

**STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
COMPLIANCE EXAMINATION**

**For the Two Years Ended June 30, 2017**

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
 COMPLIANCE EXAMINATION  
 For the Two Years Ended June 30, 2017

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STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2017

**AGENCY OFFICIALS**

Executive Director	Daniel Stralka
Assistant Director	Andrew Barris

The Commission's offices are located at:

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Springfield, Illinois 62701

Michael A. Bilandic Building  
160 North LaSalle, Suite S-901  
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Daniel Stralka  
EXECUTIVE DIRECTOR

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**CIVIL SERVICE COMMISSION**  
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Timothy D. Sickmeyer  
CHAIRMAN

COMMISSIONERS  
G.A. Finch  
David Luechtefeld  
Jane Ryan  
Casey Urlacher

July 9, 2018

Honorable Frank J. Mautino  
Auditor General  
740 East Ash Street  
Springfield, IL 62703

Auditor General Mautino:

We are responsible for the identification of, and compliance with, all aspects of laws, regulations, contracts, or grant agreements that could have a material effect on the operations of the Illinois Civil Service Commission (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 Commission's compliance with the following assertions during the two-year period ended June 30, 2017. Based on this evaluation, we assert that during the years ended June 30, 2016 and June 30, 2017, the Commission has materially complied with the assertions below.

- A. The 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 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 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 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.

Sincerely,

**SIGNED ORIGINAL ON FILE**

Daniel Stralka  
Executive Director

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
 COMPLIANCE EXAMINATION  
 For the Two Fiscal Years Ended June 30, 2017

**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.

**ACCOUNTANT’S REPORT**

The Independent Accountant’s 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>Current Report</u>	<u>Prior Report</u>
Findings	1	2
Repeated findings	1	0
Prior recommendations implemented or not repeated	1	0

**SCHEDULE OF FINDINGS**

<u>Item No.</u>	<u>Page</u>	<u>Description</u>	<u>Finding Type</u>
FINDINGS (STATE COMPLIANCE)			
2017-001	7	Noncompliance with the Fiscal Control and Internal Auditing Act	Significant Deficiency and Noncompliance
PRIOR FINDINGS NOT REPEATED			
A	9	Inadequate Segregation of Duties	

**EXIT CONFERENCE**

The Civil Service Commission declined an exit conference in correspondence dated June 25, 2018.

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OFFICE OF THE AUDITOR GENERAL  
FRANK J. MAUTINO

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

Honorable Frank J. Mautino  
Auditor General  
State of Illinois

**Compliance**

We have examined the State of 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, 2017. The management of the State of Illinois, Civil Service Commission is responsible for compliance with these requirements. Our responsibility is to express an opinion on the State of Illinois, Civil Service Commission's compliance based on our examination.

- A. The State of 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 State of 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 State of 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 State of 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.

Our examination was conducted 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 (the Audit Guide). Those standards, the Act, and the Audit Guide require that we plan and perform the examination to obtain reasonable assurance about whether the State of Illinois, Civil Service Commission complied, in all material respects, with

the specified requirements listed above. An examination involves performing procedures to obtain evidence about whether the State of Illinois, Civil Service Commission complied with the specified requirements listed above. The nature, timing, and extent of the procedures selected depend on our judgement, including an assessment of the risks of material noncompliance, whether due to fraud or error.

We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion. Our examination does not provide a legal determination on the State of Illinois, Civil Service Commission's compliance with specified requirements.

In our opinion, the State of 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, 2017. However, the results of our procedures disclosed an instance of noncompliance with the requirements, which is required to be reported in accordance with criteria established by the Audit Guide, issued by the Illinois Office of the Auditor General and which is described in the accompanying schedule of findings as item 2017-001.

The State of Illinois, Civil Service Commission's responses to the finding identified in our examination is described in the accompanying schedule of findings. The State of Illinois, Civil Service Commission's response was not subjected to the procedures applied in the compliance examination and, accordingly, we express no opinion on the response.

The purpose of this report on compliance is solely to describe the scope of our testing and the results of that testing in accordance with the requirements of the Audit Guide issued by the Illinois Office of the Auditor General. Accordingly, this report is not suitable for any other purpose.

### **Internal Control**

Management of the State of 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 State of Illinois, Civil Service Commission's internal control over compliance with the requirements listed in the first paragraph of this report to determine the examination procedures that are appropriate in the circumstances 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 the State of Illinois, Civil Service Commission's internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the State of Illinois, Civil Service Commission's internal control over compliance.

*A deficiency in 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 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. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance that is less

severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

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 material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that were not identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, we identified certain deficiencies in internal control over compliance, as described in the accompanying schedule of findings as item 2017-001, that we consider to be a significant deficiency.

