



FLORIDA DEPARTMENT OF HEALTH  
OFFICE OF INSPECTOR GENERAL

VERIFICATION OF COMPLETION OF EMPLOYEE TRAINING  
REQUIREMENTS

Report # A-1718DOH-019 • November 19, 2018

**Purpose of this project:**

We wanted to determine whether the Department of Health (Department, DOH) is in compliance with the training component of the Office of the Governor *Executive Order Number 17-319*. We also wanted to determine whether the Department monitors to ensure the completion of Department required trainings for newly hired staff, newly hired or newly promoted supervisors, and the annual mandatory refresher training by all Department employees.

**What we examined:**

We analyzed TRAIN Florida data pertaining to Department required training for new hires, newly hired or newly promoted supervisors, and the annual mandatory refresher training for all staff employed more than one year, for the period from July 1, 2017 to January 31, 2018. TRAIN Florida does not include date of hire and date of promotion. We therefore used People First data for this information.

**Summary of Results:**

Management should address the following identified control weakness:

- The Department does not monitor the completion of employee training on an enterprise wide basis.

Additional details follow below. Final reports will include management's response in **Appendix A**.

## BACKGROUND

Internal Operating Procedure (IOP) 300-1-14, *Learning Management System*, (Operating Procedure) identifies TRAIN Florida as the Department's official learning system, which hosts and tracks all Department trainings.

TRAIN is a national learning network whose website describes TRAIN, as “[p]owered by the Public Health Foundation”...[and includes] “29 TRAIN affiliate agencies, including 26 state health and preparedness agencies and [three] federal agencies that includes the Centers for Disease Control and Prevention, the Medical Reserve Corps and the Veterans Health Administration”.

Department Policy (DOHP) 300-1-16, *Training*, (Policy) lists ten trainings all newly hired staff must complete within 30 days of hire; three trainings that all newly hired or newly promoted supervisors must complete within six months of hire or promotion; and a refresher training that all Department employees must complete by December 31 annually. The specific trainings are listed in **Exhibit 1**.

The Department already required Sexual Harassment Awareness training within 30 days for new hires when the topic was highlighted in Office of the Governor *Executive Order No. 17-319*, signed June 14, 2017, requiring each state agency to provide such training within 30 days of start of employment.

A review of the Department's Basic Supervisory Training Program Human Resources Overview training material verified the training covers additional guidance for new supervisors in relation to sexual harassment.

Since TRAIN Florida does not provide employees' hire date, we merged People First data and TRAIN Florida data using the People First User Identification (ID), and the TRAIN Florida Login Name, which should be the same. We were unable to test all Department employees for completion of required trainings because not all of the People First User IDs and the TRAIN Florida Login Names were the same. For example; there were 9,463 employees hired on or after January 1, 2017, but we were only able to test 2,761 new hires for the FDOH Customer Focus Training.

## DETAILED RESULTS AND RECOMMENDATIONS

Our audit identified the following opportunity for improving effectiveness and efficiencies in operations:

### **1. The Department does not monitor the completion of employee training on an enterprise wide basis.**

- The Operating Procedure requires Department supervisors ensure documentation of employee training completion in TRAIN Florida. The Operating Procedure makes no reference of tracking the overall completion of the required training on a statewide level.
- Management explained supervisors are responsible to ensure employees complete training requirements and other job-specific training requirements as assigned, and are oriented to their county health department (CHD), division, or office. Supervisors are also responsible to ensure employees have read the policies pertaining to all training requirements. These requirements are explained in the Operating Procedure.
- We judgmentally selected six Office and Division Directors' and six CHD Directors/Administrators' employee evaluations for review, for a total of 12. The six CHD Directors/Administrators' employee evaluations included a performance measure related to the completion of staff annual training requirements. None of the Office and Division Directors' employee evaluations included a performance measure related to staff training requirements.
- We found a large percentage of employees completed the required trainings within the required timeframes. However, some new hires, newly hired or newly promoted supervisors and annual refresher trainings were not completed, or were completed after the required timeframes. Please see tables in **Exhibit 1** for details.
- We analyzed trends and found one Division and one CHD with a much higher incidence of incomplete and late trainings. Please see **Exhibit 2** for details.

Without required training, the Department's employees may not understand and periodically be reminded of federal and state requirements and the Department's policies and procedures that are intended to promote conduct becoming of those that serve the Department to further the public's interest, and that also promote a safe, secure, and enjoyable workplace. Monitoring on an enterprise wide basis to ensure the Department's employees complete required trainings reduces such risks. Monitoring on an enterprise wide basis also promotes compliance throughout the Department's many offices, adding documentation to support appropriate training was received in those instances when staff stray from the Department's mission, vision, and values.

**We recommend the Bureau of Personnel and Human Resource Management periodically compare TRAIN Florida data to People First hire and newly promoted supervisor data to ensure all Department employees receive required training. A necessary component of this will need to be that the TRAIN Florida Login Name is the same as the People First identification number.**

## SUPPLEMENTAL INFORMATION

Section 20.055, *Florida Statutes*, charges the Department's Office of Inspector General with responsibility to provide a central point for coordination of activities that promote accountability, integrity, and efficiency in government.

William Bull, Senior Management Analyst II, conducted the audit under the supervision of Mark H. Boehmer, CPA, Director of Auditing.

Our methodology included reviewing applicable law, rule, policy, and operational procedures; analyzing data from People First and TRAIN Florida; and interviewing management and staff from the Department's Bureau of Personnel and Human Resource Management's Workforce Development Section, and the Office of Information Technology's Training and Development Section.

Additionally, we reviewed TRAIN Florida reports, and People First reports for compliance with completion of training and completion of training within the required timeframes.

