

**STATE OF ILLINOIS
CIVIL SERVICE COMMISSION**

COMPLIANCE EXAMINATION

For the Two Years Ended June 30, 2011

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2011

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STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2011

AGENCY OFFICIALS

CIVIL SERVICE COMMISSION

Chairman	Chris Kolker
Commissioner	Ares G. Dalianis
Commissioner	Raymond W. Ewell
Commissioner	Barbara J. Peterson
Commissioner	Betty Bukraba
Executive Director	Daniel Stralka
Assistant Director	Andrew Barris

Commission offices are located at:

400 West Monroe Street, Suite 306
Springfield, Illinois 62704

160 North LaSalle, Suite S-901
Chicago, Illinois 60601



Daniel Stralka
EXECUTIVE DIRECTOR

State of Illinois
CIVIL SERVICE COMMISSION
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Springfield, IL 62704-1801
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Chris Kolker
CHAIRMAN

COMMISSIONERS
Raymond W. Ewell
Barbara J. Peterson
Betty A. Bukraba
Ares G. Dalianis

October 17, 2011

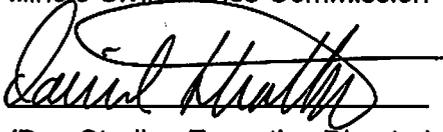
Honorable William G. Holland
Auditor General
State of Illinois

Sir:

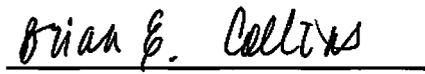
We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grants that could have a material effect on the operations of the Illinois Civil Service Commission. We are responsible for and we have established and maintained an effective system of, internal controls over compliance requirements. We have performed an evaluation of the Illinois Civil Service Commission's compliance with the following assertions during the two-year period ended June 30, 2011. Based on this evaluation, we assert that during the years ended June 30, 2010 and June 30, 2011, the Commission has materially complied with the assertions below.

- A. The Illinois Civil Service Commission has obligated, expended, received and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The Illinois Civil Service Commission has obligated, expended, received and used public funds of the State in accordance with any limitations, restrictions, conditions or mandatory directions imposed by law upon such obligation, expenditure, receipt or use.
- C. The Illinois Civil Service Commission has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the Illinois Civil Service Commission are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the Illinois Civil Service Commission on behalf of the State or held in trust by the Illinois Civil Service Commission have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

Illinois Civil Service Commission

A handwritten signature in cursive script, appearing to read "Dan Stralka", is written over a horizontal line. The signature is fluid and somewhat stylized.

(Dan Stralka, Executive Director)

A handwritten signature in cursive script, appearing to read "Brian E. Collins", is written over a horizontal line. The signature is clear and legible.

(Brian Collins, Fiscal Officer)

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2011

COMPLIANCE REPORT

SUMMARY

The compliance testing performed during this examination was conducted in accordance with *Government Auditing Standards* and in accordance with the Illinois State Auditing Act.

ACCOUNTANTS' REPORT

The Independent Accountants' Report on State Compliance, on Internal Control Over Compliance and on Supplementary Information for State Compliance Purposes does not contain scope limitations, disclaimers, or other significant non-standard language.

SUMMARY OF FINDINGS

<u>Number of</u>	<u>This Report</u>	<u>Prior Report</u>
Findings	0	0
Repeated findings	0	0
Prior recommendations implemented or not repeated	0	0

SCHEDULE OF FINDINGS

The Civil Service Commission did not have any current or prior year findings.

EXIT CONFERENCE

The Civil Service Commission waived having an exit conference.

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OFFICE OF THE AUDITOR GENERAL
WILLIAM G. HOLLAND

INDEPENDENT ACCOUNTANTS' REPORT ON STATE COMPLIANCE,
ON INTERNAL CONTROL OVER COMPLIANCE, AND ON
SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES

Honorable William G. Holland
Auditor General
State of Illinois

Compliance

We have examined the Illinois Civil Service Commission's compliance with the requirements listed below, as more fully described in the Audit Guide for Financial Audits and Compliance Attestation Engagements of Illinois State Agencies (Audit Guide) as adopted by the Auditor General, during the two years ended June 30, 2011. The management of the Illinois Civil Service Commission is responsible for compliance with these requirements. Our responsibility is to express an opinion on the Illinois Civil Service Commission's compliance based on our examination.

