



Office of Risk Management

Full Audit

Audit Information		Audit Results	
Audit Type	Full Audit	Score	85.95%
Site Visit Date	11/20/2019	Status	Compliant
LP Officer		No. of Recs	20

Location Information	
Location Name	
Location Code	
Mailing Address 1	
Mailing Address 2	
City, State, Zip	
Safety Contact	
Safety Contact Phone #	
Safety Contact Email	
Safety Supervisor	
Safety Supervisor Phone #	
Safety Supervisor Email	

1 General Safety

General Information

Question	Answer
Number of Employees:	328
Number of Full Time Employees:	323
Number of Part Time Employees:	5
Was this agency Class A or Class B during the audit period in question?	Class B

1.1 Program

Question	Answer
1.1.1 Is there a written general safety plan?	Yes
1.1.1.1 Is the written general safety plan:	Departmental/Generic
1.1.1.2 Does it contain a management policy statement from the department/agency head?	Both
1.1.1.3 Has the program been presented to new employees during orientation and such action been documented?	Yes

1.1.1.4 Is the program readily accessible to all employees?	Yes
1.1.2 Are there written safety responsibilities?	Yes
1.1.2.1 Have documented safety responsibilities been presented to all new employees initially during orientation and/or upon assignment to a position with different/additional safety responsibilities?	No
<p>Recommendation: Present Safety Responsibilities to Employees Ensure documented safety responsibilities have been presented to all new employees initially during orientation and/or upon assignment to a position with different/additional safety responsibilities and such action(s) documented.</p> <p>There was one new hire who did not sign or date the orientation checklist that documented the review of the safety responsibilities.</p>	
1.1.3 Are there general safety rules?	Yes
1.1.3.1 Have these rules been: 1). distributed ANNUALLY (via printed copy and/or electronically) to ALL EMPLOYEES with such action documented, and 2). posted in the facility for review by ALL EMPLOYEES?	No
<p>Recommendation: Distribute safety rules ANNUALLY (via printed copy and/or electronically) to ALL EMPLOYEES with such action documented, and 2). post in the facility for review by ALL EMPLOYEES.</p> <p>The safety meeting where the safety rules were reviewed for administration only had 88% attendance.</p>	
1.1.4 Are site/task specific safety rules required?	No
General Safety Program Comments	<p>There was one new hire who did not sign or date the orientation checklist that documented the review of the safety responsibilities. The safety meeting where the safety rules were reviewed for administration only had 88% attendance.</p> <p>HR provided some orientation documentation that was missing in the safety office.</p>

1.2 Safety Meetings and Training

Question	Answer
1.2.2 How many documented safety meetings have been conducted at this agency during the most recently completed audit/Compliance Review period?	4+
1.2.2.1 Did the agency meet the 75% attendance requirement at every meeting during the audit period?	Yes

1.2.2.2 Did the department and/or agency head (or his/her designee) meet the 100% attendance requirement during the audit period?	Yes
1.2.3 Does the agency have a written policy that covers Drug-Free Workplace?	Yes
1.2.3.1 Is the agency conducting mandatory, documented awareness/training on the basics of and the agency's policy on a Drug-Free Workplace within ninety (90) days of hire?	Yes
1.2.3.2 Is the agency conducting mandatory, documented awareness/training on its Drug-Free Workplace policy at least once every five (5) years?	Yes
1.2.4 Is this audit being conducted for a Headquarters or a Field Office?	Field Office
1.2.6-A Has the agency's designated loss prevention coordinator or other qualified position trained the field safety representative on Accident Investigation?	Yes
1.2.6-B Has the agency's designated loss prevention coordinator or other qualified position trained the field safety representative on Inspections?	Yes
1.2.6-C Has the agency's designated loss prevention coordinator or other qualified position trained the field safety representative on Safety Meetings?	Yes
1.2.6-D Has the agency's designated loss prevention coordinator or other qualified position trained the field safety representative on Supervisor Responsibilities?	Yes
1.2.6-E Has the agency's designated loss prevention coordinator or other qualified position trained the field safety representative on Job Safety Analyses (JSAs)?	Yes
1.2.7 Has the agency's loss prevention coordinator and/or representatives attended documented training at least once every five (5) years on the ORM Loss Prevention Program?	Yes
1.2.8 Is documented, specific training provided to all employees: 1). who must perform new tasks on, and/or operate, new OR existing equipment; or 2). whose safety performance is unsatisfactory?	Not Applicable

