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Florida Department of Education Office of Inspector General

Memorandum

Date: March 23, 2012

To: Linda Champion, Deputy Commissioner, Division of Finance and Operations

Via: Peter Williams, Inspector General

From: Greg White, Audit Director

Re: Review of Department Hiring Process (M-11/12-05)

Overview

Our office has reviewed the Department of Education's (Department) hiring process in accordance with our fiscal year 2011/12 audit plan. The objectives of the review were to: 1) map the hiring process – noting key steps, documents, and timeframes; 2) review the current process for efficiency and timeliness; and 3) contact other state agencies for potential best practices. The scope included original and internal hires with a personnel action from January 1, 2011 to August 31, 2011.

Interviews

Twenty hiring managers and liaisons were interviewed regarding their experiences with the Department's hiring process. The overall satisfaction rating was 2.8 on a scale of 1 to 4. The scale ranged from 1- Not satisfied at all to 4- Extremely satisfied. The majority of interviewees (14 of the 20) rated the process as a 3 – Somewhat satisfied.

Forty-five percent (9 of the 20) of the interviewees believed they had lost a candidate due to delays in the hiring process. An additional three had heard of others losing a candidate. Other recurring themes from the interviews were:

- Too many required signatures, check points, paper forms and delays in the process (10 related responses).
- Too many unqualified applicants and/or difficulty finding time to review all the applications (7 related responses).
- Additional training desired to become more knowledgeable about the process (4 related comments).

File Review

Twenty-eight files were randomly sampled: fourteen internal appointments and fourteen new hire appointments (first

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full time position with the Department). The files were reviewed for signatures and dates on key hiring documents. Key documents include the Critical Position Request form (CPR) used to implement any hiring or salary related action and the Personnel Action Form (PF12) used to finalize the candidate selection/hiring package. We observed physical signatures as opposed to the Department’s electronic system, so all dates recorded are per the hardcopies in the Bureau of Personnel Management and Labor Relations (Personnel) files.

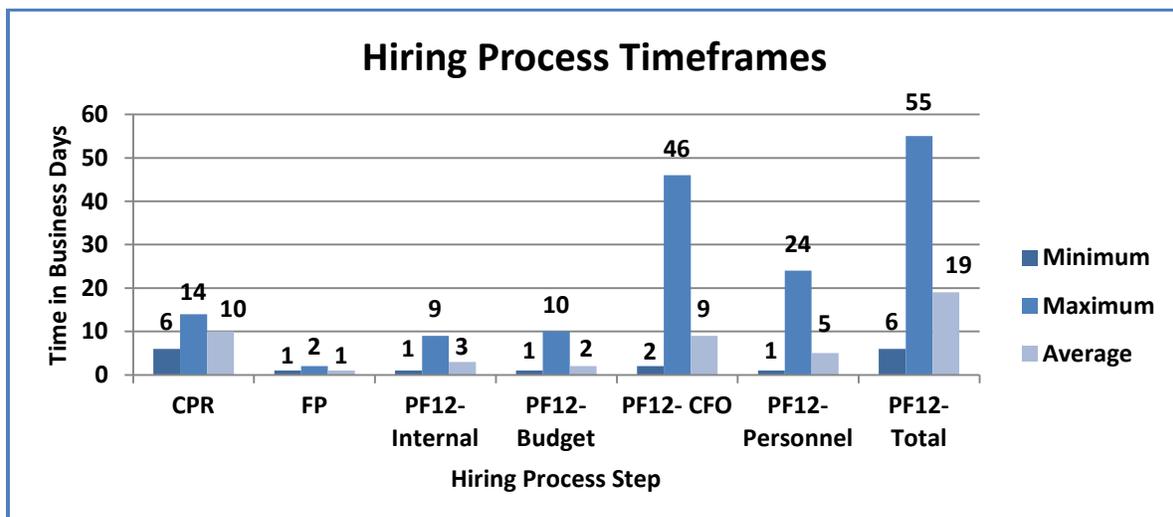
Please note areas within the Department may have their own tracking methods not represented in our figures. For example, Personnel reviews a personnel action when they have both the paper and electronic copy. Personnel’s internal tracking does not start until both copies are received, while our review was based solely on the hardcopy from the file. Our tracking method was from signature to signature and so transit time was included in the totals. An area’s actual processing time may have been less than the amount shown since transit time was included.

