



FLORIDA DEPARTMENT OF EDUCATION

Office of Inspector General



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Report No. 08/09-03MR

Department Policies and Procedures Management Review

Overview

An effective written policy and procedure system is an important management control to help ensure that the goals of the Department are met. We reviewed the Department's system to determine if a documented process exists for developing, updating, and approving written policies and procedures as well as the extent to which these documents have been established and made available to those who implement them.

We found that the Department does not have a consistent system or process for developing, reviewing, authorizing, and updating written policy and procedure documents in all program areas. As a result, the use of these documents among the Department's programs is inconsistent.

We recommend the Department develop a more formalized process for the creation, implementation, and revision of policies and procedures for all program areas to achieve more effective management control. The Department should consider designating a responsible office to coordinate the activities or assign the responsibility to a delegate of each Division. Good practices for this function may be found in other state agencies.

Authority

The authority for a policies and procedures system is contained in sections 20.05(1) (a) and 20.05(1) (e), Florida Statutes, which state that it is the duty of the head of the department to plan, direct, coordinate, and execute the powers, duties, and functions vested in the department and to promulgate rules pursuant and limited to those powers, duties, and functions.

Benefits of Written Policies and Procedures

A well managed system for developing, implementing, and updating written policies and procedures is an important management tool that can provide benefits such as:

- Provide a central source of information to help ensure process consistency.
- Help build quality into the process.
- Help ensure compliance with statutes and rules.
- Help ensure management's directives and wishes are clearly communicated, understood, and implemented by all levels of the organization.
- Help to curtail activities outside the scope of statutes, rules, and policy.
- Help to avoid repeating any past mistakes by including program knowledge and experience.
- Help to properly document the project or program.
- Provide authority for the project or program.
- Help ensure that personnel understand their roles and responsibilities and reduce confusion or duplication of responsibilities.
- Aid in training new staff and help reduce the impact of losing experienced staff.

Characteristics of an Effective Policies and Procedures System

A policy is a management directive for a deliberate plan of action to guide decisions and achieve outcomes. The term is not normally used to denote what is actually done; this is normally referred to as either procedure or protocol. Whereas a policy will contain the 'what and why', procedures contain the 'what', 'how', 'where', and 'when'.

A procedure is a specified series of actions, acts, or operations that when undertaken in the sequence laid down produces the described result, product, or outcome. Procedures can be used to implement policies.

The Department uses a variety of documents to communicate policies and procedures. The intention of this report is to provide management with best practices to be adopted by the Department. Some programs use many of these best practices, but their usage is inconsistent and varies across Divisions and/or programs.

Based on a review of literature and the methods used by a sample of other state agencies, the following may be considered characteristics of a strong framework for effective written policies and procedures.

- There is active support by top management for an effective system of written policies and procedures.
- There is an established policy and procedure assigning responsibilities for developing, authorizing, and updating policies and procedures.
- An index of policies and procedures is easily accessible, preferably online.
- Policy and procedure documents are readily available in electronic format.
- Policy and procedure documents are authorized (signed) and dated by the agency head or designee.
- There is an established review and approval process which includes appropriate entities such as: administration, General Counsel, Inspector General, and Communications.

- Training is conducted as appropriate to implement new or revised policies/procedures.
- A point of contact is provided who may provide additional information.
- Periodic review of policies/procedures is required.

See appendix A for details of the systems used by selected state agencies (DMS, DOT, FDLE, and DCA).

Noteworthy Accomplishments

Noteworthy accomplishments identified during our review include:

The Department revised its guidelines for formatting, adding, modifying, and deleting Department-wide internal operating policies and procedures in December 2009. In addition, the Department initiated a review of existing Department-wide internal operating policies and procedures coordinated by Administrative Services, Division of Finance and Operations. The objective of the review was to develop new policies and revise existing ones, as needed.

The review is currently in process. The divisions and offices participating in the review include: Governmental Relations, Technology, Comptrollers Office, General Services, Personnel and Labor Relations, Communications, Inspector General, and Accountability Research and Measurement.

Issues identified by Administrative Services thus far include slow response due to new document development procedures and staff diverted to other priorities, including Race to the Top grant application preparation and Recovery Act grant administration.

Survey Results

Questionnaire

We developed a survey consisting of 15 questions about developing, authorizing, and updating written policies and procedures as well as advantages and disadvantages of maintaining written policies and procedures. The survey was sent to 37 Department program managers of which 24 completed the survey for a 65% response rate. See appendices B, C, and D for the programs surveyed, survey

questions and summarized responses to questions.

According to respondents, responsibility for developing policy and procedures documents varies depending on the organizational unit and the nature of the document. However, most respondents indicated that staff is responsible with division director, program manager, or supervisor also identified.

While there were a variety of answers, most respondents named senior or mid-level management as the approver of policy and procedures documents. Respondents are generally satisfied with the current level of approval.

Only half the respondents think written policies and procedures are reviewed at established time intervals. In about half of these instances, the time interval is one year. Policies and procedures are most often reviewed and updated in response to statute changes. Nearly all respondents believe policies and procedures are updated frequently enough.

Respondents, for the most part, did not think significant impediments exist to reviewing and updating policy and procedure documents as frequently as needed. Most respondents believe that policies and procedures are either current or in need of only minor updates.

