

STATE OF OHIO
Department of Administrative Services
Human Resources Division
Human Resources Services Section

PERSONNEL ACTION POLICY

Introduction

Beginning December 2006, human resources transactions will occur in the Ohio Administrative Knowledge System (OAKS). The OAKS system is a live system, which means when a personnel action (PA) is entered; it will automatically go through the payroll process. OAKS does not contain the functionality to block a personnel action for approval by DAS. As a result of OAKS functionality processes will change within DAS to be more focused on reviewing reports of what agencies have entered onto the system and conducting audits.

DAS will still review and approve PA's for centralized agencies. The process will be initiated when the agency inputs the data into OAKS and sends DAS the PA with supporting documentation. For all agencies, the most noticeable change will be the setting of effective dates and the submission of those PA's to DAS. The new changes have been highlighted in the Summary of Agency Responsibilities. If you have questions, please contact your DAS HR Services Analyst at (614) 466-4194 or visit the State Service's website at <http://www.das.ohio.gov/hrd/statserv.html>

All agencies are responsible for ensuring on-line changes made to PA's are accepted by the Office of Budget and Management (OBM). It will be necessary for the agency fiscal and human resources offices to work with OBM to ensure that the fiscal aspects of entering a PA are appropriate.

Summary of Agency Responsibilities

- **Minimum Qualifications.** According to Section 124.30 (A) of the Ohio Revised Code the director of DAS must certify that an applicant is qualified for the position. 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 he or she is being appointed.
- **Background Checks.** Ensure that background check forms for unclassified new appointments, transfers between agencies, and changes from the classified service to unclassified service have been completed, submitted to the Department of Public Safety, and approved. Any questions regarding background checks should be directed to the Assistant Director's office, the Department of Public Safety at (614) 466-3383.

- **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 DAS Office of Drug-Free Workplace Program at (614) 466-6346 or visit the DAS Office of Drug-Free Workplace Program's website at

<http://www.das.ohio.gov/hrd/drugfree.html>

- **Advance Step Hires. Centralized Agencies** must ensure that advance step hires are reviewed and approved by DAS prior to the appointment. It is the agencies responsibility to ensure that all criteria are documented when submitting advance step hire for approval. Please allow five (5) working days for approval of an advance step hire. Upon receiving approval from DAS HR Services Unit an agency will adjust the step within OAKS. Refer to DAS Directive 05 for further information. **Decentralized Agencies** must follow their Decentralization Policy. Upon receiving approval from DAS HR Services Unit an agency will adjust the step within OAKS.
- **Prior Service.** Agencies will submit all PA's and proper attachments to DAS HR Services Unit for approval. Both **Centralized Agencies** and **Decentralized Agencies** will have read only access.
- **Setting Effective Dates.** PA's for **Centralized Agencies** are required to be at DAS HR Services Unit 10 working days prior to the effective date of the action. PA's for **Decentralized Agencies** are required to be at DAS HR Services Unit during the pay period in which the action is effective. Transactions entered into OAKS without the appropriate documentation being sent to DAS on the required date may be pulled from the system without prior notice by DAS. Additionally, the agency may be subject to the Action/Penalty section contained within this policy for non-compliance.
- **PA Preparation.** PA's must be prepared in accordance with the PA manual distributed by the DAS, HR Services Unit. Agencies will also need to ensure that the proper signatures are on all PA's. **Decentralized Agencies** will continue to be responsible for following their decentralization policy.
- **Approval.** For **Centralized Agencies**, a PA is not considered approved until the DAS HR Services Unit has verified and signed the original PA. When a PA is received in the HR Services Unit, it will be routed to the Governor's Office and Certification as required by appropriate DAS policies. Original copies of all processed PA's and proper attachments must be submitted to the DAS HR Services Unit for monitoring. Once a PA has been approved, one copy will be sent to DAS Records and the second copy will be returned to the agency. The approval process for **Decentralized Agencies** remains the same. The PA is approved at the agency level and submitted to DAS for record retention.

This list of agency responsibilities is not all-inclusive, but is intended to provide some of the major issues of importance associated with PA processing. For questions please contact the assigned human resources analyst for your agency.

With the implementation of the OAKS PA process, DAS analysts will not be required to manually approve all PA's in the computer system. The analysts will enhance their roles to act as your technical consultant and assist you with your agency's process.

The PA Approval Process

DAS In-House Monitoring. The DAS HR Services Unit will closely monitor PA processing as it occurs within OAKS. Staff will monitor an agency's processing of PA's including day-to-day approval and computer generated reports.

Legal Responsibility: All agencies will continue to be responsible for compliance with bargaining unit contracts, the Ohio Revised Code, and the Ohio Administrative Rules. The liability of the appointing authority of an agency for knowingly appointing a person contrary to rule or law is stated in Section 124.62 of the Ohio Revised Code.

Investigations for Abuse of Power will be done in accordance with Section 124.56 of the Ohio Revised Code.

It is imperative that your agency director's office, legal office, fiscal office, and human resources office work closely to follow the stated laws and rules and maintain open lines of communication in this process.

Under civil service law, DAS has always been the policy authority regarding State of Ohio personnel practices. DAS delegates significant authority and responsibility to both **Decentralized Agencies** and **Centralized Agencies**, thereby granting agencies authority to act on the behalf of the director. DAS will always retain overall authority ensuring that the Civil Service Laws are maintained consistently throughout all state agencies.

ACTION/PENALTY. If DAS-established policies and procedures for PA processing are consistently being ignored and/or if problems found by the DAS review are not resolved, DAS maintains the right to invoke consequences including but not limited to requiring an agency to obtain an approved signed PA prior to terminal entry. It is our desire to work with each agency as technical consultants to avoid this consequence.

Further Processing Procedures can be found in the DAS PA Processing Manual:
<http://www.das.ohio.gov/hrd/pamannual/pamannual.html>

OAKS PERSONNEL ACTION PA PROCESSING AND TERMINAL ENTRY
CERTIFICATION DOCUMENT

I have read this document and understand the responsibilities and liabilities that our agency will be undertaking with the OAKS personnel action (PA) process. It is my understanding that we will be responsible for entering PA's, consistent with the Civil Service Laws and Rules for the State of Ohio.

This agency agrees to provide DAS, Division of Human Resources copies of PAs and accompanying attachments, in accordance with the timeframes described in the attached document.

In the case that this agency is found delinquent in processing PAs that are consistent with the Civil Service Laws and Rules for the State of Ohio, after appropriate notification and attempts to resolve problems, I understand that DAS reserves the right to revoke this certification. If this occurs, it may be necessary to return the terminal entry and processing of PAs to DAS until the problems are remedied.

If signing as a **Decentralized** Agency, we understand that substantial responsibility and liabilities associated with the PA process will be transferred including the increased responsibility for documentation of PA's for employees' positions. The DAS HR Services Unit will continue to review PA's for tracking purposes and will conduct reviews as explained in the Decentralization Process Manual. DAS reserves the right to revoke this certification for **Decentralized Agencies** if all decentralization procedures are not followed.

This document will be kept on file at both the DAS and agency level. It will be this agency's responsibility to notify DAS of any signature changes by providing an updated certification document.

AGENCY

AGENCY APPOINTING AUTHORITY

AGENCY HUMAN RESOURCES ADMINISTRATOR

AGENCY FISCAL ADMINISTRATOR

AGENCY LEGAL COUNSEL

DAS REVIEWER

DATE