- A. The Illinois Civil Service Commission has obligated, expended, received, and used public funds of the State in accordance with the purpose for which such funds have been appropriated or otherwise authorized by law.
- B. The Illinois Civil Service Commission has obligated, expended, received, and used public funds of the State in accordance with any limitations, restrictions, conditions or mandatory directions imposed by law upon such obligation, expenditure, receipt or use.
- C. The Illinois Civil Service Commission has complied, in all material respects, with applicable laws and regulations, including the State uniform accounting system, in its financial and fiscal operations.
- D. State revenues and receipts collected by the Illinois Civil Service Commission are in accordance with applicable laws and regulations and the accounting and recordkeeping of such revenues and receipts is fair, accurate and in accordance with law.
- E. Money or negotiable securities or similar assets handled by the Illinois Civil Service Commission on behalf of the State or held in trust by the Illinois Civil Service Commission have been properly and legally administered and the accounting and recordkeeping relating thereto is proper, accurate, and in accordance with law.

We conducted our examination in accordance with attestation standards established by the American Institute of Certified Public Accountants; the standards applicable to attestation engagements contained in *Government Auditing Standards* issued by the Comptroller General of the United States; the Illinois State Auditing Act (Act); and the Audit Guide as adopted by the

Auditor General pursuant to the Act; and, accordingly, included examining, on a test basis, evidence about the Illinois Civil Service Commission's compliance with those requirements listed in the first paragraph of this report and performing such other procedures as we considered necessary in the circumstances. We believe that our examination provides a reasonable basis for our opinion. Our examination does not provide a legal determination on the Illinois Civil Service Commission's compliance with specified requirements.

In our opinion, the Illinois Civil Service Commission complied, in all material respects, with the compliance requirements listed in the first paragraph of this report during the two years ended June 30, 2011.

Internal Control

Management of the Illinois Civil Service Commission is responsible for establishing and maintaining effective internal control over compliance with the requirements listed in the first paragraph of this report. In planning and performing our examination, we considered the Illinois Civil Service Commission's internal control over compliance with the requirements listed in the first paragraph of this report as a basis for designing our examination procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with the Audit Guide, issued by the Illinois Office of the Auditor General, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Illinois Civil Service Commission's internal control over compliance.

A deficiency in an entity's internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with the requirements listed in the first paragraph of this report on a timely basis. *A material weakness in an entity's internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a requirement listed in the first paragraph of this report will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

As required by the Audit Guide, immaterial findings excluded from this report have been reported in a separate letter.

Our examination was conducted for the purpose of forming an opinion on compliance with the requirements listed in the first paragraph of this report. The accompanying supplementary information as listed in the table of contents as Supplementary Information for State Compliance Purposes is presented for purposes of additional analysis. We have applied certain limited procedures as prescribed by the Audit Guide as adopted by the Auditor General to the 2011 and

the 2010 Supplementary Information for State Compliance Purposes, except for the Service Efforts and Accomplishments on which we did not perform any procedures. However, we do not express an opinion on the supplementary information.

We have not applied procedures to the 2009 Supplementary Information for State Compliance Purposes, and accordingly, we do not express an opinion thereon.

This report is intended solely for the information and use of the Auditor General, the General Assembly, the Legislative Audit Commission, the Governor, agency management, and the Illinois Civil Service Commission and is not intended to be and should not be used by anyone other than these specified parties.

A handwritten signature in blue ink that reads "Bruce L. Bullard". The signature is written in a cursive style with a horizontal line underneath the name.

BRUCE L. BULLARD, CPA

Director of Financial and Compliance Audits

October 17, 2011

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
**STATUS OF MANAGEMENT AUDIT OF EXEMPTIONS
 GRANTED BY THE CIVIL SERVICE COMMISSION**
 For the Two Years Ended June 30, 2011

Exemptions Granted by the Civil Service Commission

House Resolution Number 140 directed the Auditor General to conduct an audit of exemptions granted by the Civil Service Commission pursuant to its authority under item (3) of subsection (d) of Section 4 of the Personnel Code. The audit released in June 2010 contained six recommendations.