Respondents listed: clear and concise; specify action to be taken; and reflect statutory requirements as the primary characteristics of effective written policies and procedures.

Programs use several methods (e-mail, staff meetings, and Web site) to disseminate written policies and procedures to staff and other potential users.

A slight majority of respondents characterized the awareness level of written policies and procedures as high with frequent use while about one fifth think they are used occasionally.

Advantages of written policies and procedures given by respondents include: provides consistency to operations, a training tool for new employees, and helps ensure that statutory requirements are met. Comments indicate that policies and procedures can be too time consuming; however, many thought that there

were no disadvantages to developing policies and procedures.

It appears that some of the survey questions were difficult to answer as the response may vary among the different programs within each division. In addition, there may have been some confusion over what types of documents should be included in the survey.

Existing policy and procedure documents

The Office of Inspector General (OIG) requested available operating policies and procedures, in addition to the online survey, from Department programs in December 2009 with a follow up in March 2010.

A majority of the programs we contacted provided some form of response and several areas had effective policies and procedures. However, a significant portion of the documents we received did not meet all the characteristics of effective internal operating policies and procedures. Numerous programs provided information directed toward local educational agencies, grantees, and the general public. This includes technical assistance papers and links to the Department website and/or the program's applicable web page. See Appendix E for a listing of the policies and procedures documents provided to us.

The Department has established a number of effective policies and procedures for Department wide functions. Several programs supplied policies and procedures for functions such as mail processing, travel, and public records requests. These Department wide policies and procedures are included in the review coordinated by Administrative Services, Division of Finance and Operations.

Our review showed that programs involving compliance, monitoring, or investigative functions have the most effective policies and procedures. In many cases, flowcharts, screen snapshots, and step by step processes were included.

However, generally speaking, Department programs related to curriculum and school programs lack strong operating policies and procedures. The documents we reviewed

provide guidance to school districts, teachers, and parents on topics ranging from safety issues to the adoption of instructional materials. These programs tend to rely on federal rules and guidance.

From a system view, there is inconsistency in the Department's policies and procedures. Several areas had formats or templates established for their own policies and procedures, but these were not used across division or program lines. Some areas documented approval of their policies and procedures with an authorization signature and date, but this was infrequent and not uniform across programs.

Recommendation

Management should consider compiling the best practices from the current Department policies and procedures as well as the systems used at other state agencies, and provide guidance for implementing a universal process and template. An appropriate central office, or a delegate from each Division, should be given the responsibility to coordinate the development, review, authorization, and revision of policies and procedures. Senior management should be involved in periodic review of the relevancy and completeness of agency policies and procedures.

We **recommend** the following best practices for the Department to use in managing its policy and procedure documents. Many of these recommendations are already in use within certain areas of the Department:

- The Department should develop a consistent review and approval system which designates the appropriate contacts for review and approval of new and revised documents.
- Documents should be updated when policies change and as needed to reflect best management practice.
- A formal system to review policies and procedures periodically for updates should be established and followed.
- The roles of all management levels should be established for development, review, and approval.

- Policies and procedures should be indexed and conveniently available to all potential users.
- Staff should be notified when policies and procedures are implemented or revised and training should be conducted as appropriate.
- Documents should be of consistent format and include:
 - Date developed and effective date,
 - Authorizing signature (agency head or designee),
 - Contact person within the applicable area,
 - Target audience,
 - Use of plain language,
 - Defined acronyms, and
 - Flowcharts to illustrate processes with screen snapshots, sample forms, and other documents.

Objectives and Scope

The objectives of this review included determining:

- Whether the Department has a documented process for developing and approving written policies and procedures.
- The extent to which written policies and procedures have been established in the Department and effectively promulgated.
- Whether written policies and procedures are regularly reviewed and updated.
- Whether improvements can be made in the Department's process for developing and promulgating policies and procedures.

We included information received as of April 15, 2010.

Methodology

In conducting this review we developed and distributed a survey with questions relating to developing, authorizing, and updating written policies and procedures as well as advantages and disadvantages of maintaining written policies and procedures. We also requested information regarding written policies and procedures that are currently in place.

We contacted six state agencies to explore their policy and procedures processes and received responses from the Departments of Transportation, Management Services, Community Affairs, Law Enforcement, and Environmental Protection.

Closing Comments

The Office of the Inspector General would like to recognize and acknowledge Department management and staff for their assistance during the course of this management review. Our fieldwork was facilitated by the cooperation and assistance provided by all personnel involved.

Appendix A. Policy and procedures processes at other state agencies.

Desirable policy and procedures characteristics:

Based on a review of a sample of other state agencies, the following may be considered characteristics of a strong framework for effective written policies and procedures.

- There is an established policy and procedure assigning responsibilities for developing, authorizing, and updating policies and procedures.
- Senior management is involved in the process.
- An index of policies and procedures is available.
- Policy/procedures are readily available in electronic format.
- Policy and procedure documents are authorized (signed) and dated by senior management.
- There is an established review and approval process which includes appropriate entities such as: Administration, General Counsel, Inspector General and Communications.
- Training is conducted to implement the new or revised policy/procedure.
- A point of contact is provided.
- Periodic review of policies/procedures is specified.

Details of written policy/procedures administration at DMS, DOT, DCA, and FDLE are provided below. These four agencies provided the most comprehensive response to our information request.

