



Office of Risk Management

# Recommendation Responses - Compliance Review



## Agency 5220 - Southeastern Louisiana Univ. - General Operations

Audit Information	
Site Visit Date	9/22/2016

Location Information	
Mailing Address 1	405 Dakota Street-Room 131
Mailing Address 2	
City, State, Zip	Hammond, LA, 70402

### 1 General Safety

#### CR - General Information

Question	Answer
CR - Number of Employees:	1686
CR - Number of Full Time Employees:	1181
CR - Number of Part Time Employees:	505
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:	Agency/Site Specific
1.1.1.2 Does it contain a management policy statement from the department/agency head?	Agency/Site Specific
CR - 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
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

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CR - 1.1.3 Are there general safety rules?	Yes
CR - 1.1.3.1 Have these rules been distributed ANNUALLY (via safety meetings, postings, etc.) TO ALL EMPLOYEES and such action documented?	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 distributed ANNUALLY (via meetings, posting, etc.) TO ALL EMPLOYEES and such action documented?	Yes

## 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?	Yes
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
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 90 days of hire?	Yes
1.2.3.2 Is the agency conducting mandatory, documented awareness/training on a Drug-Free Workplace at least once every 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?	Yes
1.2.5-B Has the agency's designated loss prevention coordinator received documented training in Inspections?	Yes
1.2.5-C Has the agency's designated loss prevention coordinator received documented training in Safety Meetings?	Yes
1.2.5-D Has the agency's designated loss prevention coordinator received documented training in Supervisor Responsibilities?	Yes
1.2.5-E Has the agency's designated loss prevention coordinator received documented training on Job Safety Analyses (JSAs)?	Yes

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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
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

### 1.3 Inspections

Question	Answer
CR - 1.3.1. How many potential inspections were there during the most recently completed audit/Compliance Review period?	508
CR - 1.3.2 How many inspections were there during the most recently completed audit/Compliance Review period?	508
CR - 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?	Agency/Site Specific
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

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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
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

## 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
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
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

## 1.5.A Return to Work

Question	Answer
CR - 1.5.A.1 Is there a written Transitional Return to Work policy?	Yes
CR - 1.5.A.1.1 Is the written Transitional Return to Work policy:	Agency/Site Specific
CR - 1.5.A.1.2 Is the agency conducting documented awareness/training on its Transitional Return to Work policy within ninety (90) days of hire?	Yes

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CR - 1.5.A.1.3 Is the agency conducting documented awareness/training on its Transitional Return to Work policy once every five (5) years thereafter.	Not Applicable
CR - 1.5.A.2 Does the agency have a Transitional Return to Work team?	Yes
CR - 1.5.A.3 Has local management designated a coordinator?	Yes
CR - 1.5.A.4 Did the agency have any lost time claims?	Yes
CR - 1.5.A.4.1 Does the agency have form DA WC4000 available for review?	Yes

## 1.5.B Post-Accident Drug Testing

Question	Answer
CR - 1.5.B.1 Is there a written Post-Accident Drug Testing policy?	Yes
CR - 1.5.B.1.1 Is the written Post-Accident Drug Testing Policy:	Agency/Site-Specific
CR - 1.5.B.1.2 Is the agency conducting documented awareness/training on its Post-Accident Drug Testing policy within ninety (90) days of hire?	Yes
CR - 1.5.B.1.3 Is the agency conducting documented awareness/training on its Post-Accident Drug Testing policy once every five (5) years thereafter?	Not Applicable
CR - 1.5.B.1.4 Does the agency have a designated coordinator to evaluate and improve the agency's Post-Accident Drug Testing program?	Yes
CR - 1.5.B.2 Did the agency have any workers' compensation claims that required post-accident drug testing?	No
Post Accident Drug Testing Comments:	All current lost time claims occurred before the implementation of their latest Post-Accident Drug Testing Policy revision.

## 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:	Both
1.6.1.2-A Does the agency BBP program address the following: Exposure Determination	Yes
1.6.1.2-B Does the agency BBP program address the following: Medical Evaluation for Affected Employees	Yes

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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
CR - 1.6.2 Is the agency conducting documented employee awareness/training on BBP for low risk employees within 90 days of hire?	Yes
CR - 1.6.3 Is the agency conducting documented employee awareness 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 for high-risk employees within 90 days of hire?	Yes
CR - 1.6.4.2 Is the agency conducting documented employee training on BBP for high-risk employees at least once every year?	Yes
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

## 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
CR - 1.7.2 Are fire drills conducted at least once every 12 months (including space leased/outside of your agency's control)?	Yes

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## 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
CR - 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 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?	Yes
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
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
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

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## 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
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?	888
CR - 2.2.1.2 How many documented vehicle inspections were conducted in the most recently completed audit/Compliance Review period?	444

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CR - 2.2.1.3 What percentage of your fleet was inspected?	40-59%
<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>	<p>Response:</p> <p>All vehicle checklists were completed for 100% of vehicles but approximately 50% of those were only signed on the front and not the back. The checklist being used was not the current revision (dated 12/15). The current revision form only has a single signature space on the front. Inspection personnel have been informed to start using the current form for all future inspections to prevent this signing oversight.</p>
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
2.3.1 Is documented defensive driving training provided for all agency employees authorized to drive on state business?	Yes
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
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?	Yes

## 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

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CR - 2.4.4.2 Have all of the DA 2041 forms been faxed/e-mailed within forty-eight (48) hours to the Claims Unit?	Yes
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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
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?	Yes
3.1.10 Is someone assigned the responsibility for keeping the program current?	Yes

#### 3.2 Employee Responsibility

Question	Answer
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
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?	Yes

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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

### 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?	Yes
3.4.1.2 Does key control policy include the following: Procedures to change locks/codes?	Yes
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

## 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:	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

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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?	Yes
4.1.1.1.11 Does the program include testing procedures for electrical equipment?	Yes
4.1.1.1.12 Are maintenance and/or other designated employees trained on the written Equipment Management program?	Yes
4.1.1.1.13 Is formal and/or on-the-job training for the operation of inventoried equipment documented?	Yes
4.1.1.1.14 Is formal and/or on-the-job training for the operation of testing equipment documented?	Yes
4.1.1.1.15 Is formal and/or on-the-job training for assigned maintenance duties documented?	Yes

## 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?	Yes

## 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
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?	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
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 personnel, is there documented training for the following: Affected Employees:	Yes
4.1.4.3 Will any LO/TO be performed by a contractor?	Yes
4.1.4.3.1 Does the contractor have their own written LO/TO program?	Yes
4.1.4.4 Are proper LO/TO devices available?	Yes

#### 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?	Not Applicable
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
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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:	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 Were any deficiencies found during the inspection?	Yes
5.1.2.1.1 Have corrective actions been taken for deficiencies found during the inspection?	Yes
5.1.2.1.1.1 Have the corrective actions been documented?	Yes
CR - 5.1.2.2 Are there any vessels that are twenty-six (26) feet or longer?	Yes

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CR - 5.1.2.2.1 For vessels 26 feet or longer that fall under the Coast Guard jurisdiction and are used in navigable waters, have the necessary inspections been performed?	Not Applicable
5.1.2.3 Is periodic, preventive maintenance, per the manufacturer's recommendations, performed and documented?	Yes
Inspections and Repairs comments:	The 26' vessel is not used in waters that fall under the Coast Guard jurisdiction.

### 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?	Yes

### 5.1.4 Records and Forms

Question	Answer
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?	No
5.1.4.4 Have there been any non-commercial vessels involved in an accident in any waters?	No

## 6 Flight Operations

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

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