Safety Meeting and Training Comments	<p>During a random review of the safety meeting documentation it was noted that several of the meeting sign in sheets only had the month and year documented and not the actual date the meeting was conducted or the date the employees reviewed the material. Agency had one safety meeting that did not have any date documented on the sign in sheet.</p> <p>The agency stated it had no new tasks or equipment or employees with unsatisfactory safety performance during the audit period in question.</p>
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1.3 Inspections

Question	Answer
1.3.1. How many potential inspections were there during the most recently completed audit/Compliance Review period?	368
1.3.2 How many inspections were there during the most recently completed audit/Compliance Review period?	364
1.3.3 What percentage of inspections were conducted during the most recently completed audit/Compliance Review period?	95-100%
1.3.4 Were any of the inspections documented?	Yes
1.3.4.1 What type of inspection documentation is used?	Departmental/Generic
1.3.4.2 Which topics does the documentation address: Building Safety	Yes
1.3.4.3 Which topics does the documentation address: Electrical Safety	Yes
1.3.4.4 Which topics does the documentation address: Emergency Equipment	Yes
1.3.4.5 Which topics does the documentation address: Fire Safety	Yes
1.3.4.6 Which topics does the documentation address: Office Safety	Yes
1.3.4.7 Which topics does the documentation address: Storage Methods	Yes
1.3.5 Is there a method in place for employees to notify management of workplace hazards?	Yes
1.3.6 Is there a method in place for repair or corrective action of workplace hazards?	Yes
1.3.7 Was there a State Fire Marshal's inspection completed at this agency during the most recently completed audit/Compliance Review year?	No

Inspection Comments	A random review of the building inspections revealed that at least one building did not undergo a documented inspection all year. The agency did not have an State Fire Marshal inspection for every unit.
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1.4 Incident/Accident Investigations

Question	Answer
1.4.1 Do the agency's investigation procedures address the use of the DA2000/DA3000 or other equivalent form(s) regarding employee, visitor, and/or client situations?	Yes
1.4.2 Do the agency's investigation procedures address bodily injury and/or property concerns?	Yes
1.4.3 Has the agency had any accidents or incidents within the most recently concluded audit/Compliance Review period?	Yes
1.4.3.1 Is the agency using the DA2000/DA3000 or equivalent form for any accident or incident?	Yes
1.4.3.2 Are all completed DA2000/DA3000 or equivalent form(s) from the prior fiscal year for all incidents/accidents available for review by the Loss Prevention Officer?	No
Recommendation: Retain for review by the Loss Prevention Officer the completed DA2000/DA3000 or equivalent form(s) for all incidents/accidents. A random review of the agency's DA2000 forms revealed that the root cause analysis was not completed for one accident.	
1.4.4 Are Job Safety Analyses (JSAs) needed at this agency?	Yes
1.4.4.1 Are JSAs developed or incident/accident trends, death, or change in job procedures or equipment?	Yes
1.4.4.2 Is employee training on location-specific and/or task-specific JSA topics documented at least annually?	Yes
1.4.4.3 Are the JSAs posted in the workplace in an area accessible to all employees?	Yes
1.4.5 Did any incident/accident involve one or more of the following: 1) Reasonable suspicion of employee drug or alcohol use or impairment, 2) Fatality, 3) Hazardous Materials Release?	No
Incident/Accident Investigation Comments	A random review of the agency's DA2000 forms revealed that the root cause analysis was not completed for one accident.

1.5 Return To Work

Question	Answer
1.5.1 Is there a written Transitional Return to Work policy?	Yes
1.5.1.1 Is the written Transitional Return to Work policy:	Department/Generic
1.5.1.2 Is the agency conducting documented awareness/training on its Transitional Return to Work policy within ninety (90) days of hire?	No
Recommendation: Conduct and document employee awareness/training within 90 days of hire with all new employees. The orientation checklist used for a few of the new hires did not document the review of the RTW policy.	
1.5.1.3 Is the agency conducting documented awareness/training on its Transitional Return to Work policy once every five (5) years thereafter.	Yes
1.5.2 Does the agency have a Transitional Return to Work team?	Yes
1.5.3 Has management designated a coordinator?	Yes
1.5.4 Did the agency have any lost time claims?	Yes
1.5.4.1 Does the agency have form DA WC4000 available for review?	Yes
Return to Work Comments:	The orientation checklist used for a few of the new hires did not document the review of the RTW policy. The orientation checklist has since been updated.

