



62nd annual report



FY13

July 1, 2012 - June 30, 2013

State Universities Civil Service System



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Message from the Executive Director

On behalf of the State Universities Civil Service System, we respectfully submit our 62nd Annual Report. This Report provides an overview of our business operations, an analysis and update of our many programs/initiatives, and a brief description of our FY 2014 agency action plan. Our business objectives remain consistent with our statutory directive, our mission, and our purpose. This Report again demonstrates our commitment and effort to incorporate many 'best practice' human resource concepts into our operational procedures and to modernize the overall delivery of human resource services to the State of Illinois public university system.

Our operational philosophy is built on the principles of collaboration and teamwork. In this respect, we work closely with all of our constituency groups to create and promote an environment of open interaction, trust, and professionalism. This collaborative approach has enabled us to build a more comprehensive support network and allows us to achieve a more profound overall commitment to mission and purpose. It has nurtured growth and respect in our constituency relationships. It has led to real positive changes and efficiencies in many of our business operations.

Once again this year, I want to take this opportunity to extend our gratitude to the university community and to the broader statewide network of affiliated state agencies and legislative offices for their continued support and commitment to our efforts and service. We are honored by your partnership and allegiance.

We are very proud of our role in the Illinois public higher education community and will always strive to achieve the highest level of excellence in all of our programs and service to our many constituency groups. This Report demonstrates our commitment to excellence in the delivery of all of our programs and to the high standard of accountability consistent with that commitment. We hope you find this report very informative and enlightening.

Lewis T. (Tom) Morelock





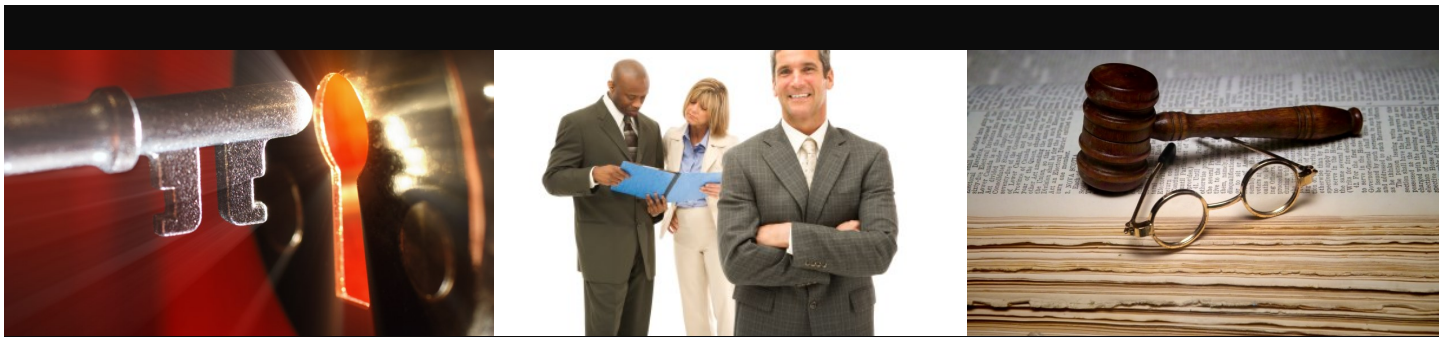
Mission Statement

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

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

The authority of the State Universities Civil Service System hereinafter referred to as the University System is provided through legislative Statute and empowered through the University Civil Service 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 Compiled Statutes at 110 ILCS 70/36b *et seq.* and the University System Administrative Rules are presently codified in the Illinois Administrative Code (Code) at 80 Ill. Adm. Code 250. 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

Institute for Natural Sciences and Sustainability
Robert Allerton House
Robert Allerton Park
Bonneville 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 Carbondale

Southern Illinois University School of Medicine Springfield

Southern Illinois University Edwardsville

Alton
Madison County
East St. Louis

Chicago State University

Eastern Illinois University

Governors State University

Illinois State University

Northeastern Illinois University

Northern Illinois University



Jurisdiction continued . . .

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

Western Illinois University
Quad-Cities Campus

Illinois Board of Higher Education

Illinois Community College Board

Illinois Student Assistance Commission

State Universities Retirement System

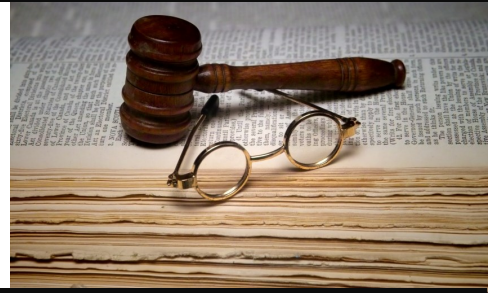
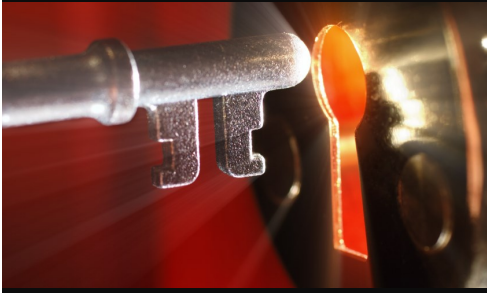
State Universities Civil Service System

Section 36e of the Act (110 ILCS 70/36e) 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 specific 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 approximately 25,000 civil service employees, which includes over 19,200 status employees and over 5,700 nonstatus employees throughout the state. To a lesser degree, the University System monitors and authorizes over 18,300 student employees and over 11,600 exempt administrative and faculty appointments. The University System administers a classification and examination program consisting of 1,074 classes/exams resulting in the pre-employment testing of approximately 33,100 applicants or promotional candidates for FY 2013. 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 transfers, promotions, layoffs, and separations.





Employee Served Data (June 2013)

Organizations Served	Civil Service Employees	Total Status Employees	Total Nonstatus Employees	Total Student Employees	36e(3) Employees	36e(4) Employees	Total Exemptions	Total Employees
System Total	25,016	19,225	5,791	18,380	7,381	4,231	11,612	55,008
University of Illinois	12,171	9,389	2,782	8,090	4,813	2,261	7,074	27,335
Urbana-Champaign	5,719	4,148	1,571	5,491	2,564	1,542	4,106	15,316
Chicago	3,080	2,386	694	2,287	1,852	623	2,475	7,842
Chicago Hospital	2,316	2,044	272	32	201	20	221	2,569
DSCC	189	184	5	0	11	2	13	202
UICOM-Peoria	197	173	24	0	20	11	31	228
UICOM-Rockford	207	161	46	4	27	2	29	240
Springfield	463	293	170	276	138	61	199	938
Southern Illinois University	4,734	3,459	1,275	1,978	723	646	1,369	8,081
Carbondale	2,356	1,446	910	1,096	280	249	529	3,981
School of Medicine	1,154	1,035	119	2	142	142	284	1,440
Edwardsville	1,224	978	246	880	301	255	556	2,660
Other Universities	7,720	5,999	1,721	8,312	1,764	1,324	3,088	19,120
Chicago State	520	397	123	76	193	161	354	950
Eastern Illinois	951	871	80	422	232	86	318	1,691
Governors State	326	253	73	157	161	24	185	668
Illinois State	1,953	1,420	533	2,557	333	397	730	5,240
Northeastern Illinois	772	548	224	812	166	34	200	1,784
Northern Illinois	2,285	1,651	634	2,644	421	533	954	5,883
Western Illinois	913	859	54	1,644	258	89	347	2,904
Illinois Board of Higher Education	9	9	0	0	24	0	24	33
Illinois Community College Board	34	34	0	0	12	0	12	46
Illinois Student Assistance Commission	227	215	12	0	31	0	31	258
State Universities Civil Service System	13	12	1	0	1	0	1	14
State Universities Retirement System	108	108	0	0	13	0	13	121



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 elected by their respective university governing boards. The current Merit Board members are as follows:

James D. Montgomery—Vice Chair
University of Illinois

Lyneir R. Cole
Western Illinois University

Marvin Garcia
Northeastern Illinois University

Karen Hasara
University of Illinois

Patricia Brown Holmes
University of Illinois

Spencer Leak Sr.
Chicago State University

Donna Manering
Southern Illinois University

Robert T. Marshall, Jr.
Northern Illinois University

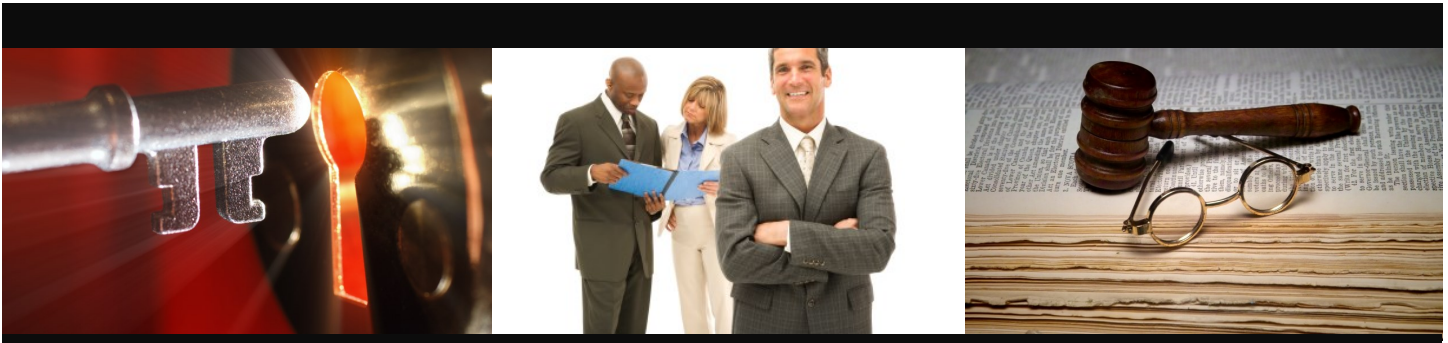
Brian D. Mitchell
Governors State University

Robert D. Webb
Eastern Illinois University

Betty Kinser
Illinois State University

The Merit Board meets on a regular basis at the University System office to conduct activities necessary to direct, manage, and maintain business operations of the agency. The powers and duties of the Merit Board are set forth in section 36d of the Act (110 ILCS 70/36d) as follows:

- ♦ *To approve a classification plan and delegate to its Executive Director the duty of assigning positions to appropriate classes.*



University Civil Service Merit Board continued . . .

- ◆ *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 1 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.*

During FY 2013, the Merit Board met five times — August 22, 2012, November 14, 2012, January 30, 2013, May 15, 2013, and June 3, 2013. All meetings were held at the University System office in Urbana and simultaneously by video conference at Southern Illinois University Carbondale and University of Illinois Chicago.

All Merit Board meetings are open to the public and conducted in accordance with the Open Meetings Act. Formal business activities and actions are captured as required and publically provided at the University System website. Organized statewide advisory committees are consulted on a regular basis and provided various opportunities for interaction with the Merit Board on numerous topics. For a complete detailed account of all Merit Board activities, you can access the formal meeting minutes and a schedule of their yearly meeting dates at the following website address: <http://www.sucss.illinois.gov/Boards/mb>.

