]

## FY 2003 Agency Activities

development. The average number of employees State-wide include, 9,618 (43.8%) Open Range employees, 11,454 (52.2%) Negotiated Rate employees, 809 (3.7%) Prevailing Rate employees and 66 (less than 1%) Established Rate employees.

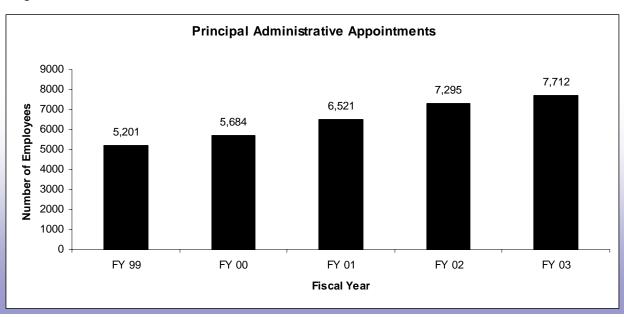
#### Act and Administrative Code

The staff in this unit regularly consults with university/agency human resource directors and other human resource staff to provide advice and guidance on matters of interpretation of the Act and Administrative Code, and the University System procedures. This unit has the ongoing responsibility to maintain all policies directly related to their operational function and revise as necessary through a system wide collaborative effort.

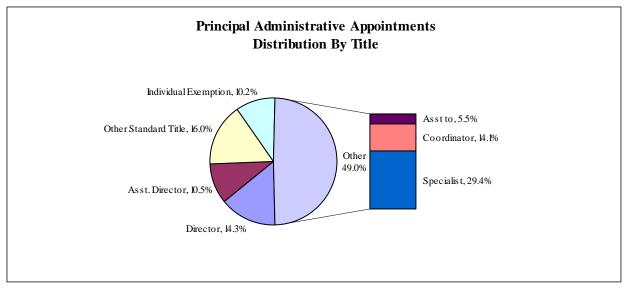
#### **Principal Administrative Appointments**

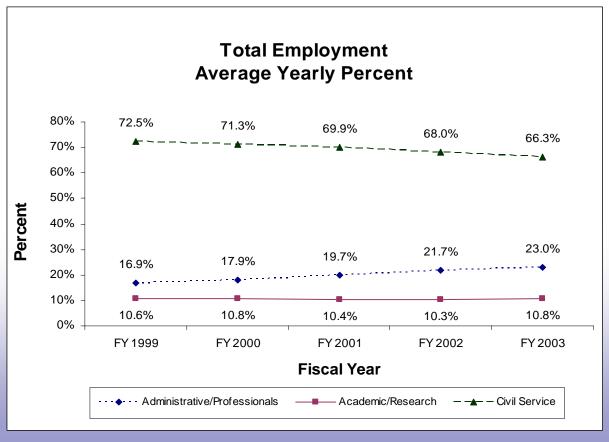
The Merit Board, through delegation to the Executive Director, has statutory authority to designate Principal Administrative Appointment (PAA) positions which are to be exempted from the coverage under the Act and Administrative Rules. This unit is responsible for reviewing and analyzing all requests for PAA exemptions with respect to established protocols and procedures, and for providing recommendation (approval or disapproval) to the Executive Director. As requested, staff of the unit assist the Compliance/Policy Analysis/Development Division in the on-site review of approved exempt positions as an on-going technical support function of the audit program. As of June 30, 2003 the total number of employees exempted from civil service coverage in accordance with section 36e(3) of the Act (110 ILCS 70/36e(3) (West 2003)) was 7,712. The following charts indicate an increase in PAA employees throughout the time periods studied, a topic that is under constant scrutiny and analysis.

The University System began categorizing most PAA employees into 20 Standard Titles in 1999. At this same time, universities/agencies were also delegated the authority to 'exempt' employees/positions from civil service coverage. Since the inception of this program, the University System office has witnessed a significant increase in PAA employees/positions, particularly in some selected titles. These following charts provide graphical representation of these changes.