DMS

Has an administrative policy titled "Creating and Establishing Administrative Policies". The document establishes policy criteria and defines "policy". A template for policy documents is provided.

Establishes review by:

Director of Administration
Communications
General Counsel

Establishes responsibilities of:

Responsible Division
Office of General Counsel
Communications Office
Secretary (agency head)

Final approval by the Secretary (agency head).

Flow charts, diagrams, and screen prints are included in written operating procedures.

Training is provided and employees are notified when policies have substantial changes.

Annual review is tracked on an EXCEL spreadsheet. "DMS Policy Review Chart" includes an index of written policy/procedure documents and:

Number
Name
Point of contact
Approval dates
Training dates
Distribution notes

DOT

Has an Office of Forms and Procedures for overall management.

Uses an electronic review process. Has an administrative policy: "To establish a uniform system for developing, maintaining, and providing access to the department's procedural documents (policies, procedures, directives, standards, manuals, and guidelines). The collection of these documents is known as the Department's Standard Operating System. These documents are necessary to help ensure statewide consistency and uniformity in implementing departmental programs".

DOT differentiates between policies, procedures, and manuals. The agency provides for policy and procedure review every two years.

When a policy or procedure is drafted or revised an electronic review process is used and the office responsible for the document must respond to each comment offered by reviewers.

DOT uses an aging schedule which is reviewed by senior management to help ensure that policy and procedure documents are updated.

FDLE

Has a written procedure on developing, authorizing, and updating policies/procedures. The program having ownership and the Office of External Affairs maintains an electronic inventory of policies/procedures.

Specified annual review to determine if changes are needed.

Places responsibility on each employee to read and follow policies/procedures applicable to his/her area and job function. Supervisors are to ensure that employees have read applicable policies/procedures within 30 days of hire and any subsequently revised policy/procedure within 30 days after issuance. Employees must signify electronically that they have read applicable policies/procedures. Members are notified of policy/procedure revisions by e-mail.

The Office of Information Resource Management provides supervisors access to the policy/procedures viewing history to verify that employees have read new or revised policies and procedures.

Any employee who believes that revision to policy/procedures documents is needed can contact liaison to initiate the revision process.

The Executive Policy Board (senior management) is provided an aging schedule of policies and procedures which is reviewed to determine if documents are properly reviewed and revised.

The Executive Board approves policies/procedures having department-wide impact. Agency head signs.

Policies/procedures limited in scope or affecting only a specific population of the agency will be approved by the assistant commissioner overseeing that population of function.

Established responsibilities for liaisons.

The Office of External Affairs coordinates agency approval of all new or proposed substantive policy/procedure revisions. Establishes responsibilities. Notifies employees when new policy/procedures are available for review.

Policy/procedures revisions deemed only technical in nature are not required to undergo the review/approval process.

The Office of Inspector General has developed a "Procedure Review Checklist" for procedural audit reviews.

DCA

Has established a policy/procedures process for administrative procedures only.

Administrative policy/procedures are available on agency shared path.

Employees are notified via e-mail when a new or revised policy/procedure is available on the agency intranet.

The administrative policy procedure provides format and a template.

Development and authorization responsibilities are specified (agency head signs).

A Policies and Procedures Administrator is established.

Appendix B. DOE programs surveyed

Division of Accountability, Research and Measurement

- Bureau of Assessment and School Performance
- Bureau of Research and Evaluation

Division of Blind Services

- Blind Babies Program
- Children's Program
- Vocational Rehabilitation Program
- Independent Living Program
- Braille and Talking Book Library Services
- Orientation and Adjustment Center (DBS Residential Training Center)
- Business Enterprises Program

Division of Career and Adult Education

- Career and Technical Education
- Apprenticeship Program
- Adult Education
- Migrant Education Programs

Division of Public Schools

- Bureau of Curriculum and Instruction
- Just Read, Florida!
- Bureau of Student Achievement through Language Acquisition
- Bureau of Exceptional Education and Student Services
- Bureau of Student Assistance
- Bureau of Federal Education Programs
- Bureau of Family and Community Outreach
- Chancellor's Office – virtual schools
- Office of Early Learning

- Bureau of Educator Certification
- Bureau of Educator Recruitment, Development, and Retention
- Bureau of Professional Practices Services

Division of Florida Colleges

Overall administration and reporting for the state college system.

Division of Vocational Rehabilitation

- General Vocational Rehabilitation Services
- Injured Worker Program
- Adults with Disabilities Grant Program
- Center for Independent Living
- Florida Endowment for Vocational Rehabilitation (Able Trust)
- Florida Alliance for Assistance Services and Technology

Division of Finance and Operations

- Bureau of School Business Services
- Bureau of Budget Management
- Bureau of the Comptroller
- Office of Educational Facilities
- Office of Technology and Information Services
- Office of Student Financial Assistance
- Bureau of Contracts, Grants, and Procurement Services
- Bureau of Personal Management and Labor Relations
- Bureau of General Services

Commission for Independent Education

Independent Education and Parental Choice

Office of Communications

Appendix C. Survey questions sent to program managers on December 9, 2009.

1. Who currently develops policy and procedures documents?

Division director ____
Program manager ____
Supervisor ____
Staff ____
Other ____ Specify _____.

2. If you think another level would be more appropriate, what would you recommend?

Division director ____
Program director ____
Supervisor ____
Staff ____
Other ____ Specify _____
Current level is best ____

3. Who authorizes/approves?

Commissioner ____
Division director ____
Program manager ____
Supervisor ____
Other ____ Specify _____.