We followed up with the Commission to determine if the recommendations had been implemented. We determined that four recommendations were implemented, one recommendation was partially implemented, and one recommendation was not implemented. (See Exhibit 1)

For the recommendation that is partially implemented, the Commission is in the process of creating a document that, once completed, will fully implement the recommendation. For the recommendation that is not implemented, the Commission stated that the size of its staff precludes it from being able to participate in a formal program with CMS that would implement the recommendation.

The following contains a brief synopsis of each finding from the audit and the status of the recommendations.

Exhibit 1 SUMMARY OF RECOMMENDATIONS			
Recommendations	Implemented?		
	Yes	Partially	No
Meeting Administrative Rule Requirements	X		
Documenting Precedents		X	
Monitoring Approved Positions			X
Tracking Abolished Positions	X		
Positions Not Needed	X		
Positions Not Meeting Statute/Rule Requirements	X		
Total	4	1	1

Recommendation 1 – Meeting Administrative Rule Requirements

Synopsis of Finding:

For 20 of the 50 positions (40%) in our sample, the granting of exemptions was not consistent with the administrative rule requirements. While the Personnel Code allows the Commission to use its judgment in awarding exemptions, the administrative rules in place during the audit period specified that before a position shall qualify for exemption, the position shall be directly responsible to one of seven reporting options.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
**STATUS OF MANAGEMENT AUDIT OF EXEMPTIONS
GRANTED BY THE CIVIL SERVICE COMMISSION**
For the Two Years Ended June 30, 2011

In the opinion of Commission staff, beginning with the first exemptions approved in 1958, the Commission has approved positions that do not meet the reporting requirements in the administrative rules. In 1965, the meeting minutes reflect a discussion of a proposed exemption and the impact of the requirements outlined in the rules: "...although the Commission staff is bound to review all principal policy exemptions in terms of the criteria, the Commission has not adopted the criteria and is not bound by it." Commission staff stated that the Commission has never considered itself bound by the administrative rules and considers the rules to be guidelines for its staff and agencies. Staff further stated that the Commission's actions over the 50 + year period since the rules were first established support that conclusion. If, in the Commission's collective judgment, a position meets the criteria set forth in the statute, staff believes the Commission is obligated to approve it regardless of any self-imposed non-statutory criteria.

Recommendation:

The Civil Service Commission should ensure that positions approved for exemption meet all of the requirements outlined in the administrative rules.

Status:

Implemented - The Commission proposed new administrative rules which were initially published in the Illinois Register on April 10, 2009, and were adopted effective March 3, 2010. The new rules substantially change the requirements to qualify for an exemption. The new rules eliminated the specific reporting requirements and now, similar to the Personnel Code, allow the Commission to exercise its judgment when determining whether a position qualifies for exemption.

Recommendation 2 – Documenting Precedents

Synopsis of Finding:

Over the years, the Commission has established various precedents for approving exempt positions even though the positions do not meet the requirements for exempt status. The established precedents are informal and are not documented in Commission policy. Commission officials noted that the Commission may look at past precedent but that every position up for approval is unique and is considered on its own merits.

Although not documented in a policy, the Commission appears to be aware of its past actions and tries to remain consistent with those past actions. Documenting the Commission's past precedent would assist agencies submitting exemption requests and would help ensure consistency in granting exemptions.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
**STATUS OF MANAGEMENT AUDIT OF EXEMPTIONS
GRANTED BY THE CIVIL SERVICE COMMISSION**
For the Two Years Ended June 30, 2011

Recommendation:

The Civil Service Commission should examine its past decisions and document any precedents that have been established. This could include the factors considered by the Commission when the precedents were established and when approving positions based on these precedents.

Status:

Partially Implemented - The depth of information provided in the meeting minutes has increased over the years so that the minutes reflect significant detail as to the Commission Staff's analysis and any responses by the agency. The Commission also indicated that they are in the process of creating a Historical Notes document which captures information about significant decisions in this area gleaned from reviewing decades worth of Commission minutes. Once this is completed, the recommendation will be fully implemented.

Recommendation 3 – Monitoring Approved Positions

Synopsis of Finding:

Once a position is approved for exempt status, neither the Commission nor CMS monitors the exempt position to ensure that the duties being performed match the job description. As specified in statute, the Commission approves positions for exemption based on whether the positions involve either principal administrative responsibility for the determination of policy or principal administrative responsibility for the way in which policies are carried out. Job descriptions could be tailored to meet this broad definition.