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

The State of Illinois, Civil Service Commission's response to the internal control finding identified in our examination is described in the accompanying schedule of findings. The State of Illinois, Civil Service Commission's responses was not subjected to the procedures applied in the compliance examination and, accordingly, we express no opinion on the response.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Audit Guide, issued by the Illinois Office of the Auditor General. Accordingly, this report is not suitable for any other purpose.

### **Supplementary Information for State Compliance Purposes**

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 for the years ended June 30, 2017, and June 30, 2016, in Schedules 1 through 5 and the Analysis of Operations Section 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 June 30, 2017, and June 30, 2016, accompanying supplementary information in Schedules 1 through 5. However, we do not express an opinion on the accompanying supplementary information.

We have not applied procedures to the June 30, 2015, accompanying supplementary information in Schedules 3 through 5 and in the Analysis of Operations Section and, accordingly, we do not express an opinion or provide any assurance on it.

**SIGNED ORIGINAL ON FILE**

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JANE CLARK, CPA  
Director of Financial and Compliance Audits

Springfield, Illinois  
July 9, 2018

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2017

2017-001. **FINDING** (Noncompliance with the Fiscal Control and Internal Auditing Act)

The Civil Service Commission (Commission) did not comply with the Fiscal Control and Internal Auditing Act (Act).

During testing, we noted the following:

- The Commission did not perform an evaluation of its internal controls or prepare and file its annual internal control certification with the Office of the Auditor General for Fiscal Year 2016.
- The Commission did not timely perform an evaluation of its internal controls and file its annual internal control certification with the Office of the Auditor General for Fiscal Year 2017. We noted the evaluation was completed 42 days after the May 1, 2017, filing deadline. Further, we noted the Commission did not file its certification of the internal controls review until 30 days later, which was 72 days after the May 1, 2017, deadline.

The Act (30 ILCS 10/3003(a)) requires the Commission to conduct an annual evaluation of its systems of internal fiscal and administrative controls and file a certification regarding the evaluation with the Auditor General by May 1.

Commission officials stated the lengthy vacancy of the Fiscal Officer position, along with other competing priorities, caused these problems.

Failure to perform timely evaluations of the Commission's internal controls could result in failing to identify a deterioration in the Commission's internal control structure and represents noncompliance with the Act. (Finding Code No. 2017-001, 2015-002)

**RECOMMENDATION**

We recommend the Commission perform evaluations of its systems of internal fiscal and administrative controls and file annual certifications regarding the evaluation in a timely manner with the Office of the Auditor General.

**COMMISSION RESPONSE**

The Commission agrees with both the finding and the recommendation. The Fiscal Year 2016 failure to file was related to the extended vacancy of the Commission's fiscal officer position. The tardiness of the Fiscal Year 2017 filing was related to the Commission's conversion to the SAP system as mandated by the Department of Innovation and Technology. The conversion was effective on

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**SCHEDULE OF FINDINGS**  
For the Two Years Ended June 30, 2017

April 1, 2017 – one month before the due date for the submission. The SAP conversion had a significant impact in several of the major internal control review categories. That was a factor in the delayed filing. Steps have been taken to correct this deficiency going forward.

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**PRIOR FINDINGS NOT REPEATED**  
For the Two Years Ended June 30, 2017

A. **FINDING** (Inadequate Segregation of Duties)

During the previous examination period, the Civil Service Commission (Commission) did not properly segregate duties within Commission operations.

During the current examination period, we noted the Commission hired additional staff and implemented adequate segregation of duties. (Finding Code No. 2015-001)

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, 2017

**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. This is the fourth follow-up completed by the Office of the Auditor General. We reviewed the outstanding recommendation from the previous follow-up. The Summary of Recommendation Status chart (Exhibit 1) shows that the Commission implemented the remaining recommendation.

Exhibit 1 <b>SUMMARY OF RECOMMENDATIONS</b>			
<b>Recommendations</b>	<b>Implemented?</b>		
	Yes	Partially	No
Monitoring Approved Positions	X		
<b>Total</b>	<b>1</b>	<b>0</b>	<b>0</b>

The following contains a brief synopsis of the outstanding recommendation from the audit and the status of the recommendation.

**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 monitor the actual duties 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, 2017

**Recommendation 3 – Monitoring Approved Positions (Continued)**

**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:**

Implemented – The Commission has addressed the finding of monitoring approved positions. A formal policy has been drafted that will effectively monitor exempt positions. The policy will implement multiple practices and procedures the Commission will use to better monitor exempt positions. Currently, the draft is in the final stages of revision before a proposal is made to the Commissioners for implementation. The policy was researched and drafted by a newly created position, the Exemption Monitor. This policy includes practices that will help accomplish the monitoring these positions need, and includes random dissemination of Employee Certification of Duties. The certification will be sent out quarterly and target 10% - 20% of exempt positions a year. The certification will also require employees to certify the duties they perform. If employees fail to complete the certifications, desk audits will be performed by the Commission. These desk audits will be conducted due to a failure to respond to certification request, information that duties are not consistent with the exemption stated purpose, or by random selection. Since the examination in 2010, the Commission has changed how it notifies agencies with expiring exemptions. The Commission grants exemptions and when the exemptions are 60 days before its expiration date, the Exemption Monitor notifies the agencies. In addition, the Exemption Monitor looks into temporary position assignments. With the implementation of the exemption monitoring process and the creation of the Exemption Monitor position, the Commission has satisfied the recommendation set by the Office of the Auditor General.