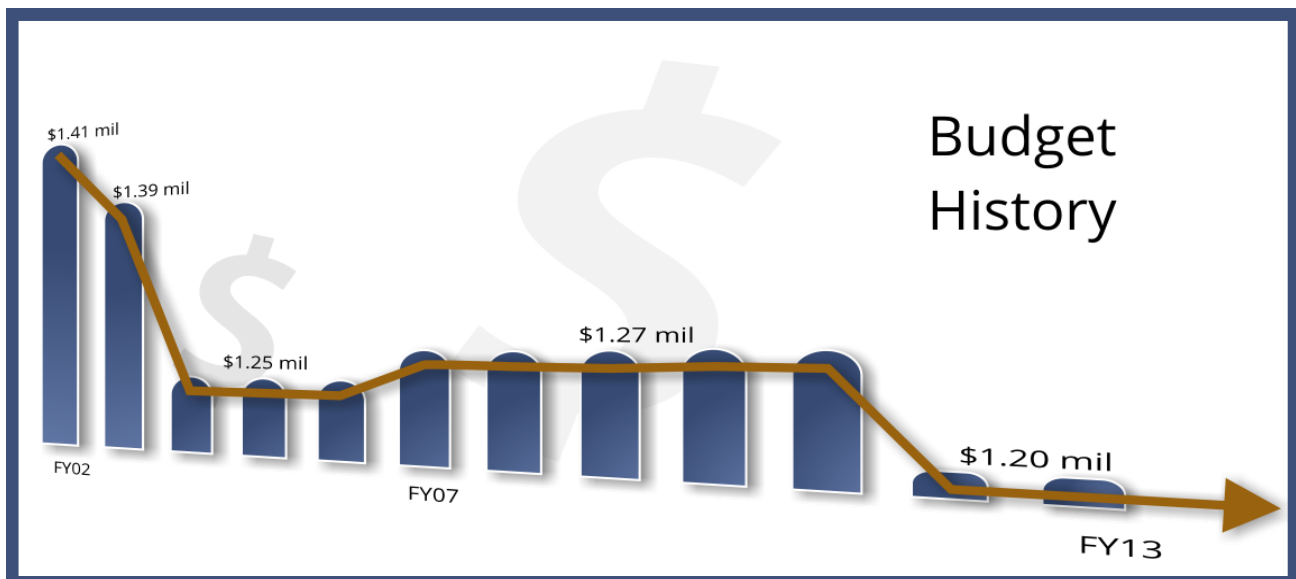


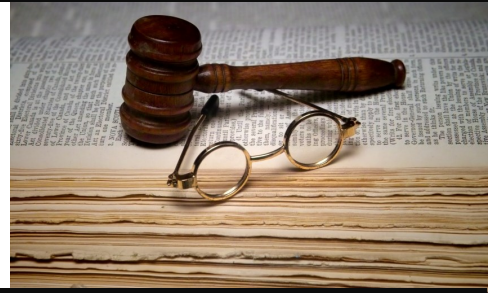
Fiscal Accountability and Yearly Budget Process

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

Ultimately, 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 Management and Budget office, and various legislative committees before final yearly appropriations are approved and distributed.

Despite significantly decreased or flat budget appropriations over the last few years, we are quite proud of our accomplishments and our capability to continue in our modernization efforts in developing and incorporating many new 'best practice' initiatives. Many of our new initiatives have significantly generated financial and resource savings at the university and agency level and have significantly improved customer relations. We remain committed to our



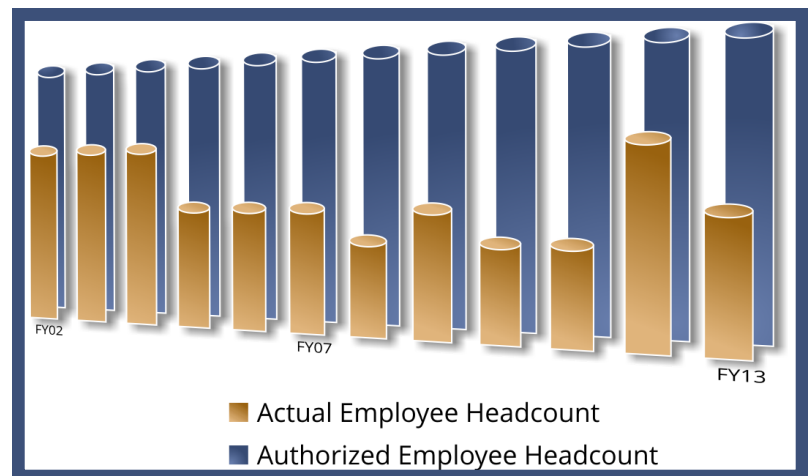


Fiscal Accountability and Yearly Budget Process continued . . .

statutory objective of efficiency and economy in operations through fiscal responsibility and innovative, creative business practices. Below is a brief historical recap of the agency's budget and staffing levels.

The budget for FY 2013 was captured in Public Act 97-0729 (Senate Bill 2443). Following is a line item breakdown of the FY 2013 budget, with one small line item transfer included:

<u>Line Item</u>	<u>Amount</u>
Personal Services	\$932,400
Social Security.....	\$13,100
Contractual Services	\$201,000
Travel.....	\$9,800
Commodities.....	\$6,000
Printing	\$5,200
Equipment	\$10,500
Telecommunications.....	\$25,000
Operation of Auto Equipment	\$2,000
Total	\$1,205,000



It is especially important to note that over the last eleven years, our agency budget and staffing levels have been reduced tremendously. The chart and graphs briefly capture this historical perspective. Despite this economic trend, we have been able to develop and incorporate some newly remodeled electronic business processes that have provided a significant financial savings to the many university/agency employment and human resource units.

We have approached a point where it is becoming more and more difficult to fiscally maintain such a robust, efficient personnel management system. Therefore, in the FY 2015 budget review and appropriation process, we are hoping to be recognized for our significant system-wide fiscal contribution with a minor budget supplement in order to maintain the current levels of efficiency and savings. We respectfully ask for your support in this endeavor.

Staffing and Budget History

FY	Appropriation	Authorized Headcount	Actual Headcount
FY 2002	\$1,411,200	21	16
FY 2003	\$1,392,900	21	16
FY 2004	\$1,253,600	16	16
FY 2005	\$1,253,600	21	14
FY 2006	\$1,253,600	21	14
FY 2007	\$1,271,200	21	14
FY 2008	\$1,273,220	21	13
FY 2009	\$1,273,220	21	14
FY 2010	\$1,276,200	21	13
FY 2011	\$1,276,200	21	13
FY 2012	\$1,205,000	21	16
FY 2013	\$1,205,000	21	14
FY 2014	\$1,205,000	21	15 (projected)



University System Office

The University System office provides support services to universities and agencies 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 Code, the procedure manuals, and the many formal business procedures.

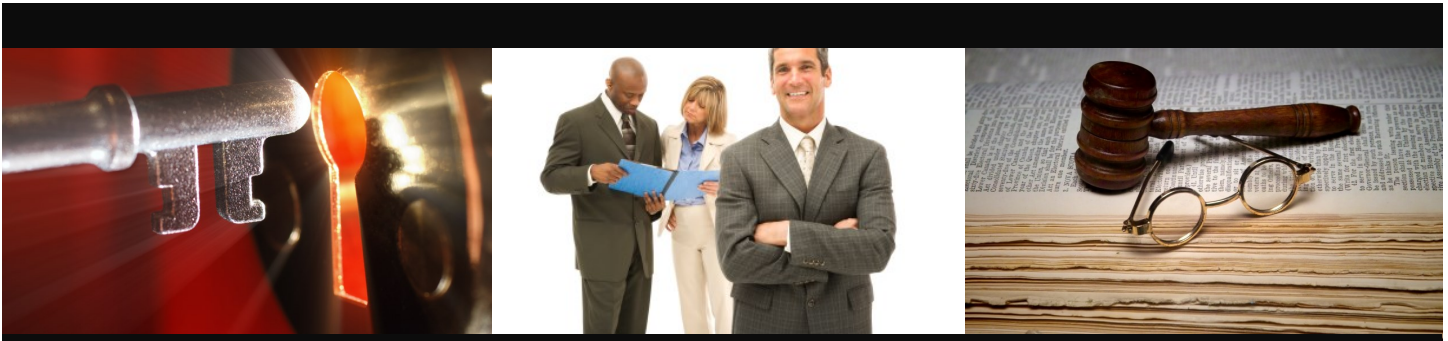
Incorporated into the Act (110 ILCS 70/0) establishing the University System were many innovative principles that remain viable operating guidelines even today, including efficiency and economy of operation, equal opportunity for all applicants, selection of highly qualified personnel, equal pay for equal work, and career opportunities comparable to those in business and industry. Additionally, the Act further delegates the authority to a Designated Employer Representative (DER) at each university/agency to conduct examinations, designate and refer applicants for positions, and otherwise administer human resource programs consistent with the meaning, interpretations, and intent contained therein.

Therefore, certain functions required by the Act have been defined and delegated to the universities and agencies under the University System (see pages 7 and 8 for a list of the universities and agencies). Through this delegated authority, the universities 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 or agency and are not employees of the University System.

Personnel transactions are to be conducted within the framework of the Act and the Code, with all transactions subject to audit by the University System office 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 five divisions within the University System office and are currently directed by the following staff: Teresa Rademacher, Administrative Assistant, and Financial Officer, Administrative Division; Lucinda Neitzel, Human Resource Manager, Audit and Advisory Services Division; Bob Curry, Information Technology Manager and Coordinator, Information Technology Division; Mari Martinelli, Legal Counsel Manager, Legal Services Division; and Jeffrey G. Brownfield, Human Resource Manager, Operations Division. Many of the 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 with our external constituency, to discharge its area of responsibility. With a current staff of only 14 personnel, 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 Administrative Rules provide detailed procedures along a broad spectrum of human resource activities including examinations, eligible registers resulting from examinations, appointments (both status and nonstatus), probationary periods, reassignments and transfers, separations and demotions, and seniority. The University



University System Office continued . . .

System staff is 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 Statutes, Administrative 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 is also 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 DERs, university and agency human resource staff, and members of the various Advisory Committees.

The Operations Division is responsible for the development, periodic revision, and routine administration of our comprehensive classification and corresponding examination system. Currently 1,074 classifications and examination instruments are maintained 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-the-art compensation administration program through the authorization of salary ranges for each university and agency employment location. This division provides routine reports of state-wide salary ranges, coordinates the routine review and

revision of exam instruments and class specifications, communicates to our constituency all proposed changes, implements all changes in the examination and classification program, responds to inquiries regarding the examination and classification program, and serves to some degree as the final appeal stage for issues regarding the examination and classification program. This division also provides training to the university/agency human resource offices on various employment protocols and authorizes/monitors all employee trainee and apprentice programs at each university/agency. This division 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 division has a large responsibility when looking at the volume of activity in their operational focus. In FY 2013, there were 31,288 examinations administered statewide at the various university/agency testing sites.

The Legal Services Division, along with the Administrative and Audit and Advisory Services Divisions, are responsible for the continual maintenance of our Act, Code, procedures, Merit Board Bylaws, and employee policies to preserve consistency with current human resource philosophy/trends and to insure compliance with other federal and state statutes and regulatory guidelines. These divisions work closely together and have 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. The Legal Services Division, along with the Administrative Division, manages the final discharge and demotion appeal process for the Merit Board in coordinating the hearing, communicating with the parties of record, certifying the



University System Office continued . . .

final record and findings of fact, and all other procedural elements prior to review and decision by the Merit Board. They are also responsible for the routine data collection and analysis of staffing information provided by each university/agency, preparation and final distribution of several standardized reports to the appropriate university/agency contacts. They are 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 Administrative Rules, procedures, and policies. Likewise, they develop and monitor all of our external communications, including the communication of policy revisions, and any response to inquiries from employers, employees, and other external agencies or individuals. They also prepare and conduct intern programs with respect to their 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 Administrative Division is responsible for the general internal office human resource function, budget management, procurement services, information technology, internal customer service and clerical support. This unit monitors our budget, processes purchases, processes agency payroll, provides reception and clerical support for the rest of the staff, and interfaces with the Office of the Comptroller and the Department of Central Management Services on various matters. This Division works closely with the Legal Services Division on discharge and demotion matters.