4. If you think another level would be more appropriate, what would you recommend?

Commissioner ____
Division director ____
Program manager ____
Supervisor ____
Other ____ Specify _____.
Current level is best ____

5. Are written policies and procedures reviewed and updated at established time intervals?

Yes ____ Specify _____
No ____

6. If no, when are they reviewed and updated?

When management changes ____
When statutes change ____
Other ____ Specify _____

7. Are policies and procedures reviewed and updated frequently enough?

Yes ____
No ____

8. If no, what are some impediments to reviewing and updating as frequently as needed? (Check all that apply)

Too time consuming ____

Too difficult to finalize the document ____
Too many layers of approval ____
Lower priority than other work requirements ____
Other ____ Specify _____

9. Are your written policies and procedures currently up to date?
Current and accurately reflect actual practices/operations ____
Mostly current, minor updates needed ____
Fairly current, moderate updates needed ____
Major updates needed ____
Other ____ Specify _____

10. What are some characteristics of effective written policies and procedures?
(Check all that apply)
Clear and concise ____
Specify action to be taken ____
Reflect statutory requirements ____
Provide flexibility ____
Other ____ Specify _____

11. How are written policies and procedures disseminated to staff and other potential users? (Check all that apply)
E-mail ____
Staff meetings ____
Available on Web site ____
Other ____ Specify _____

12. How would you characterize the level of awareness among staff and other potential users of the policies and procedures that are currently available?
High awareness and frequent use ____
Occasional use ____
Rarely used ____
Other ____ Specify _____

13. What do you think are the advantages of establishing written policies and procedures? (Check all that apply)
Provides consistency to program operations ____
Serves as training tool for new employees ____
Helps ensure that statutory requirements are met ____
Other ____ Specify _____

14. What are the disadvantages? (Check all that apply)
Too time consuming to develop ____
Program changes too often ____
Program is too complicated ____
Other ____ Specify _____

15. Please add any comments you wish to make:

Appendix D. Results of survey sent to DOE program managers.

Summary Results: The survey was sent to 37 recipients and of the 37 recipients 24 completed the survey (65%).

1. Who currently develops policy and procedure documents?

Received 23 completed responses:

Eleven responded to “other”. Seventy-three percent of the respondents answered that more than one person in a division develops policy and procedures. The question may have been better worded if we provided a “check all” capability.

Three (13%) responded “division director”; however, five recipients also listed Division director in the “other” category. If responses were adjusted to include the additional five responses, 35% of recipients would have selected “Division director”.

Four (17%) responded “program manager”; however, four recipients also listed program manager in the “other” category. If responses were adjusted to include the additional four responses, 35% of recipients would have selected “program manager”.

Two (9%) responded “supervisor”; however, two recipients also listed supervisor in the “other” category. If responses were adjusted to include the additional two responses, 17% of recipients would have selected “supervisor.”

Three (13%) responded “staff”; however, seven recipients also listed staff in the “other” category. If responses were adjusted to include the additional seven responses, 43% of recipients would have selected “staff.”

Respondents also listed: bureau chief, VR administrators, policy administrator, chancellor and commissioner.

Auditor conclusion: Persons responsible for developing policy and procedures documents varies depending on the organizational unit and the nature of the document. However, most respondents indicated that the division director, program manager, or supervisor is responsible.

2. If you think another level would be more appropriate, what would you recommend?

Received 14 completed responses:

Nine (64%) responded “other”. Five of the nine respondents (56%) responded N/A or left the answer blank. Four respondents (44%) responded that they are happy with the current level.

Two (14%) responded that the program director would be a more appropriate level for developing policies and procedures.

Three (21%) responded that staff would be a more appropriate level for developing policies and procedures.

Auditor conclusion: If the two responses from question two “program manager” were included in question one, the response rate would have been 43% (10/23) rather than 35%. If the three responses from question two “staff” were included in question one, the response rate would have been 57% (13/23) rather than 43%. This question should have mentioned that the recipients could skip the question if not applicable.

3. Who authorizes/approves?

Received 24 completed responses:

Nine (38%) responded to “other”. The most common response appears to be bureau chief with 56% of the responses.

Four (17%) responded “commissioner”; however two recipients also listed commissioner in the “other” category. If responses were adjusted to include the two additional responses, 25% would have selected “commissioner.”

Seven (29%) responded “division director”; however three recipients also listed division director in the “other” category. If responses were adjusted to include the three additional responses, 42% would have selected “division director”.

Three (12%) responded “program manager”; however one recipient also listed Program manager in the “other” category. If responses were adjusted to include the additional response, (17%) would have selected “program manager.”

One (4%) responded “supervisor”; however, two recipients also listed supervisor in the “other” category. If responses were adjusted to include the additional responses, 13% would have selected “supervisor”.

Respondents also listed: policy specialist, framework approved all the way up to the State Board of Education, legal counsel, and Commission for Independent Education’s Commissioners

Auditor conclusion: Again we see a variety of responses with most respondents naming senior or mid-level management as the approver.

4. If you think another level would be more appropriate, what would you recommend?

Received 16 completed responses:

Eight (50%) responded that the “current level is best”; however, two recipients also listed, current level is best, in the “other” category. If responses were adjusted to include the additional responses, (63%) would have selected “current level is best”.

