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# State of Ohio Administrative Policy

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## Personnel Actions

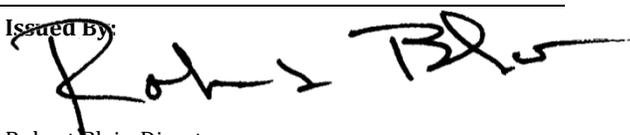
No:

Human Resources  
HR-30

Effective:

January 28, 2013

Issued By:



Robert Blair, Director

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### 1.0 Purpose

To set forth responsibilities of decentralized agencies, centralized agencies, and DAS in the personnel action process.

A glossary of terms found in this policy is located in Appendix A - Definitions. The first occurrence of a defined term is in ***bold italics***.

### 2.0 Policy

Beginning January 2013, all agencies, ***centralized*** and ***decentralized***, will be transitioning into entering personnel actions (PAs) into the Electronic Personnel Action Request (EPAR) system. The system will allow the Department of Administrative Services (DAS) to electronically approve PAs for centralized agencies and for decentralized agencies to electronically approve their own PAs. Once approved, the information in the PA will be directly transferred into the Ohio Administrative Knowledge System (OAKS), thereby eliminating the need for multiple points of data entry.

With this change, it is even more important for agencies to ensure that they are meeting all of their responsibilities in the PA process. Agencies will be required to submit a certification document to DAS every year which outlines the agency's understanding of their role in the PA process and their obligation to uphold the Civil Service Laws and Rules for the State of Ohio.

2.1 **Agency Responsibilities:** All agencies, regardless of centralized/decentralized status, have responsibilities in the PA process. This list of agency responsibilities is not all-inclusive. For questions regarding agency responsibilities, contact the assigned human resources analyst for your agency.

2.1.1 PA Preparation: PAs must be prepared in accordance with the PA manual. For both centralized and decentralized agencies, PAs must be initiated in EPAR in

accordance with the applicable timeframes required by current policies and procedures. Agencies must ensure that any applicable personnel action falls within the agency's personnel ceilings. Agencies are also reminded that information entered into the EPAR system (including comments) may be considered to be public record. Any concerns regarding what can and should be entered into the system should be resolved with agency legal counsel.

- 2.1.2 Minimum qualifications: Proper verification of an applicant's minimum qualifications should be done by comparing the applicant's training and experience to the requirement outlined on the classification specification for the position to which the applicant is being appointed.
- 2.1.3 Background checks: Ensure that background check forms for unclassified new appointments, transfers between agencies, changes from the classified service to the unclassified service, or any other appointment that requires a background check has been completed. The forms for unclassified background checks are available at <http://das.ohio.gov/Divisions/HumanResources/HRDOCBPolicy.aspx>
- 2.1.4 Drug Tests: Ensure that drug tests are completed for new unclassified appointments and positions designated as safety sensitive. Any questions regarding this matter should be directed to the DAS Human Resources Division, Office of Drug-Free Workplace.
- 2.1.5 Certification: Certain PAs are subject to recall and reemployment lists. These include new hires, promotions, demotions, laterals, transfers within and between agencies, civil service status changes, appointment changes, displacements, position changes if the headquarter county changes, and headquarter county changes. Agencies must verify whether a recall and reemployment list exists and attach the required verification to the PA. Agencies must also follow applicable collective bargaining agreements, Ohio Revised Code and Ohio Administrative Code sections.
- 2.1.6 Advance step hires: Agencies must follow DAS Policy HR-03 and the memorandum from the Director of Administrative Services dated 12/9/11 regarding the policy and procedure for advance step hires. All advanced step appointments must be approved by both the Director of DAS and the Office of the Governor, including appointments by decentralized agencies.
- 2.1.7 Verification of Licenses: Agencies must ensure that any required licenses for a position are active. Proof of verification must accompany the PA. For example, agencies must ensure that Nurses licenses are active which can be accomplished by going to the Nursing Board website [www.nursing.ohio.gov](http://www.nursing.ohio.gov)
- 2.1.8 Attachments: For both centralized and decentralized agencies, PAs must have the appropriate documentation attached in EPAR. However, when initiating PAs

that relate to medical conditions (e.g. workers' compensation or disability leave benefits) the relevant medical documentation **is not** to be attached in EPAR.

2.1.9 Approval: Within EPAR, PAs will be approved electronically. For centralized agencies a PA can be approved in EPAR by the agency approver but a PA will not be considered approved until it is approved in EPAR by DAS HRD HCM/HR Support. If necessary, a PA will be routed through EPAR to the Office of the Governor as required by DAS policies. For decentralized agencies, after a PA is initiated in EPAR a decentralized agency must electronically approve the PA as the Appointing Authority and then finalize the approval by approving as a decentralized agency approver. For decentralized agencies, EPAR will automatically route required PAs to the Office of the Governor for approval.

## 2.2 **DAS Human Resources Division Responsibilities:**

2.2.1 Training: Training will be available from HCM/HR Support in every aspect of PA processing. All new personnel who will be involved in the PA process should participate in PA training within 30 days following their hire date. Training will be available in the following areas:

- Technical training for entering data into the EPAR system.
- How to properly prepare a PA, including information such as what attachments are necessary, notes that should be included, etc.
- Familiarizing agency HR staff with the decentralized process and how roles change within the agency and at DAS.