When asked, Commission officials stated that they are unable to perform this monitoring due to a lack of manpower. The Commission employs only four full time staff – an Executive Director, an Assistant Executive Director, a fiscal officer, and an administrative/clerical staff person. CMS officials also stated that they do not monitor the duties being performed in the exempt positions.

While not specifically required by statute or the administrative rules, monitoring positions would help ensure that the duties performed match the job descriptions and are being used as presented at the time of approval. Monitoring could include periodically sampling positions identified by the Commission. These positions could include, for example, ones where the Commission had questions during the approval process about the duties being performed.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
**STATUS OF MANAGEMENT AUDIT OF EXEMPTIONS
GRANTED BY THE CIVIL SERVICE COMMISSION**
For the Two Years Ended June 30, 2011

Recommendation:

The Civil Service Commission should work with CMS to monitor exempt positions to ensure that duties being performed match the job description and are being used as presented at the time of approval.

Status:

Not Implemented - The Commission stated that the size of its staff precludes it from being able to participate in any formal program with CMS to implement the recommendation. The Commission does feel, however, that monitoring does occur in an informal manner as information on positions comes to the attention of the Commission.

Recommendation 4 – Tracking Abolished Positions

Synopsis of Finding:

In addition to rescinding positions, another way to reduce the number of exempt positions is to abolish the position. Positions are abolished by CMS, not by the Commission. Positions can be abolished at the request of an agency or CMS also has the authority to initiate abolishments as deemed necessary. Positions are abolished for a number of reasons including having overlapping duties with other positions, temporary positions created for a limited duration, and reorganizations within agencies. For all positions that are currently exempt, CMS is required to notify the Commission of any changes to those positions.

The Commission, however, does not specifically track the number of exempt positions that were abolished during the year. While not an action of the Commission, the number of exempt positions abolished would be useful information to the users of the annual report.

Recommendation:

The Civil Service Commission should track the number of exempt positions that were abolished, as reported to it by CMS, and report this information in its annual report.

Status:

Implemented - The two most recent annual reports of the Commission contain information on abolished positions.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
**STATUS OF MANAGEMENT AUDIT OF EXEMPTIONS
GRANTED BY THE CIVIL SERVICE COMMISSION**
For the Two Years Ended June 30, 2011

Recommendation 5 – Examining Positions Not Needed

Synopsis of Finding:

Our agency survey asked, related to vacant positions, if the position was still vacant, whether the position was needed. Agencies indicated that 13 of the 95 vacant positions were not needed and two additional positions were at a facility pending closure. Most agencies responded that the positions were needed. One reason given by several agencies is that the positions were vacant due to budgetary constraints.

In addition to the 15 vacant positions, agencies noted that other positions were not needed. For seven other positions, agencies noted that positions were being abolished or would be abolished once the positions were vacant. The Commission should look at all of these positions to determine if their exempt status should be rescinded.

Recommendation:

The Civil Service Commission should examine positions from our survey where agencies indicated that the positions were no longer needed or that were going to be abolished to determine if their exempt status should be rescinded.

Status:

Implemented - After receipt of the survey results, the Commission worked with CMS and the affected agencies to determine if these positions were still needed (some were) or were going to be abolished. The positions the agencies were unable to establish were still needed, were either abolished or had their exempt status rescinded.

**Recommendation 6 – Examining Positions That Do Not
Meet Statute/Administrative Rule Requirements**

Synopsis of Finding:

The agency survey also asked whether the exempt position continued to meet the requirements for exempt status as outlined in the Personnel Code and the administrative rules.

Agencies responded that 28 of the 840 positions failed to meet the statutory (Personnel Code) requirements, the administrative rule requirements, or both. Fifteen of these positions have since been abolished, are in the process of being abolished, or had their exempt status rescinded by the Commission. However, the remaining 13 positions continue as 4d(3) exempt positions even though they do not meet the requirements for exempt status as self-reported by the agencies. In addition to the 28 positions, agencies also noted that the question was not applicable for an additional 29 positions mainly because the positions had been abolished or rescinded. However, two of these positions remain as active positions.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
**STATUS OF MANAGEMENT AUDIT OF EXEMPTIONS
GRANTED BY THE CIVIL SERVICE COMMISSION**
For the Two Years Ended June 30, 2011

Recommendation:

The Civil Service Commission should examine positions from our survey where agencies indicated that the positions did not meet the statutory or administrative rule requirements for exempt status to determine if their exempt status should be rescinded.

