



SPECIFIC REQUIREMENTS FOR EMPLOYEE ACTIONS

The following records and documents related to personnel actions must be maintained by the agency in a form readily available for State Civil Service review.

- **Appointment, Promotions and Transfers**

For all appointments, promotions and transfers, regardless of type, agencies must maintain the following records and documentation:

- Appointing Authority approval
- Application of appointee and any documents used to verify qualifications such as official transcripts, licenses, certifications, etc.
- Documentation of who verified the qualifications and supporting documents (license, official transcript, certification, etc.)
- Documentation of SCS Consultant review of application of appointee hired at a higher level of a CPG
- For appointments only, if salary set using [Rule 6.5\(g\)](#), verification that extraordinary qualifications are included in the employment application and initials or signature of the person who verified them. Additional employment verification information may be included at the Agency's discretion.

In addition to the above, appointments made under any of the exceptions to public announcement as listed in Civil Service [Rule 22.3](#), the agency must also maintain:

- Employee Notification Form (generate ENF using the ZMD transaction in LaGov HCM) or a printout from the agency HR system (e.g., PeopleSoft) that details all experience used to make the qualification determination and the signature/initials of the person making that determination.

OR

- Written document (spreadsheet/memo) that details all experience used to make the qualification determination and the signature/initials of the person making that determination.

OR

- Employment application that details all experience used to make the qualification determination and the signature/initials of the person making that determination.

- **Additional Specialized Documentation**

If any of the subsequent conditions apply, the agency must maintain the following additional documentation:

- **Job Appointment, Classified WAE Appointment, or Detail to Special Duty Justification**

Document showing the need for temporary, non-permanent appointment. This documentation must meet the minimum requirements of Rules [23.5](#), [23.6](#), [23.12](#) and the [Policy Standards for Job Appointments](#), [Policy Standards for Classified WAE Appointments](#), or [Details to Special Duty](#).
- **Test Score Required**

Maintain a record of the score of the appointee
- **Appointment of Louisiana Rehabilitation Services Program Client**

Letter from Louisiana Rehabilitation Services Program deeming them eligible for service.
- **Re-Employment Based on Prior Service**

Documentation of eligibility and who determined that the appointee had permanent status within the last 10 years, and was not last separated by dismissal.
- **Re-Employment from Preferred List (DPRL)**

Department Preferred List worked and written offer letters or documentation of inquiries.
- **Demotions**
 - **Voluntary Demotion**
 - Application of the employee
 - Documentation of who verified the qualifications and supporting documents (license, official transcript, certification, etc.)
 - Letter of Understanding signed by the employee with new position and new salary
 - Documentation of Appointing Authority's approval
 - Score of appointee if required
 - **Involuntary Demotion**

Note: An Involuntary Demotion is a Disciplinary Action – see [Chapter 12](#) of the Civil Service Rules

 - Proof that pre-disciplinary procedure was carried out
 - Copy of the Written Notice given to the employee
 - Documentation of how and when employee was given Written Notice
 - Documentation of who verified the qualifications
 - Documentation of Appointing Authority approval
 - **Relocation To Lower Level in Lieu of Layoff**
 - Application of the employee
 - Documentation of who verified the qualifications
 - Layoff Offer Letter signed as accepted by employee
 - Copy of Approved Layoff Plan and Copy of Layoff Report (One master copy will suffice.)
 - Proof employee was offered placement on Department Preferred List
- **Position/Pay Changes**

For all position/pay changes, regardless of type, agencies must maintain:

- Documentation of position movement (from and to) including job title, position #, and job code
 - Documentation of salary changes (from and to with % difference)
 - Documentation of Appointing Authority's approval
 - Documentation of any Civil Service Director or Commission authorization required (for example: Special Entrance Rates, etc.)
 - Proof of existence of pay policies required by Civil Service Rules
 - Documentation that agency pay policies were followed
 - Documentation of who verified the qualifications and supporting credentials (if job title changed) plus:
 - Employee Notification Form (generate the ENF using the ZMDSHEET transaction in LaGov HCM) or a printout from the agency HR system (e.g., PeopleSoft) that details all experience used to make the qualification determination and the signature/initials of the person making that determination.
- OR
- Written document (spreadsheet/memo) that details all experience used to make the qualification determination and the signature/initials of the person making that determination.
- OR
- Employment application that details all experience used to make the qualification determination and the signature/initials of the person making that determination.

For changes that result in a Change in Geographic Duty Station for probational, job appointees, agencies must also maintain:

- Documentation of employee's certification history showing that change did not circumvent competition requirements
- **Resignations, Dismissals, Removals, and Separations**
 - **Voluntary Resignation**
 - Letter of Resignation OR Signed Resignation Form (SF14R)
 - Acceptance of resignation by Appointing Authority
 - Employee Notification Form
- If unable to obtain written resignation:
- Documentation of why a written resignation could not be obtained and reasons for the resignation (if known)

NOTE: Best practice shows that the appointing authority's signature is usually included on the agency's internal personnel action form with the letter of resignation attached. At times, the appointing authority will sign directly on the Letter of Resignation to show immediate acceptance. This is more likely to occur when the employee resigns in lieu of dismissal.

When a written resignation is not submitted, documentation of why a written resignation could not be obtained is generally the responsibility of human resources.

- **Dismissal (Disciplinary – Separation for fault)**
 - Documentation of Pre-deprivation procedure (Loudermill Notice) given to employee
 - Employee’s response to Pre-Deprivation Notice
 - Copy of Letter of Dismissal given to employee
 - Documentation that someone with appointing authority took the action
 - Documentation that employee was given Letter of Dismissal before effective date

- **Removal (Non-Disciplinary Separation)**
 - Documentation of Pre-deprivation procedure (Loudermill Notice) given to employee
 - Employee’s response to Pre-deprivation Notice
 - Copy of Letter of Removal given to employee
 - Documentation that someone with appointing authority took the action
 - Documentation that employee was given Letter of Removal before the effective date

- **Separation of Non-Permanent Classified Employees**
 - Documentation that someone with appointing authority took the action