



Office of Risk
Management

Compliance Review



Agency 5220 - Southeastern Louisiana Univ. - General Operations

Audit Information		Audit Results	
Audit Type	Compliance Review	Score	98.21%
Site Visit Date	10/26/2020	Status	Compliant
LP Officer	Jack TravisII	No. of Recs	1

Location Information	
Location Name	Southeastern Louisiana Univ. - General Operations
Location Code	5220
Mailing Address 1	SLU 10452
Mailing Address 2	
City, State, Zip	Hammond, LA, 70402
Safety Contact	Jeremy Brignac
Safety Contact Phone #	985-549-2157
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Location Mgr	Jeremy Brignac
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1 General Safety

CR - General Information

Question	Answer
CR - Number of Employees:	2456
CR - Number of Full Time Employees:	1340
CR - Number of Part Time Employees:	1116
CR - Was this agency Class A or Class B during the audit period in question?	Class B

1.1 Program

Question	Answer
CR - 1.1.1 Is there a written general safety plan?	Yes
1.1.1.1 Is the written general safety plan:	Not Applicable
1.1.1.2 Does it contain a management policy statement from the department/agency head?	Not Applicable
CR - 1.1.1.3 Has the program been presented to new employees during orientation and such action been documented?	Yes

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1.1.1.4 Is the program readily accessible to all employees?	Not Applicable
CR - 1.1.2 Are there written safety responsibilities?	Yes
CR - 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?	Yes
CR - 1.1.3 Are there general safety rules?	Yes
CR - 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?	Yes
1.1.4 Are site/task specific safety rules required?	Yes
1.1.4.1 Are there site/task specific safety rules?	Yes
1.1.4.1.1 Have these rules been: 1). distributed ANNUALLY (via printed copy and/or electronically) to ALL APPLICABLE EMPLOYEES with such action documented, and 2). posted in the facility for review by ALL APPLICABLE EMPLOYEES?	Yes
General Safety Program Comments	<p>This Compliance Review represents the totals of ORM cost code numbers 5220 and 5222. The specific number break-downs are as follows:</p> <p>ORM # 5220 - Employees = 2,182; 1,196 Full Time Employees, and 986 Part Time Employees.</p> <p>ORM # 5222 - Employees = 274; 144 Full Time Employees, and 130 Part Time Employees.</p>

1.2 Safety Meetings and Training

Question	Answer
CR - 1.2.2 How many documented safety meetings have been conducted at this agency during the most recently completed audit/Compliance Review period?	4+
CR - 1.2.2.1 Did the agency meet the 75% attendance requirement at every meeting during the audit period?	Not Applicable
CR - 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
CR - 1.2.3 Does the agency have a written policy that covers Drug-Free Workplace?	Yes

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CR - 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?	Not Applicable
CR - 1.2.3.2 Is the agency conducting mandatory, documented awareness/training on a Drug-Free Workplace at least once every five (5) years?	Yes
CR - 1.2.4 Is this audit being conducted for a Headquarters or a Field Office?	Headquarters
1.2.5-A Has the agency's designated loss prevention coordinator received documented training in Accident Investigation?	Not Applicable
1.2.5-B Has the agency's designated loss prevention coordinator received documented training in Inspections?	Not Applicable
1.2.5-C Has the agency's designated loss prevention coordinator received documented training in Safety Meetings?	Not Applicable
1.2.5-D Has the agency's designated loss prevention coordinator received documented training in Supervisor Responsibilities?	Not Applicable
1.2.5-E Has the agency's designated loss prevention coordinator received documented training on Job Safety Analyses (JSAs)?	Not Applicable
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?	Not Applicable
CR - 1.2.8 Is documented, specific training provided to all employees who must perform new tasks or operate new equipment, or whose safety performance is unsatisfactory?	Yes
Safety Meeting and Training Comments	The agency conducted all of the appropriate requirements prior to COVID-19 restrictions but have not been conducted since and credit was given due to Insurance information notice 2020-5 COVID-19 waiver, this agency completed all applicable responsibilities.