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
COMPLIANCE EXAMINATION  
For the Two Years Ended June 30, 2017

**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 – Fiscal Year 2017

- Schedule of Appropriations, Expenditures, and Lapsed Balances – Fiscal Year 2016

- 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 State Comptroller

- Analysis of Operations (Not Examined):

- Agency Functions and Planning Program (Not Examined)

- Analysis of Significant Variations in Expenditures (Not Examined)

- Analysis of Significant Variations in Receipts (Not Examined)

- Analysis of Significant Lapse Period Spending (Not Examined)

- Budget Impasse Disclosures (Not Examined)

- Alternative Financing in Lieu of Appropriations and Programs to Address Untimely Payments to Vendors (Not Examined)

- Interest Costs on Fiscal Year 2017 and Fiscal Year 2016 Invoices (Not Examined)

- Average Number of Employees (Not Examined)

- Service Efforts and Accomplishments (Not Examined)

The accountant's 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 to the June 30, 2017, and June 30, 2016, accompanying supplementary information in Schedules 1 through 5. However, the accountants do not express an opinion on the supplementary information. The accountant's report also states that they have not applied procedures to the Analysis of Operations Section and, accordingly, they do not express an opinion or provide any assurance on it.

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
 Appropriations for Fiscal Year 2017

Fifteen Months Ended September 30, 2017

Public Act 99-0524, Public Act 100-0021, and Court-Ordered Expenditures	Expenditure Authority (Net of Transfers)	Lapse Period Expenditures		Total Expenditures 15 Months Ended September 30	Balances Lapsed September 30
		Through June 30	July 1 to September 30		
FISCAL YEAR 2017					
<b><u>General Revenue Fund - 001</u></b>					
Personal Services		\$ 341,748	\$ 14,820	\$ 356,568	
Total - Fund 001		<u>\$ 341,748</u>	<u>\$ 14,820</u>	<u>\$ 356,568</u>	
<b><u>Budget Stabilization Fund - 686</u></b>					
Ordinary and Contingent Expenses	\$ 25,000	\$ 24,847	\$ 84	\$ 24,931	\$ 69
Total - Fund 686	<u>\$ 25,000</u>	<u>\$ 24,847</u>	<u>\$ 84</u>	<u>\$ 24,931</u>	<u>\$ 69</u>
<b>GRAND TOTAL - ALL FUNDS</b>		<u><u>\$ 366,595</u></u>	<u><u>\$ 14,904</u></u>	<u><u>\$ 381,499</u></u>	

- Note 1: Expenditure authority, appropriations, expenditures, and lapsed balances were obtained from the State Comptroller's records as of September 30, 2017, and have been reconciled to Commission records.
- Note 2: Expenditure amounts are vouchers approved for payment by the Commission and submitted to the State Comptroller for payment to the vendor.
- Note 3: The Circuit Court of St. Clair County in *AFSCME Council 31 v. Munger* (15 CH 475) ordered the State Comptroller, in the absence of enacted annual appropriations, to "draw and issue warrants accomplishing payment of wages [for all State employees] at their normal rates of pay." As Public Act 100-0021 states appropriation authority granted by the General Assembly does not supersede any court order directing the expenditure of funds and states such payments are added to the appropriations granted by the General Assembly, the Commission was able to submit vouchers to pay its employees in full without a maximum expenditure limit during Fiscal Year 2017. Further, the Commission incurred non-payroll obligations within Fund 001, which the Commission was unable to pay until the passage of Public Act 100-0021.
- Note 4: Public Act 99-0524 authorized the Commission to pay Fiscal Year 2016 costs using its Fiscal Year 2017 appropriations for non-payroll expenditures. The Analysis of Operations section of this report at page 25 includes information from Commission management about the number of invoices and the total dollar amount of invoices held by the Commission submitted against its Fiscal Year 2017 appropriation.

Note 5: During Fiscal Year 2017, the Commission operated without enacted appropriations until Public Act 100-0021 was approved on July 6, 2017. During the impasse, the Commission incurred non-payroll obligations within Fund 001, which the Commission was unable to pay until the passage of Public Act 100-0021.