## FY 2003 Agency Activities





## FY 2003 Agency Activities

#### **Training Programs**

Upon approval of the Executive Director, the Administrative Rules provide for the establishment of three types of training programs. These programs include: Apprentice, Trainee, and Learner. Apprentice Programs are utilized for training of employees in the established crafts and trades occupations such as Plumber, Electrician, etc. Trainee and Learner Programs are designed to permit applicants, who lack certain minimum qualifications required for employment in a classification, the opportunity to receive education and/or work experience in order to become fully qualified for a position. These programs have been designed, and can be used, as an affirmative action tool to provide training for applicants in minority or culturally disadvantaged groups. The use of the programs assist these applicants in obtaining both entry-level and upper-level positions. During FY 2003, the unit approved 17 Trainee Programs and six Learner Programs.

#### Supported Employee Program

Section 36s of the Act (110 ILCS 70/36s (West 2003)) required the University System to develop and implement a Supported Employment Program (SEP). SEP created a special hiring option for severely handicapped individuals, whereby a job applicant, certified by a Illinois Department of Human Services (DHS) counselor as in need of supported employment, may bypass the open competitive testing requirement and work in a trial capacity before being appointed into a permanent job. Once a position has been targeted for supported employment, employers work with DHS counselors in developing a training program to assist the supported employee in becoming proficient in the target job. Upon successful completion of the training program, the supported employee is appointed to a status position in the class and serves a probationary period. As of the end of FY 2003, a total of 39 supported employee placements had been made, 17 of which were still actively employed.

#### **Position Classification Audit Appeal**

The unit has responsibility for the management of all position classification appeals that are requested of the Executive Director. Employees who believe that their positions have been misclassified by the local (university/agency) human resource office are allowed to appeal the decision for review by the Executive Director. The appeal process includes reviewing and analyzing evidence of record, conducting on-site desk audits if deemed necessary, and recommending proper allocation of the position to the Executive Director. During FY 2003, the unit reviewed and analyzed eight position classification appeals. The unit also responds to requests for position classification assistance by various universities/agencies served.

#### Examination Question Challenges, Rechecks and Scoring Breakdowns

The unit provides services to employees/applicants who are concerned that a specific question/answer is incorrect or that the score they obtained on an examination was in error. When an applicant believes there is an incorrect question/answer on an examination, a form is completed at the testing site which is forwarded, along with the applicant's examination, to the University System office. Each challenged question is thoroughly researched, with an individual response being sent to each applicant. Applicants are also provided scoring 'breakdown' on the examinations. An applicant may request a 'recheck' of the examination score to assure that the exam was properly graded at the local human resource office or to obtain information on the categories of questions (breakdown) that were answered incorrectly. With the assistance from the Administrative Division's secretarial support team, a total of 30 question challenges and 67 rechecks/breakdowns were completed.

## FY 2003 Agency Activities

#### **Specialty Factors**

A university/agency may request that a Specialty Factor be 'attached' to a specific position. For these positions, a specific and measurable skill or ability, above the standard requirements, is necessary for the successful fulfillment of the required business operation. The most common type of Specialty Factor requested and approved is for an applicant to have bilingual skills (Spanish most often) as part of a clerical or customer service position. During FY 2003, the unit approved 40 Specialty Factor requests.

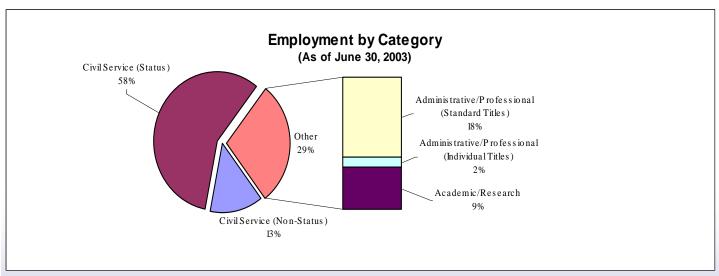
#### Other Operational Responsibilities

This unit has a myriad of other responsibilities including courtesy test grading, evaluating qualification waivers, and many other standard business procedures associated with employee movement across the classification system. Further details can be provided if desired.

Upon request, staff also assist audit team members in reviewing university/agency classification programs. Unit staff review position classification audit findings proposed by the audit team to assist in making recommendation to each university/agency regarding specific classification of positions.