Five (31%) responded “other”. Of the five responses two should have been included in “current level is best” and two should have been left blank as their response was N/A. The additional comment was that the commissioner is required by statute.

Three (19%) responded that the division director would be more a more appropriate level for approving policies and procedures.

Of the 16 responses, nobody selected commissioner or supervisor as the appropriate level for approving policies and procedures.

Auditor conclusion: Respondents are generally satisfied with the current level of approval.

5. Are written policies and procedures reviewed and updated at established time intervals?

Received 26 completed responses (either some answered the question twice or some did not complete the survey):

Thirteen (50%) believed that written policies and procedures are not reviewed and updated at established time intervals.

Thirteen (50%) believed that written policies and procedures are reviewed and updated at established time intervals. Seven of these 13 (54%) responded that written policies and procedures are reviewed annually.

Other responses included: changes occur with staff, needs of department audit findings, state requirements, and when funding entities change policies.

Auditor conclusion: Only half the respondents think written policies and procedures are reviewed at established time intervals. In about half of these instances, the time interval is one year.

6. If no, when are they reviewed and updated?

Received 18 completed responses (either some answered yes/no or some did not answer question five):

Twelve (67%) responded “other”. The most common response under the “other” category was statute or rule changes with 75% of the responses.

Five (28%) responded “when statutes change”; however, with nine responses as statutes changes in the “other” category, the response rate should have been 78%.

One (6%) responded “when management changes”; however, three recipients responded as management changes under the “other” category. If adjustments were made, 22% of the respondents would have selected “when management changes”.

Auditor conclusion: Policies and procedures are most often reviewed and updated in response to statute changes.

7. Are policies and procedures reviewed and updated frequently enough?

Received 23 completed responses:

Twenty one (91%) responded that policies and procedures are reviewed and updated appropriately.

Two (9%) responded that policies and procedures are not reviewed and updated frequently enough.

Auditor conclusion: Nearly all respondents believe policies and procedures are updated frequently enough.

8. If no, what are some impediments to reviewing and updating as frequently as needed? (Check all that apply)

Of the three responses received in the "other" category, two were N/A and one response was "not a big problem to update."

The most common trend with three responses was lower priority than other work requirements. One other response included too time consuming.

Auditor conclusion: Considering questions seven and eight, respondents, for the most part, did not think significant impediments exist.

9. Are your written policies and procedures currently up to date?

Received 24 completed responses:

Six (25%) responded that their policies are current and accurately reflect actual practice/operations;

Fourteen (58%) responded that their policies are mostly current with minor updates needed;

Two (8%) responded that their policies are fairly current and moderate updates are needed;

None of the recipients responded that there were major updates needed for their written policies and procedures; and

The two respondents that responded with "other" were not able to answer since it varied depending on the division unit.

Auditor conclusion: Most respondents (83%) believe that policies and procedures are either current or in need of only minor updates.

10. What are some characteristics of effective written policies and procedures? (Check all that apply)

Most of the answers were reflected in the first three answer choices: clear and concise; specify action to be taken; and reflect statutory requirements. With responses respectively as follows: 83%, 87% and 83%.

Other responses included: solve the problem and three answered all of the above.

Auditor conclusion: Respondents listed: clear and concise; specify action to be taken; and reflect statutory requirements as the primary characteristics of effective written policies and procedures.

11. How are written policies and procedures disseminated to staff and other potential users? (Check all that apply)

It appears that the programs are using all three methods (e-mail, staff meetings, and website) to disseminate written policies and procedures to staff and other potential users.

Other responses also included: public meetings, on shared network, in hard copy manuals, CD, supervisor training, intranet, conference calls.

Auditor conclusion: The programs are using all three methods (e-mail, staff meetings, and website) to disseminate written policies and procedures to staff and other potential users.

12. How would you characterize the level of awareness among staff and other potential users of the policies and procedures that are currently available?

Received 24 completed responses:

The most common response with 54% of the responses was high awareness and frequent use.

The second most common response was "other" with 25% of the responses. The majority of the responses noted that it depends on the division.

21% of the respondents responded that policies and procedures are occasionally used.

Auditor conclusion: Somewhat mixed results with a slight majority of respondents thinking that the awareness level is fairly high with frequent use and about one fifth of the opinion that policies and procedures are occasionally used.

13. What do you think are the advantages of establishing written policies and procedures? (Check all that apply)

Auditor conclusion: There does not seem to be a clear response. Respondents appear to have answered that all three choices: provides consistency to

operations, a training tool for new employees, and helps ensure that statutory requirements are met, apply.

14. What are the disadvantages? (Check all that apply)

Auditor conclusion: The consensus appears to be that policies and procedures can be too time consuming; however, following this response many felt that there were no disadvantages to developing policies and procedures.

15. Please add any comments you wish to make:

Auditor conclusion: It appears that some of the questions were difficult to answer as the response may vary among the different programs within each division.

Appendix E. Index of policy and procedures documents reviewed.