Note 6: Notwithstanding anything within Public Act 100-0021 to the contrary, Public Act 100-0021 authorized the Commission to pay for all costs incurred prior to July 1, 2018, using either its Fiscal Year 2017 or Fiscal Year 2018 appropriations for non-payroll expenditures. The Analysis of Operations section of this report at page 25 includes information from Commission management about the number of invoices and the total dollar amount of invoices from Fiscal Year 2016 and Fiscal Year 2017 held by the Commission to be submitted against either its Fiscal Year 2017 or Fiscal Year 2018 appropriation.

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**SCHEDULE OF APPROPRIATIONS, EXPENDITURES, AND LAPSED BALANCES**  
 Appropriations for Fiscal Year 2016

Fourteen Months Ended August 31, 2016

Court-Ordered Expenditures  FISCAL YEAR 2016	Expenditure Authority (Net of Transfers)	Lapse Period		Total Expenditures 14 Months Ended August 31	Balances Lapsed August 31
		Expenditures Through June 30	Expenditures July 1 to August 31		
<b><u>General Revenue Fund - 001</u></b>					
Personal Services		\$ 245,701	\$ -	\$ 245,701	
<b>GRAND TOTAL - ALL FUNDS</b>		<b>\$ 245,701</b>	<b>\$ -</b>	<b>\$ 245,701</b>	

- Note 1: Expenditure authority, appropriations, expenditures, and lapsed balances were obtained from the State Comptroller's records as of August 31, 2016, and have been reconciled to Commission records.
- Note 2: Expenditure amounts are vouchers approved for payment by the Commission and submitted to the State Comptroller for payment to the vendor.
- Note 3: The Circuit Court of St. Clair County in *AFSCME Council 31 v. Munger* (15 CH 475) ordered the State Comptroller, in the absence of enacted annual appropriations, to "draw and issue warrants accomplishing payment of wages [for all State employees] at their normal rates of pay." As the Commission never received enacted personal services appropriations for Fund 001, the Commission was able to submit vouchers to pay its employees in full without a maximum expenditure limit for personal service costs during Fiscal Year 2016.
- Note 4: Public Act 99-0524 authorized the Commission to pay Fiscal Year 2016 costs using its Fiscal Year 2017 appropriations for non-payroll expenditures. The Analysis of Operations section of this report at page 25 includes information from Commission management about the number of invoices and the total dollar amount of invoices held by the Commission to be submitted against its Fiscal Year 2017 appropriation.

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

	2017	Fiscal Year 2016	2015
	P.A. 99-0524 P.A. 100-0021 Court-Ordered Expenditures	Court-Ordered Expenditures	P.A. 98-0679
<b><u>General Revenue Fund - 001</u></b>			
Appropriations (Net of Transfers)			\$ 379,000
Expenditures			
Personal Services	\$ 356,568	\$ 245,701	\$ 220,608
State Contributions to Social Security	-	-	16,121
Lump Sum for Operational Expenditures	-	-	75,791
Total Expenditures	<u>\$ 356,568</u>	<u>\$ 245,701</u>	<u>\$ 312,520</u>
Lapsed Balances			<u>\$ 66,480</u>
<b><u>Budget Stabilization Fund - 686</u></b>			
Appropriations (Net of Transfers)	<u>\$ 25,000</u>	<u>\$ -</u>	<u>\$ -</u>
Expenditures			
Ordinary and Contingent Expenditures	<u>\$ 24,931</u>	<u>\$ -</u>	<u>\$ -</u>
Lapsed Balances	<u>\$ 69</u>	<u>\$ -</u>	<u>\$ -</u>
<b><u>GRAND TOTAL - ALL FUNDS</u></b>			
Appropriations (Net of Transfers)	\$ 25,000		\$ 379,000
Total Expenditures	381,499	\$ 245,701	312,520
Lapsed Balances	<u>\$ 69</u>		<u>\$ 66,480</u>
<b><u>STATE OFFICERS' SALARIES</u></b>			
<b><u>General Revenue Fund - 001 (State Comptroller)</u></b>			
Appropriations			\$ 131,800
Expenditures			
Chairman	\$ 22,316	\$ 21,011	\$ 35,477
Commission Members	96,658	95,406	90,730
Total Expenditures	<u>\$ 118,974</u>	<u>\$ 116,417</u>	<u>\$ 126,207</u>
Lapsed Balances			<u>\$ 5,593</u>

Note 1: Expenditure authority, appropriations, expenditures, and lapsed balances were obtained from the State Comptroller's records as of September 30, 2017, and August 31, 2016, and have been reconciled to Commission records.

Note 2: Expenditure amounts are vouchers approved for payment by the Commission and submitted to the State Comptroller for payment to the vendor.