1.6 Blood Borne Pathogens/First Aid

Question	Answer
1.6.1 Does the agency have a written BBP program?	Yes
1.6.1.1 Is the written BBP program:	Departmental/Generic
1.6.1.2-A Does the agency BBP program address the following: Exposure Determination	No
Recommendation: Ensure the bloodborne pathogens program addresses exposure determination regarding all job positions. The program states each district office shall create a list of job classifications in which all or some employees have reasonable high-risk occupational exposure to Bloodborne Pathogens. The agency only has a memorandum that lists the gangs - not the job classifications - that are considered high-risk and the memorandum is only between three individuals.	
1.6.1.2-B Does the agency BBP program address the following: Medical Evaluation for Affected Employees	Yes

1.6.1.2-C Does the agency BBP program address the following: Methods of Compliance	Yes
1.6.1.2-D Does the agency BBP program address the following: Awareness/Training	Yes
1.6.1.2-E Does the agency BBP program address the following: Work Practice Controls	Yes
1.6.2 Is the agency conducting documented employee awareness (i.e., training AND the agency's policy) on BBP for low-risk employees within ninety (90) days of hire?	No
<p>Recommendation: Conduct documented employee awareness (i.e., training AND the agency's policy) on BBP for low-risk employees within 90 days of hire. The orientation checklist for one new hire that documents the review of the BBP policy was not signed or dated by the employee.</p>	
1.6.3 Is the agency conducting documented employee awareness (i.e., training AND the agency's policy) on BBP for low-risk employees at least once every five (5) years thereafter?	No
<p>Recommendation: Conduct documented employee awareness (i.e., training AND the agency's policy) on BBP for low-risk employees at least once every 5 years after initial orientation training. Documentation could not be located to verify that all of the employees that attend the Administration safety meetings reviewed the BBP policy within the last 5 years.</p>	
1.6.4 Are there any high-risk employees, as identified by the agency?	Yes
1.6.4.1 Is the agency conducting documented employee training on BBP (including the agency's policy) for high-risk employees within ninety (90) days of hire?	Not Applicable
1.6.4.2 Is the agency conducting documented employee training on BBP (including the agency's policy) for high-risk employees at least once every year?	No
<p>Recommendation: Conduct documented employee training on BBP (including the agency's policy) for all high-risk employees at least once every year after the initial training. The HR employees attended the annual instructor led training; however, two locations did not have 100% attendance where the BBP policy was reviewed.</p>	
1.6.5 Are spill procedures in place?	Yes
1.6.6 Are spill kits maintained?	Yes
1.6.7 Does the agency have a written First Aid program for employees and visitors?	Yes
1.6.8 Are first aid kits maintained?	Yes
1.6.9 Does the agency location meet any of the following criteria: * Working with night shifts or any minimal/partial crew shifts? * Employees working in remote/isolated locations? * The on-site medical facility is closed?	Yes
1.6.9.1 Does the agency have someone available in these situations who is trained/able to render First Aid?	Yes

Bloodborne Pathogens/First Aid Comments:	<p>The program states that each district office shall create a list of job classifications in which all or some employees have reasonable high-risk occupational exposure to Bloodborne Pathogens. The agency only has a memorandum that lists the gangs - not the job classifications - that are considered high-risk and the memorandum is only between three individuals.</p> <p>The orientation checklist for one new hire that documents the review of the BBP policy was not signed or dated by the employee. Documentation could not be located to verify that all of the employees that attend the Administration safety meetings reviewed the BBP policy within the last 5 years. The HR employees attended the annual instructor led training; however, two locations did not have 100% attendance where the BBP policy was reviewed.</p>
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1.7 Emergency Preparedness Plan

Question	Answer
1.7.1 Does the agency have a written emergency preparedness program?	Yes
1.7.1.1-A Is the written emergency preparedness program?	Departmental/Generic
1.7.1.1-B Does the plan address fire?	Yes
1.7.1.1-C Does the plan address natural disasters?	Yes
1.7.1.1-D Does the plan address proximity threats?	Yes
1.7.1.1-E Does the plan address terrorism?	Yes
1.7.2 Are documented fire drills conducted at least once every twelve (12) months (including space leased/outside of your agency's control)?	Yes
Emergency Preparedness comments:	Some of the units' proximity threat assessments need to be updated to ensure they include all the proximity threats for each unit.