Of the 28 randomly sampled files, 6 were from the Division of Blind Services (DBS), 15 from the Division of Vocational Rehabilitation (DVR), and 7 from other Divisions/Offices within the Department. The hiring information provided by Personnel did not include Division/Office information, but our random sample showed that DBS and DVR account for a substantial amount of Department hiring actions. DBS and DVR employees include counselors that assist Floridians with visual, physical, or mental disabilities. Delays in the hiring of counselors affect the delivery of services to their clients, as noted by one of the DVR hiring managers interviewed.

Our sample size was limited; however, several inconsistencies in the process were noted:

- DBS and DVR are not required to submit the CPR form prior to advertising for a position, but are required to submit the form (photo-copied from June 2008 in the case of DVR) with the final hiring package.
- In three instances, non-DBS/DVR positions did not have the CPR approved prior to advertising the position.
- In one instance, the PF12/final hiring package approval process was started prior to fingerprint clearance.

Process time expenditures for several key steps/approvals are depicted in the graph below:



Figures were based on hardcopies in the file. Timeframes were measured from signature to signature, and therefore include transit time. Averages were rounded to the nearest whole number and in some cases limited data was available. Listed results and methodology from our file review are available in Attachment A.

Best Practices

We contacted two other agencies to obtain ideas for potentially increasing the efficiency of the hiring process.

Beginning in 2002, the Florida Department of Revenue (DOR) revamped their hiring process over a three year period and drew on input from over 200 employees. DOR reviewed their process to determine which steps did not add value. Process revisions included reducing approval levels, reducing paper handling by Human Resources, and shifting more accountability to the hiring managers. DOR's hiring justification memorandum is a potential best practice the Department may wish to consider. The DOR justification memorandum aids in documenting the hiring decision and shows how veterans' preference was provided.

The Florida Department of Environmental Protection, Division of Law Enforcement (DLE) conducted a Rapid Process Improvement event in February 2009 for hiring new sworn officers. The improvement exercise included a step by step mapping of the current process, identifying efficiency barriers with associated causes and solutions, and an improvement plan. The project led to the removal of 140 individual steps, 25 information exchanges, and 10 delay points in their process. The DLE moved their background packets to a secure folder on their common-drive and transmitted them electronically to reduce duplication of filing electronic and hardcopies. Using electronic copies and transmittals where possible is a potential best practice the Department may wish to consider.

Opportunities for Improvement

We recommend the Department undergo a similar process improvement exercise to review the hiring process. This can be done internally or using outside consultants. We suggest the improvement activities include the input and participation of Department employees.

Items to consider when reviewing the hiring process:

- Review the process or tools available to assist in reducing the number of unqualified applicants.
- Prioritize positions that deal directly with the public/clients and document exceptions to the standard process in policies and procedures.
- Review the process to see if steps can be performed concurrently rather than in a series. For example, starting the final hiring package approval process prior to fingerprint clearance. This could potentially save one to two days if the fingerprints results were cleared.
- Use electronic filings, signatures, and transmittals when feasible.
- Eliminate specialization and duplication of work in the process. Determine if additional reviews add value, especially if the staff is within the same office.
- Determine if final approval by the Chief Financial Officer and Commissioner is necessary for all hires.
- Provide additional training as requested by Department employees.

The Office of Inspector General would like to thank all Department staff that assisted with the project, especially Personnel staff. We offer our assistance for any future improvement activities concerning the Department's hiring process.