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

Note 3: The Circuit Court of St. Clair County in *AFSCME Council 31 v. Munger* (15 CH 475) ordered the State Comptroller, in the absence of enacted annual appropriations, to “draw and issue warrants accomplishing payment of wages [for all State employees] at their normal rates of pay.” As Public Act 100-0021 states appropriation authority granted by the General Assembly does not supersede any court order directing the expenditure of funds and states such payments are added to the appropriations granted by the General Assembly, the Commission was able to submit vouchers to pay its employees in full without a maximum expenditure limit during Fiscal Year 2017. Further, the Commission incurred non-payroll obligations within Fund 001, which the Commission was unable to pay until the passage of Public Act 100-0021.

Note 4: The Circuit Court of St. Clair County in *AFSCME Council 31 v. Munger* (15 CH 475) ordered the State Comptroller, in the absence of enacted annual appropriations, to “draw and issue warrants accomplishing payment of wages [for all State employees] at their normal rates of pay.” As the Commission never received enacted personal service appropriations for Fund 001, the Commission was able to submit vouchers to pay its employees in full without a maximum expenditure limit for personal service costs during Fiscal Year 2016.

Note 5: Public Act 99-0524 authorized the Commission to pay Fiscal Year 2016 costs using its Fiscal Year 2017 appropriations for non-payroll expenditures. The Analysis of Operations section of this report at page 25 includes information from Commission management about the number of invoices and the total dollar amount of invoices held by the Commission submitted against its Fiscal Year 2017 appropriation.

Note 6: During Fiscal Year 2017, the Commission operated without enacted appropriations until Public Act 100-0021 was approved on July 6, 2017. During the impasse, the Commission incurred non-payroll obligations within Fund 001, which the Commission was unable to pay until the passage of Public Act 100-0021.

Note 7: Notwithstanding anything within Public Act 100-0021 to the contrary, Public Act 100-0021 authorized the Commission to pay for all costs incurred prior to July 1, 2018, using either its Fiscal Year 2017 or Fiscal Year 2018 appropriations for non-payroll expenditures. The Analysis of Operations section of this report at page 25 includes information from Commission management about the number of invoices and the total dollar amount of invoices from Fiscal Year 2016 and Fiscal Year 2017 held by the Commission to be submitted against either its Fiscal Year 2017 or Fiscal Year 2018 appropriation

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**SCHEDULE OF CHANGES IN STATE PROPERTY**  
 For the Two Years Ended June 30, 2017

	Equipment
Balance at July 1, 2015	\$ 32,141
Additions	-
Deletions	-
Net Transfers	-
Balance at June 30, 2016	\$ 32,141
Balance at July 1, 2016	\$ 32,141
Additions	-
Deletions	27,408
Net Transfers	-
Balance at June 30, 2017	\$ 4,733

Note: The above schedule has been derived from the Commission's records and reconciled to property reports submitted to the Office of the State Comptroller.

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

	<u>2017</u>	<u>2016</u>	<u>2015</u>
<b><u>GENERAL REVENUE FUND - 001</u></b>			
Reimbursement for Jury Duty/ Recoveries	<u>\$ 275</u>	<u>\$ 25</u>	<u>\$ -</u>
Total Receipts per Commission Records	<u>275</u>	<u>25</u>	<u>-</u>
Less - In Transit at End of Year	-	-	-
Add - In Transit at Beginning of Year	<u>-</u>	<u>-</u>	<u>-</u>
Deposits Recorded by the Comptroller	<u><u>\$ 275</u></u>	<u><u>\$ 25</u></u>	<u><u>\$ -</u></u>

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM**  
For the Two Fiscal Years Ended June 30, 2017  
(NOT EXAMINED)

**AGENCY FUNCTIONS**

The Commission is a five-member body appointed by the Governor with the advice of the Senate established by the Personnel Code. The Governor also appoints one of the Commission's members to serve as Chair. The Commission is an integral part of the State's system of personnel administration based on merit principles and scientific methods. The Commission's specific duties and powers are set forth by the Personnel Code (20 ILCS 415/10). Commission members serve terms of six years from the dates of expiration of the terms in which they are appointed.

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 personnel rules or the position classification plan. The Commission has the authority to direct compliance in writing with the requirements of the Personnel Code or associated rules when a violation is found.

The Commission's members during the examination period were:

Chair

Timothy Sickmeyer (12/05/16 – present)  
Vacant (08/29/16 – 12/04/16)  
William Schroeder (04/11/16 – 08/28/16)  
Vacant (12/09/15 – 04/10/16)  
Fredrick Bates (07/01/15 – 12/08/15)

**Term expiring 03/01/19:**

Commissioner

Jane Ryan (10/10/17 – present)  
Vacant (05/08/17 – 10/09/17)  
Timothy Sickmeyer (12/05/16 – 05/07/17)  
Vacant (08/29/16 – 12/04/16)  
William Schroeder (09/14/15 – 08/28/16)  
Vacant (07/01/15 – 09/13/15)