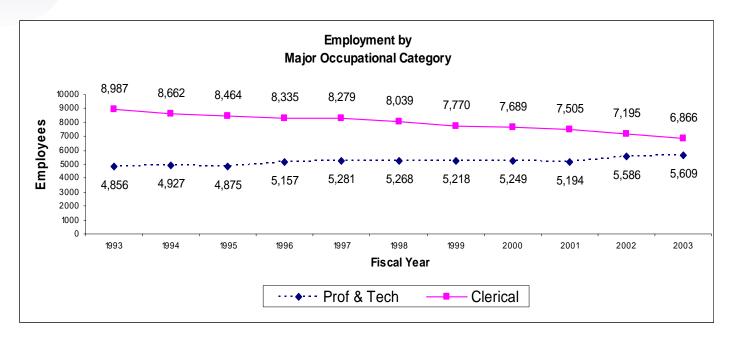
#### **Employment Trends**

This unit also tracks several employment elements within the Illinois public higher education community including employment within classification, occupational, ethnic, and gender categories. During FY 2003 civil service employment accounted for approximately 58% of employees within the University System.



An average of 21,947 status civil service employees were employed by universities and agencies, 14,114 (64.3%) were female and 7,833 (35.7%) were male. While the number of employees in professional/technical classifications, especially those related to IT classification, has increased, clerical occupations, representing the largest group of employees, have seen the sharpest decline in positions and employment. A 10-year review of civil service employment reveals that there has been a total decrease of approximately 433 civil service status employees.

## FY 2003 Agency Activities



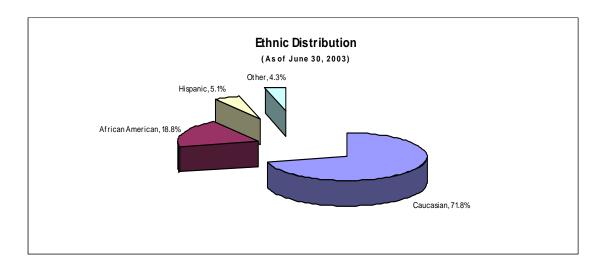
The number of employees within each occupational area as of June 30, 2003 included:

Occupational Areas	Number of Em	ployees
Clerical	6,866 31	.3%
Professional/Technical	5,609 25	.6%
Service	4,783 21	.8%
Crafts and Trades	2,309 10	.5%
Managerial	1,895 8.0	5%
Other	484 2.1	2%

Over the past five years the ethnic distribution of status civil service employees throughout the University System has remained fairly consistent. Over this timeframe, there has been a slight decrease in the Caucasian population and a slight increase in the Hispanic employee population. Naturally, these numbers may vary tremendously between universities/agencies based on their geographic location. The numbers below merely represent the statewide picture as of June 30, 2003.

As a matter of information, the University System office provides programs to employing universities/agencies to assist in the recruitment, training, and retention of minority candidates into various civil service positions. These programs are utilized to support the various diversity programs designed by each university/agency. Learner and supported employment programs allow for on-the-job training and result in placement of successful candidates to status civil service positions. Trainee programs allow for additional training and result in placement into a status position following the successful completion of the corresponding civil service examination. The University System will be conducting a state-wide forum to evaluate and consider additional programs to further facilitate the recruitment and retention of minority applicants to civil service positions throughout the system.

## FY 2003 Agency Activities



#### **New Initiatives and Goals**

The various new initiatives and goals introduced during FY 2003 are detailed below, but should be viewed as on-going projects that may or may not have definite completion dates.

#### Pilot Program

In an effort to create efficiency, flexibility, and best practices into the employment process, the University System developed a series of professional classifications that utilize a substantially different set of employment protocols. In September 2002, the Merit Board approved three original titles for the program (*Accounting Associate*, *Business/Administrative Associate* and *Human Resource Associate*). These professional and managerial positions were developed to address areas where market demand is high and immediate employment actions are desired. These class specifications, along with any additional class specifications that may be developed in the future, will be assigned a separate class code to distinguish them from other civil service classifications. As with all class specifications, individual pay rates/ranges were also assigned by each university/agency.

Traditional employment in civil service occupations has required the completion of a written examination administered at the human resource office on a scheduled date and time. Employment in the new pilot program classifications do not include a written examination, but instead require human resource staff or the employing department, through a coordinated effort with the university/agency human resource department, to score and rate an applicant's employment application and/or résumé. Specific credential rating guidelines are supplied by the University System to assist in this process. This credential-rating instrument minimizes the variation in scores which expands the referral pool and allows more applicants an opportunity to receive an initial interview. This will facilitate a large applicant pool and register for each position.

