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REPORT NO. 2015-30

TO: Beverly Waldron, Interim Director, Human Resources
Sandra Tuller, Manager, Records Management

FROM: Hector Collazo Jr., Inspector General/Chief Audit Executive
Division of Inspector General 

DIST: Members of the Personnel Board
Connie Daniels, Director, Court and Operational Services
Mark Woodard, County Administrator
Pick Talley, Assistant County Administrator
Ken Burke, CPA, Clerk of the Circuit Court and Comptroller

SUBJECT: Investigation of Employee Personnel Records

DATE: September 9, 2015

The Division of Inspector General's Public Integrity Unit (PIU) received allegations of Fraud, Waste, and Abuse. We investigated the following allegation related to Pinellas County Human Resources Department employee personnel records.

The complainant alleges that the personnel records of a former Utilities employee were misplaced or tampered with. The personnel records in question relate to an alleged suspension that the former employee received as a disciplinary action while employed in the Utilities department.

The complainant provided documentation to assist with the investigation.

To determine whether the allegation was substantiated, we reviewed applicable County hard files and electronic records for the timeframe of 1994 to current including:

- Records related to a former Utilities employee stored at the Records and Information Management department.



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- Human Resources department files.
- Finance Division payroll records.
- Email correspondence using keyword search criteria (only years 2006 to current were available for review).
- Utilities department network server records.

We reviewed County policies and procedures related to employee records and the disciplinary process. We reviewed the State of Florida General Records Schedule GS1-SL for State and Local Government Agencies for applicable records retention periods. We interviewed Human Resources staff in addition to prior and current Utilities staff to obtain evidence about the allegation.

Our investigation was performed according to the *Principles and Standards for Offices of Inspector General* and *The Florida Inspectors General Standards Manual* from The Commission for Florida Law Enforcement Accreditation.

While our investigation found that the former Utilities employee did have disciplinary issues, we only found one instance of a formal disciplinary action being taken. The employee received a Written Reminder, which was downgraded to an Oral Reminder, and subsequently moved from the employee's personnel file to an inactive file in accordance with Personnel Rules. There is no evidence that the former Utilities employee received a Suspension. Therefore, there is no evidence that the personnel records of the former Utilities employee were misplaced or tampered with.

The Division of Inspector General's investigation of the allegation has determined that the allegation noted above was *unfounded*, as there is no credible evidence to support the allegation.

We want to thank Pinellas County management and staff for their assistance and cooperation during this investigation.