Division of Accountability, Research and Measurement

Office of Student Assessment and School Performance

- State of Florida Employee Handbook (by DMS)
- FCAT: Administration, Scoring and Reporting, Test Development Center, Psychometrics
- DOE Procedure for Handling/Archiving FCAT Test Materials for the 2009-2010 Administration
- Knowledge Base (FAQ's, general guidelines, links)
- Procedures for Submitting Inquiries: FCAT Score Inquiry System
- Postsecondary Hiring Procedures, Postsecondary Web Procedures, Postsecondary Security Procedures: Handling Test Materials and Confidential Information, Travel, Public Records

Bureau of Research and Evaluation

- Education Data Warehouse: Functional Rules

Community College & Technical Center MIS

- Florida College System: 2009-10 Data Submission Procedures
- Florida College System: 2010-11 Admissions Data Base, Annual Personnel Reports
- Florida College System: 2010-11 Integrated Data Base
- Florida College System: 2010-11 Student Data Base
- Florida College System: 2010-11 Personnel Data Base
- Florida College System: 2010-11 Facilities/Capital Outlay Data Base
- 2008-09 District Workforce Development Information System Database Handbook
- 2008-09 Secondary Vocational Database Handbook

Division of Blind Services

Braille and Talking Book Library Services

- Computer Services Procedures Manual: 3.3: Introduction to Computer Services
- Operations Manual for Braille
- Procedures Manual: Office of the Chief
- Circulation Services Procedures Manual
- Reader Services Procedures
- Technical Services Procedures Manual
- Volunteer Services
- Recording Department: Standard Operating Procedures

Client Services

- Special Materials
- Services to Groups of Individuals Who Are Blind and Visually Impaired Residing in Florida
- Fiscal Accountability of Services to Groups
- Variable Workweek Schedule

- Agreements Which Involve the Exchange of Money
- Accessible and Usable E-mail
- Process for Policy Development
- Florida DBS Vendor Contract Criteria
- 2.0 Planning and Procedures Development
- 6.0 Financial Management
- 8.0 Medical Services
- Utilization Guidelines for Independent Vendor Individual Services Contract (Authorization)

Orientation and Adjustment Center (DBS Residential Training Center)

- Orientation & Adjustment Center Hurricane Procedures
- The Orientation & Adjustment Center Policy for Smoking in the Workplace
- Orientation & Adjustment Center Student Handbook of Policies and Procedures

Business Enterprises Program

- Business Enterprises Policy and Procedure Manual
- Memos: Computer Acquisition Project, Monthly Business Report Changes, Change in Vacancy Announcement Postings, Monthly Reports-Fiscal Issues, Change in Business Enterprises Modular Training, Policy on Exit Inventory Procedures, Policy on Receipt Date of Set-Aside Levy, Set-Aside Reduction and Report Timeliness, Policy on Reimbursable Repairs Update, Policy on Reimbursable Repairs, Policy on Repayment Plans, Change in Vacancy Announcement Postings, Policy on Working Capital Reductions, Policy on Working Capital Reimbursements, Policy on Working Capital Shortages and Repayment Plans, Assignment of "Unprofitable" Facilities to a Vendor, Assignment of a Temporary Licensed Operator Agreement, Confidentiality and Privacy
- Business Enterprises Program Manual (Vendor Manual)
- Memos: Change in Reporting Procedures, Confidentiality and Privacy, Computer Purchases for Persons in the BEP, Policy on Receipt Date of Set-Aside Levy, Policy on Reimbursable Repairs Update, Policy on Repayment Plans, Policy on Working Capital Reductions, Policy on Working Capital Reimbursements
- DBS: Bureau of Business Enterprises Policy and Procedures

Division of Career and Adult Education

Apprenticeship Program

- Electronic Recordkeeping
- Maintenance of Apprenticeship Records
- Reinstatement of Registered Participants
- Issuance of Certificate of Meritorious Service
- Government Entity Participation in Apprenticeship
- Grandfathering of Apprentices
- Granting Credit
- Related Technical Instruction Delivery Methods

Adult Education

- Adult Basic Education (ABE)

- Test of Adult Basic Education (TABE)
- Assessment
- English Speakers of other Languages (ESOL)
- General Education Diploma (GED)
- Literacy Education for Households (LEH)
- Screening for Learning Disabilities in Adult Education Programs
- Accommodations for Students in Adult Education Programs

Migrant Education Programs

- Workforce Investment Act of 1998, Public Law 105-220
- Pre-Enrollment Services
- Program Services
- Budget and Program Forms
- NFJP Desk guide

Division of Public Schools

Bureau of Curriculum and Instruction

- Policies and Procedures for the Florida Instructional Materials Adoption

Bureau of Student Achievement through Language Acquisition

- Procedures for Handling AALA E-mail Account Assignments
- Procedures for Updating Contact Info
- Procedures for Handling an ESOL Complaint
- Procedure for Processing Applications and Maintaining Status for J -1 Visa-Holding Exchange Teachers
- Procedures for Mail Services
- Program Activities, Goals and Objectives and Unit Functions and Responsibilities
- Procedures for Preparing the Division of K-12 Public Schools and the Florida Department of Education Correspondence
- Procedures for DOE Information Database Requirements
- Procedures for the Grant Application Process
- Procedures for Leave Request (annual and sick)

Bureau of Exceptional Education and Student Services

- Developing a Technical Assistance Paper (TAP)
- Guidelines for Project Products
- Document Development Cheat Sheet
- DOE Accessibility Check List for Submitting Electronic Documents for Web
- Services Request
- TAP Template

