



STATE CIVIL SERVICE

COMPLIANCE AND AUDIT DIVISION

Compliance Audits (FY 25-26 and FY 26-27)

- Conducted once every two-year cycle
- Will focus primarily on compliance issues
- Query sent prior to the audit to verify agency information and to request policies and delegations
- 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% Optional Pay
- 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, 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

		-CPM 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 -CPM planning and evaluation documentation
Detail to Special Duty	<ul style="list-style-type: none"> -Regular -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 -CPM planning and evaluation documentation
Reallocation	<ul style="list-style-type: none"> -Regular -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 -CPM 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 -DPRL Check -CPM planning and evaluation documentation

Optional Pay	<ul style="list-style-type: none"> -Base Pay -Lump Sum 	<ul style="list-style-type: none"> -Appointing Authority approval -Certification for Compliance -Policy approved by Commission -Policy/recipients posted -Timely entry in LaGov HCM -Updated position descriptions -Correct pay -CPM 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) -6.5(g)

*Documentation listed may not be required if not applicable to action audited.
This information may not be all inclusive and is subject to change.