The new credential-rating system gives applicants the opportunity to apply for a specific position on-line or through the mail and unlike traditional civil service processes, applicants will not be required to be present at the human resource office prior to interview. Qualification for employment and credential review is transparent to applicant. An employment register is established and the top three scores from the register are referred for interviews. With only four

Classification/Compensation/Examination Division [Continued]

## FY 2003 Agency Activities

to five score variations for each examination, the referral list of the top three scores will provide a large quality pool of applicants similar to that obtained in any search process for other professional staff.

Employers are also allowed to attach specific job requirement criteria to many of these new positions, thereby affording selective certification in assessing the original application/résumé and establishing a separate register based on that criteria designation. Candidates applying/competing for individual job vacancies have their credentials/scores removed from the employment register following the hiring process.

Currently there are several university employers utilizing this program with at least 25 individuals employed in these classifications. We predict a significant expansion of this program and a much larger participation rate in the very near future.

#### Diversity Initiatives

We are currently in the process of coordinating a statewide effort to review and hopefully add some new programs to further facilitate the recruitment, application, testing, and possible placement of minority candidates into civil service positions. Our goal is to further diversify the applicant pool and ultimately the employment base within the University System. This will begin with a statewide forum of Affirmative Action/Diversity Resource officers to brainstorm ideas and evaluate some new programs currently being developed. Within the current fiscal year, we are expecting the release of new programs to facilitate this effort.

#### Computerized Testing Process

With the appointment of the new Executive Director, we have embarked on a major initiative to provide civil service examinations in electronic (computer) format. The University System, in collaboration with member universities/agencies and with private companies, are working to provide the technical expertise necessary to accomplish this project. The goal to provide electronic testing is in the planning stages; budget constraints and the amount of time involved with the project of this magnitude will require a gradual development and implementation plan spanning across fiscal years. Some of the system objectives are described below.

Examinations will be provided over secure Internet connection to each employer and will be stored on a server(s) in the University System office. Each employer, through a secure access code, will download examinations to individual PC's in the testing office. Applicants will be given an access code that corresponds to their individual examination(s) and they will enter their demographic information at the assigned PC. Security both at the University System office and at each employer location will protect the examinations from theft and assure the proper identity of the applicant completing the examination.

Examinations will be electronically graded and scores produced immediately. Plans also include designing the testing feature to integrate with each employer's employment register process. This will allow an opportunity to keep a real-time update of applicants available for employment.

Total scores and responses to individual questions will be uploaded from the testing site of each employer to the University System database. On a regular basis, this database will be queried to track statistics of all examinations. This will include a review of individual responses to assure that each question is fair and producing appropriate pass/fail rates. In addition, demographics of applicants will also be compared to the testing pass/fail rate to assure that each examination is free of cultural or gender bias.

## FY 2003 Agency Activities

The efficiencies created by the electronic testing system are currently being studied and are expected to be significant. We believe that such a system will lead to a greater degree of testing availability, testing timeframes will be reduced, quicker turnaround on filling vacancies, more reliable grading mechanisms, more credible test analysis and statistical reports, reduced processing errors, and a significant reduction in staff time required to administer this process.

The above described process is a roadmap of ideas and implementation strategies. The features described above are currently in place but each is completed by manual operation, including grading examinations, performing an item analyses, and placing names on employment registers. The new system will create a tremendous amount of efficiencies at each employer and provide a superior customer service approach for applicants seeking employment.

#### **Business Process Change**

To ensure a comprehensive review and creation of a more coherent classification plan, a new business process was developed and instituted during FY 2003 for the development/revision of the class specifications and examinations. Based on University System initiative or requests from an employer, class specifications are analyzed by work function, responsibility, and relationship to the business process. The new process creates the opportunity to review all similar positions within a business area and collapse classifications so that fewer more well-defined classifications remain. Combination and consolidation creates efficiency in the overall employment process and testing procedures, minimizing administrative time and creating more employment opportunities for each applicant.

#### Examination Creation Validation Process

To assure that examinations are job-related and accurately measure elements necessary for the performance of required duties, position descriptions are requested and reviewed, meetings are conducted with subject matter experts, and examinations are extensively pre-tested using current university/agency incumbents. This methodology results in examinations that are free from bias, job related, and content valid. Efforts to streamline this process and produce new testing instruments will continue to ensure that required statistical standards are being meet.