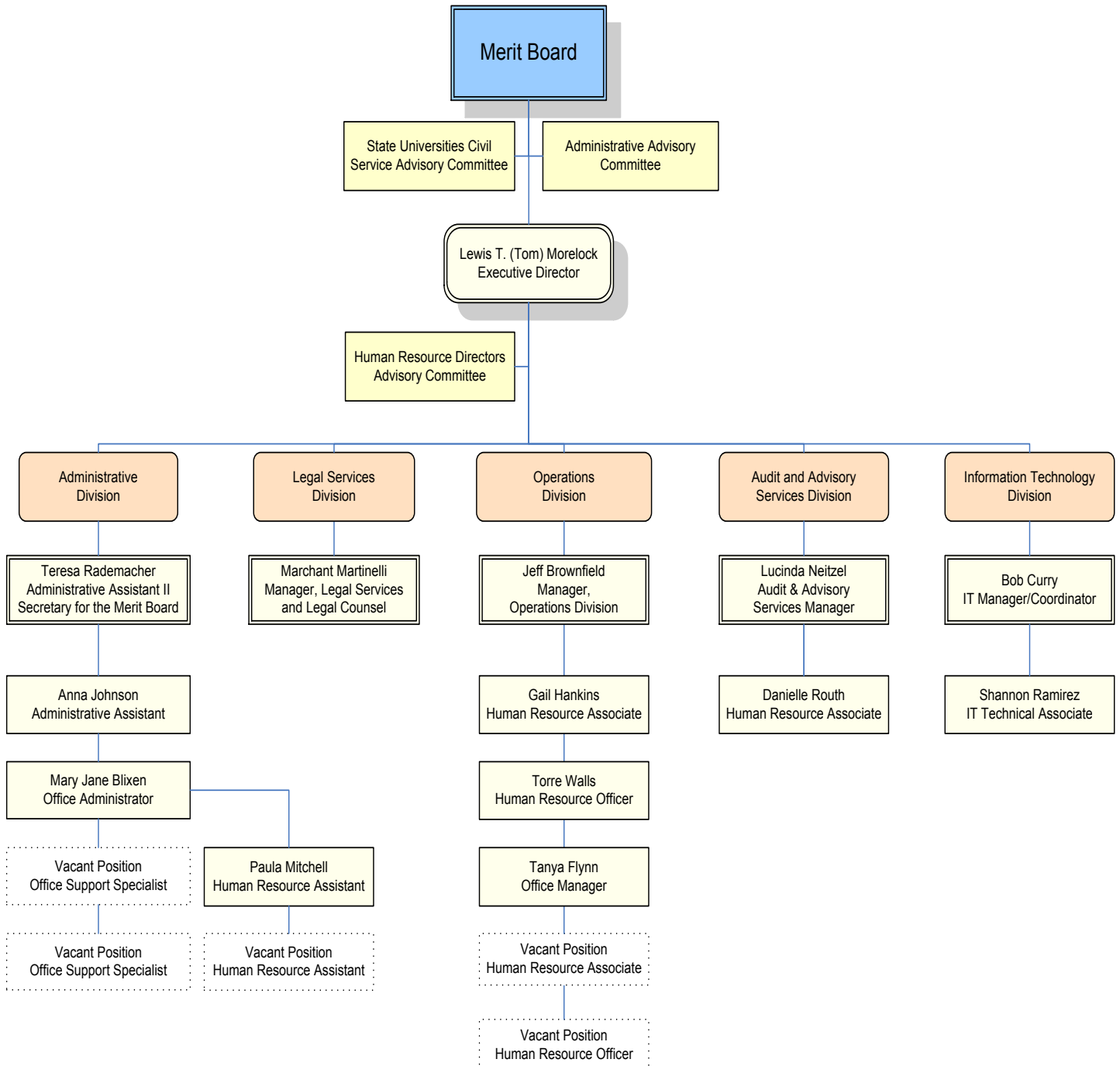
The Information Technology Division is a small unit and has the huge task of supporting all technical and communication activities, specifically related to computer services, telecommunications, network maintenance,

software and systems development, desktop support, and various equipment maintenance procedures. They work closely with the Administrative Division to periodically access and develop strategies for system upgrades and purchases. They coordinate and manage the electronic interface with our many employment locations and constituency groups through website developments and complex secure access systems. This division provides the electronic backbone to our business operations, thereby enabling our office to quickly improve the efficient and effective business processes directly related to our mission.

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 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. Divisions and staff members of the University System office can be found on page 38, as well as the University System organizational chart on the next page.



Organizational Chart





FY 2013 Agency Activities

Business Processes

The University System has continued to update and modify its business processes to better meet the operational needs of the employers served by the University System. Some of the primary business functions include:

- ♦ *provide a comprehensive legal resource for all agency operations and constituency relations;*
- ♦ *insure that the administrative rules and procedures are effectively managed through the many human resource locations throughout the University System;*
- ♦ *conduct a periodic human resource management audit program at each employment location;*
- ♦ *development and maintenance of the Classification Plan, including individual class specifications and corresponding examination instruments;*
- ♦ *management of pay rates/ranges, and corresponding compensation variables, as applied and implemented at each employment location;*
- ♦ *overall management of the human resource transactions related to civil service positions at each employment location;*
- ♦ *administrative control of employment testing environment as performed at each employment location;*
- ♦ *verify compliance with administrative authority at each employment location;*
- ♦ *continue to review the Act, the Code and policies and procedures for the University System for additions,*

revisions, and deletions;

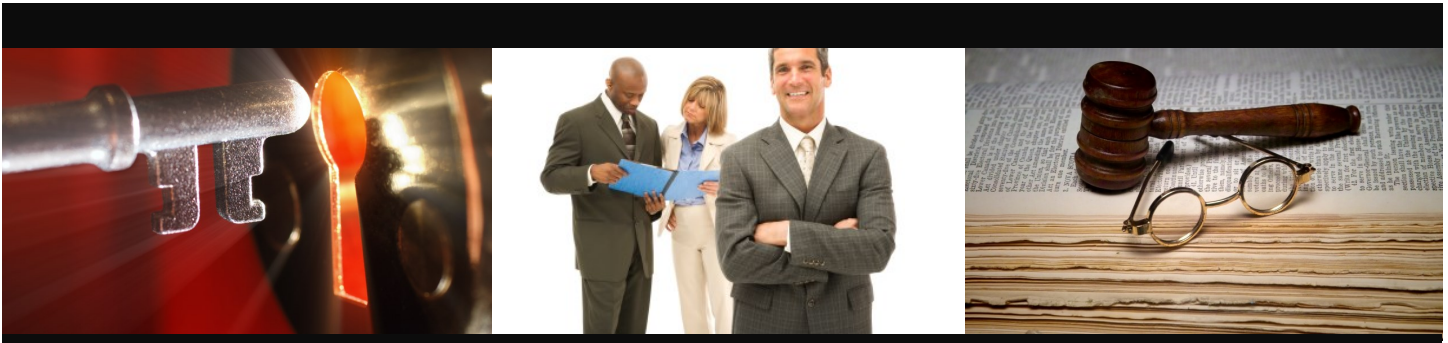
- ♦ *continue to address and monitor compliance requirements, recommend personnel program enhancements, and facilitate structural changes to improve personnel management and human resource programs currently utilized by universities/agencies;*
- ♦ *provide a review and recommendation instrument for improving the human resource programs and related administration activities pursuant to section 250.140 (c) of the Code (80 Ill. Adm. Code §250.140(c)).*

Classification Plan Management

The overall business objective as related to the administration of the classification structure and subsequent examination development is to provide a comprehensive classification plan management system, which includes job analysis studies, class specification and examination review, and associated research and statistical analysis with activities based on current employment trends and current occupational philosophies.

Class Specification and Examination Creation/Revision/Validation

Currently, the University System supports 1,074 class titles that cover 16 broad occupational areas. Each title is described in detail in a formal, written class specification. All requests to establish new classifications, as initiated by universities/agencies are analyzed. In addition, the University System staff routinely reviews and initiates revisions to classifications or classification series, particularly when it has been determined that some duplication or redundancy exists within the classification structure. We have created an emphasis on consolidating class specifications and collapsing similar classifications into one series. Existing classes that have undergone



FY 2013 Agency Activities continued . . .

changes in duties, responsibilities, or authority, as a result of gradual operational changes or technological advances, are also studied and analyzed for possible revision or expansion. This also includes review of critical occupational areas as identified by employers in conjunction with University System staff.

Class Specifications

Each class title is described in detail in a formal, written class specification. Classes which provide employees career advancement opportunities 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 of class specifications are necessary to assure that the most relevant and 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.

To assure that class specifications and examinations are job-related and accurately measure elements necessary for the performance of required duties, position descriptions are requested and reviewed, job analysis surveys are conducted with subject matter experts, meetings are held with subject matter experts, and examinations are extensively pre-tested

using current university/agency incumbents. This methodology results in class specifications and examinations that are job related, content valid, and free from bias.

C-JASI

With regard to classification plan management and pre-employment examinations, the University System office has developed a computerized job analysis survey instrument (C-JASI) to effectively and efficiently collect job information. This electronic survey instrument has been designed to facilitate the collection of information from subject matter experts (i.e. incumbents and their supervisors) on the tasks that employees perform on the job. The survey instrument also collects information on the knowledge, skills, and abilities required to perform the identified job tasks. Additionally, information is collected on the minimum acceptable qualifications (MAQs) required to undertake the job and other personal characteristics relevant in performing the duties of the position. This data collection is a fundamental element in the University System office classification plan management process and is essential in the maintenance of both class specifications and examination instruments. This electronic data collection process has significantly streamlined this business function, creating a much more efficient, effective, and timely process. Over the past year, the C-JASI system alone was used to collect information from 210 employees regarding job duties and responsibilities.





FY 2013 Agency Activities continued . . .

Pre-Testing

Following any major revision to a testing instrument, an item analysis process has been developed to further assist in the test validation process. All major revisions to examinations are pre-tested using current employees and reviewed by subject matter experts. Last year, the member institutions conducted 245 pre-tests in support of the classification and examination revision process. A second review of each examination is conducted to assure accuracy. Post examination procedures to measure test validity have been developed and include a review of completed examinations.

Examinations

Examinations and related materials are furnished to all universities and agencies served by the University System. 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. Additionally, the University System office has started to further analyze examination scores in order to determine such characteristics as item difficulty and item discrimination. This information will allow the University System office to construct parallel forms of the same test in order to increase test security. Statistical information, particularly related to ethnic and gender test components, are compiled and provided to university/agency human resource offices for their information and use.

New and Revised Classifications in FY 2013

Following is a list of classifications that have been added to the Classification Plan and active classifications that have been revised during FY 2013:

Administrative Aide
Administrative Assistant

Assistant Director Alumni Relations

Clinical Exercise Physiologist Series — *Clinical Exercise Physiologist and Clinical Exercise Physiologist Supervisor Collection Series — Collection Representative, Collection Specialist, Assistant Collection Manager, and Collection Manager*

Desktop Publisher/Coordinator

Driller Series — *Driller Laborer, Driller Assistant, and Driller*

Editorial Series — *Editorial Assistant and Editorial Writer*

Financial Aid Adviser Series — *Financial Aid Adviser, Financial Aid Adviser Coordinator, and Financial Aid Adviser Manager*

Laboratory Mechanic Series — *Assistant Laboratory Mechanic, Laboratory Mechanic, Senior Laboratory Mechanic, and Instrument Maker*

Medical Insurance Specialist Series — *Medical Insurance Representative, Medical Insurance Associate, Medical Insurance Specialist, Medical Insurance Assistant and Medical Insurance Manager*

Medical Office Series — *Medical Office Assistant, Medical Office Associate, Medical Office Specialist, and Medical Office Coordinator*

Medical Social Services Series — *Medical Social Consultant, Assistant Supervisor of Medical Social Services, and Supervisor of Medical Social Services*





FY 2013 Agency Activities continued . . .

Pipefitter Series — *Pipefitter, Pipefitter Sub-Foreman, and Pipefitter Foreman*

Student Judicial Program Series — *Student Conduct Advisor and Director of Student Conduct Programs*

Tumor Registrar Series — *Tumor Registrar I and II*

Valet Parking Attendant

Veterinary Assistant

Classifications Reviewed in FY 2013

Following is a list of classifications reviewed during FY 2013:

- ♦ Agricultural Research Technician Series — *Assistant Agricultural Research Technician, Associate Agricultural Research Technician, and Senior Agricultural Research Technician*
- ♦ Animal Imaging Technologist Series — *Animal Imaging Technologist I, II, III, IV, and V*
- ♦ Assistant Chief Plant Operating Engineer
- ♦ Boiler Room Fireman
- ♦ Central Sterile Supply Series — *Central Sterile Supply Technician and Central Sterile Supply Supervisor*
- ♦ Certified Medical Assistant
- ♦ Chief Plant Operating Engineer
- ♦ Chief Utility Plant Operating Engineer
- ♦ Cook's Series — *Cook, Cook's Helper, Head Cook, First Cook, Second Cook, Test Kitchen Cook, and Catering Supervisor*
- ♦ Curb Manager
- ♦ Dental X-ray Technician Series — *Dental X-ray Technician I, II, and III*
- ♦ Electroencephalographic Technician Series — *Electroencephalographic Technician I, II, and III*
- ♦ Food Service Worker Series — *Food Service Worker I, II, III, IV, and V*
- ♦ Grill Cook
- ♦ Intra-Operative Monitoring Series — *Intra-Operative Specialist, Advanced Intra-Operative Monitoring Specialist, and Intra-Operative Monitoring Coordinator*
- ♦ Lead Plant Operating Engineer
- ♦ Lead Plant Stationary Engineer
- ♦ Mail Messenger Series — *Mail Messenger/Mail Carrier and Mail Supervisor*
- ♦ Medical Radiographer Series — *Medical Radiographer I, II, Medical Radiographer Specialist, and Medical Radiographer Coordinator*
- ♦ Plant Operating Engineer
- ♦ Police Telecommunicator Series — *Police Telecommunicator/*Public Safety and Police Telecommunicator Supervisor*
- ♦ Power Plant Series — *Power Plant Utility Operator, Power Plant Mechanic Helper, Power Plant Auxiliary Operator, Power Plant Mechanic I and II, Power Plant Operating Engineer, and Principal Power Plant Mechanic*
- ♦ Program Adviser
- ♦ Quality Series
- ♦ Quality Data Series
- ♦ Reimbursement Coding Specialist Series — *Reimbursement Coding Specialist I, II, and III*
- ♦ Stationary Engineer
- ♦ Stationary Fireman
- ♦ Stationary Fireman Helper
- ♦ Storekeeper Series — *Storekeeper I, II, III, Assistant Stores Supervisor and Stores Supervisor*
- ♦ Study Abroad Assistant Director/*International Programs Specialist
- ♦ Utilities and Maintenance Repairman
- ♦ Utility Laborer
- ♦ Veterinary Technician
- ♦ Veterinary Technician (Anesthesiology) Series — *Veterinary Technician (Anesthesiology) I, II, and III*
- ♦ Veterinary Technician (Diagnostic Pathology) Series — *Veterinary Technician (Diagnostic Pathology) I and II*



FY 2013 Agency Activities continued . . .

