

STATE UNIVERSITIES CIVIL SERVICE SYSTEM

Sunnycrest Center
1717 Philo Road, Suite 24
Urbana, Illinois 61802-6099



Jill Smart
Merit Board Chair
Jeff Brownfield
Executive Director

To: Merit Board Members
University Presidents and Chancellors
Affiliated Agency Directors
Administrative Advisory Committee
Designated Employer Representatives
Human Resource Directors
State Universities Civil Service Advisory Committee (EAC)

From: Gail Schiesser 
Legal Counsel

Lucinda M. Neitze 
Assistant Director, Legal and Compliance Services

Date: November 15, 2019

Re: FY2020/FY2021/FY2022 Governance, Risk, and Compliance (GRC) Audit Schedule

As part of its statutory power, the Merit Board has promulgated rules that delegate to the Executive Director the authority and responsibility for conducting “ongoing audit programs of all Civil Service operations at each place of employment for the purpose of assuring compliance with the Act ([110 ILCS 70/36b et seq.](#)) and Part 250 of the Illinois Administrative Code (Code) ([80 Ill. Adm. Code 250](#)) and for improving the program of personnel administration of its constituent employers” ([80 Ill. Adm. Code §250.140\(c\)](#)).

Due to budgetary and other issues, the audit process had been suspended for extended periods of time over the past few years. However, this letter is to inform you that we have once again initiated the GRC Audit Scheduling process. This regulatory requirement includes both information/record analysis and on-site testing that we consider necessary in completing our audit objectives. These objectives will determine whether the internal control structure and business processes surrounding the respective Human Resource activities are adequate to ensure:

- 1) Compliance with the Act, Code, and corresponding System Office Procedures is attained;
- 2) Procedural concerns are identified and corrected to reduce findings;
- 3) Comprehensive local compliance is achieved by collaborating and building partnerships with the applicable human resource and internal audit departments; and
- 4) Timely and appropriate corrective action is implemented to address documented issues.

Prior to the on-site visit at each University/Agency, we will notify and inform each Employer approximately six (6) weeks in advance to establish timelines, determine the audit scope, submit a formal request of records and other documentation, and formulate the schedule for the audit visit.

Since the compliance audit program is an evaluation of various components based on risk assessment and prior history, the time commitment and materials request are typically reduced from that of past audits. However, in some instances, additional information may be requested both during and following the on-site visit to resolve issues and validate specific employment transactions. Likewise, if there are employers with multiple concerns or findings, additional attention will be required, which may include but not be limited to, additional on-site visits.

At the conclusion of each audit, the specific University/Agency will be required to address specific issues or audit findings and/or verify whether corrective measures have been taken prior to a Final Audit Report being issued. In this respect, a Formal Exit Conference is highly encouraged to address and/or rectify some of these concerns.

*****Please note that the Merit Board has directed our utilization of the 'revised' Exemption Procedures Manual, effective October 1, 2018, to review Principal Administrative Appointments (PAA) categorically exempt under §36e(3) of the State Universities Civil Service Act. Therefore, it is our expectation that during the course of the audit process, categories and processes by which exemptions are defined, implemented, and reviewed have been successfully implemented at each of our campus and agency locations consistent with these revised procedures.***

The FY2020/FY2021/FY2022 audit schedule is attached for your reference. Please note that specific dates consistent with this schedule will be confirmed with each employer in advance of any on-site visit. This will hopefully assist in your resource scheduling and planning process. Additionally, our audit process and procedures, request for materials, and Final Audit Reports for each University/Agency can be found at the State Universities Civil Service System website under the Legal and Compliance Services link.

As in previous years, our goal will be to engage in positive and interactive learning experiences through the audit process. We are looking forward to the on-site visits. Should there be any questions, comments or concerns throughout the audit process, please feel free to contact Cindy Neitzel at (217) 278-3150 extension 224 or via e-mail at cindyn@sucss.illinois.gov.

Attachment (1): FY2020/FY2021/FY2022 Governance, Risk, and Compliance Audit Schedule