1.8 Hazardous Materials

Question	Answer
1.8.1 Has a documented assessment been conducted to determine if there are any hazardous materials at any agency location covered by this audit?	Yes

1.8.2 Are hazardous materials present at any agency location covered by this audit?	Yes
1.8.3 Does the agency have a written hazardous materials program?	Yes
1.8.3.1 Is the written hazardous materials program:	Departmental/Generic
1.8.3.2 Does the plan ensure that materials are handled properly?	Yes
1.8.3.3 Does the plan ensure that materials are stored properly?	Yes
1.8.3.4 Does the plan ensure that materials are disposed of properly?	Yes
1.8.3.5 Does the plan ensure that Safety Data Sheets (SDS) are available?	Yes
1.8.3.6 Does the plan ensure that proper Personal Protective Equipment (PPE) is available?	Yes
1.8.4 Is the agency conducting appropriate documented employee training on hazard communication within thirty (30) days of hire?	Yes
1.8.5 Is the agency conducting appropriate documented employee training on hazard communication at least annually?	Yes
1.8.6 Is the agency conducting documented employee training on hazard communication when working in a new area?	Not Applicable
1.8.7 Is the agency conducting appropriate documented employee training on hazard communication whenever a new material or procedure is introduced into the work place?	Not Applicable
1.8.8 Is the agency conducting appropriate documented employee training on hazard communication whenever the Department Head, Department Safety Office, or Supervisor determines that refresher training is in order?	Not Applicable
1.8.9 Is the agency conducting appropriate documented employee training on hazard communication with regard to the new label elements and safety data sheet formats now required of all hazardous materials manufacturers?	Yes

Question	Answer
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1 General Safety Recommendations	The agency shall ensure that the actual date a safety meeting is conducted is documented on the sign in sheets. If employees attend the safety meeting on different dates within the same gang then the documentation shall reflect this. The agency shall ensure that every building receives a documented inspection at least quarterly. The agency should contact the State Fire Marshal's office to ensure that each unit undergoes an inspection. Ensure that each unit's proximity threat assessment includes all of its proximity threats.
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2 Driver Safety

2.1 Program

Question	Answer
2.1.1-A Is there a written program that includes ALL of the following components? Procedure for enrolling employees in the program:	Yes
2.1.1-B Is there a written program that includes ALL of the following components? Definition of high-risk drivers	Yes
2.1.1-C Is there a written program that includes ALL of the following components? Procedure for identifying high-risk drivers	Yes
2.1.1-D Is there a written program that includes ALL of the following components? Driver Training	Yes
2.1.1-E Is there a written program that includes ALL of the following components? Disciplinary action for employees identified as high-risk drivers	Yes
2.1.1-F Is there a written program that includes ALL of the following components? Claims reporting	Yes
2.1.1-G Is there a written program that includes ALL of the following components? Accident investigation	Yes
2.1.1-H Is there a written program that includes ALL of the following components? Definition of State vehicles	Yes

2.2 Inspection and Repair of State Owned Vehicles

Question	Answer
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2.2.1 Does the agency have any state-owned vehicles?	Yes
2.2.1.1 How many potential vehicle inspections (# of vehicles X 12) were there in the most recently completed audit/Compliance Review period?	2856
2.2.1.2 How many documented vehicle inspections were conducted in the most recently completed audit/Compliance Review period?	2854
2.2.1.3 What percentage of your fleet was inspected?	80-99%
<p>Recommendation:</p> <p>Per the manual, supervisors shall see that all vehicles provided to employees are in safe operating condition, including the use of a monthly checklist.</p>	
2.2.1.4 Is documented corrective action taken on deficiencies noted on the checklist to prevent further damage or accidents?	No
<p>Recommendation:</p> <p>Correct/repair any deficiencies/problems noted on the monthly vehicle checklists and document the corrections.</p>	
2.2.1.5 Is preventive maintenance performed and documented?	Yes
Inspection and Repair of State Owned Vehicle comments:	Vehicle had three issues reported in May-June 2019; these included no spare tire, fuel gauge not working, and check engine light on. The work order provided only documented the correction of the check engine light.