Status:

Implemented - After receipt of the survey results, the Commission worked with CMS and the affected agencies to determine if these positions still met the requirements for exempt status. The positions the agencies were unable to establish still met the requirements for exempt status, were either abolished or had their exempt status rescinded.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2011

SUPPLEMENTARY INFORMATION FOR STATE COMPLIANCE PURPOSES

SUMMARY

Supplementary Information for State Compliance Purposes presented in this section of the report includes the following:

Fiscal Schedules and Analysis:

- Schedule of Appropriations, Expenditures and Lapsed Balances
- Comparative Schedule of Net Appropriations, Expenditures and Lapsed Balances
- Schedule of Changes in State Property
- Comparative Schedule of Cash Receipts and Reconciliation of Cash Receipts to Deposits Remitted to the Comptroller
- Analysis of Significant Variations in Expenditures
- Analysis of Significant Variations in Receipts
- Analysis of Significant Lapse Period Spending

Analysis of Operations:

- Agency Functions and Planning Program
- Average Number of Employees
- Service Efforts and Accomplishments (Not Examined)

The accountants' report that covers the Supplementary Information for State Compliance Purposes presented in the Compliance Report Section states the accountants have applied certain limited procedures as prescribed by the *Audit Guide* as adopted by the Auditor General, except for information on the Service Efforts and Accomplishments, on which they did not perform any procedures. However, the accountants do not express an opinion on the supplementary information.

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
 For the Fiscal Year Ended June 30, 2011

P.A. 96-0956	Appropriations		Expenditures		Approximate Lapse Period Expenditures		Approximate Total Expenditures		Approximate Balances
	Through June 30	August 31	July 1 to August 31	August 31	14 Months Ended August 31	August 31	August 31	Lapsed August 31	
General Revenue Fund - 001									
Lump Sums for Operational Expenses	369,200		329,922	10,363	340,285		28,915		
Total Fiscal Year 2011	\$ 369,200		\$ 329,922	\$ 10,363	\$ 340,285		\$ 28,915		

Note: Appropriations, expenditures, and lapsed balances were obtained from Commission records and have been reconciled to records of the State Comptroller. Expenditure amounts are vouchers approved for payment by the Commission and submitted to the State Comptroller for payment to the vendor. Approximate lapse period expenditures do not include interest payments approved for payment by the Commission and submitted to the Comptroller for payment after August.

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
SCHEDULE OF APPROPRIATIONS, EXPENDITURES AND LAPSED BALANCES
 For the Fiscal Year Ended June 30, 2010

P.A. 96-0042	Appropriations	Lapse Period		Total	Balances Lapsed December 31
		Expenditures			
		July 1 to December 31	18 Months Ended December 31		
General Revenue Fund - 001					
Personal Services	\$ 260,400	\$ 233,283	\$ 16,314	\$ 249,597	\$ 10,803
Contributions to Social Security	20,000	16,565	1,215	17,780	2,220
Lump Sums for Operational Expenses	108,250	85,646	3,341	88,987	19,263
Total Fiscal Year 2010	\$ 388,650	\$ 335,494	\$ 20,870	\$ 356,364	\$ 32,286

Note: Appropriations, expenditures, and lapsed balances were obtained from Commission records and have been reconciled to records of the State Comptroller.

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
**COMPARATIVE SCHEDULE OF NET APPROPRIATIONS,
 EXPENDITURES AND LAPSED BALANCES**
 For the Fiscal Years Ended June 30,

	Fiscal Year		
	2011	2010	2009
General Revenue Fund - 001	P.A. 96-0956	P.A. 96-0042	P.A. 95-0732
Appropriations	\$ 369,200	\$ 388,650	\$ 456,453
<u>Expenditures</u>			
Personal Services		249,597	265,881
State Contributions to State			
Employees' Retirement System			56,005
Contribution to Social Security		17,780	18,850
Contractual Services			65,763
Travel			20,732
Commodities			1,652
Printing			989
Equipment			103
Telecommunications Services			3,688
Lump Sums for Operational Expenses	340,285	88,987	
Total Expenditures	<u>340,285</u>	<u>356,364</u>	<u>433,663</u>
Lapsed Balances	<u>\$ 28,915</u>	<u>\$ 32,286</u>	<u>\$ 22,790</u>
State Officers' Salaries (1)			
General Revenue Fund - 001			
Appropriations	\$ 131,800	\$ 131,800	\$ 131,800
<u>Expenditures</u>			
Chairman	29,006	30,404	30,404
Commission Members	96,624	101,280	101,280
Total Expenditures	<u>125,630</u>	<u>131,684</u>	<u>131,684</u>
Lapsed Balances	<u>\$ 6,170</u>	<u>\$ 116</u>	<u>\$ 116</u>