#### Post Examination Validation Process

Following any major revision to a testing instrument, an item analysis process has been developed to check for accuracy of the testing instrument and ensure there is no cultural or gender bias in the examination. Though all major revisions to civil service examinations are pre-tested on incumbents and reviewed by subject matter experts, a second review of each examination will be conducted to assure accuracy. Post examination procedures to measure test validity are being developed and will include a review of completed examinations. This process will be fully implemented with the computerized testing process.

#### Police Promotional Testing

The University System schedules and convenes the Police Officer promotional examination, i.e., Elongated Oral Boards (EOB). The examinations included in this process are: Corporal, Sergeant and Lieutenant. The EOB process requires a panel of three assessors to interview and observe as many as six candidates during a day-long testing period. Throughout the testing period, applicants are required to make oral and written presentations and work on group exercises. Assessors provide scores, based on previously developed criteria, for each applicant completing each task. To more accurately reflect the cultural and gender demographics of university police officers, and to assure that each EOB will consist of assessors with diverse ethnic and racial characteristics, the University System in conjunction with many of the universities, trained 14 new assessors during FY 2003, of which eight were minority and female officers. During FY 2003, the University System conducted 20 EOB's.

## FY 2003 Agency Activities

#### **Procedures Manuals**

The unit continues to update the University System Procedures Manuals (Classification, Employment & Separation, Examination, Pay Administration and Principal Administrative Appointments) to ensure that these procedures accurately reflect best practices related to employment, testing, classification plan management, and the many other human resource transactions surrounding these activities.

#### <u>Promote Learner and Trainee Programs</u>

To assist each university/agency campus in providing opportunities for candidates who do not possess the skills required to gain employment, Learner and Trainee programs were developed. Through University System office orientations, workshops, and on-campus visits, these programs will continue to be emphasized and strongly encouraged.

#### Consolidate Internal Business Process (Files)

To provide for more efficient operations, the unit continually works to physically collapse/consolidate thousands of paper files and develop electronic initiatives for data storage.

## FY 2003 Agency Activities

### Administrative Division

During FY 2003, the Administrative Division was formally reorganized with a secretarial support team formed to enhance the University System office customer service focus and more efficiently provide internal support to the other business functions. This unit is responsible for the general internal office human resource function for the University System employees. This unit also handles the benefit components for the University System employees. Programs include: Deferred Compensation, Group Insurance, Payroll, Retirement, Savings Bond, and Worker's Compensation Programs. The unit also is responsible for entering the salary ranges for the University System office into the Statewide Salary Date System. These ranges are reviewed on a yearly basis to the area market.

A major function of this unit is the management of the agency annual Appropriation and budget expenditures. For FY 2003, the General Assembly approved a Line Item Appropriation of \$1,392,900 (Public Act 92-0538) which was an increase of \$23,900 over the FY 2002 Appropriation. The University System had two funds for FY 2003; the General Revenue Fund (\$1,210,600) and the Education Assistance Fund (\$182,300). Pursuant to Administrative Order 1, the University System was notified to reserve approximately \$70,000 in the General Revenue Fund due to the State's economical situation. Through our commitment to efficient budget and operational management, we exceeded this directive. The Bureau of the Budget approved two budget transfers for FY 2003, resulting in a total of \$2,240 transferred to the Social Security Line Item from the Contractual Services Line Item to cover the employer costs for Medicare Coverage for the University System employees.

This unit is the direct line of communication to the Comptroller's Office and Department of Central Management Services. The University System office is required to comply with the Statewide Accounting Management System (SAMS). Some of the key functions include, receipts, obligations, and voucher processing. Each month the unit reconciles monthly reports from the Comptroller's to the agency's financial records. The University System is required to file a yearly Agency Workforce Report with the Comptroller's Office. The unit is responsible for the property control records. The University System is required to file an Agency Report of State Property on a quarterly basis and on a yearly basis required to filed an inventory certification to the Department of Central Management System. On a biennial basis the Auditor General's office performs a compliance audit on the University System. The University System is scheduled to have a compliance audit performed in the fall of 2003 covering FY 2002 and FY 2003.

This unit is responsible for all procurements for the University System. The University System utilizes state contracts for various items when a state contract is in place. The contracts are filed with the Comptroller's Office.