- ◆ Veterinary Technician (Medicine) Series — *Veterinary Technician (Medicine) I, II, and III*
- ◆ Veterinary Technician (Pharmacy) Series — *Veterinary Technician (Pharmacy) I and II*
- ◆ Veterinary Technician (Surgery) Series — *Veterinary Technician (Surgery) I and II*
- ◆ Refrigeration Mechanic
- ◆ Refrigeration Mechanic Foreman
- ◆ Refrigeration Mechanic Sub-Foreman
- ◆ Student Judicial Programs Advisor

Class Specifications and Examinations Deleted in FY 2013

Following is a list of class specifications and examinations that were deleted from the Classification Plan during FY 2013:

- ◆ Dragline Training Specialist
- ◆ Refrigeration Mechanic Series — *Refrigeration Mechanic, Refrigeration Mechanic Sub-Foreman and Refrigeration Mechanic Foreman*
- ◆ School Children Attendant

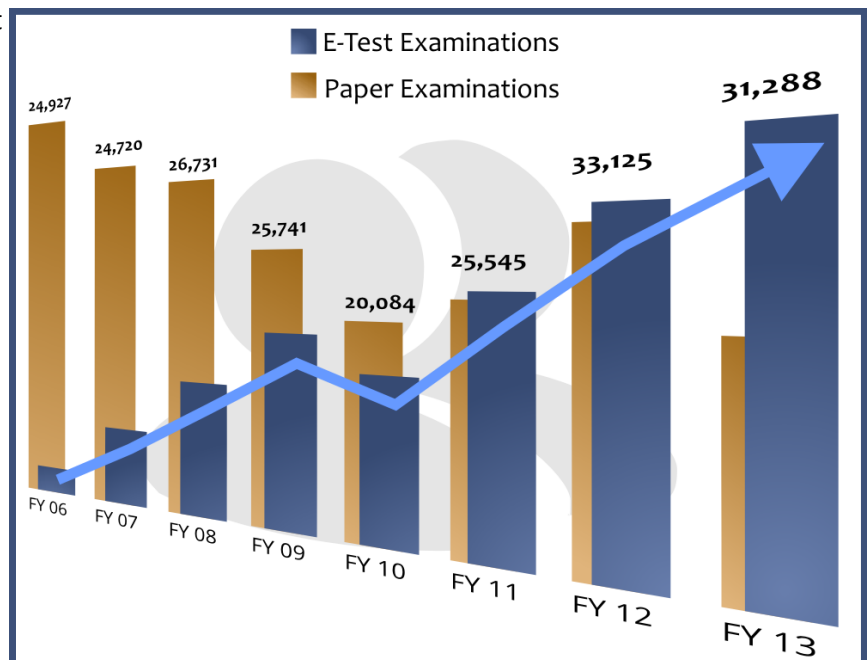
Classifications Consolidated in FY 2013

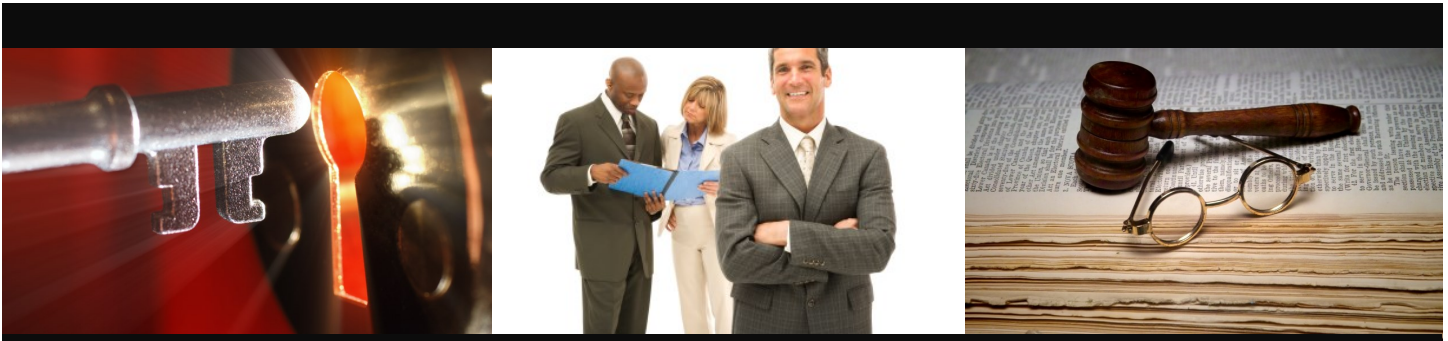
Following is a list of class specifications that were consolidated during FY 2013:

- ◆ Administrative Assistant I and II
- ◆ Ambulatory Care Aide I and II
- ◆ Ambulatory Care Assistant
- ◆ Ambulatory Care Manager
- ◆ Ambulatory Care Supervisor
- ◆ Collection Specialist I, II, III, IV, and V
- ◆ Director of Student Judicial Programs
- ◆ Financial Aid Adviser I, II, III, and IV
- ◆ Medical Case Worker
- ◆ Medical Insurance Manager
- ◆ Medical Insurance Specialist I, II, III, and IV
- ◆ Patient Support Services Coordinator
- ◆ Patient Unit Clerk I and II
- ◆ Patient Unit Manager
- ◆ Publications Production Expediter

Examinations Completed

A total of 31,288 pre-employment examinations were administered in 683 of the 1,074 approved classes. See chart below. In comparison to the previous six years, there were significantly more examinations administered in FY 2012 and FY 2013 than ever before. A total of 11,239 paper tests were given in FY 2013 with an 88.9% passing rate. The average score for all applicants was 84.6% (a score of 70 is typically required to pass a civil service examination). The lack of activity in such a large number of civil service examinations provides additional encouragement and incentive to continue to evaluate the classification plan for redundancies and to possibly eliminate, collapse, and/or consolidate classifications.





FY 2013 Agency Activities continued . . .

A total of 20,049 electronic tests (E-Tests) were given in FY 2013 with an 85.2% passing rate. The average score for all applicants was 81.8%. Please note that the Credentials Assessment examinations, in most instances, provide a passing score if the applicant simply qualifies for the position. In addition, 5,559 electronic typing examinations were administered.

Pay Administration

In accordance with section 36d(3) of the Act (110 ILCS 70/36d(3)), each employer under the jurisdiction of the University System must establish rates and ranges of compensation for each classification in use at their respective university/agency. The University System office allows significant latitude in the establishment of salary rates/ranges, requiring minimum validation of the requested rate or range. Each university/agency is obligated to conduct salary surveys or provide other rational/validation for salary rates/ranges not covered by union contracts. Illinois Department of Labor prevailing wage certifications and bargaining agreements for the local area provide the authentication necessary for the establishment of salary rates/ranges for the various craft and trade occupations.

Salary Range System

This year the Statewide Salary Data System was rewritten/reprogramed by the University System IT staff. This revision enhanced the program that had previously been hosted at Northern Illinois University. The new Salary Data System provides enhanced reporting features and is now hosted by the University System office. The Salary Data System



allows universities and agencies to electronically submit changes, revisions, or deletions to the salary rates/ranges via a secure website access point. The University System staff completes the authorization process, which notifies each university/agency of the change and immediately updates a standardized statewide Salary Range Report. The Salary Range Report (which encompasses all salary ranges) is updated monthly while there are now real time updates for each individual classification specific pay range as reported on our public website. The monthly reports as well as the real time updates provide valuable information to the visitors at our website. 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 rate, highest salary rate, average salary rate, average time in class, total number of employees in class, and relative work week. This feature is a valuable tool used by many universities/agencies for planning and compensation management. This system is constantly being reviewed for update and expansion.

Pay Rate/Ranges

The unit evaluates all requested pay rate and range requests annually, including those determined through various collective bargaining processes. The University System staff reviewed a total of 3,375 rate/range requests during FY 2013. Of this total, 3,207 requests were approved, 97 requests were denied, and 71 ranges were deleted. Based on the Spring Salary Survey 'snapshot' of employee data, the University System included, 7,908 (40%) Open Range employees, 11,102 (56.1%) Negotiated Rate employees, 701 (3.5%) Prevailing Rate employees and 78 (less than 1/2%) Established Rate employees.



FY 2013 Agency Activities continued . . .

Intern Programs

The administrative rules afford the creation of two types of in-service/on-the-job training programs which require approval by the Executive Director. These programs include: Apprentice and Intern Appointments. Apprentice Appointments are utilized for training employees in the established crafts and trades occupations such as Carpenter, Electrician, etc. Intern Appointments are aimed at allowing applicants, who may lack the qualifications or job skills required for employment in a specific classification, an opportunity to work and, at the same time, obtain additional education and/or work experience. Intern Appointments have been designed, and can be used, as a diversity initiative tool to provide non-competitive appointments for various positions to meet specific diversity objectives. During FY 2013, 56 new Intern Programs were approved.

Principal Administrative Appointments

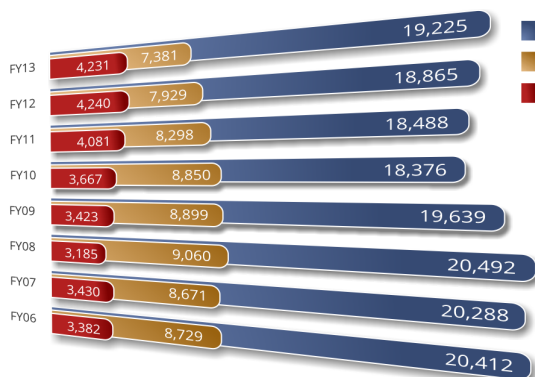
The Merit Board, through delegation to the Executive Director, has statutory authority to designate Principal Administrative Appointment (PAA) positions which are to

be exempted from the Act and the Code. Over the past several years, employers were given more flexibility in designating and exempting these positions within detailed guidelines.

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 through some procedural changes. Since the inception of this program, the University System office has witnessed a significant increase in PAA employees/positions, particularly in some selected titles. Just recently, this trend has shifted and, due to some significant audit reviews, these numbers have been decreasing slightly.

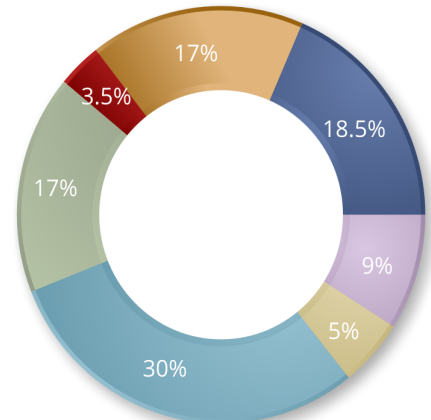
The chart below illustrates the University System PAAs and the general categorical designation of these exempt positions.