Attachment A

Emp.	CPR Liaison Submits	CPR Cab Mem Approve	CPR CS/CFO Approve	Total CPR Process	FP Liaison Sends Docs	FP Results from FDLE	FP Notification by OIG	Total FP Process	PF12 Liaison Signs	PF12 BC Signs	PF12 Div Dir Signs	PF12 Total Internal	PF12 Budget Signs	PF12 Total Budget	PF12 CFO Signs	PF12 Total CFO	PF12 Pers Date Stamp	PF12 Pers Dir Signs	PF12 Total Pers	Total PF12	Total CPR+FP+ PF12				
1	1/11/11	---	1/28/11	0*				---	1/11/11	1/12/11	---	2	1/19/11	4	1/28/11	7	2/9/11	2/9/11	8	21	21				
2	1/13/11	1/14/11	1/31/11	0*				---	12/23/10	---	12/23/10	1	12/28/10	2	1/31/11	22	2/2/11	2/9/11	7	32	32				
3	2/16/11	2/16/11	3/2/11	11	3/9/11	3/11/11	3/11/11	1	3/11/11	---	3/11/11	1	3/11/11	1	3/25/11	10	3/25/11	3/29/11	2	14	26				
4	3/8/11	3/18/11	3/25/11	14	5/26/11	5/31/11	5/31/11	0*	5/9/11	5/9/11	5/10/11	2	5/24/11	10	6/1/11	5	6/2/11	6/7/11	4	21	35				
5	3/10/11	3/10/11	4/6/11	0*	3/4/11	3/10/11	3/10/11	1	3/10/11	3/14/11	---	2	3/10/11	0*	4/6/11	19	4/7/11	4/15/11	7	28	29				
6	4/8/11	4/11/11	4/15/11	6	4/29/11	5/3/11	5/4/11	2	5/4/11	5/4/11	---	1	5/6/11	2	5/11/11	3	5/17/11	5/17/11	4	10	18				
7	---	---	---	---				---	5/18/11	---	5/19/11	2	5/19/11	1	5/22/11	2	5/23/11	5/23/11	1	6	6				
8	DBS	DBS	DBS	---				---	7/6/11	---	7/6/11	1	7/11/11	3	8/8/11	20	8/10/11	8/22/11	10	34	34				
9	DBS	DBS	DBS	---				---	1/26/11	---	1/26/11	1	1/26/11	1	1/31/11	3	2/1/11	3/4/11^	24	29	29				
10	DBS	DBS	DBS	---				---	6/23/11	---	6/23/11	1	7/1/11	6	7/31/11	20	8/2/11	8/11/11	8	35	35				
11	DBS	DBS	DBS	---				---	2/23/11	2/23/11	2/23/11	1	2/24/11	1	3/1/11	3	3/1/11	3/3/11	2	7	7				
12	DBS	DBS	DBS	---	5/5/11	5/4/11	5/5/11	1	5/12/11	5/12/11	5/12/11	1	5/13/11	1	5/18/11	3	5/19/11	5/23/11	3	8	9				
13	DBS	DBS	DBS	---				---	8/2/11	8/2/11	8/2/11	1	8/4/11	2	8/8/11	2	8/10/11	8/16/11	6	11	11				
14	DVR	DVR	DVR	---				---	8/25/11	---	8/29/11	3	8/26/11	0*	9/6/11	6	9/6/11	---	0*	9	9				
15	DVR	DVR	DVR	---				---	12/13/10	---	12/13/10	1	12/14/10	1	2/19/11	46	2/21/11	3/2/11	7	55	55				
16	DVR	DVR	DVR	---				---	6/3/11	6/3/11	6/9/11	5	6/8/11	0*	6/19/11	8	6/20/11	6/23/11	3	16	16				
17	DVR	DVR	DVR	---				---	1/6/11	1/10/11	1/11/11	4	1/11/11	1	1/23/11	8	1/24/11	1/26/11	2	15	15				
18	DVR	DVR	DVR	---				---	4/1/11	4/4/11	4/7/11	5	4/9/11	2	4/13/11	2	4/16/11	4/20/11	5	14	14				
19	DVR	DVR	DVR	---				---	6/3/11	6/6/11	6/10/11	6	6/9/11	0*	6/16/11	5	---	6/20/11	2	13	13				
20	DVR	DVR	DVR	---				---	5/4/11	5/3/11	5/9/11	5	5/6/11	0*	5/15/11	6	5/16/11	5/19/11	3	14	14				
21	DVR	DVR	DVR	---				---	8/19/11	8/19/11	8/30/11	8	8/29/11	0*	9/7/11	6	9/7/11	9/13/11	4	18	18				
22	DVR	DVR	DVR	---				---	12/9/10	12/14/10	12/21/10	9	12/21/10	1	12/28/10	4	12/28/10	12/30/10	2	16	16				
23	DVR	DVR	DVR	---	12/9/10	12/7/10	12/9/10	1	2/9/11	2/11/11	2/21/11	9	---	---	2/25/11	4	2/28/11	3/2/11	3	16	17				
24	DVR	DVR	DVR	---	12/22/10	12/15/10	12/23/10	2	12/22/10	12/22/10	12/29/10	5	12/28/10	0*	1/11/11	9	1/12/11	1/18/11	4	18	20				
25	DVR	DVR	DVR	---	12/9/10	12/8/10	12/9/10	1	12/14/10	12/15/10	12/22/10	7	12/21/10	0*	1/3/11	7	1/5/11	1/10/11	5	19	20				
26	DVR	DVR	DVR	---	1/13/11	1/15/11	1/18/11	1	2/8/11	2/11/11	---	4	2/17/11	4	2/25/11	6	2/28/11	3/1/11	2	16	17				
27	DVR	DVR	DVR	---				---	7/15/11	---	7/15/11	1	7/19/11	2	8/4/11	12	8/5/11	8/5/11	1	16	16				
28	DVR	DVR	DVR	---	11/17/10	11/13/10	11/17/10	1	12/17/10	12/17/10	12/22/10	4	12/22/10	1	1/19/11	17	1/26/11	1/27/11	6	28	29				
Averages:				10.333					1.222222					3.3214			2.4211			9.464			5	19.25	20.75