2.3 Training

Question	Answer
2.3.1 Is documented defensive driving training provided for all agency employees authorized to drive on state business?	Yes
2.3.2 Is initial training conducted within ninety (90) days of hire or entering the program via authorization on a DA2054 form?	Yes
2.3.3 Is refresher training conducted once every three (3) years thereafter?	Yes
2.3.4 Are all authorized employees who receive a conviction for a violation required to attend refresher training within ninety (90) days of conviction?	No

<p>Recommendation:</p> <p>Require all authorized drivers who have received a conviction on their motor vehicle record to retake a recognized driving course with documentation within ninety (90) days of notification of a conviction. This does not change the date of the last training course documented.</p> <p>There was an employee that received a conviction for a moving violation and there is no documentation that the employee attended the required refresher training.</p>	
<p>Training Comments</p>	<p>There was an employee that received a conviction for a moving violation and there is no documentation that the employee attended the required refresher training.</p>

2.4 Records and Forms

Question	Answer
2.4.1 Is there a signed and dated list of approved or unapproved drivers verified by the Official Driving Record (ODR) forms?	Yes
2.4.2 Are Driver Authorization forms (DA 2054 or other form), that have been signed and dated annually, available for review?	No
<p>Recommendation:</p> <p>Ensure DA 2054 forms that have been signed and dated annually are available on all authorized drivers.</p> <p>A random review of the employees' ODRs and DA2054 forms revealed that one new hire's ODR was pulled 2/13/2019 but the DA2054 form was not signed until 4/15/2019. This DA2054 form was signed past the 45-day requirement. Also, the DA2054 forms for the employees of one location were not signed.</p>	
2.4.3 Are Official Driving Records (ODR), which have been reviewed annually, available for review?	Yes
2.4.4 Have there been any vehicular accidents during the most recent one (1) year audit period?	Yes
2.4.4.1 Has a Driver Accident Report Form (DA 2041) been completed for each accident?	Yes
2.4.4.2 Have all of the DA 2041 forms been faxed/e-mailed within forty-eight (48) hours or two (2) business days to the Claims Unit?	No
<p>Recommendation:</p> <p>Provide verification that the DA 2041 was forwarded by fax or e-mail to the Claims Unit, within forty-eight (48) hours or two (2) business days of the vehicle incident/accident and maintain documentation for the audit.</p>	

Records and Forms comments:	A random review of the employees' ODRs and DA2054 forms revealed that one new hire's ODR was pulled 2/13/2019 but the DA2054 form was not signed until 4/15/2019. This DA2054 form was signed past the 45-day requirement. Also, the DA2054 forms for the employees of one location were not signed. There was at least one vehicle accident that was not submitted to the Claims Unit within 48 hours.
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3 Bonds, Crime, & Property

3.1 Program

Question	Answer
3.1.1 Is there a written program that addresses the prevention of property damage and/or loss?	Yes
3.1.2 Are there procedures in place to address separation of duties?	Yes
3.1.3 Are there procedures in place to address controlling inventories?	Yes
3.1.4 Are there procedures in place to address purchasing procedures?	Yes
3.1.5 Are there procedures in place to address reporting losses/damages?	Yes
3.1.6 Are there procedures in place to address investigating losses/damages?	Yes
3.1.7 Are there procedures in place to address timely reporting of losses to the correct claims unit?	Yes
3.1.8 Are there procedures in place to address handling negotiable items?	Yes
3.1.9 Are there procedures in place to address securing vaults/safes?	Not Applicable
3.1.10 Is someone assigned the responsibility for keeping the program current?	Yes
Bonds, Crime, and Property Program Comments	The first day of the audit the agency provided a Bonds and Crime Program dated 10/16/2018 which included procedures the agency no longer follows. The second day of the audit the agency provided a Bonds and Crime Program dated 2/12/2019 which included updated procedures.