Bureau of Student Assistance

- Determining Comparability of Services
- Approving Budget Amendments
- Approving Budget Amendments for Allocation of Carry-Forward Funds

Office of Federal Programs

- General Provisions- No Child Left Behind programs

Bureau of Family and Community Outreach

- Policy, Monitoring and Compliance: 21st CCLC Administrative Team: Guidance Related to the Close Out of 21st CCLC Grants
- 21st Century Community Learning Centers 2009-2010: Standard Operating Procedures Program Evaluation (PE) Unit
- 21st Century Community Learning Centers 2009-2010: Standard Operating Procedures Technical Assistance and Training (TAT) Unit
- 21st CCLC Policy Manual: Part B of Title IV-21st Century Community Learning Centers, No Child Left Behind Act of 2001, Public Law 107-110
- Staff Development: Policy, Monitoring, and Compliance: 21st CCLC Administrative Team
- A Resource Manual for Teenage Parent Programs in Florida School Districts

Bureau of Educator Certification

- ADR User Training
- 2009 Manual
- User Training Doc-History of Department, Time Entry Directions, Processing Mail, Collection of Monies, Fee Entry, Verifying Applications, Verifying Correspondence
- Records Unit Procedures-Scanning

Bureau of Professional Practices Services

- Office Procedural Manual (Application): 1. Organization of the Department of Education 2. Office of Professional Practices Services 3. Statutes and Rules 4. Case Opening Procedures 5. Investigation 6. Applicant Failed to Respond 7. No Further Action 8. Investigative Report 9. Blip List 10. No Probable Cause to Deny 11. Probably Cause to Deny 12. Filing Cases with the Education Practices Commission 13. Settlement 14. Formal Hearing 15. Informal Hearing 16. Default
- Office Procedural Manual (Investigation): Resource Handbook: 1. Organization of the Department of Education 2. Office of Professional Practices Services 3. Statutes and Rules 4. Case Opening Procedures 5. Investigations 6. Informational Conference 7. Investigative Report 8. No Probable Cause 9. Probable Cause 10. Filing Cases with the Educational Practices Commission (EPC) 11. Settlement 12. Formal Hearing 13. Informal Hearing 14. Surrender 15. Default 16. Deferred Prosecution

Office of Equal Education Opportunity

- Planning for a FDOE, OEEO, Civil Rights On-Site Compliance Review
- K-20 Technical Assistance Manual

School Transportation Management Section

- School Transportation Compliance Monitoring Work Papers
- Florida Guidelines for Seating of Pre-School Age Children in School Buses
- Charter Schools Transportation Resource Guide
- Florida School Bus Safety Inspection Manual
- Florida School Bus Specifications
- School Bus Accident Reporting and Instructions (web based reporting system)

- School Bus Hazardous Walking Reporting and Instructions (web based reporting system)
- School Bus Inventory Reporting and Instructions (web based reporting system)
- Parent Contact Form

Office of Funding and Financial Reporting (OFFR)

- AFR Package Preparation and Testing to NWRDC
- ESE 348 Spreadsheet Applications and Internet Submission Procedures
- Instructions for Preparing the Annual Financial Report
- AFR Review Procedures
- Audit Guidelines for Processing AG FTE Audits
- Budget Review Procedures
- 2008-09 Annual Cost Report Checklist

Division of Vocational Rehabilitation

Bureau of Compliance & Oversight

- Bureau of Compliance and Oversight: Policies and Procedures Manual 2009

General Vocational Rehabilitation Services

- Counselor Policy Manual (see Bureau of Field Services)

Bureau of Rehabilitation and Reemployment Services

- Fiscal User Manuals
- ARAMIS Related Standard Operating Procedures
- Qualified Rehabilitation Provider Rotation Process Business Rules
- Carrier Monitoring Standard Operating Procedures
- Case Management Standard Operating Procedures
- Crisis Intervention and Prevention Standard Operating Procedure Manual
- Fiscal Standard Operating Procedures
- The Gold Book
- Marketing and Employer Relations Standard Operating Procedures
- Services Provided Standard Operating Procedures

Center for Independent Living

- Independent Living Program: Policies and Procedures Manual

Bureau of Field Services

- DVR Operational Policies and Procedures for Counselors (Counselor Policy Manual)
- Field Services Operating Procedures- Quality Assurance
- FL Service Record Review Guide
- Contract Provider-Field Services Quality Assurance
- DVR Authorization Payment Checklist Contract Provider
- Contract Provider Client Services Authorizations
- Client Services Authorizations
- Government/Corporate Accounts
- Refunds and Warrant Cancellations
- Revolving Fund Account