Legend

- 0* Total not calculated, field not included in averages
- Information not available
- ^ Review involved the Department of Management Services
- BC Bureau Chief
- CFO Chief Financial Officer
- CPR Critical Position Request Form
- CS Chief of Staff
- Div Dir Division Director
- Emp Employee
- FDLE Florida Department of Law Enforcement
- I Internal hire, fingerprinting not required
- OIG Office of Inspector General
- Pers (Dir) Personnel (Director)
- PF12 Personnel Action Form/Hiring Package

Hiring Process Methodology for Determining Timeframes

The Hiring Process Review measured the processing time for three key steps: Critical Position Request Form (CPR) approval, fingerprint (FP) clearance, and Personnel Action Form (PF12) approval.

CPR

CPR processing starts when the liaison signs the form and ends when the Chief of Staff (COS) or Chief Financial Officer (CFO) approves the form. We measured from the date the liaison signed the form to the date the COS or CFO approved the form. We counted only business days, excluding weekends and holidays.

FP

FP processing starts when the Office of Inspector General (OIG) receives the signed consent form from the liaison and fingerprint results from the Florida Department of Law Enforcement. We measured from the date both documents were received to the date the OIG notified the liaison of the results. We counted only business days, excluding weekends and holidays.

Note: All sampled fingerprint results were cleared. FP processing time may increase substantially when a criminal record is found.

PF12

PF12 processing starts when the liaison signs the form and ends when the Personnel Director approves the form. Several processing sub-steps were measured: internal, Budget, CFO, and Personnel. Total internal processing time was measured from the date the liaison signed the form to the date the Division Director signed. Total Budget time was measured from the date the Division Director signed the form to the date Budget signed. Total CFO processing time was measured from the date Budget signed the PF12 to the date the CFO signed the form. Total Personnel processing time was measured from the date the form was signed by the CFO to the date the Personnel Director signed the form. We counted only business days for each step, excluding weekends and holidays.

We measured from signature to signature to capture transport time. There are some instances where sub-steps overlap and are completed on the same date. For example, the PF12 may have been processed internally on the same day that it was signed by Budget. In this case, the total internal processing time was counted as one day and the total Budget time was counted as one day. We did this for consistency purposes since date/time received stamps were not available in most instances.

The measurements and totals are intended to offer general information about processing times. We did not account for all special cases. As such, actual processing time may vary. Actual processing time was difficult to measure without consistent use of date received stamps.