

PPM #25-A

Policy Name: *Certification, Compliance and Internal Controls for Processing of Personnel Actions*

Effective Date: *June 22, 2005*

Revision Date: *December 1, 2011*

Authorization:



Charles R. Davis, Deputy Secretary

PHILOSOPHY

This policy is promulgated to ensure compliance with PPM #25, Certification of Compliance of Personnel Actions, by creating and maintaining internal controls relative to the processing of personnel actions.

POLICY

All requests to effect personnel actions must adhere to the following requirements:

1. All personnel action requests must be in writing and include the following information (at the least):
 - a. Employee's Name
 - b. Personnel Action Type
 - c. Requested Effective Date
 - d. Reasons or Justifications for the Action;
 - e. Pay Information (if applicable).
2. All personnel actions must be signed by the Supervisor;
3. All personnel actions must be signed by the Appointing Authority or his/her designee.

APPLICABILITY

This policy shall apply to personnel transactions effected by the Office of the Lieutenant Governor (OLG) and the Department of Culture, Recreation and Tourism (DCRT). Certain personnel updates may be requested using different methods (i.e., via email for certain salary changes and/or deduction changes, changes in FLSA status, etc.). The Human Resources Division will act upon the email and may require the Appointing Authority/designee's signature on the email for certification and documentation purposes. Otherwise, the HR staff member shall make a notation on the email/letter with his/her initials and the date reflecting that authorization was received by the Appointing Authority to take the requested action.

PROCEDURES

Upon receipt of a personnel action request, authorized by the Appointing Authority in writing, the following actions must be taken by the Human Resources Division staff:

1. Verify the requested action includes all required signatures, including authorizing signature of the Appointing Authority or designee.
2. Verify the action is in compliance with Article X of the State Constitution; the Civil Service Rules; the policies and procedures established by the Director of Civil Service; and the policies and procedures of the OLG/DCRT.
3. Verify the pay, if applicable, is in compliance with the Civil Service Rules and the Uniform Classification and Pay Plan.
4. Signed by the Human Resources Director or designee, as designed in writing, certifying compliance as specific in 1. and 2. above.
5. Entered in the LaGov Human Capital Management (HCM) payroll system in accordance with appropriate agency policies and following online help procedures. The document will reflect the initials and date of the individual who makes the entry to confirm that the entry is as accurate as possible at that particular time.
6. Reviewed and initialed by the supervisor to ensure accuracy of the transaction.
7. Generation of reports, Employee Notification Forms (ENF's), and other documentation for notification to the employee, record compliance, and auditing the data entered against the Personnel Authorization Form (301) or other notifying email or letter.
8. Generation and review of exception reports by a supervisor to assist in detecting errors and/or accuracy of entries.

REFERENCE

Civil Service Rule 15.1(c) and 15.3(b)

Summary of Changes: Revised policy number, updated references to Certification of Compliance of Personnel Actions' PPM number and payroll system name (December 1, 2011).