



STATE CIVIL SERVICE

COMPLIANCE AND AUDIT DIVISION Cycle 8 Compliance Audits (FY 21-22 and FY 22-23)

- Conducted once every two year cycle
- Will focus primarily on compliance issues
- Short query will be sent to verify agency information prior to audit
- Compliance percentages for current audit will be compared to percentages in previous audit
- Sample size will consist of:
 - 30% Hires
 - 30% Promotions
 - 20% Details/Reallocations/Demotions
 - 20% Leave Payments
- Additional review of actions from computerized reports may be conducted
- Formal report written and presented to the Appointing Authority, Civil Service Commission, Legislative Auditor, and POD ARMs
- Advance notice of approximately 1-2 months
- Additional Compliance Audits may be conducted at the request of the State Civil Service Director, State Civil Service Commission, Agency Head, or the Legislature

Focus Area:	Types of Actions:	General List of Items Reviewed:*
Unclassified Authority	<ul style="list-style-type: none">- CS Rule 4.1(d)1- CS Rule 4.1(d)2	<ul style="list-style-type: none">- State Civil Service approval letters
Hire	<ul style="list-style-type: none">- Hiring action which must be posted under Rule 22.3(a)- Appointments exempted from posting under Rule 22.3(b)- Temporary Appointments: Classified WAE/Job Appointments- Appointments exempt from testing under Rule 22.8: LRS	<ul style="list-style-type: none">- Appointing Authority approval- Certification of Compliance- Vacancy posting- Application- Appointee score- MQ check/documentation- Eligible List- Timely hire authorization- DPRL check- Temporary appointment justification- Statement of Agreement and Understanding- # of hours worked (WAE)- Timely entry in LaGov HCM- Updated position descriptions- Correct pay

	Program, 3.5 GPA, approved out of state vacancies, veterans honorably discharged within prior 12 months	<ul style="list-style-type: none"> - 6.5(g) verification - Pay policies/posted - PES planning and evaluation documentation
Promotion	<ul style="list-style-type: none"> - Promotions which must be posted under Rule 22.3(a) - Promotions exempt from posting under Rule 22.3(b) - Promotions exempt from testing under Rule 22.8: LRS Program, approved out of state vacancies 	<ul style="list-style-type: none"> - Appointing Authority approval - Certification of Compliance - Vacancy posting - Application - Appointee score - MQ check/documentation - Eligible List - Timely hire authorization - DPRL check - Timely entry in LaGov HCM - Updated position descriptions - Correct pay - PES planning and evaluation documentation
Detail to Special Duty	<ul style="list-style-type: none"> - Regular Detail - SCS Director Approved Detail 	<ul style="list-style-type: none"> - Appointing Authority approval - Certification of Compliance - MQ check/documentation - Detail justification - SCS Director Approval - DPRL check - Timely entry in LaGov HCM - Updated position descriptions - Correct pay - PES planning and evaluation documentation
Reallocation	<ul style="list-style-type: none"> - Regular Reallocation - Career Progression Group 	<ul style="list-style-type: none"> - Appointing Authority approval - Certification of Compliance - MQ check/documentation - Timely entry in LaGov HCM - Updated position descriptions - Correct pay - PES planning and evaluation documentation
Demotion	<ul style="list-style-type: none"> - Voluntary 	<ul style="list-style-type: none"> - Appointing Authority approval - Certification of Compliance - Vacancy posting - Application - Appointee score - MQ check/documentation - Eligible List - Timely hire authorization - Letter of Understanding - Timely entry in LaGov HCM - Updated position descriptions - Correct pay

		<ul style="list-style-type: none"> - DPRL Check - PES planning and evaluation documentation
Leave Payments	<ul style="list-style-type: none"> - Pay upon separation— CS Rule 11.10 - Rehire payback leave— CS Rule 11.10(e) 	<ul style="list-style-type: none"> - 300 hrs. max paid - Correct hourly rate of pay - Leave paid back
Additional Policy Review		<ul style="list-style-type: none"> - Grievance - Affirmative Action Plan or EEO Policy (whichever is applicable)

**Documentation listed may not be required if not applicable to action audited.*

This information may not be all inclusive and is subject to change.