3.2 Employee Responsibility

Question	Answer
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3.2.1 Does the agency program outline employee responsibility?	Yes
3.2.2 Have only authorized employees been assigned to duties covered under the program?	Yes
3.2.3 Are employees receiving documented training in their job duties per the program?	Yes

3.3 Security

Question	Answer
3.3.1 Is there a comprehensive written security policy that includes but is not limited to procedures that address limited, controlled access for authorized individuals to buildings?	Yes
3.3.2 Is there a comprehensive written security policy that includes, but is not limited to procedures that address monitoring/controlling visitor access?	Yes
3.3.3 Is there a comprehensive written security policy that includes but is not limited to procedures that address securing all entrances and exits?	Yes
3.3.4 Is there a comprehensive written security policy that includes but is not limited to procedures that address limiting access to data on personal computers?	Yes
Security Comments	The side gate into the outside walkway between the office buildings is being left open which allows persons unauthorized access.

3.4 Key Control

Question	Answer
3.4.1 Is there a key/access card control policy in place?	Yes
3.4.1.1 Does key control policy include the following: A key/card log?	Yes
3.4.1.2 Does key control policy include the following: Procedures to change locks/codes?	No
<p>Recommendation:</p> <p>The key/access card control policy should include written procedures as to how and when to change locks/codes.</p> <p>The agency only has a memorandum between two employees dated 4/9/18 that addresses the procedures for changing locks; therefore all district employees are not aware of the procedures to change locks. This procedure should be included in the district's policy that all employees have access to.</p>	
3.4.1.3 Does key control policy include the following: Methods for issuing, returning, and accounting for lost/stolen keys/cards?	Yes

3.4.1.4 Does key control policy include the following: Specifying employee responsibility/procedures for handling keys/cards?	Yes
Key Control comments:	The agency only has a memorandum between two employees dated 4/9/18 that addresses the procedures for changing locks; therefore all district employees are not aware of the procedures to change locks. The key policy does not include the procedure for completing the key log when keys are issued to employees.

Question	Answer
3 Bonds, Crime, & Property Recommendations	The agency should ensure that it provides its most updated Bonds and Crime Program at the start of the audit. The agency should ensure that the side gate into the outside walkway between the office buildings is kept closed. The key policy should be updated to include the procedures for completing the key log when keys are issued to employees.

4 Equipment Management

Question	Answer
4.1 Does the agency have any mechanical and/or electrical [i.e., systems/equipment that are integral to the operation of the building and/or are an affixed (i.e., hardwired and/or plumbed) part of buildings/structures] equipment?	Yes

4.1.1 Program

Question	Answer
4.1.1.1 Is there a written equipment management program?	Yes
4.1.1.1.1 Is the written equipment management program:	Agency/Site Specific
4.1.1.1.2 Does it address mechanical equipment?	Yes
4.1.1.1.3 Does it address electrical equipment?	Yes
4.1.1.1.4 Is there a current, specific inventory of ALL applicable program equipment?	Yes
4.1.1.1.5 Are there preventive maintenance procedures for inventoried equipment?	Yes
4.1.1.1.6 Is there a written preventive maintenance schedule for mechanical equipment?	Yes

4.1.1.1.7 Is there a written preventive maintenance schedule for electrical equipment?	Yes
4.1.1.1.8 Is preventive maintenance documentation being maintained for mechanical equipment?	Yes
4.1.1.1.9 Is preventive maintenance documentation being maintained for electrical equipment?	Yes
4.1.1.1.10 Does the program include testing procedures for mechanical equipment?	Not Applicable
4.1.1.1.11 Does the program include testing procedures for electrical equipment?	Not Applicable
4.1.1.1.12 Are maintenance and/or other designated employees trained on the written Equipment Management program?	Not Applicable
4.1.1.1.13 Is formal and/or on-the-job training (for new hires and/or current employees) on the operation of existing/newly acquired inventoried equipment documented?	Not Applicable
4.1.1.1.14 Is formal and/or on-the-job training (for new hires and/or current employees) on the operation of existing/newly acquired testing equipment documented?	Not Applicable
4.1.1.1.15 Is formal and/or on-the-job training (for new hires and/or current employees) on currently/additionally assigned maintenance duties documented?	Not Applicable
Equipment Management Program comments:	The agency stated it had no new hires with duties under this program.