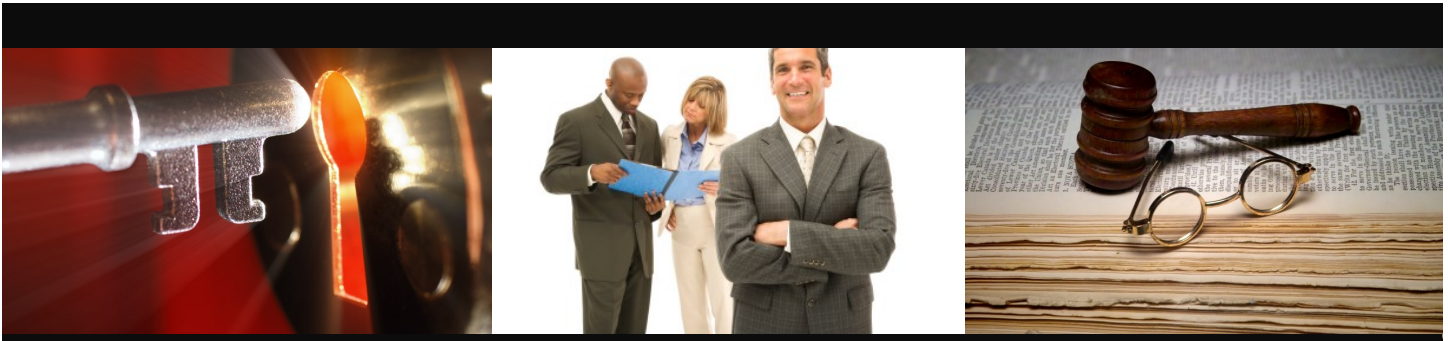
University System Appointments (FY13 Principal Administrative Appointment Breakdown)



■ Civil Service Status Appointments
 ■ Administrative Appointments
 ■ Academic/Research Appointments

Associate & Assistant Director
 Director
 Assistant to
 Coordinator
 Specialist
 Individually Exempted Titles
 Other Standard Titles





FY 2013 Agency Activities continued . . .

Supported Employee Program

The University System is mandated by section 36s of the Act (110 ILCS 70/36s) to establish and execute a Supported Employment Program. This program is designed to encourage the employment of individuals who are severely disabled and in need of supported employment, as certified by the Illinois Department of Human Services (IDHS). These applicants work in a trial capacity before being appointed into a permanent position and are not required to participate in the open competitive testing process. Once a position has been designated for supported employment, employers work with IDHS counselors to develop an appropriate training program to assist the supported employee in becoming proficient at the targeted position.

Upon successful completion of the supported employee program, the supported employee is appointed to a status position in the classification and serves a probationary period. As of the end of FY 2013, a total of 61 supported employees have been appointed, 29 of which were still actively employed.

Extra Help Extensions

Extra Help Appointments are typically limited in nature to a 900 work hour timeframe over a 12 calendar month period. Based on joint input and collaboration from human resource staff and employee representatives, an Extra Help Extension was added to the procedures manual. For narrowly defined circumstances, employers can request that an employee be allowed to remain in an Extra Help position past the standard 900 work hour limitation. Justification for an Extra Help Extension may include:

- *Continuing disability leave, pregnancy leave, military leave, or other approved leave of absence where the employer expects the return of the employee holding*

the original appointment. The extension may not exceed the period of the approved leave.

- *Intermittent need of highly skilled technical or professional positions/employees that have been trained by the employer. Consideration will be given to recruitment difficulty based on verifiable job market demand components. Examples of positions that may fall within this guideline are medical personnel, information technology staff, and law enforcement personnel.*
- *A project that requires completion within a short timeframe, such as one year or less, and there is no additional funding available.*

A total of 82 Extra Help Extension requests were approved, most of which involved highly technical medical positions. Many of these were for short durations to allow completion of designated projects or to complete the hiring process for a specified vacant status position.

Classification Audit Appeals

Employees who believe that their positions have been misclassified by the local university/agency human resource office are allowed to appeal the classification designation and request a review by the Executive Director. The appeal process includes a comprehensive evaluation of all supporting documentation submitted by all parties, conducting on-site desk audits as necessary, and ultimately proposing an appropriate classification designation for the position. During FY 2013, five position classification appeals were reviewed and analyzed. Several other requests for position classification assistance by various universities/agencies served were also addressed by the University System staff.



FY 2013 Agency Activities continued . . .

Examination Question Challenges, Rechecks, and Scoring Breakdowns

When an applicant believes there is an incorrect question/answer on an examination, a question challenge form is completed at the testing site and 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 and the employer.

Applicants are also provided a scoring 'breakdown' on examinations. An applicant may request a 'recheck' or 'breakdown' of examination score to assure that it was properly graded at the local human resource office and to obtain information on the categories of questions (breakdown) that were answered incorrectly. A total of 46 question challenges and 90 rechecks/breakdowns were completed in FY 2013.

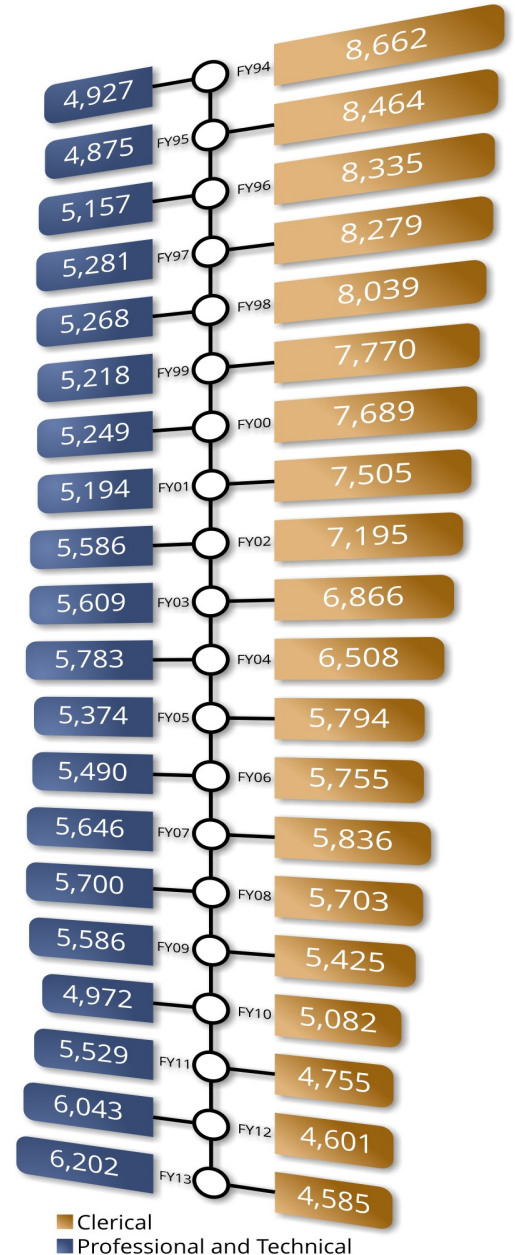
Specialty Factors

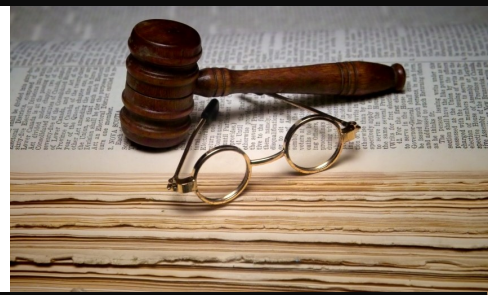
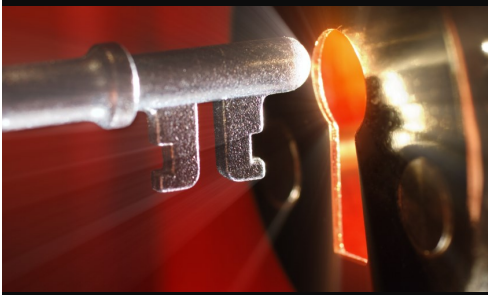
A university/agency may request that a Specialty Factor be 'attached' to a specific position. In these instances, the employer has determined that a specific and measurable skill or ability, above the standard requirements, is necessary for the successful fulfillment of the responsibilities associated with the position. 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. In the most recent fiscal year, a series of these requests were approved that allowed for special education/experience, and/or licensure and certification to medical related positions at the University of Illinois—Hospital and Clinics. These positions requiring the Specialty Factor had been designated through the audit process to meet civil service criteria. During FY 2013, the unit reviewed and approved 72 Specialty Factor requests.

Employment Population Trends

Several employment data elements within the Illinois public higher education community, including employment population types, are monitored by the University System office. Major employment categories include Civil Service Status Appointments, Civil Service Nonstatus Appointments, Principal Administrative Appointments, Student Appointments, and Academic/Research Appointments. Civil

Comparison of Clerical and Technical Classifications Over Time





FY 2013 Agency Activities continued . . .

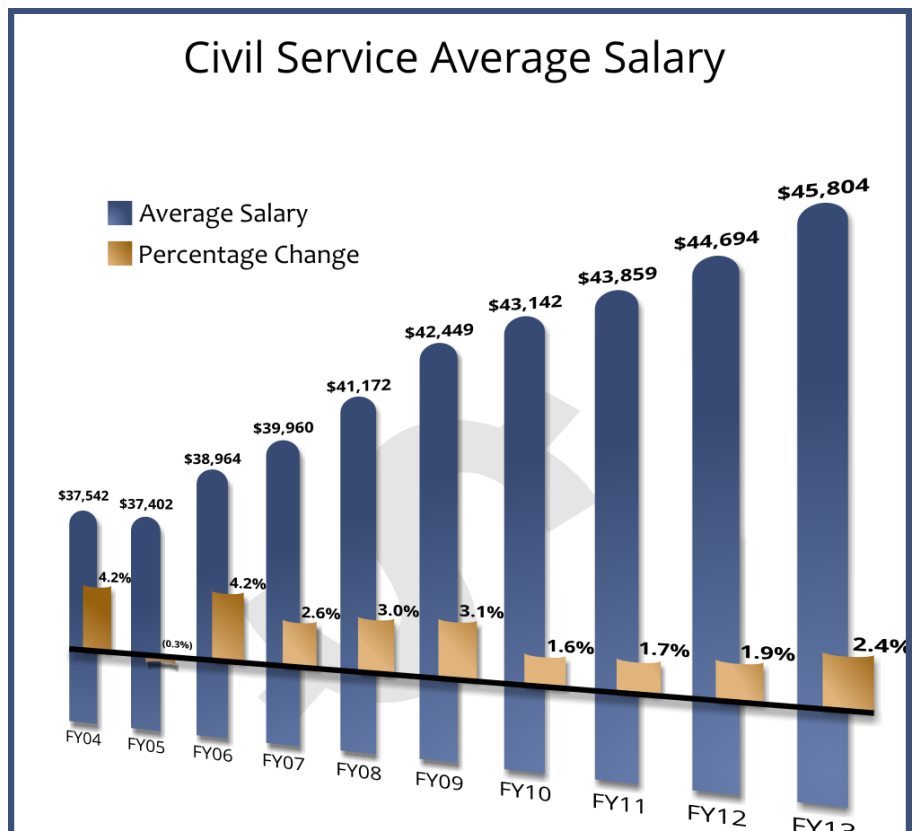
Service Status Appointments are typically traditional full-time employment positions. Civil Service Nonstatus Appointments include Temporary, Provisional, Student, and Extra Help Appointments, as well as Intern and Apprentice Appointments. Principal Administrative Appointments include administrative positions that are exempt from civil service system jurisdiction. Academic/Research Appointments are teaching and research faculty positions, which are also exempt from civil service system jurisdiction.

A total of 19,225 employees were in status civil service positions at universities/agencies as of June 30, 2013. A historical review of civil service employment trends reveal that over the last several years there has been an overall decrease in civil service status employment. Of particular concern is the fact that principal administrative appointments, positions exempt from civil service jurisdiction, have generally increased over the same timeframes, though the past couple of years have seen a slight decrease. Academic/Research Appointments have somewhat increased during this same timeframe though the past couple of years have seen a slight decrease. *See Chart on page 24.*

While the numbers of employees in professional/technical classifications, especially those related to Information Technology classifications, have increased, clerical occupations, representing the largest group of employees, have seen the sharpest decline in positions and employment. The chart on page 26 illustrates this comparison and trend.

Civil Service Salaries

Civil service salary data is collected annually from public universities and higher education agencies. This data is sorted by classification with average salaries calculated for each classification. The average salary for civil service staff at Illinois higher education institutions and agencies across all classifications rose by approximately 2.5% between fiscal years 2012 and 2013 to a statewide yearly average of approximately \$45,804. Likewise, the average civil service salary increased by 22% over the last ten years. Please note that the civil service salary average is not adjusted by the mix of positions and instead is presented as an actual average annual salary. *The chart below illustrates this trend.*





FY 2013 Agency Activities continued . . .

Police Promotional Testing

The University System office schedules and convenes the Police Officer promotional examinations, i.e., Elongated Oral Boards (EOBs). 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 applicants 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. In FY 2013, the University System office trained four new assessors 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 backgrounds. During FY 2013, the University System office conducted seven EOBs that comprised of seven work days and tested 38 applicants.