1.3 Inspections

Question	Answer
CR - 1.3.1. How many potential inspections were there during the most recently completed audit/Compliance Review period?	5340
CR - 1.3.2 How many inspections were there during the most recently completed audit/Compliance Review period?	5340
CR - 1.3.3 What percentage of inspections were conducted during the most recently completed audit/Compliance Review period?	95-100%

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1.3.4 Were any of the inspections documented?	Yes
1.3.4.1 What type of inspection documentation is used?	Agency/Site Specific
1.3.4.2 Which topics does the documentation address: Building Safety	Not Applicable
1.3.4.3 Which topics does the documentation address: Electrical Safety	Not Applicable
1.3.4.4 Which topics does the documentation address: Emergency Equipment	Not Applicable
1.3.4.5 Which topics does the documentation address: Fire Safety	Not Applicable
1.3.4.6 Which topics does the documentation address: Office Safety	Not Applicable
1.3.4.7 Which topics does the documentation address: Storage Methods	Not Applicable
1.3.5 Is there a method in place for employees to notify management of workplace hazards?	Not Applicable
1.3.6 Is there a method in place for repair or corrective action of workplace hazards?	Not Applicable
CR - 1.3.7 Was there a State Fire Marshal's inspection completed at this agency during the most recently completed audit/Compliance Review year?	Yes
CR - 1.3.7.1 Were there any deficiencies found by the State Fire Marshal during these inspections?	Yes
CR - 1.3.7.1.1 Were the deficiencies corrected?	Yes
Inspection Comments	The agency conducted all of the appropriate requirements prior to COVID-19 restrictions but have not been conducted since and credit was given due to Insurance information notice 2020-5 COVID-19 waiver, this agency completed all applicable responsibilities.

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?	Not Applicable
1.4.2 Do the agency's investigation procedures address bodily injury and/or property concerns?	Not Applicable
CR - 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

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CR - 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?	Yes
CR - 1.4.4 Are Job Safety Analyses (JSAs) needed at this agency?	No
CR - 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

1.5 Return to Work

Question	Answer
CR - 1.5.1 Is there a written Transitional Return to Work policy?	Yes
CR - 1.5.1.1 Is the written Transitional Return to Work policy:	Department/Generic
CR - 1.5.1.2 Is the agency conducting documented awareness/training on its Transitional Return to Work policy within ninety (90) days of hire?	Yes
CR - 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
CR - 1.5.2 Does the agency have a Transitional Return to Work team?	Yes
CR - 1.5.3 Has management designated a coordinator?	Yes
CR - 1.5.4 Did the agency have any lost time claims?	Yes
CR - 1.5.4.1 Does the agency have form DA WC4000 available for review?	Yes

1.6 Blood Borne Pathogens/First Aid

Question	Answer
CR - 1.6.1 Does the agency have a written BBP program?	Yes
1.6.1.1 Is the written BBP program:	Not Applicable
1.6.1.2-A Does the agency BBP program address the following: Exposure Determination	Not Applicable
1.6.1.2-B Does the agency BBP program address the following: Medical Evaluation for Affected Employees	Not Applicable
1.6.1.2-C Does the agency BBP program address the following: Methods of Compliance	Not Applicable
1.6.1.2-D Does the agency BBP program address the following: Awareness/Training	Not Applicable

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1.6.1.2-E Does the agency BBP program address the following: Work Practice Controls	Not Applicable
CR - 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 90 days of hire?	Yes
CR - 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 5 years thereafter?	Yes
CR - 1.6.4 Are there any high-risk employees, as identified by the agency?	Yes
CR - 1.6.4.1 Is the agency conducting documented employee training on BBP (including the agency's policy) for high-risk employees within 90 days of hire?	Yes
CR - 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?	Yes
1.6.5 Are spill procedures in place?	Not Applicable
1.6.6 Are spill kits maintained?	Not Applicable
1.6.7 Does the agency have a written First Aid program for employees and visitors?	Not Applicable
1.6.8 Are first aid kits maintained?	Not Applicable
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

1.7 Emergency Preparedness Plan

Question	Answer
1.7.1 Does the agency have a written emergency preparedness program?	Not Applicable
CR - 1.7.2 Are documented fire drills conducted at least once every 12 months (including space leased/outside of your agency's control)?	Yes