Division of Finance and Operations

Bureau of the Comptroller

- Accounts Payable: Certification Form Memo Cell-Blackberry (v2 and v3), eRate-FIRN-invoices, Membership Dues, MFMP Invoice Recon, MIT, Scanning Vouchers, Membership Request, MFMP Specific Duties
- Case Management: Batch Upload, Cash Refund Procedures, Check log Procedures, Deposit Procedures, FLAIR to G5 Reconciliation Procedures for Auditors, Gross Rcpt Procedures, Investment & Liquidation Procedures, Procedures for Clearing Account BBE, Quarterly Cash Collection Points Master List Procedures, Wires Procedures, Cash Draw Procedures, Check Scanner Settings, Deposit Procedures for November 2006, Directions for Scanning Checks, General Revenue Service Charge Instructions, How to Input Monthly Interest, Policy Section 3 8 Handing Funds Rev 4-2007, Procedures for Scanning Deposits (BIZHUB), Quarterly Submission of bank accounts outside State Treasury Procedures
- Contractual Payments: DMS Leasing Guidelines, Miscellaneous Invoice Transmittals, Procedures for Computer Equipment Adjustments, Procedures for Updating Property Insurance, Settlement Agreement Package 07-2006, MFMP Specific Duties, Procedures for Computer Equipment Action Form, Procedures for New Contracts, Amendments, Renewals & Extensions, Property Insurance, Settlement Agreements
- Debt Collection and Write-Off Procedures
- Payroll: File One Procedures, Leave Payouts from Federal Sources, On-Line Ret Adj Process, Payroll, Processing Leave Payout, Audit Findings Compliance, DFSBP 07-01 Paper Warrant Cancellation, Instructions for Misc Deduct Letter 2007-07-26, Leave Transfer Reconciliation Steps, Payroll Posting, Position Funding Phase I, Processing Leave Payout Transfers
- Procedures for Public Records Requests
- Travel: Authorized Travel
- VR: Operating Procedures-Vocational Rehabilitation, SF 269 Reporting Procedures, RSA-2 Reporting Procedures VR
- Year End: Certification Forward Procedures, Year End Deadlines 2009, Year End Supplemental Deposits, Certification Forward Procedures 2007, FCO Certified Forward, Year End Interest Receivables and Administrative Fee Payables, Batch Encumbrance to Payables Process, Year End Receivables
- Blind Services: RSA2 Reporting Procedures, SF 269 Reporting Procedures
- FLAIR: FLAIR Input, FLAIR Access: FLAIR access control, RDS Access Control, Setup of New EO & Object Code
- Reconciliations: DAC to CAC Reconciliation Desktop Procedures, DAC to CAC Reconciliation Procedures, Property Reconciliation Procedures, Reconciliation Notes
- AMEX: American Express Procedures
- Pcard: Access & Cancellation, Pcard Report Memo, Purchasing Card Report
- CMIA: Procedures for Cash Management Improvement Act
- Transfers Procedures

Office of Technology and Information Services

- Office of Technology Planning and Management: Policies and Procedures Handbook

- Bureau of Educational Technology: Written Policies and Procedures
- Education Data Center: End User Support, Operational Change Management Online RFC Tracking System, PC Support, Production Control, Server Team, Telecom
- ISDM Work Group, Security Considerations when Integrating with DOE Resources, Information Security Best Practices
- Information Security Internal Operating Procedures
- Information Security DRAFT Internal Operating Procedures
- Procedures and Forms for Various Security Approvals

Office of Student Financial Assistance

- Collections Unit Procedures
- Procedures Manual: Loan Origination (Guarantee Processing, Foreign School, Teacher Loan Forgiveness, National Student Loan Data System), Record Maintenance, Default Aversion, Cohort Default
- Information Technology Policy and Procedures
- NWALT Policy and Procedures
- Mandatory Assignment/Subrogation Process
- Claims Manual
- Top Desktop Procedures
- 2009 Desktop Procedures for AWG Hearings, Non-Compliance Employers, Ombudsman Office Inquiries, PIF-Paid In Full
- Customer Service: Reinstatement of Title IV Procedures, Settlement in Full Procedure, Incarcerated Borrower Procedure
- Administrative Wage Garnishment Manual

Bureau of Contracts, Grants, and Procurement Services

- Audit Resolution Desktop Procedures for AG Audit Findings and Follow-up on District School Boards
- Audit Resolution Desktop Procedures for Audit Finding and Follow-up for Non-state Entities Receiving State Financial Assistance or Federal Passed Through Funds
- Florida Single Audit Act State Agency Compliance Guidelines
- Process Operating Manual
- Application Intake/Review Process
- DOE Contract Administration Desk Procedures Manual
- Leasing Manual

Bureau of Personnel and Labor Relations

- 1. The Americans with Disabilities Act 2. Complaints of Discrimination 3. Sexual Discrimination 4. Attendance and Leave; Scheduling, Reporting and Records 5. Employment of Relatives 6. Dual Employment and Compensation 7. Employee Assistance Program 8. Equal Employment Opportunity and Affirmative Action 9. Fitness for Duty Examinations 10. Political Activities 11. Solicitations and Distributions of Literature 12. Personal Conduct and Performance Expectations 13. Standards of Disciplinary Action 14. Workplace Safety and Security 15. The Family and Medical Leave Act and The Family Supportive Work Program 16. Recruitment and Selection 17. Sick Leave Pool 18. Employment Screening

- Desktop Manual Office of Labor Relations: ADA Information and Procedure, Employee Termination/Suspension, Employee Assistance Program: Supervisory Referral Procedure, Inquiries and Complaints, Unemployment Compensation Information Procedures

Bureau of General Services

- Internal Operating Procedures
- Desktop Procedures

Food Nutrition and Management

- Program Administration
- Program Operations
- FNM General
- Program Services
- National School Lunch Program Summer
- Food Service Program
- Program Operations-HR
- Program Operations-Budget
- Program Operations-Claims
- Program Operations-Financial Reporting
- Resource Center
- FNM General-Travel
- Program Reviews
- NSLP & SFSP
- Program Services-SMI