(1) Note: State Officers' salaries are paid from the appropriation from the Office of the Comptroller.

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
SCHEDULE OF CHANGES IN STATE PROPERTY
 For the Two Years Ended June 30,

	Fiscal Year	
	2011	2010
Beginning Balance, July 1,	\$ 50,405	\$ 50,938
Additions	224	104
Deletions	(299)	-
Net Transfers	-	(637)
Ending Balance, June 30,	\$ 50,330	\$ 50,405

NOTE: This schedule was prepared from the Agency Report of State Property Quarterly Reports and reconciled to the Commission's records.

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
**COMPARATIVE SCHEUDLE OF CASH RECEIPTS AND
 RECONCILIATION OF CASH RECEIPTS TO
 DEPOSITS REMITTED TO THE COMPTROLLER**
 For the Fiscal Years Ended June 30,

	Fiscal Year		
	2011	2010	2009
<u>General Revenue Fund - 001</u>			
Reimbursement for Jury Duty / Recoveries	\$ 17	\$ -	\$ 96
FOIA request copies	3	34	-
Prior Year Refunds	-	-	165
	<u>20</u>	<u>34</u>	<u>261</u>
Total Receipts per Commission Records			
Add: Deposits in Transit, Beginning of Year	-	-	-
Less: Deposits in Transit, End of Year	-	-	-
	<u>-</u>	<u>-</u>	<u>-</u>
Deposits Recorded by the Comptroller	<u>\$ 20</u>	<u>\$ 34</u>	<u>\$ 261</u>

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES
For the Two Years Ended June 30, 2011

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2010 AND 2009

General Revenue Fund - 001

State Contributions to State Employees' Retirement System

The decrease of \$56,005 in the State Contributions to State Employees' Retirement System was due to Public Act 96-0045, which did not require agencies to make the contribution during Fiscal Year 2010 for employees paid out of the General Revenue Fund.

Lump Sums for Operational Expenses

For Fiscal Year 2010, the General Assembly changed the appropriation process for operating expenses that were paid from the General Revenue Fund. The Civil Service Commission received a lump sum appropriation for operational expenses, not including personal service expenditures, rather than individual appropriations designated for specific purposes.

ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2011 AND 2010

General Revenue Fund - 001

Lump Sums for Operational Expenses

For Fiscal Year 2011, the General Assembly changed the appropriation process for operating expenses that were paid from the General Revenue Fund. The Civil Service Commission received a lump sum appropriation for operational expenses, including personal service expenditures, rather than individual appropriations designated for specific purposes.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS
For the Two Years Ended June 30, 2011

There were no significant variations in receipts between fiscal years 2011, 2010 and 2009.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING
For the Two Years Ended June 30, 2011

There were no significant expenditures made during Fiscal Year 2010 or Fiscal Year 2011 lapse period.

STATE OF ILLINOIS
CIVIL SERVICE COMMISSION
AGENCY FUNCTIONS AND PLANNING PROGRAM
For the Two Years Ended June 30, 2011

FUNCTIONS

The Civil Service Commission (Commission) is a 5-member body appointed by the Governor with the advice of the Senate established by the Personnel Code. The Commission is an integral part of the State of Illinois system of personnel administration based on merit principles and scientific method. The Commission's specific duties and powers are set forth by the Personnel Code (20 ILCS 415/10).

The Commission's main responsibility is to hear and determine employee appeals of discharges, suspensions, transfers, allocations, layoffs and demotions. In addition, the Commission approves exemptions from Jurisdiction B of the Personnel Code for those positions which, in the judgment of the Commission, involve either principal administrative responsibility for the determination of policy or the way in which policies are implemented. The Commission also approves or disapproves proposed additions or amendments to the Personnel Rules or position classification plan. The Commission has the authority to direct compliance in writing with the requirements of the Personnel Code or Rules when a violation is found.