1.8 Hazardous Materials

Question	Answer
CR - 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

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CR - 1.8.2 Are hazardous materials present at any agency location covered by this audit?	Yes
CR - 1.8.3 Does the agency have a written hazardous materials program?	Yes
1.8.3.1 Is the written hazardous materials program:	Not Applicable
1.8.3.2 Does the plan ensure that materials are handled properly?	Not Applicable
1.8.3.3 Does the plan ensure that materials are stored properly?	Not Applicable
1.8.3.4 Does the plan ensure that materials are disposed of properly?	Not Applicable
1.8.3.5 Does the plan ensure that Safety Data Sheets (SDS) are available?	Not Applicable
1.8.3.6 Does the plan ensure that proper Personal Protective Equipment (PPE) is available?	Not Applicable
CR - 1.8.4 Is the agency conducting appropriate documented employee training on hazard communication within thirty (30) days of hire?	Yes
CR - 1.8.5 Is the agency conducting appropriate documented employee training on hazard communication at least annually?	Yes
CR - 1.8.6 Is the agency conducting documented employee training on hazard communication when working in a new area?	Yes
CR - 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?	Yes
CR - 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?	Yes
CR - 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

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	Not Applicable

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2.1.1-B Is there a written program that includes ALL of the following components? Definition of high-risk drivers	Not Applicable
2.1.1-C Is there a written program that includes ALL of the following components? Procedure for identifying high-risk drivers	Not Applicable
2.1.1-D Is there a written program that includes ALL of the following components? Driver Training	Not Applicable
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	Not Applicable
2.1.1-F Is there a written program that includes ALL of the following components? Claims reporting	Not Applicable
2.1.1-G Is there a written program that includes ALL of the following components? Accident investigation	Not Applicable
2.1.1-H Is there a written program that includes ALL of the following components? Definition of State vehicles	Not Applicable

2.2 Inspection and Repair of State Owned Vehicles

Question	Answer
CR - 2.2.1 Does the agency have any state-owned vehicles?	Yes
CR - 2.2.1.1 How many potential vehicle inspections (# of vehicles X 12) were there in the most recently completed audit/Compliance Review period?	864
CR - 2.2.1.2 How many documented vehicle inspections were conducted in the most recently completed audit/Compliance Review period?	864
CR - 2.2.1.3 What percentage of your fleet was inspected?	100%
CR - 2.2.1.4 Is documented corrective action taken on deficiencies noted on the checklist to prevent further damage or accidents?	Yes
CR - 2.2.1.5 Is preventative maintenance performed and documented?	Yes

2.3 Training

Question	Answer
CR - 2.3.2 Is initial training conducted within ninety (90) days of hire or entering the program via authorization on a DA2054 form?	Yes
CR - 2.3.3 Is refresher training conducted once every three (3) years thereafter?	Yes

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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?	Not Applicable
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2.4 Records and Forms

Question	Answer
CR - 2.4.1 Is there a signed and dated list of approved or unapproved drivers verified by the Official Driving Record (ODR) forms?	Yes
CR - 2.4.2 Are Driver Authorization forms (DA 2054 or other form), that have been signed and dated annually, available for review?	Yes
CR - 2.4.3 Are Official Driving Records (ODR), which have been reviewed annually, available for review?	Yes
CR - 2.4.4 Have there been any vehicular accidents during the most recent one (1) year audit period?	Yes
CR - 2.4.4.1 Has a Driver Accident Report Form (DA 2041) been completed for each accident?	Yes
CR - 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
Recommendation: 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.	

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?	Not Applicable
3.1.2 Are there procedures in place to address separation of duties?	Not Applicable
3.1.3 Are there procedures in place to address controlling inventories?	Not Applicable
3.1.4 Are there procedures in place to address purchasing procedures?	Not Applicable
3.1.5 Are there procedures in place to address reporting losses/damages?	Not Applicable
3.1.6 Are there procedures in place to address investigating losses/damages?	Not Applicable
3.1.7 Are there procedures in place to address timely reporting of losses to the correct claims unit?	Not Applicable

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CR - 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?	Not Applicable

3.2 Employee Responsibility

Question	Answer
3.2.1 Does the agency program outline employee responsibility?	Not Applicable
3.2.2 Have only authorized employees been assigned to duties covered under the program?	Not Applicable
3.2.3 Are employees receiving documented training in their job duties per the program?	Not Applicable

3.3 Security

Question	Answer
CR - 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?	Not Applicable
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?	Not Applicable
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?	Not Applicable

3.4 Key Control

Question	Answer
CR - 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?	Not Applicable
3.4.1.2 Does key control policy include the following: Procedures to change locks/codes?	Not Applicable
3.4.1.3 Does key control policy include the following: Methods for issuing, returning, and accounting for lost/stolen keys/cards?	Not Applicable

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3.4.1.4 Does key control policy include the following: Specifying employee responsibility/procedures for handling keys/cards?	Not Applicable
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4 Equipment Management