2.2.2 Consultation: Agency specific training can be developed to address an agency's specific needs. This training can be provided, upon request of the agency, on-site by the DAS HRD HCM/HR Support analysts. In addition, the analysts have in-depth technical knowledge regarding the processing of PAs and will continue to be available to provide consultation.

2.2.3 Calculating, approving and processing prior service time: In order to maintain consistency throughout state agencies in regard to granting prior service time, this process will be handled by DAS HRD HCM/HR Support for both centralized and decentralized agencies. The agency is responsible for entering the PA into EPAR and attaching the supporting documentation from the previous employer.

2.2.4 Assistance with layoffs: DAS HRD HCM/HR Support staff will continue to assist agencies with processing layoffs.

2.2.5 Compliance Review: DAS HRD HCM/HR Support will continue to conduct periodic compliance reviews of decentralized agency PAs pursuant to the Decentralization Procedures Manual.

2.3 **Special considerations for decentralized agencies:** Decentralized agencies continue to have additional responsibilities in the PA process.

- 2.3.1 Pursuant to the Decentralization Procedures Manual, agencies must continue to maintain a written policy of internal procedures for the processing and approving of PAs. Policies should include, at a minimum, the following information: a general summary of the process, in narrative format or a flow chart, from initiation of the PA to final approval; document tracking; procedure for error correction; information regarding maintenance of records; identification of who is accountable for ensuring that the policy is properly followed; a statement of intent indicating that the agency will continue to be in compliance with the Ohio Revised Code, Ohio Administrative Code, applicable collective bargaining agreements, directives issued by the Governor's Office, and DAS policies and procedures regarding PA processing and approval. Agencies must keep the internal policy updated and make it accessible to those with PA responsibilities.
  - 2.3.2 A document shall be developed and maintained at the agency stating the name of the appointing authority and listing all employees who will have approval authority for PAs.
  - 2.3.3 When a change in agency administration occurs, the agency must initiate a meeting with DAS HRD HCM/HR Support. DAS will provide the agency with a review of the process. The agency must sign a new decentralization certification document.
  - 2.3.4 DAS Analysts are not required to approve every PA for decentralized agencies. Therefore, the DAS Analysts will be available as technical advisors and may conduct audits and compliance reviews. The purpose of a compliance review is to verify that a decentralized agency is in compliance with the legal, policy and procedural requirements associated with actions documented by PAs. The frequency of these reviews will depend upon the volume of PAs processed by an agency. DAS HRD HCM/HR Support will provide recommendations to the agency's HR Administrator when issues are identified.
  - 2.3.5 DAS will closely monitor selected PAs during the agency's initial six months of PA decentralization. This will allow the DAS HRD HCM/HR Support staff to immediately alert the agency to problem areas that may cause difficulties in the future. After the initial six months, the agency's PA decentralization process will be periodically monitored by randomly selecting PAs for review and running reports.
  - 2.3.6 If either DAS or agency-established policies and procedures for PA processing are found to be consistently ignored or if problems found by DAS compliance reviews are not resolved, the agency director will be notified by DAS. If the problems are still not resolved, DAS reserves the right to revoke decentralized agency certification.
- 2.4 **Legal Responsibility:** All agencies will continue to be responsible for compliance with collective bargaining agreements, the Ohio Revised Code and the Ohio Administrative

Code. As agencies should be aware, Revised Code Section 124.62 prohibits an appointing authority from knowingly or willfully making an appointment contrary to rule or law. Approving personnel actions is a task not to be taken lightly. It is imperative that the agency's director's office, legal office, fiscal office, and human resources office work closely to follow all relevant laws and rules and maintain open lines of communication in this process. Legally, DAS is charged with policy authority for State of Ohio personnel practices. DAS delegates significant authority and responsibility to both decentralized and centralized agencies, thereby granting agencies authority to act on behalf of the director, while DAS retains overall authority and responsibility for ensuring that the Civil Service Laws are applied consistently throughout all state agencies.

### 3.0 Authority

ORC 124.09, 124.20; OAC 123:1-45-01

### 4.0 Revision History

Date	Description of Change
01/28/2013	Original policy.
01/28/2014	Scheduled policy review.

### 5.0 Inquiries

Direct inquiries about this policy to:

Office of HCM and Agency Support  
Human Resources Division  
Ohio Department of Administrative Services  
30 East Broad Street, 28<sup>th</sup> Floor  
Columbus, Ohio 43215-3414

614-466-4194 | [DASHRD.StateServices@das.state.oh.us](mailto:DASHRD.StateServices@das.state.oh.us)

State of Ohio Administrative Policies may be found online at  
[www.das.ohio.gov/forStateAgencies/Policies.aspx](http://www.das.ohio.gov/forStateAgencies/Policies.aspx)

### 6.0 Attachments

[Attachment 1](#) – EPAR Personnel Action Processing Certification Document

## Appendix A - Definitions

- a. Decentralized agency. An agency which has been granted by the Director of DAS under 124.04(M) the authority and responsibility of individual personnel decisions.

- b. Centralized agency. An agency for which the Director of DAS maintains the authority and responsibility of individual personnel decisions.

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