A major focus for the secretarial support team is customer service. During FY 2003 over 6,000 incoming calls were directed to the appropriate staff for a timely response and/or resolution. The team performs various tasks for the other units, such filling and mailing examination orders, statistical analysis for examinations, rechecks, documenting training/learner programs, monitoring supported employee programs, etc.

#### Organizational Review and Refocus

With the appointment of a new Executive Director, the University System will be attempting to undertake several new initiatives focusing on customer service, communications, business process upgrade, and an overall modernization of the University System in general. Several internal committees have been established with specific objectives such as the development of an office mission statement and objectives, office technology, review of rules and procedures, employee handbook preparation, budget review, customer service, and external constituency communications.

The University System will continue to develop programs to assist employees and employers alike in their familiarity with our business processes and the administration of the many rules and procedures related to civil service employment. We hope to positively redefine the organizational perception. We will strive to be defined as a facilitator of the teaching and research mission of each university and affiliated agency through the efficient and effective employment of a quality professional and support staff. To that end, the following objectives are planned for this fiscal year.

#### Internal Office Reorganization

We have reconstructed the organization internally to maximize productivity and efficiency. The internal functional units are outlined below with a brief description of their major business process responsibilities. This is a major change, but this structure best meets our objectives and responsibilities, particularly related to efficiency and productivity in operations. It will and has already created an environment of timely communications, productivity improvement in basic employment processes, and an overall efficiency in operations. We hope that this new structure will generate an overall system transformation with a focus on quality, efficiency, and service. To some degree, this structure will trigger similar changes at the university/agency level and to lead to similar productivity improvements at those employment locations.

#### Administrative

- ♦ Budget Management
- Procurement
- ♦ Customer Service
- Secretarial Support Team
- ♦ Telecommunications/Technology Coordination
- ♦ General Internal HR Function

#### Compliance/Policy Analysis/Development

- Policy Analysis/ Review Statutes, Rules, Procedures, Employee Policies
- Audit and Field Services
- Discharge Procedures Administration
- Training and Development
- ♦ Report Coordination/Data Analysis
- ♦ External Communications
- ♦ Legislative Liaison

#### Classification/Compensation/Examination

- Development/Administration of Class Specifications
- Pay Range/Salary Administration
- ♦ Development/Administration of Tests/Examinations

#### Technology Upgrades

The fundamental resource for our organization, particularly as we focus on efficiency and productivity, is its technology base. We have upgraded many of our workstations, server capacity, Internet accessibility, and printing capabilities. We hopefully will also be installing a new phone system with many of the current technology features required in meeting our customer service objectives and the expectations of our constituency.

Provided funding is secured, we will also be launching some programming initiatives related to testing and file maintenance. These programs are described in more detail below, but will once again supplement our operations and provide timely communications to our constituency in the form of on-line testing programs and real time information collection and tabulation. These program initiatives can ultimately lead to corresponding campus productivity improvements in their overall human resource functions.

Naturally, with a new customer service focus, a continual update of our website will be required and include a comprehensive incorporation of our business processes with an explanation of procedures and all standard forms used by our office. This can hopefully be accomplished through the filling of our vacant Computer/Technology position or through some specialized contracted service. It is very important that we maintain this function if we are to meet the expectations of our constituency related to timely communications, information distribution, and efficiency in business operations.

#### **Customer Service Initiatives**

An active Employee Advisory Committee, with representatives from each university/agency, has been established to provide input and recommendations on University System office function, business processes, and employee concerns. Throughout each fiscal year, we actively collaborate with that group to facilitate the discussion and review of University System operations. Through the technology upgrades and resulting expanded use of electronic media, significantly enhanced communication options will be utilized to provide more timely information on a wide array of topics relevant to employees of the University System. We are looking to continue with the production of a quarterly Newsletter. We will continue to make this available electronically to each civil service employee and provide updates on University System developments, operational changes, and other specific items of interest. We plan for this communication to also become a primary format for information on many of the best practices utilized in the various university/agency human resource offices.

An active Administrative Advisory Committee, with high level administrative personnel from each university/agency, has also been re-energized to provide additional input and recommendations on University System office function, business processes, and employer concerns, particularly related to staffing and budget issues. We actively collaborate with this Committee and routinely schedule meetings throughout the fiscal year. This group

tends to provide the political strength to move major initiatives to completion, particularly if there is a budget and/or staffing impact. Again, technology upgrades and enhanced communication capabilities will facilitate this interaction.