Occupational/Ethnicity/Gender Data

Over the past five years, the ethnic distribution of civil service status employees throughout the University System has remained fairly constant. Naturally, these

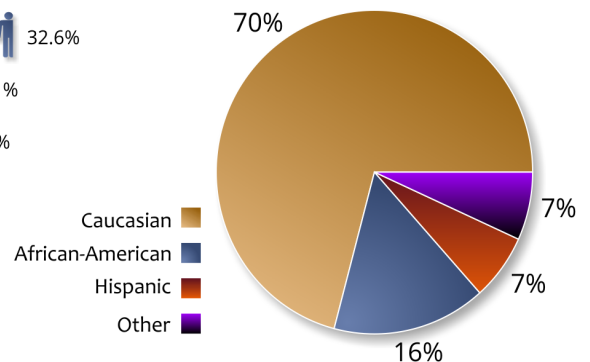
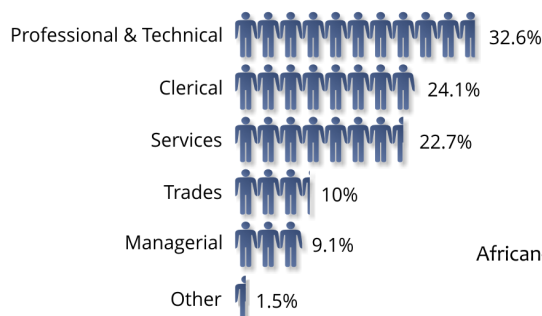
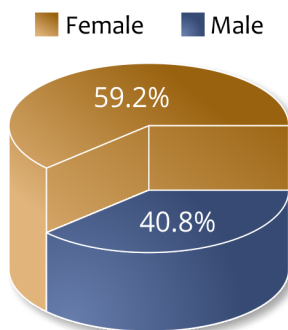
numbers may vary tremendously between universities/agencies based on their geographic location. The chart below represents the statewide picture as of June 30, 2013.

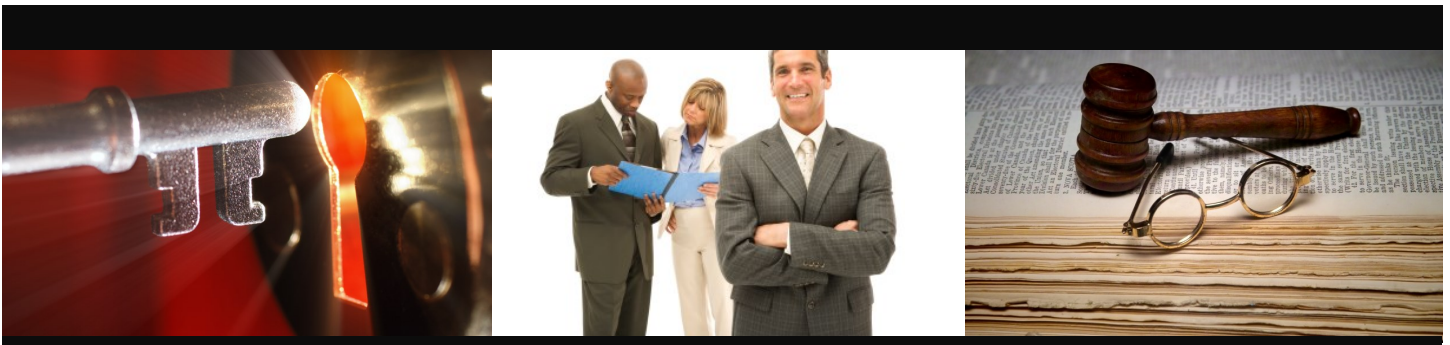
As a matter of information, the University System office provides programs to employing universities/agencies to assist in the recruitment, training, and retention of minority candidates into various civil positions. These programs are utilized to support the various diversity programs designed by each university/agency. Intern and Supported Employment Programs allow for on-the-job training and result in the non-competitive placement of successful candidates to civil service status positions. The University System office continues to develop additional programs to further facilitate the recruitment and retention of minority applicants to civil service positions throughout the University System. The University System office has most recently expanded the use of Intern Appointments in professional/technical positions to facilitate diversity objectives in this respect.

Courtesy Scoring of Examinations

During FY 2013, University System staff scored 23

Gender/Occupational/Ethnicity Breakdown





FY 2013 Agency Activities continued . . .

examinations for various universities/agencies and reviewed/approved 32 compensatory qualifications waivers.

Diversity Programs

The University System office has programs that assist in the recruitment and placement of candidates from diverse backgrounds. The Intern Program as described on page 23 assists each employer with additional opportunities to recruit diverse applicants. Many other operational adjustments have been implemented to create more flexible employment protocols, minimize pre-employment variables, and increase overall the final applicant referral pools for status positions. All of these initiatives serve to facilitate specific university/agency diversity objectives.

Audit Program

The primary purpose of the Audit Program is to determine and establish compliance with the State Universities Civil Service Act (Act) (110 ILCS 70/36b *et seq.* and the Code (80 Ill. Adm. Code §250) and the Merit Board Procedure Manuals.

The Audit Program not only reviews compliance by universities/agencies, but also functions in a consultative capacity focusing on building trust and credibility in our professional interactions based on a common operational understanding. This is realized through an extensive review of the employer's operational needs and objectives as they relate to the requirements under the Act, the Code, and procedures of the University System office. The audit process is consultative in nature and attempts to achieve consensus on all issues and recommendations. At this time, the audit schedule and time frames still function on a two-year cycle in its review of University System employers.

A human resource operational audit involves an on-site comprehensive review of internal practices, incorporating direct observations, document review, and discussions with staff regarding a broad range of human resource related practices.

Audit Activities

The audit activities are summarized as follows:

- *Human resource staff provides information and documentation requested for analysis and review of its programs.*
- *Audit and Advisory Services staff determines initial 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 resource 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 reviews occur, 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*



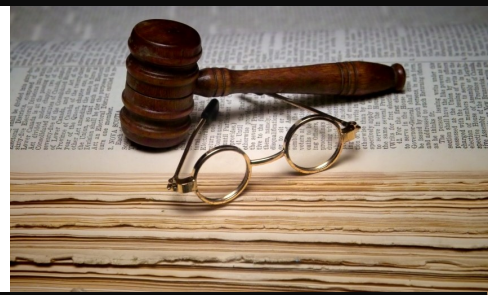
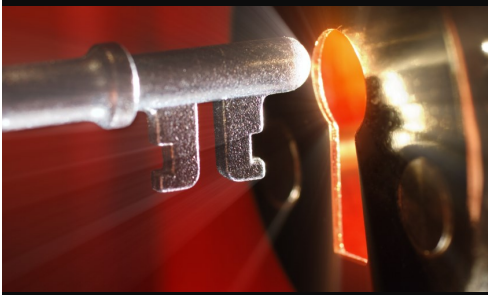
FY 2013 Agency Activities continued . . .

the evaluation of the maintenance and administration of the University System rules and procedures.

- *Evaluations, observations, and analysis of general human resource procedures are made by the Audit and Advisory Services staff as may be required for program modification.*

The following categories more clearly define these activities:

- Assignment of Positions to Classes — *This includes an analysis of selected job descriptions for timely updates, proper administration, and correct assignment of position classifications. Additional desk audits of selected positions are conducted on-site for appropriateness of position classifications. There is also an evaluation of the employer's desk audit process and corresponding determinations.*
 - Compensation Programs — *An analysis of the employer's use of pay rates and pay ranges, as approved by the University System is conducted. An overall evaluation is then conducted of the employer's compensation program and initiatives to meet requirements of pay equity within the employer's market area.*
 - Examination Program — *The Auditor conducts a review of pre-employment testing operations. This includes test administration, admission procedures of applicants to examinations, license and certification verifications, scheduling, security, and register management.*
 - Administration of Employment and Separation Procedures — *This involves a review of the employer's business processes and procedures related to the*
- employment cycle, including pre-employment activities, probationary and status employment, and employment separation programs. There is also an assessment of the employer's utilization and monitoring of non-status appointments.*
- Administration and Employment Protocols of Positions Exempt from Civil Service Guidelines — *The Auditor completes a review of the employer's employment protocols and assigned responsibilities for Principal Administrative Appointments. This review is conducted to assure compliance with recognized exemption authorization procedures. The employer's exemption forms and related position descriptions are reviewed and selected incumbent interviews are conducted for validation of approved exemptions. The audit process also includes a review of the employer's administrative procedures related to these appointments and the approved exemption status.*
 - General Review of the Human Resource Program — *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 interaction of human resource programs within the employer's faculty, administrative and support staff employee groups. The impact of new technology on the recordkeeping and processing of information is also an element for review in this area.*
 - Other Follow-up Items from Previous Audits — *Other follow-up items from previous audits as well as other matters deemed necessary and appropriate may also be reviewed and submitted as additional audit subjects.*

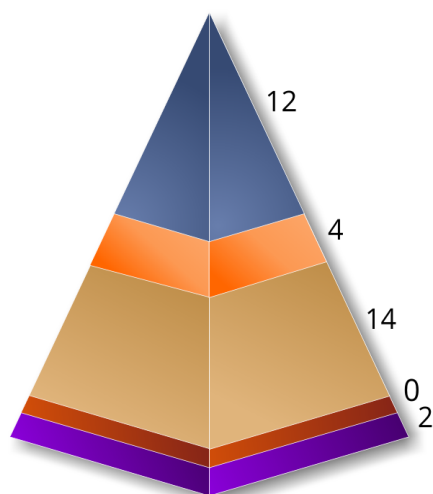


FY 2013 Agency Activities continued . . .

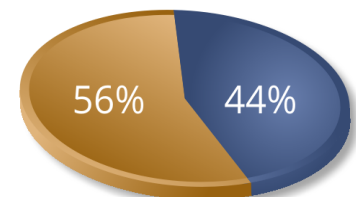
During the FY 2013 audit cycle, the audit team has continued the practice of maintaining positive employer relationships throughout the audit process. The unit focuses on meeting the needs of the organization, administrators and employees alike; identifying problems and proposing solutions; and providing assistance and guidance in reaching resolution.

Following are some general topics addressed with various employers through the FY 2013 audit activities.

- *Management and maintenance of pay ranges.*
- *Classification of positions.*
- *Reviewing and verifying the employment relationships with independent contractors.*
- *Completion of classification audit requests within the processing time frame standard.*
- *Proper maintenance of authorization and position reviews for Principal Administrative Appointments.*
- *Maintenance of review standards for position descriptions.*
- *Documentation and communication of Contract Appointments.*
- *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.*
- *Assignment of position control numbers.*
- *Utilization of Custom Classes.*
- *Review of Extra Help appointments/monitoring practices.*



- Principal Administrative Appointments Procedures
- Classification Procedures
- Employment & Separations Procedures
- Examination Procedures
- Pay Administration Procedures



- Non-Material Findings
- Material Findings

Total Findings: 32
FY2013 Pending Findings: UIUC



FY 2013 Agency Activities continued . . .

- *Supported Employee Program practices.*

Audits Conducted during FY 2013 by the University System office

The following audits were conducted during FY 2013:

- *Governors State University (GSU)*
- *Illinois Student Assistance Commission (ISAC)*
- *Illinois State University (ISU)*
- *Southern Illinois University School of Medicine (SIUSOM)*
- *State Universities Retirement System (SURS)*
- *University of Illinois College of Medicine Rockford (UICOMR)*
- *Northern Illinois University (NIU)*
- *Chicago State University (CSU)*
- *Eastern Illinois University (EIU)*
- *State Universities Civil Service System (SUCSS)*
- *University of Illinois at Urbana-Champaign (UIUC)*

The Auditor General's Compliance Audit

The routine biennial compliance audit for FY 2012 and FY 2013 was conducted during April through October 2013 by the State Auditor General's office. Upon release of the final report, it can be found at www.auditor.illinois.gov. Records reviewed included the Act, Code, agency's financial records, contracts, payrolls, time records, university policies, minutes, and a number of other items

to verify proper compliance with the Auditor General's guidelines.

Vouchers

FY 2013 ended on June 30, 2013 with 232 invoices processed to various vendors, some of which included payments to State contracts. The lapse period ended on August 23, 2013 with an additional 39 vouchers processed during the lapse period that included the processing of late payment interest penalties to vendors who were not paid within the required 90 day timeframe.