Question	Answer
CR - 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
CR - 4.1.1.1 Is there a written equipment management program?	Yes
4.1.1.1.1 Is the written equipment management program:	Not Applicable
4.1.1.1.2 Does it address mechanical equipment?	Not Applicable
4.1.1.1.3 Does it address electrical equipment?	Not Applicable
4.1.1.1.4 Is there a current, specific inventory of ALL applicable program equipment?	Not Applicable
4.1.1.1.5 Are there preventive maintenance procedures for inventoried equipment?	Not Applicable
CR - 4.1.1.1.6 Is there a written preventive maintenance schedule for mechanical equipment?	Yes
CR - 4.1.1.1.7 Is there a written preventive maintenance schedule for electrical equipment?	Yes
CR - 4.1.1.1.8 Is preventive maintenance documentation being maintained for mechanical equipment?	Yes
CR - 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

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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

4.1.2 Personal Protective Equipment (PPE)

Question	Answer
CR - 4.1.2.1 Has a documented assessment been conducted to determine if the use of any Personal Protective Equipment is required?	Yes
CR - 4.1.2.2 Is Personal Protective Equipment required?	Yes
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	Not Applicable
4.1.3.2 Are there written work order procedures for the following areas: Reported problems	Not Applicable
CR - 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?	Not Applicable

4.1.4 Lockout/Tagout (LO/TO)

Question	Answer
4.1.4.1 Does the agency have a written LO/TO program?	Yes
CR - 4.1.4.2 Will any LO/TO be performed by agency personnel?	Yes
CR - 4.1.4.2.1 For LO/TO performed by agency personnel, is there documented training for the following: Authorized Employees	Yes
CR - 4.1.4.2.2 For LO/TO performed by agency and/or contractor personnel, is there documented training for the following: 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?	Not Applicable

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4.1.5 Boilers

Question	Answer
CR - 4.1.5.1 Does the agency have boilers that meet the criteria which mandate an inspection?	Yes
CR - 4.1.5.1.1 Are current certificates posted at/near equipment?	Yes
CR - 4.1.5.1.2 Have all items cited in the inspection report been corrected and documented?	Yes

4.1.6 Elevators & Fire Service Key/Equipment Room

Question	Answer
CR - 4.1.6.1 Does the agency have elevators?	Yes
CR - 4.1.6.1.1 Are current elevator certificates available?	Yes
CR - 4.1.6.1.2 Have ALL code violations been corrected and documented?	Yes
4.1.6.1.3 Are there written procedures outlining availability of the fire service key?	Yes
4.1.6.1.4 Has the fire service key been provided to the designated employee?	Yes
4.1.6.1.5 Is the fire service key provided to the local fire department or readily accessible upon their arrival?	Yes

4.1.7 Confined Space

Question	Answer
CR - 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?	No

5 Water Vessel

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

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	Not Applicable
5.1.1.1-B Is there a written program that includes ALL of the following components? Definition of high-risk operators	Not Applicable

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5.1.1.1-C Is there a written program that includes ALL of the following components? Determination of high-risk operators	Not Applicable
5.1.1.1-D Is there a written program that includes ALL of the following components? Operator training	Not Applicable
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	Not Applicable
5.1.1.1-F Is there a written program that includes ALL of the following components? Claims reporting	Not Applicable
5.1.1.1-G Is there a written program that includes ALL of the following components? Accident investigation	Not Applicable
5.1.1.2 Is someone assigned to monitor the program?	Not Applicable

5.1.2 Inspections and Repairs

Question	Answer
CR - 5.1.2.1-A Were all required monthly vessel inspections performed?	Yes
CR - 5.1.2.1-B Were any deficiencies found during the inspection?	No
CR - 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

5.1.3 Training

Question	Answer
CR - 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?	Yes
CR - 5.1.3.2 Is a refresher course conducted once every three (3) years thereafter?	Yes
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?	Not Applicable

5.1.4 Records and Forms

Question	Answer
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CR - 5.1.4.1 Is there a signed and dated list of approved operators indicating annual verification of the operator records?	Yes
CR - 5.1.4.2 Are the Vessel Authorization/Operator History forms (DA 2066) signed and dated annually?	Yes
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?	Not Applicable
5.1.4.4 Have there been any non-commercial vessels involved in an accident in any waters?	Not Applicable

6 Flight Operations

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

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