**Term expiring 03/01/21:**

Commissioner

G.A. Finch (04/11/16 – present)  
Vacant (12/09/15 – 04/10/16)  
Fredrick Bates (07/01/15 – 12/08/15)

**Term expiring 03/01/23:**

Commissioner

Timothy Sickmeyer (05/08/17 – present)  
Vacant (05/02/17 – 05/07/17)  
Anita Cummings (07/01/15 – 05/01/17)

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**AGENCY FUNCTIONS AND PLANNING PROGRAM**  
For the Two Fiscal Years Ended June 30, 2017  
(NOT EXAMINED)

**Term expiring 03/01/23:**

Commissioner

David Luechtefeld (03/06/17 – present)  
Susan Moylan-Krey (07/01/15 – 03/05/17)

**Term expiring 03/01/23:**

Commissioner

Casey Urlacher

**PLANNING PROGRAM**

The Commission's long-range plans are to refine its internal processes and information gathering techniques so as to improve data collection and institutionalize operating procedures. In addition, the Commission will continue to explore the application of new technologies to its appeal processing. The Commission's top five programmatic goals are as follows:

- continue to fulfill the Commission's mandated responsibilities as set forth in the Personnel Code;
- proceed with the implementation of a system to monitor principal policy exempt positions in accordance with the Auditor General's recommendation;
- revise the Civil Service Commission's Rules of Practice to conform with latest changes in administrative proceedings;
- complete implementation of the Enterprise Resource Planning (ERP) changes to financial management and integrate with current Commission processes; and,
- partner with the Department of Innovation and Technology (DoIT) to review current Commission practices and incorporate new technology to improve practices.

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES**  
For the Two Years Ended June 30, 2017  
(NOT EXAMINED)

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2017 AND 2016**

**General Revenue Fund – 001**

Personal Services

The increase in personal service expenditures was mainly due to the hiring of a Human Resource Manager/Exemption Monitor in June 2016.

**Budget Stabilization Fund - 686**

Ordinary and Contingent Expenditures

The increase in ordinary and contingent expenditures in Fiscal Year 2017 was due to the Commission receiving an appropriation during Fiscal Year 2017 from the Budget Stabilization Fund. The Commission was able to process expenditures during Fiscal Year 2017, while no expenditures were processed during Fiscal Year 2016 due to the budget impasse.

**ANALYSIS OF SIGNIFICANT VARIATIONS IN EXPENDITURES BETWEEN FISCAL YEARS 2016 AND 2015**

**General Revenue Fund – 001**

Lump Sum for Operational Expenditures

The decrease in lump sum for operational expenditures was due to the Commission receiving no appropriation during Fiscal Year 2016 due to the budget impasse. Therefore, there was no expenditure activity during Fiscal Year 2016.

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**ANALYSIS OF SIGNIFICANT VARIATIONS IN RECEIPTS**  
For the Two Years Ended June 30, 2017  
(Not Examined)

**General Revenue Fund – 001**

The Civil Service Commission receives minimal receipts. Receipts consist of employee telephone reimbursements, jury duty reimbursements, and money received from Freedom of Information Act (FOIA) requests per the Commission's copy charge policy. The Commission received two receipts for jury duty during the examination period, one in Fiscal Year 2016 and one in Fiscal Year 2017. There were no receipts collected during Fiscal Year 2015.

STATE OF ILLINOIS  
CIVIL SERVICE COMMISSION  
**ANALYSIS OF SIGNIFICANT LAPSE PERIOD SPENDING**  
For the Two Years Ended June 30, 2017  
(NOT EXAMINED)

There were no significant expenditures during the Fiscal Year 2016 Lapse Period and the Fiscal Year 2017 Lapse Period.

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**BUDGET IMPASSE DISCLOSURES**  
 For the Two Years Ended June 30, 2017  
 (NOT EXAMINED)

Payment of Prior Year Costs in Future Fiscal Years

Article 74 of Public Act 99-0524 authorized the Commission to pay Fiscal Year 2016 costs using the Commission's Fiscal Year 2017 appropriations for non-payroll expenditures. In addition, Article 998 of Public Act 100-0021 authorized the Commission to pay its unpaid Fiscal Year 2016 and Fiscal Year 2017 costs using either the Commission's Fiscal Year 2017 or Fiscal Year 2018 appropriations for non-payroll expenditures. The following chart shows the Commission's plan to expend its Fiscal Year 2017 and Fiscal Year 2018 appropriations to cover its Fiscal Year 2016 costs:

Fiscal Year 2016 Invoices

Fund #	Fund Name	Paid from Fiscal Year <u>2017 Appropriations</u>		Paid from Fiscal Year <u>2018 Appropriations</u>	
		Number	Dollar Value	Number	Dollar Value
001	General Revenue Fund	0	\$ 0	48	\$ 41,547
686	Budget Stabilization Fund	79	24,931	0	0
		<u>79</u>	<u>\$ 24,931</u>	<u>48</u>	<u>\$ 41,547</u>