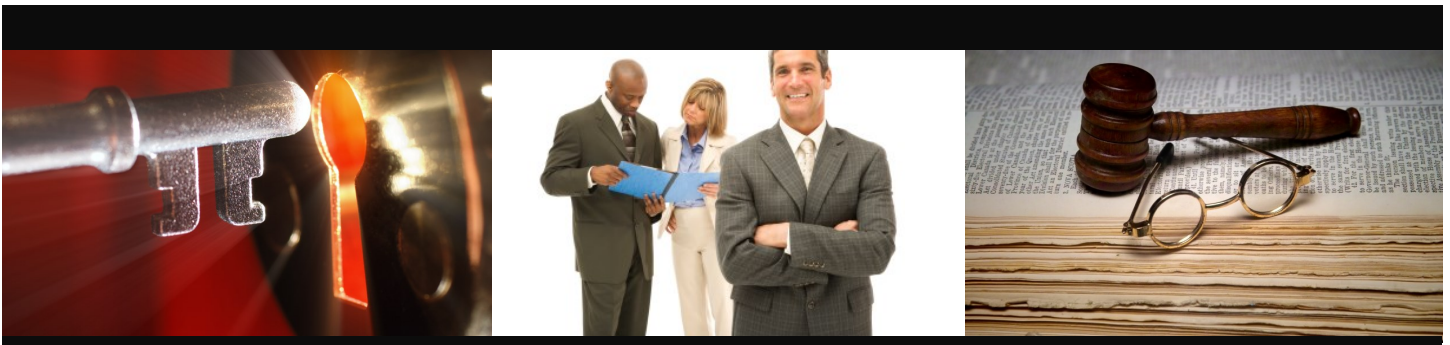
Other Reports

Each month the agency reconciles monthly reports from the Department of Central Management Services and the Comptroller's office to the agency's financial records. Reports include: Agency Contact Report; Appropriation Transfer Report; Detail Object Expenditure by Quarter; Monthly Appropriation Ledger; Monthly Revenue Status; and Obligation Activity Report.

As required, the agency filed the TA-2 form required by the Legislative Audit Commission for July 2012 and January 2013. The Agency Workforce Report was filed for FY 2013 in accordance with 5 ILCS 410 of the State Employment Records Act and a copy of the report was also mailed to the Office of the Governor.

The Fiscal Control and Internal Auditing Act annual internal control checklist was completed and a letter was sent to the Auditor General's office on April 26, 2013.

The University System office is required to conduct an annual physical inventory of all property with a certification date of January 31 as required by the Department of Central Management Services. Also, the agency completed the required quarterly "Agency Report of State Property" to the Department of Central Management Services. As of June 30, 2013 the University



FY 2013 Agency Activities continued . . .

System office's state property value was approximately \$253,000.

Legal Services

Legal Counsel provided legal assistance to the University System office and to the Merit Board, researched and analyzed legal issues, reported to the Executive Director and the Merit Board on cases pending in the court system, drafted correspondence, and drafted Merit Board Orders.

In addition, Legal Counsel provided assistance with monitoring the progress of legislative bills and evaluated the impact of pending legislation.

Furthermore, Legal Counsel is responsible for drafting proposed regulations, legislation and amendments in accordance with the policy objectives established by the Merit Board, universities/agencies advisory committees, employee groups, and individual civil service employees.

Adopted Rule Changes

Coordinated and developed the civil service rules as codified in Title 2, Part 5350 and Title 80, Part 250 to ensure compliance with the rulemaking process. Over the next fiscal year, the University System will continue to assist in the continuing review of the Administrative Rules and the implementation of any resulting proposed rule changes and corresponding procedural changes. Rule changes developed in FY 2013 follow:

- ♦ Section 250.50, Examinations, of the Code (80 Ill. Adm. Code §250.50), Effective December 26, 2012 — Section 250.50(h) of the Code was amended to bring the retention timeframe of the examination materials in compliance with the local employers' and the State Universities Civil Service System approved Records Retention Policies, which were created pursuant to

the State Records Act. Also, Sections 250.50(b)-(g) were amended for minor, technical changes.

Discharge and Demotion

Legal Counsel is responsible for managing the discharge/demotion process, including the pre-hearing, hearing, and post-hearing phases, to ensure compliance with the Code and applicable procedures and guidelines. In FY 2013, 59 Written Charges for Discharge forms were filed with the University System office. Seventeen hearings were requested by employees involved in these matters. Of the 17 hearing requests by employees, three employees withdrew their request before the hearing was held; two universities withdrew the Written Charges; four settlement agreements were approved before/during the hearing process; two employees resigned before/after the hearing process; three employees were discharged by the Merit Board; one employee was reinstated by the Merit Board; one employee was reinstated with a 60-day suspension by the Merit Board; and the Merit Board approved the a motion to withdraw the charges for one employee.

Ethics

Ethics in business
moral principles
rules and regulation
of right conduct rec
values that guide t

Ethics Officer

The Legal Counsel, Mari Martinelli, serves as the Ethics Officer for the University System office, acting as liaison with the Office of the Executive Inspector General as required by the State Officials and Employees Ethics Act. The Ethics Officer prepares ethics guidance for the University System staff and investigates complaints in compliance with the Procedures for Investigating and Reporting Misconduct and Incidents at State Facilities as



FY 2013 Agency Activities continued . . .

adopted from Administrative Order Number 6 (2003) issued by Governor Rod Blagojevich on December 11, 2003. In addition, the Ethics Officer reviews ethics disclosure forms submitted annually by the University System staff.

Ethics training was held on-line for all staff members during the May 14 through June 12, 2013 training time period. Merit Board members were provided the Ethics Training for Appointees to State of Illinois Board members on April 11, 2013, as well as new board members and new employees completed the required training within the 30 day time period. All employees and Merit Board members have completed the training for calendar year 2013.

Freedom of Information Officer

Legal Counsel serves as the person responsible for reviewing and responding to requests for information under the Freedom of Information Act. During FY 2013, the University System office had seven requests for information under the Freedom of Information Act.

Equal Employment Opportunity Officer

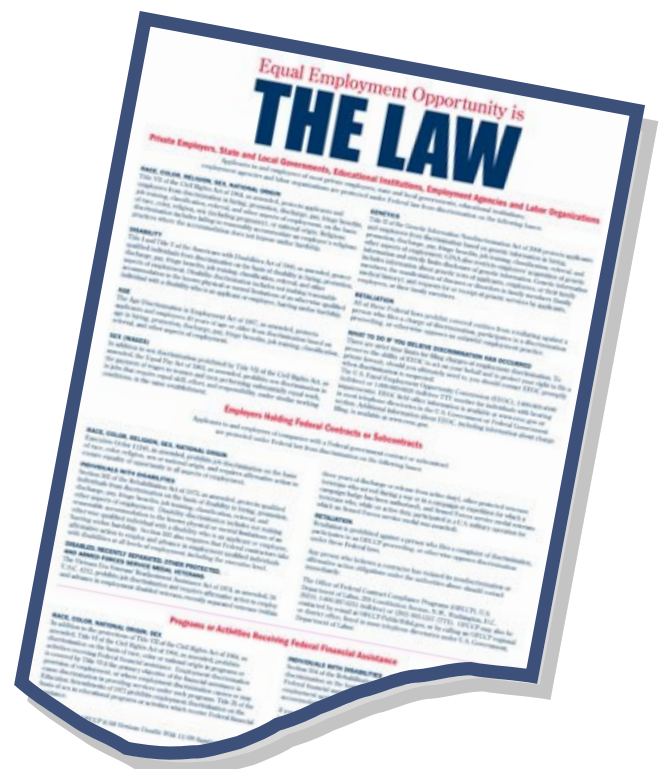
Legal Counsel serves as the University System's Equal Employment Opportunity Officer. This involves the researching and analyzing of current Civil Rights Laws and court opinions and drafting guidance and conducting training in compliance with these laws and opinions. This person also is responsible for investigating University System staff employment complaints in compliance with developed procedures and recommending remedial action.

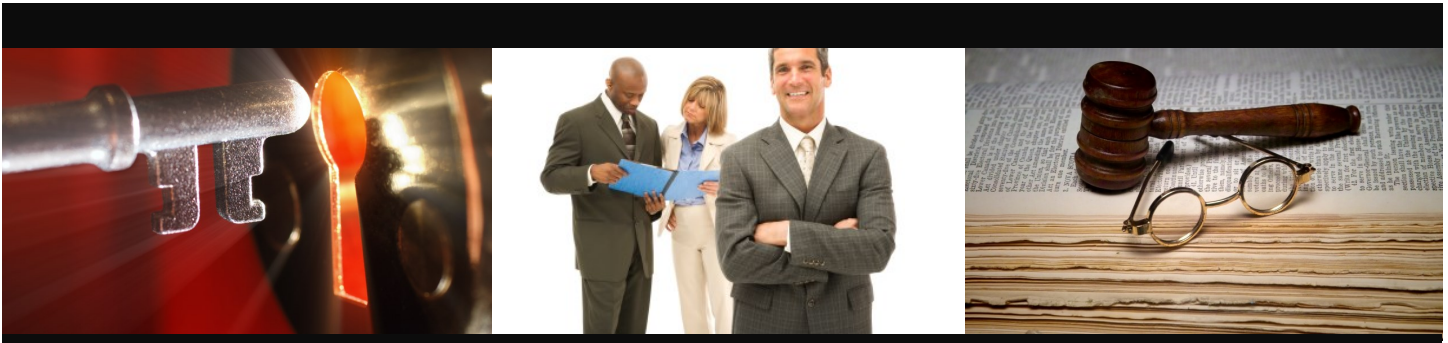
Parliamentarian

Legal Counsel is responsible for providing guidance and counsel to the Merit Board and various advisory committees regarding the conduct of meetings and

actions associated with agenda items, meeting process, proper communications and activities with respect to the Open Meetings Act, communication and distribution.

In addition, Legal Counsel provides assistance with monitoring the progress of legislative bills and evaluates the impact of pending legislation. Furthermore, Legal Counsel is responsible for drafting proposed regulations, legislation and amendments in accordance with the policy objectives established by the Merit Board, universities/agencies advisory committees, employee groups, and individual civil service employees.





Advisory Committee: *State Universities Civil Service Advisory Committee*

The **State Universities Civil Service Advisory Committee** is mandated by section 36c of the Act (110 ILCS 70/36c). The Committee is chaired by Julie Benedict, Eastern Illinois University, and meets 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.”

During FY 2013 the committee met four times — July 19 and 20, 2012 at Illinois State University; October 24 and 25, 2012 at Northeastern Illinois University; January 10 and 11, 2013 at the University of Illinois at Urbana-Champaign; and April 18 and 19, 2012 at Southern Illinois University Carbondale.

Membership as of October 1, 2013 includes:

University of Illinois

Chicago Campus — *Michael Dilacova, Darlene Kendall, and Mark Murphy*

Division of Specialized Care for Children — *Kim E. Kirchner*

Springfield Campus — *Denise Rothenbach*

Urbana-Champaign Campus — *Michael Aper, Gary Fry, Dena Gary, and Glenn Warfield*

Southern Illinois University

Carbondale Campus — *Anthony Travelstead*

Edwardsville Campus — *Michael Pulley*

School of Medicine at Springfield — *Cristina Milliken*

Other Universities and Agencies

Chicago State University — *LaTania C. Milner*

Eastern Illinois University — *Julie Benedict, Chair*

Governors State University — *Vacant*

Illinois State University — *Richard Marr*

Northeastern Illinois University — *Paul Kruszynski*

Northern Illinois University — *Andy Small*

State Universities Retirement System — *Larry Curtis*

Western Illinois University — *Peter Skrypkun*



Advisory Committee: *Administrative Advisory Committee*

The **Administrative Advisory Committee**, created by the Merit Board and chaired by the Merit Board Vice Chair, James Montgomery, 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. The committee met on November 7, 2012 at the University System office.