4.1.2 Personal Protective Equipment (PPE)

Question	Answer
4.1.2.1 Has a documented assessment been conducted to determine if the use of any Personal Protective Equipment is required?	Yes
4.1.2.2 Is Personal Protective Equipment required?	No
4.1.2.3 Are there written procedures that address the: procurement, use, maintenance, and disposal of PPE?	Not Applicable

4.1.3 Work Order System

Question	Answer
4.1.3.1 Are there written work order procedures for the following areas: Scheduled preventive maintenance	Yes
4.1.3.2 Are there written work order procedures for the following areas: Reported problems	Yes
4.1.3.3 Are all repairs documented?	Yes

4.1.3.4 Are employees aware of the written procedures for reporting problems via the work order system?	Yes
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4.1.4 Lockout/Tagout (LO/TO)

Question	Answer
4.1.4.1 Does the agency have a written LO/TO program?	Yes
4.1.4.2 Will any LO/TO be performed by agency personnel?	Yes
4.1.4.2.1 For LO/TO performed by agency personnel, is there documented training for the following: Agency Authorized Employees	No
<p>Recommendation:</p> <p>Conduct and document Lockout/Tagout training annually for authorized employees. One employee's authorized LOTO training expired 4/19/19 and there is no documentation that he attended the annual refresher training.</p>	
4.1.4.2.2 For LO/TO performed by agency and/or contractor personnel, is there documented training for the following: Agency Affected Employees	Yes
4.1.4.3 Will any LO/TO be performed by a contractor?	Not Applicable
4.1.4.4 Are proper LO/TO devices available?	Yes
Lockout/Tagout (LO/TO) comments:	One employee's authorized LOTO training expired 4/19/19 and there is no documentation that he attended the annual refresher training. The employee stated he took the online training and for some reason did not receive credit for taking the course.

4.1.5 Boilers

Question	Answer
4.1.5.1 Does the agency have boilers that meet the criteria which mandate an inspection?	No

4.1.6 Elevators & Fire Service Key/Equipment Room

Question	Answer
4.1.6.1 Does the agency have elevators?	No

4.1.7 Confined Space

Question	Answer
4.1.7.1 Has a documented assessment been performed to determine if confined spaces exist?	Yes
4.1.7.1.1 Were any confined spaces identified?	Yes

4.1.7.1.1.1 Do the identified confined spaces require a permit?	Yes
4.1.7.1.1.2 Is ALL confined space entry work contracted out?	No
4.1.7.1.1.3 Is there a written confined space entry program that covers training?	Yes
4.1.7.1.1.4 Is there a written confined space entry program that covers PPE?	Yes
4.1.7.1.1.5 Is there a written confined space entry program that covers Rescue?	Yes
4.1.7.1.1.6 Is there a written confined space entry program that covers Environmental Testing?	Yes
4.1.7.1.1.7 Is there a written confined space entry program that covers Permits?	Yes
4.1.7.1.1.8 Is all required confined space equipment available?	No
Recommendation:	
Ensure all required confined space equipment is available.	
4.1.7.1.1.9 Is training provided to applicable employees on Equipment?	Yes
4.1.7.1.1.10 Is training provided to applicable employees on PPE?	Yes
4.1.7.1.1.11 Is training provided to applicable employees on Rescue?	No
Recommendation:	
Provide documented training to applicable employees on Rescue equipment and procedures.	
4.1.7.1.1.12 Is training provided to applicable employees on Environmental Testing?	Yes
4.1.7.1.1.13 Is training provided to applicable employees on Permits?	Yes

<p>Confined Space comments:</p>	<p>The agency has an email dated 6/1/17 stating that employees cannot enter permitted spaces but they are allowed to enter non-permitted spaces. The training provided to the employees is a generic confined space training presented by MSA. The employees do not receive training on the agency's Confined Space Program.</p> <p>Pg 37 of the Loss Prevention Program has 3 lines concerning confined spaces but does not reference the employees to the full program.</p> <p>The Confined Space Program dated 11-29-2007 states that the designated engineer in charge or his/her qualified designee, shall identify and categorize all culverts and subsurface structures by degree of risk, and based on this document; establish appropriate precautions for each category. This assessment has not been completed.</p>
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Question	Answer
<p>4 Equipment Management Recommendations</p>	<p>The employees shall receive documented training on the agency's confined space entry program. Per the ORM manual training, safety related training shall cover a review of the basics pertaining to a specific topic and also the Agency's specific policy on such.</p> <p>The agency should complete the following assessment as stated in the department's Confined Space Program dated 11-29-2007. It is stated as follows-the designated engineer in charge or his/her qualified designee, shall identify and categorize all culverts and subsurface structures by degree of risk, and based on this document; establish appropriate precautions for each category.</p>