The following chart shows the Commission's plan to expend its Fiscal Year 2017 and Fiscal Year 2018 appropriations to cover its Fiscal Year 2017 costs:

Fiscal Year 2017 Invoices

Fund #	Fund Name	Paid from Fiscal Year <u>2017 Appropriations</u>		Paid from Fiscal Year <u>2018 Appropriations</u>	
		Number	Dollar Value	Number	Dollar Value
001	General Revenue Fund	0	\$ 0	122	\$ 65,613
686	Budget Stabilization Fund	0	0	0	0
		<u>0</u>	<u>\$ 0</u>	<u>122</u>	<u>\$ 65,613</u>

In addition, the Commission lacked sufficient expenditure authority, from either court-ordered expenditures or enacted appropriations, to cover its Fiscal Year 2016 and Fiscal Year 2017 costs within the General Revenue Fund (001) or the Budget Stabilization Fund (686). The Commission, as of the end of fieldwork, was holding 28 Fiscal Year 2016 invoices, totaling \$11,578, and 97 Fiscal Year 2017 invoices, totaling \$63,907.

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**ALTERNATIVE FINANCING IN LIEU OF APPROPRIATIONS AND  
 PROGRAMS TO ADDRESS UNTIMELY PAYMENTS TO VENDORS**  
 For the Two Years Ended June 30, 2017  
 (NOT EXAMINED)

Transactions Involving the Illinois Finance Authority

The Commission and its vendors did not participate in alternative financing in lieu of enacted appropriations involving the Illinois Finance Authority during Fiscal Year 2016 and Fiscal Year 2017.

Transactions Involving the Vendor Payment Program and Vendor Support Initiative Program

*Vendor Payment Program (VPP)*

In 2011, the State of Illinois (State) created the voluntary VPP in response to delays in payments for goods and services provided by the State’s vendors arising from the State’s cash flow deficit. The Department of Central Management Services (CMS) approved third party financing entities to act as “qualified purchasers” of accounts receivable from “participating vendors” who had submitted invoices which had not been paid by the State.

A participating vendor’s accounts receivable is eligible for the VPP if it is from an invoice unpaid by the State that is (1) not for medical assistance payments (2) where 90 days have passed since the proper bill date, which is (3) entitled to interest under the State Prompt Payment Act (Act) (30 ILCS 540), and (4) free of any liens or encumbrances. Under the terms of an agreement between a qualified purchaser and the participating vendor, the participating vendor receives payment for 90% of the receivable balance. The participating vendor, in turn, assigns its rights to the interest due under the Act to the qualified purchaser. When the State Comptroller ultimately paid the invoice, the participating vendor received the remaining 10% due (less any offsets).

Notably, while CMS approved the qualified purchasers and provided information to vendors about VPP, neither CMS nor the State are parties to the assignment agreements.

The following chart shows the Commission’s VPP transactions for Fiscal Year 2016 and Fiscal Year 2017:

<b>VPP TRANSACTIONS</b>		
Fiscal Year Ended June 30,		
	2017	2016
Dollar Value	\$ 136	\$ 131
Vendors	1	1
Invoices	2	2

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**ALTERNATIVE FINANCING IN LIEU OF APPROPRIATIONS AND  
 PROGRAMS TO ADDRESS UNTIMELY PAYMENTS TO VENDORS**  
 For the Two Years Ended June 30, 2017  
 (NOT EXAMINED)

*Vendor Support Initiative Program (VSI)*

During Fiscal Year 2016, the State created the voluntary VSI as an alternative to the VPP for cases where the Commission lacked an enacted appropriation or other legal expenditure authority to present invoices to the State Comptroller for payment. The VSI operated similarly to the VPP, although the Commission was required to determine a participating vendor's invoice (1) would have met the requirements of the VPP and (2) provided the proper bill date of invoice prior to the qualified purchaser and participating vendor entering into an agreement where the participating vendor received payment for 90% of the receivable balance. The participating vendor, in turn, assigned its rights to the interest due under the Act to the qualified purchaser. After the State Comptroller ultimately paid the invoice after the Commission received appropriations or other legal expenditure authority to pay the invoice, the participating vendor received the remaining 10% due (less any offsets).