PLANNING PROGRAM

The Commission has established a five-year plan. The Executive Director of the Commission monitors the plan on an on-going basis and reports to Commission members on a monthly basis.

Included in the current five-year plan are goals that have been developed in order to achieve the objective stated in the Commission's Mission Statement. The Commission's current long-range goals were established in fiscal year 2010. The long-range goals generally address two areas:

- Technology – The Commission will continue to expand its use of technology with the introduction of its website. The introduction of updated Rules of Practice will provide opportunities for agreeable parties to conduct more preliminary hearing activities electronically.
- Procedures – The Commission will develop procedure manuals for the most common activities to institutionalize Commission practices.

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
AVERAGE NUMBER OF EMPLOYEES
 For the Two Years Ended June 30, 2011

The following table, prepared from Commission records, presents the average number of employees and average number of commissioners for the fiscal years ended June 30,

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Executive Director	1	1	1
Assistant Executive Director	1	1	1
Fiscal Officer	1	1	1
Administrative and Clerical	1	1	1
Total average full-time employees	<u>4</u>	<u>4</u>	<u>4</u>
Commissioners	<u>5</u>	<u>5</u>	<u>5</u>

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
SERVICE EFFORTS AND ACCOMPLISHMENTS
 For the Two Years Ended June 30, 2011
 (Not Examined)

DECISIONS OF THE COMMISSION IN APPEALS

	Fiscal Year		
	<u>2011</u>	<u>2010</u>	<u>2009</u>
Actions by the Commission			
Appeals granted:			
Employees reinstated with suspension	9	10	9
Employees reinstated with no suspension	2	1	3
Layoff appeal granted	-	-	-
Suspension invalidated in part	-	-	-
Rule violation appeal granted	2	2	1
Declaratory ruling granted	-	-	1
Totals	<u>13</u>	<u>13</u>	<u>14</u>
Appeals denied:			
Discharge appeal denied	20	8	7
Position allocation denied	-	-	4
Layoff appeal denied	1	-	-
Geographic transfer appeal denied	-	-	-
Suspension appeal denied	-	1	1
Rule violation appeal denied	3	4	-
Declaratory ruling	-	1	-
Totals	<u>24</u>	<u>14</u>	<u>12</u>
Total substantive actions by the Commission	<u>37</u>	<u>27</u>	<u>26</u>
Appeals dismissed with no decision on the merits			
Discharges	17	16	17
Demotions	1	-	1
Position allocations	-	-	-
Layoff appeals	2	-	-
Geographical transfers	2	6	1
Suspensions	4	1	-
Rule violations	4	4	1
Totals	<u>30</u>	<u>27</u>	<u>20</u>
Appeals pending at the end of the fiscal year	<u>23</u>	<u>36</u>	<u>35</u>
Total appeals closed or pending at the end of the fiscal year	<u>90</u>	<u>90</u>	<u>81</u>

STATE OF ILLINOIS
 CIVIL SERVICE COMMISSION
SERVICE EFFORTS AND ACCOMPLISHMENTS
 For the Two Years Ended June 30, 2011
 (Not Examined)

TECHNICAL ACTIONS BY THE COMMISSION

	Fiscal Year		
	<u>2011</u>	<u>2010</u>	<u>2009</u>
Class specifications			
Revisions not approved	1	-	-
New classes approved	5	12	9
Revised classes approved	8	27	15
Abolished classes approved	-	-	6
Totals	<u>14</u>	<u>39</u>	<u>30</u>
4d(3) Exemptions			
Exemption requests granted	52	30	30
Exemption requests denied	8	-	1
Exemptions rescinded ¹	18	46	-
Exemption rescissions denied	30	41	-
Exemption requests withdrawn	-	4	8
Exemption positions abolished ²	5	19	-
Totals	<u>113</u>	<u>140</u>	<u>39</u>
Total technical actions	<u>127</u>	<u>179</u>	<u>69</u>

¹ For Fiscal Year 2010, three of the 46 rescissions were later retroactively reversed.

² Beginning in Fiscal Year 2010, this statistic was added due to a recommendation from the Management Audit of Exemptions Granted by the Civil Service Commission issued June 2010.