5 Water Vessel

Question	Answer
<p>5.1 Does the agency have any state-owned water vessels (e.g., boats, ferries, airboats)?</p>	<p>Yes</p>

5.1.1 Program

Question	Answer
5.1.1.1-A Is there a written program that includes ALL of the following components? Procedure for authorizing employees in the program	Yes
5.1.1.1-B Is there a written program that includes ALL of the following components? Definition of high-risk operators	Yes
5.1.1.1-C Is there a written program that includes ALL of the following components? Determination of high-risk operators	Yes
5.1.1.1-D Is there a written program that includes ALL of the following components? Operator training	Yes
5.1.1.1-E Is there a written program that includes ALL of the following components? Disciplinary action for employees identified as high-risk operators	Yes
5.1.1.1-F Is there a written program that includes ALL of the following components? Claims reporting	Yes
5.1.1.1-G Is there a written program that includes ALL of the following components? Accident investigation	Yes
5.1.1.2 Is someone assigned to monitor the program?	Yes

5.1.2 Inspections and Repairs

Question	Answer
5.1.2.1-A Were all required monthly vessel inspections performed?	No
<p>Recommendation: A monthly inspection shall be performed on all powered/non-powered vessels, regardless of size, and corrective actions for all deficiencies found shall be performed and documented. Items to be inspected shall include, but are not limited to:</p> <ul style="list-style-type: none"> • Fire Extinguishers • Personal Flotation Devices • Signaling Devices (e.g., air horn) • Flares • Damage to the Vessel • Communication Devices (e.g., radio) • Lighting • Trailers <p>Additionally, for all vessels twenty-six (26) feet or longer, the appropriate Coast Guard inspections shall be conducted as required and all corrective actions performed and documented.</p> <p>The water vessel inspections were implemented in January 2019.</p>	
5.1.2.2 Are there any vessels that are twenty-six (26) feet or longer?	No
5.1.2.3 Is periodic, preventive maintenance, per the manufacturer's recommendations, performed and documented?	Not Applicable

Inspections and Repairs comments:	The water vessel inspections were implemented in January 2019. The agency stated there was no needed maintenance on the water vessels during the audit period in question.
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5.1.3 Training

Question	Answer
5.1.3.1 Is the initial "Boat Louisiana" training conducted before authorization to drive is granted and/or within ninety (90) days of hire or the employee(s) entering the program?	Not Applicable
5.1.3.2 Is a refresher course conducted once every three (3) years thereafter?	No
<p>Recommendation:</p> <p>Conduct and document the refresher course once every three (3) years after the initial training.</p> <p>There was one employee whose water vessel training expired on 1/7/19 and there is no documentation that he has attended the required refresher training.</p>	
5.1.3.3 Are all authorized employees who receive a conviction for a violation required to retake the Boat Louisiana or other ORM recognized course within ninety (90) days of conviction?	Yes
Training comments:	There was one employee whose water vessel training expired on 1/7/19 and there is no documentation that he has attended the required refresher training. The requirement to attend refresher training upon conviction of a violation is included in the program.

5.1.4 Records and Forms

Question	Answer
5.1.4.1 Is there a signed and dated list of approved operators indicating annual verification of the operator records?	Yes
5.1.4.2 Are the Vessel Authorization/Operator History forms (DA 2066) signed and dated annually?	No
<p>Recommendation:</p> <p>Ensure that the Vessel Authorization/Operator History forms (DA 2066) are signed and dated annually.</p> <p>Several of the employees' DA2066 forms were signed 10/29/2018; however the boating records were not pulled until 11/21/2018. The DA2066 forms cannot be signed before the boating records are pulled.</p>	

5.1.4.3 Have there been any water vessel accidents, in a commercial vessel over navigable waters, during the most recently concluded Audit/Compliance Review period?	No
5.1.4.4 Have there been any non-commercial vessels involved in an accident in any waters?	No
Records and Forms comments:	Several of the employees' DA2066 forms were signed 10/29/2018; however the boating records were not pulled until 11/21/2018. The DA2066 forms cannot be signed before the boating records are pulled.

6 Flight Operations

Question	Answer
6.1. Does the agency have any state aircraft?	No