During Fiscal Year 2016, the Commission had 1 vendor participate in VSI for 12 invoices, totaling \$1,943. A summary of the amount of transactions by qualified purchaser follows:

<b>TRANSACTIONS BY QUALIFIED PURCHASER</b>	
Qualified Purchaser	Total
A	\$ 1,943

During Fiscal Year 2017, the Commission had 2 vendors participate in VSI for 10 invoices, totaling \$1,432. A summary of the amount of transactions by qualified purchaser follows:

<b>TRANSACTIONS BY QUALIFIED PURCHASER</b>	
Qualified Purchaser	Total
A	\$ 1,296
B	136
	\$ 1,432

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**INTEREST COSTS ON FISCAL YEAR 2017  
 AND FISCAL YEAR 2016 INVOICES**  
 For the Two Years Ended June 30, 2017  
 (NOT EXAMINED)

Prompt Payment Interest Costs

The Commission plans to calculate prompt payment interest due to vendors under the State Prompt Payment Act (Act) (30 ILCS 540) using the vendor's proper bill date through the date the State Comptroller issues a warrant to the vendor, regardless of when and if an enacted appropriation existed during Fiscal Year 2016 and Fiscal Year 2017. The Act (30 ILCS 540/3-2) and the Illinois Administrative Code (74 Ill. Admin. Code 900.100) require interest to be paid under a daily simple interest rate of .033% (1% over a 30-day period) for every day elapsed following the 90<sup>th</sup> day after a vendor submits an eligible proper bill to the Commission. The Commission did not incur any prompt payment interest related to Fiscal Year 2016 invoices. The following chart shows the Commission's prompt payment interest incurred related to Fiscal Year 2017 invoices, calculated on the accrual basis of accounting, through June 30, 2017, by fund:

**PROMPT PAYMENT INTEREST INCURRED**  
 Year Ended June 30, 2017

<u>Fund #</u>	<u>Fund Name</u>	<u>Invoices</u>	<u>Vendors</u>	<u>Dollar Value</u>
686	Budget Stabilization Fund	46	9	\$ 1,634
	Total	<u>46</u>	<u>9</u>	<u>\$ 1,634</u>

\*Total vendors represent count of unique vendors regardless of fund.

STATE OF ILLINOIS  
 CIVIL SERVICE COMMISSION  
**AVERAGE NUMBER OF EMPLOYEES (NOT EXAMINED)**  
 For the Year Ended June 30,

The following table, prepared from Commission records, presents the average number of employees and average number of commissioners for the Fiscal Year Ended June 30,

	<u>2017</u>	<u>2016</u>	<u>2015</u>
Executive Director	1	1	1
Assistant Executive Director	1	1	1
Administrative and Clerical Staff	<u>2</u>	<u>1</u>	<u>1</u>
Total Average Full-Time Employees	<u>4</u>	<u>3</u>	<u>3</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,  
 (Not Examined)

**DECISIONS OF THE COMMISSION IN APPEALS**

	<u>Fiscal Year</u>		
	<u>2017</u>	<u>2016</u>	<u>2015</u>
Actions by the Commission			
Appeals granted:			
Employees reinstated with suspension	8	9	7
Employees reinstated with no suspension	1	1	-
Layoff appeal granted	-	-	-
Rule violation appeal granted	-	1	-
Declaratory ruling granted	-	-	-
Allocation appeal granted	-	-	-
Suspension appeal granted	1	-	2
Totals	<u>10</u>	<u>11</u>	<u>9</u>
Appeals denied:			
Discharge appeal denied	13	14	8
Position allocation denied	-	-	-
Layoff appeal denied	-	-	-
Geographic transfer appeal denied	-	1	-
Suspension appeal denied	3	1	-
Rule violation appeal denied	1	-	4
Declaratory ruling request denied	-	-	1
Totals	<u>17</u>	<u>16</u>	<u>13</u>
Total substantive actions by the Commission	<u>27</u>	<u>27</u>	<u>22</u>
Appeals Dismissed with no Decision on the Merits			
Discharges	17	24	21
Demotions	-	1	-
Allocations and declaratory rulings	-	1	1
Layoff appeals	-	-	-
Geographical transfers	1	-	-
Suspensions	1	7	5
Rule violations	2	1	-
Totals	<u>21</u>	<u>34</u>	<u>27</u>
Appeals Pending at the end of the Fiscal Year	<u>21</u>	<u>21</u>	<u>28</u>
Total Appeals Closed or Pending at the End of the Fiscal Year	<u><u>69</u></u>	<u><u>82</u></u>	<u><u>77</u></u>

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

**TECHNICAL ACTIONS BY THE COMMISSION**

	Fiscal Year		
	<u>2017</u>	<u>2016</u>	<u>2015</u>
Class Specifications			
Revisions not approved	-	-	-
New classes approved	10	13	31
Revised classes approved	24	11	87
Abolished classes approved	10	4	4
Totals	<u>44</u>	<u>28</u>	<u>122</u>
4d(3) Exemptions			
Exemption requests granted	58	49	27
Exemption requests denied	-	-	3
Exemptions rescinded	28	26	5
Exemption rescissions denied	10	9	2
Exemption requests withdrawn	3	27	9
Exemption positions abolished	4	10	2
Totals	<u>103</u>	<u>121</u>	<u>48</u>
Total Technical Actions	<u>147</u>	<u>149</u>	<u>170</u>