James D. Montgomery, *Committee Chair*
Merit Board Vice Chair

Karen Hunter Anderson
Executive Director
Illinois Community College Board

Steve Cunningham
Vice President for Human Resources and Compliance
Northern Illinois University

Julie DeWees
Interim Vice President for Administrative Services,
Western Illinois University

Gebe Ejigu
Executive Vice President/Administration and Planning
Governors State University

Walter Knorr
Vice President/Chief Financial Officer
University of Illinois

Dan Layzell
Vice President for Finance and Planning
Illinois State University

Alan Phillips
Deputy Director,
Illinois Board of Higher Education

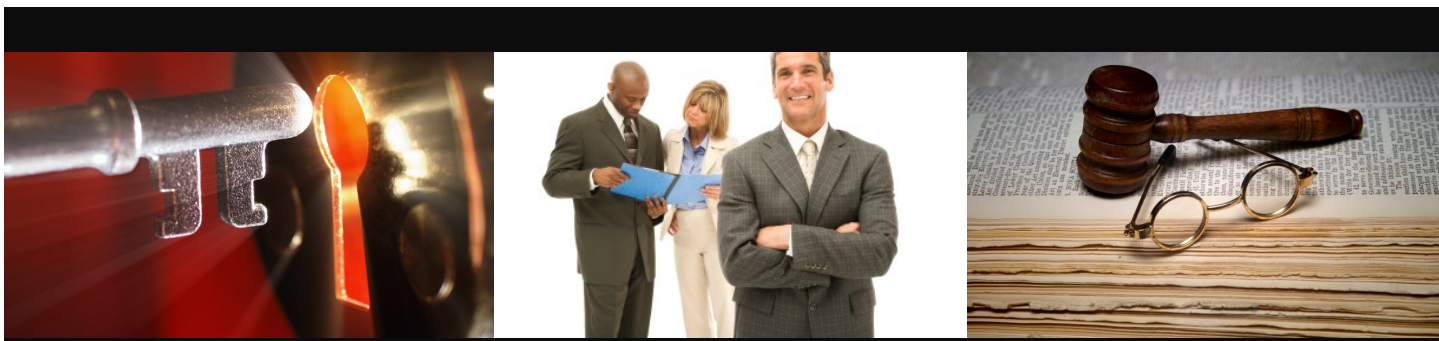
Larry Pinkelton
Interim Vice President for Administration and Finance
Chicago State University

Duane Stucky
Senior Vice President for Financial and
Administrative Services and Board Treasurer,
Southern Illinois University

William Weber
Vice President for Business Affairs,
Eastern Illinois University

Mark Wilcockson
Vice President for Finance and Administration,
Northeastern Illinois University

Eric Zarnikow
Executive Director
Illinois Student Assistance Commission



Advisory Committee: *Human Resource Directors Advisory Committee*

The **Human Resource Directors Advisory Committee** is composed of the human resource director, designated employer representative, or other human resource professional from each university/agency. This committee plays a very significant role in our overall general review and updating of University System Administrative 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. The committee met on July 27, 2012, November 2, 2012, and January 18, 2013. Following is a list of active participants on this committee:

Renee D. Mitchell

Chicago State University

Richard Enyard

Eastern Illinois University

Gail M. Bradshaw,

Governors State University

Tammy Carlson

Illinois State University

Marta E. Maso

Northeastern Illinois University

Steve Cunningham

Northern Illinois University

Jennifer Watson

Southern Illinois University Carbondale

Laura Alexander

University of Illinois at Springfield

Pamela Bowman

Western Illinois University

Penny McCarty

Southern Illinois University School of Medicine

Sherrie Senkfor

Southern Illinois University Edwardsville

Maureen Parks

University of Illinois General Administration

Robert A. Crouch

University of Illinois at Chicago

Elyne Cole

University of Illinois at Urbana-Champaign

Wes Weisenburn

Division of Specialized Care for Children

Vacant

U of I College of Medicine at Peoria

Jack Croffoot

U of I College of Medicine at Rockford

Karen Helland

Illinois Board of Higher Education

Ellen Andres

Illinois Community College Board

Vicki Baba

Illinois Student Assistance Commission

Brenda Dunn

State Universities Retirement System



University System Employees

Lewis T. (Tom) Morelock
Executive Director

Administrative Division

Teresa Rademacher, Administrative Assistant and Secretary for the Merit Board
Anna Johnson, Administrative Assistant
Mary Jane Blixen, Office Administrator
Paula Mitchell, Human Resource Assistant

Audit and Advisory Services Division

Lucinda Neitzel, Audit and Advisory Services Manager
Danielle Routh, Human Resource Associate

Information Technology Division

Bob Curry, IT Manager and Coordinator
Shannon Ramirez, Information Technology Technical Associate

Legal Services Division

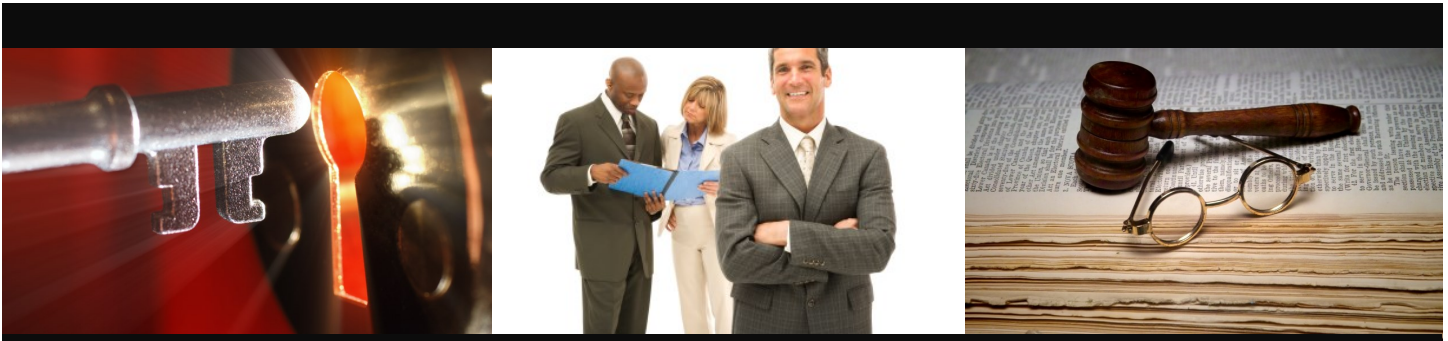
Mari Martinelli, Legal Counsel

Operations Division

Jeff Brownfield, Human Resource Manager
Tanya Flynn, Office Manager
Gail Hankins, Human Resource Associate
Torre Walls, Human Resource Officer

Graduate Assistant

Mengyang Cao



FY 2014 Agency Action Plan

As in the past, our Action Plan for FY 2014 is very ambitious and will continue to concentrate on efficiency, customer service, communications, business process upgrades, and an overall modernization of the University System. We remain committed to developing 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 will continue in our effort to positively redefine our culture and organizational perception as a facilitator of the teaching and research mission of each university and affiliated agency through the efficient and effective administration of a quality human resource program. Consistent with this objective, the following initiatives are planned for FY 2014.

Classification Plan Revisions

This is a long term, ongoing project designed to eliminate redundancy and duplication in classification designations, upgrade associated employment protocols, and develop new pre-employment testing/credentials review processes. The University System office has partnered with the University of Illinois College of Labor and Industrial Relations and Department of Psychology to provide long term professional support for this ongoing project and insure consistency with current 'best practice' human resource concepts. With this additional professional resource, we hope to even more aggressively pursue this objective and realize significant progress across this fiscal year. Specific initiatives in this regard follow.

♦ **Electronic Applicant Testing**

The E-Test System went on-line in October 2005. This electronic web-based testing system is available for use at all university/agency employment locations, streamlining testing operations and

creating a customer friendly testing interface. Initially, there were approximately 40+ classification exams and/or credential assessments included at this first release date. We have continued to add a significant number of examinations during FY 2008, FY 2009, FY 2010, FY 2011, FY 2012, FY 2013 and plan to continue this trend during FY 2014. We predict that by the end of FY 2014 up to 70% of testing will be done electronically, up from approximately 64% this fiscal year.

♦ **Employee Raw Data Interface/Report Generator**

We are in the final stages of implementing a project plan to coordinate the routine submission of raw data from an interface with each university/agency human resource information system which will be utilized in creating standardized system wide reports. This is intended to significantly reduce the amount of local IT support and report processing time in the delivery of standardized reports. This initiative will have the capacity to quickly develop many basic staffing, compensation, and other personnel reports from real time raw data information. Also included in this project will be a salary range authorization component and basic statewide salary survey instrument, similar to that being used in the current electronic Statewide Salary Data Processing System.

♦ **Website Update**

Even though there has been some major advances in creating a more user friendly website and developing a secure access point for the many university/agency human resource operations, we are in the process of reengineering our entire website for release this fiscal year. We will be expanding capabilities to include electronic forms, and other electronic communication options. You



FY 2014 Agency Action Plan continued . . .

can already see how these advances have significantly increased our overall website activity this fiscal year. We expect many of these new electronic interactive website features to even more drastically increase website activity over the next fiscal year. Consequently, additional IT resources may be required and will be seriously considered.

◆ **Act/Code/Procedure Revision**

We have undertaken a massive project to systematically review and update our Administrative Rules and procedures, developing a legislative strategy for improvement and upgrade. As you can see, we have taken some significant actions in this regard already, but plan to be even more aggressive in our efforts in this respect. The Merit Board, along with our many advisory groups, will be routinely consulted and actively involved in these developments and activities.

◆ **Staffing and Facilities**

The University System office will continue with an evaluation of our staffing and facility requirements. We currently have six vacancies and will be assessing operational priorities to determine which positions to possibly fill within the current budget limitations. Our operations are rapidly advancing to more of an electronic interface and staffing components will continue to be evaluated considering this factor. We will aggressively pursue filling vacancies based on operational requirements within budget limitations. We will continually review our space requirements as related to staffing levels and financial obligations. Logistics are important, particularly as it relates to the agency operational objectives and corresponding inter-agency and intra-agency business activities.

◆ **Records Retention/Conversion**

Consistent with our updated Records Retention Policy, we plan to further capitalize on the use of the document scanning system we have been utilizing for the last several years to create electronic files of many of our standard forms and historical business documents. The capability of almost instantaneously transforming paper documents and information into an electronic format for access and distribution would tremendously increase 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. We are in the midst of this transition and hope to be even more significantly along with this project over the upcoming year.

◆ **Constituency Collaborations**

Significantly enhanced communication options have been utilized to provide more timely information on a wide array of topics relevant to employers and employees in the University System. We have expanded the membership of our advisory committees to obtain an even larger cross section of the overall employee constituency. In this respect, we hope to continue to maintain an active Administrative Advisory Committee, with membership of high level administrative personnel from each university/agency to provide additional input and recommendations on University System office functions, business processes, and employer concerns, particularly related to staffing and budget issues. We actively collaborate with this Committee and routinely schedule meetings throughout the



FY 2014 Agency Action Plan continued . . .

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.

In several instances, we have coordinated a statewide consolidation of resources to assist in the final development and implementation of these plans. Collaboration with major universities has become a critical element in our strategic plan. Through these initiatives, there will be significant university gains in productivity, cost effectiveness, and accountability. We have already experienced some significant productivity, and efficiency gains in just some technology improvements in communications and website developments. There is an enormous savings potential in these programs and we are committed to aggressively pursuing these business changes.

The next page includes a spreadsheet outlining some of our basic outcome and output indicators that capture some of our agency activities over the past few years along with an estimate of our projected business activity for FY 2014.



Agency Activities/Goals Public Accountability Report

AGENCY ACTIVITIES/GOALS PUBLIC ACCOUNTABILITY REPORT

	Fiscal Year 2011 Actual	Fiscal Year 2012 Actual	Fiscal Year 2013 Target/Projected	Fiscal Year 2013 Actual	Fiscal Year 2014 Target/Projected
<u>Output Indicators</u>					
Discharge/Demotion Appeals Filed	70	58	65	59	65
Position Audit Appeals	9	12	15	5	5
Job Analysis Conducted (C-JASI)	29	207	250	210	200
Examinations Administered	25,545	33,125	27,000	31,288	30,000
Salary Data System Transactions	1,773	2,651	2,500	3,375	2,750
Customer Relations Website Interactions	333,966	314,556	350,000	319,762	350,000
Personnel Transactions Audited	156,875	90,324	123,120	130,046	100,000
Classifications/Examinations New, Reviewed/Revised, or Deleted	124	91	100	161	125
Other Personnel Transactions	319	480	500	446	450
Police Testing/Applicants Processed	66	57	60	38	50
<u>Outcome Indicators</u>					
Appeals-Hearings Administered	18	10	17	17	17
Examination Pass Percentage	84.7%	83.7%	85.0%	86%	88.0%
Total Classification Managed	1,136	1,086	1,000	1,074	1,070
Compliance Audits Conducted	12	10	10	11	10
Employees Served	56,070	55,212	55,000	55,008	55,000
Elongated Oral Boards Conducted	15	7	8	7	10
<u>Efficiency/Cost-Effectiveness</u>					
Percentage of Web-Based Examinations	51%	51%	55%	64%	65%