This fiscal year, we have also reactivated *the* Human Resource Directors Advisory Committee. This Committee will be composed of the human resource director or designated employer representative from each university/agency. It was disbanded some years ago, but will soon become very essential in our overall general review and updating of University System rules and procedures. This will become a very extensive project. Their collaboration will be essential in creating a system of rules and procedures consistent with the changing demands of the various, complex employment environments within the University System. Again, enhanced communication programs with real time information collection and distribution processes will become essential in this complex process. Additionally, specific legal review of suggested rule and procedure modifications will become a major focus of this group and will generate a tremendous amount of interaction.

#### Classification/Examination Administration

Our overall objective as related to the administration of our classification structure and examination development is simply, over time, to reduce the total number of classification options, through deletion and consolidation, and implement a program of routine class specification update and examination development. This objective also involves a couple of major technology initiatives which should drastically increase the effectiveness and efficiency of our office staff and positively impact the function of the many university/agency human resource operations.

One of our major technology initiatives would involve the review, purchase, and implementation of a scanning software package for all communications received by our office. The capability of almost instantaneously transforming paper documents and information into an electronic format for access and distribution would increase tremendously our internal efficiency and provide a more timely response rate. Again, from a customer service perspective, this would be viewed favorably and enhance our overall operations from an efficiency and constituency relations standpoint.

Probably our most innovative technology initiative involves the development and implementation of an online testing system for the entire University System. This would involve the electronic conversion of our many examination instruments, secure web-based distribution of exams through defined university/agency human resource contact points, electronic testing of applicants, online scoring of examinations, electronic submission of applicant demographics, and database interfaces supporting real time statistical reporting capabilities on a number of topics of interest to universities, agencies, and other state and legislative bodies. This initiative would possibly involve the expansion of the Statewide Salary Data Processing System to include access to a testing module as described above, since many of the security elements have already been built in that system.

Another major objective is to focus on the development of additional programs that will further facilitate more diverse applicant pools of candidates for positions, both within the testing parameters and through additional programs that provide mentoring, training, and on-the-job learning. We are planning to coordinate a statewide forum with the many Diversity and Affirmative Action officers from the various universities/agencies to collaboratively develop tools to more aggressively assist in achieving this objective.

#### Reporting and Statistical Analysis

Another process and program initiative we are planning for this fiscal year is the further development and expansion of the reporting capabilities of the Statewide Salary Data Processing System to include a statewide salary survey of all administrative professional positions, as currently approved for exemption by our office. We will be initiating discussions with Northern Illinois University to incorporate this process into our system office operations. This would possibly involve the purchase of this package and contracting their services for further development and maintenance of the system. The new reporting capability would enhance campus business decisions and provide additional financial information for other state and legislative bodies. Inclusion of faculty and direct academic support staff could also be achieved through a similar programming expansion. Likewise, further statistical evaluation procedures could be developed through an interface with the raw data obtained from each university/agency to establish a series of reports capturing valuable elements of the entire statewide public university faculty, administrative, and support staff.

#### Commitment to Excellence

We know we have a very ambitious agenda, but each of our staff is committed to providing a top quality service to the many employees, universities, and agencies within the Illinois public higher education community. As our mission states, the University System will strive to champion excellence in education and auxiliary programs by providing a comprehensive foundation of human resource practices and standards that facilitate the recruitment, retention, and development of a quality staff, in support of the teaching and research mission of each university and affiliated agency. We are committed to providing an environment of equal opportunity and access, thereby establishing a foundation for each university/agency to fulfill their mission and for each individual to reach their potential. We will constantly endeavor to build a quality of life within our community that sets the standard for the nation. The citizens of the State of Illinois, the State public higher education community, and especially our students deserve no less.

### State Universities Civil Service System

#### **Public University Systems**

**State Jurisdictional Profile** 

University of Illinois

at Chicago

College of Medicine at Rockford College of Medicine at Peoria

at Urbana-Champaign

at Springfield

Division of Specialized Care for Children

Northeastern Illinois University



Chicago State University



Northern Illinois University



Governors State University



Western Illinois University



Illinois State University



Eastern Illinois University



Southern Illinois University at Edwardsville at Carbondale



College of Medicine at Springfield

#### **Agencies**

Illinois Board of Higher Education



Illinois Community College Board



Illinois Student Assistance Commission ISAC



State Universities Civil Service System



State Universities Retirement System









