



# STATE CIVIL SERVICE

## COMPLIANCE AND AUDIT DIVISION

### Compliance Audits (FY 23-24 and FY 24-25)

- 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 and Legislative Auditor
- 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	-CS Rule 4.1(d)1 -CS Rule 4.1(d)2	-State Civil Service approval letters
Hire	-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 Program, 3.5 GPA, approved out of state vacancies, veterans honorably discharged within prior 12 months	-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 -6.5(g) verification -Pay policies/posted

		-PES planning and evaluation documentation
Promotion	<ul style="list-style-type: none"> <li>-Promotions which must be posted under Rule 22.3(a)</li> <li>-Promotions exempt from posting under Rule 22.3(b)</li> <li>-Promotions exempt from testing under Rule 22.8: LRS Program, approved out of state vacancies</li> </ul>	<ul style="list-style-type: none"> <li>-Appointing Authority approval</li> <li>-Certification of Compliance</li> <li>-Vacancy posting</li> <li>-Application</li> <li>-Appointee score</li> <li>-MQ check/documentation</li> <li>-Eligible List</li> <li>-Timely hire authorization</li> <li>-DPRL check</li> <li>-Timely entry in LaGov HCM</li> <li>-Updated position descriptions</li> <li>-Correct pay</li> <li>-PES planning and evaluation documentation</li> </ul>
Detail to Special Duty	<ul style="list-style-type: none"> <li>-Regular</li> <li>-SCS Director Approved Detail</li> </ul>	<ul style="list-style-type: none"> <li>-Appointing Authority approval</li> <li>-Certification of Compliance</li> <li>-MQ check/documentation</li> <li>-Detail justification</li> <li>-SCS Director Approval</li> <li>-DPRL check</li> <li>-Timely entry in LaGov HCM</li> <li>-Updated position descriptions</li> <li>-Correct pay</li> <li>-PES planning and evaluation documentation</li> </ul>
Reallocation	<ul style="list-style-type: none"> <li>-Regular</li> <li>-Career Progression Group</li> </ul>	<ul style="list-style-type: none"> <li>-Appointing Authority approval</li> <li>-Certification of Compliance</li> <li>-MQ check/documentation</li> <li>-Timely entry in LaGov HCM</li> <li>-Updated position descriptions</li> <li>-Correct pay</li> <li>-PES planning and evaluation documentation</li> </ul>
Demotion	<ul style="list-style-type: none"> <li>-Voluntary</li> </ul>	<ul style="list-style-type: none"> <li>-Appointing Authority approval</li> <li>-Certification of Compliance</li> <li>-Vacancy posting</li> <li>-Application</li> <li>-Appointee score</li> <li>-MQ check/documentation</li> <li>-Eligible List</li> <li>-Timely hire authorization</li> <li>-Letter of Understanding</li> <li>-Timely entry in LaGov HCM</li> <li>-Updated position descriptions</li> <li>-Correct pay</li> <li>-DPRL Check</li> <li>-PES planning and evaluation documentation</li> </ul>
Leave Payments	<ul style="list-style-type: none"> <li>-Pay upon separation—CS Rule 11.10</li> <li>-Rehire payback leave—CS Rule 11.10(e)</li> </ul>	<ul style="list-style-type: none"> <li>-300 hrs. max paid</li> <li>-Correct hourly rate of pay</li> <li>-Leave paid back</li> </ul>

Additional Policy Review		-Grievance -Affirmative Action Plan or EEO Policy (whichever is applicable)
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\*Documentation listed may not be required if not applicable to action audited.  
This information may not be all inclusive and is subject to change.