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FLORIDA DEPARTMENT OF EDUCATION OFFICE OF INSPECTOR GENERAL

MEMORANDUM

Date: January 5, 2011
To: Martha Asbury, Director of Administrative Services
From: Ed W. Jordan
Re: Review of Department Employee Files (OIG 10/11-01MR)

Our office has reviewed employee files in accordance with our Fiscal Year 2010-2011 audit plan. The objective of the review was to determine whether employee files are complete, maintained in a neat and orderly manner, and secured to protect confidential and sensitive information. Review procedures included selecting and examining a representative sample of the files, and interviews with Bureau of Personnel Management and Labor Relations office staff as needed.

Spreadsheets depicting the documents found in a sample of 31 employee files are attached for your information. The criteria we used was the six section personnel filing guide attached. We selected eight recent hires (hired within the current calendar year), 11 current employees who were hired prior to the current calendar year, and 12 terminated employees. Staff in the Bureau of Personnel Management and Labor Relations should review the attached spreadsheets and determine whether any missing forms should be completed and added to the files.

Overall, we noted that files for the more recent hires were more complete and better organized than the files of previously hired employees. We noted a certain amount of misfiling and duplicate filing in the older employee files. However, this did not degrade the usefulness of the files. For the most part the files, especially those of more recently hired employees, were neat and easy to review.

Employee files are secured in a restricted access area in an open metal shelving system. Files for terminated employees are stored in a state owned archive facility.

While there are no current plans to convert to a digitized file maintenance system, initial research we conducted indicated that long term cost savings can be realized through staff efficiency gains and reduced storage floor space needs of such a system. The Department of Revenue is currently converting its employee files from paper to digitized (scanned) files; the Department of Education may be able to benefit from this experience.

Staff in the Bureau of Personnel Management and Labor Relations provided helpful assistance during the review. If you have any questions, please contact me at 245-9418.

Attachment

cc: Dr. Eric J. Smith
Linda Champion
Berlin Jones

PERSONNEL FILES

(Documents should be placed into the personnel files as follows.)

Section 1 (Actions)

- PF-12 (yellow)
- PF-12 (white)
- PF-15
- Pay Increase Notices
- PARs
- Old Payroll Documents
- Critical Position Request Forms
- Dual Employment

Section 2 (Memos and Letters)

- Letters – Appointment, Reclassification, Reassignment and other Official Letters
- Career Service to SES letters
- OPS Certification Memo

Section 3 (Performance Appraisals)

- Performance Appraisals
- Attendance and Leave (OPS only)

Section 4 (Employee Info)

- Applications/Resume'
- Transcripts
- Promotional Opportunities
- Reassignment Request
- Reference Checks
- Marriage License

Section 5 (Miscellaneous)

- Name Changes
- Routing Sheets for Blind Services
- Selective Service Registration
- Reporting Structures
- Exempt from Public Records Form
- Request for Outside State Government Employment
- Prior State Service

Section 6 (Insurance and Benefits)

- Employee Data Form
- Employee Information Sheet
- Background Check Affidavit
- Driver's License & Social Security Card
- Insurance
- Pay Deductions (within last 5 years)
- W-4
- Acknowledgement Forms
- PF-10
- Conflict of Interest Statement
- New Hire Check List

Recent Hires

Name	Hire Date	Location	Division	Employee Data Form	Employee Information Sheet	Background Check Affidavit	Driver's License & Social Security Card	Insurance	Pay Deductions	W-4	Acknowledgement Forms	PF-10	Conflict of Interest Statement	New Hire Check List
Brown, J.	5/24/2010	Ocala	DVR	x		x	x			x	x	x	x	x
Figgett, K.	6/1/2010	Tallahassee	Public Schools	x		x	x			x	x	x	x	x
Hernandez, P.	2/8/2010	Tallahassee	Finance & Operation	x		x	x			x	x	x	x	x
Kalicki, S.	1/29/2010	Tallahassee	Finance & Operation	x		x	x			x	x	x	x	x
Paul, A.	6/1/2010	St. Petersburg	DVR	x		x	x			x	x	x	x	x
Pileggi, A.	5/3/2010	Pensacola	DBS	x		x	x			x	x	x	x	x
Roberts, S.	5/27/2010	Daytona Beach	DBS	x		x	x			x	x	x	x	x
Stewart, A.	5/10/2010	Tallahassee	Finance & Operation	x		x	x	x		x	x	x	x	x

Current Employees

Name	Hire Date	Location	Division	PF-12	PF-15	Pay Increase Notices	PARS	Old Payroll Documents	Critical Position Request Forms	Dual Employment	Notes:
Addison, A.	10/1/1998	Tallahassee	OSFA	x	x	x	x	x			
Blue, V.	12/18/1986	Tallahassee	Teacher Certification	x		x					
Casciano, C.	8/3/2009	Tampa	DVR	x		x	x		x		OPS Budget/PD
Davis, T.	12/27/2000	Tallahassee	DVR	x		x					
Howell, G.	5/27/2003	Orlando	DVR	x		x					
Maller, B.	8/1/1988	Miami	DBS	x		x					
Perry, S.	7/24/2006	Daytona Beach	DBS	x			x				Pay increase memo in section 2
Powell, B.	4/9/2003	Tallahassee	Carreer & Adult Education	x			x				
Sisk, T.	5/1987; 11/2002	Tallahassee	Commision on Independent Education	x		x	x	x			
Walker, C.	5/1/2005	Tallahassee	Bureau of Instruction and Innovation	x			x				
Williams, C.	6/26/2006	Tallahassee	DVR	x			x		x		