This audit was conducted in conformance with *International Standards for the Professional Practice of Internal Auditing*, issued by the Institute of Internal Auditors, as provided by Section 20.055(6)(a), *Florida Statutes*, and as recommended by Quality Standards for Audits by Offices of Inspector General (*Principles and Standards for Offices of Inspectors General*, Association of Inspectors General).

We want to thank management and staff in the Department's Bureau of Personnel and Human Resource Management, and the Office of Information Technology for the information and documentation they provided, and for their cooperation throughout the project.

Copies of all final reports are available on our website at [www.floridahealth.gov](http://www.floridahealth.gov) (search: internal audit). If you have questions or comments, please contact us by the following means:

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<b>EXHIBIT 1</b>
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### New Hires

<b>Course Title</b>	<b>Number of employees tested</b>	<b>Number of employees not completing training</b>	<b>Percent of employees not completing training</b>	<b>Number of employees completing training late</b>	<b>Percent of employees completing training late</b>
<i>Public Health Preparedness Orientation</i>	1,809	29	1.60%	38	2.10%
<i>Equal Opportunity</i>	1,938	33	1.70%	34	1.75%
<i>Code of Ethics</i>	1,936	75	3.87%	35	1.81%
<i>New Employee Orientation</i>	1,938	67	3.46%	27	1.39%
<i>Sexual Harassment</i>	1,938	8	0.41%	39	2.01%
<i>Violence Free Workplace</i>	1,940	9	0.46%	42	2.16%
<i>Workplace Safety</i>	1,934	25	1.29%	52	2.69%
<i>Customer Focus</i>	2,761	56	2.03%	318	11.52%
<i>Introduction to the Incident Command System</i>	2,047	155	7.57%	77	3.76%
<i>National Incident Management System, An Introduction</i>	2,024	226	11.17%	82	4.05%

### New Hired or Newly Promoted Supervisors

Course Title	Number of employees tested	Number of employees not completing training	Percent of employees not completing training	Number of employees completing training late	Percent of employees completing training late
<i>Basic Supervisory Training Program – Human Resources Overview</i>	183	40	21.86%	23	12.57%
<i>Basic Supervisory Training - Leadership Development</i>	13	4	30.77%	0	0.00%
<i>Incident Command System for Single Resources and Initial Action Incidents</i>	76	6	7.89%	7	9.21%

### Annual Training for All Department Employees

Course Title	Number of employees tested	Number of employees not completing training	Percent of employees not completing training	Number of employees completing training late	Percent of employees completing training late
<i>Mandatory Refresher Training</i>	8,860	109	1.23%	85	0.96%

**EXHIBIT 2**

<b>Division of Disability Determinations (DDD)</b>	
15.30% of all Department employees were in DDD	
<b>New Hires – Trainings Late</b>	
Course Title	Percent of all Department late trainings that were by DDD staff.
<i>National Incident Management Systems, An Introduction</i>	1.20%
<i>Introduction to the Incident Control Systems</i>	1.30%
<i>Code of Ethics</i>	41.00%
<i>Public Health Preparedness Orientation</i>	22.00%
<i>Customer Focus</i>	26.00%
<i>Equal Opportunity</i>	30.00%
<i>New Employee Orientation</i>	12.00%
<i>Sexual Harassment</i>	32.00%
<i>Violence Free Workplace</i>	29.00%
<i>Workplace Safety</i>	24.00%
<b>New Hires – Trainings Not Completed</b>	
<i>Introduction to the Incident Control Systems</i>	5.20%
<i>New Employee Orientation</i>	43.00%

<b>Department of Health in Leon County (DOH-Leon)</b>	
1.40% of all Department employees were at DOH-Leon	
<b>New Hires – Trainings Late</b>	
Course Title	Percent of all Department late trainings that were by DOH-Leon staff.
<i>National Incident Management Systems, An Introduction</i>	12.00%
<i>Introduction to the Incident Control Systems</i>	11.00%
<i>Code of Ethics</i>	8.80%
<i>Public Health Preparedness Orientation</i>	17.00%
<i>Customer Focus</i>	1.60%
<i>Equal Opportunity</i>	9.30%
<i>New Employee Orientation</i>	23.00%
<i>Sexual Harassment</i>	16.00%
<i>Violence Free Workplace</i>	17.00%
<i>Workplace Safety</i>	14.00%
<b>New Hires – Trainings Not Completed</b>	
<i>Introduction to the Incident Control Systems</i>	5.20%
<i>New Employee Orientation</i>	1.80%

**APPENDIX A: MANAGEMENT RESPONSE**

	Recommendation	Management Response
1	<p><i>We recommend the Bureau of Personnel and Human Resource Management (BPHRM) periodically compare TRAIN Florida data to People First hire and newly promoted supervisor data to ensure all Department employees receive required training. A necessary component of this will need to be that the TRAIN Florida Login Name is the same as the People First identification number.</i></p>	<p>We concur.</p> <p>The following items must be completed before BPHRM can accurately monitor the completion of the Department's required trainings.</p> <ol style="list-style-type: none"> <li>1.) Clean up TRAIN data (User IDs) to match People First User IDs;</li> <li>2.) Ensure TRAIN users are in correct DOH organizational structure;</li> <li>3.) Move all Inactive employees in TRAIN to "Florida General"; and</li> <li>4.) Update TRAIN Administrator listing / Distribution List.</li> </ol> <p>Once the TRAIN data has been cleaned up, BPHRM will run bi-weekly reports and send the information to the TRAIN administrators, copying Delegated Authorities, Personnel Liaisons, and Human Resource Region Managers. The TRAIN administrators, with the assistance from the Personnel Liaisons will communicate with supervisors to ensure the employees complete their necessary trainings.</p> <p><i>Contact: Jim Hall</i>  <i>Anticipated Completion Date: June 30, 2019</i></p>