

**STATE OF LOUISIANA
OFFICE OF RISK MANAGEMENT
LOSS PREVENTION
SELF-AUDIT 3.9**

➤ **1.0 - General Safety**

• **General Information**

- Total Number of Employees _____
 - Full-Time _____
 - Part-Time _____
- Was this agency Class A or Class B during the audit period in question? _____

• **1.1 Program**

- **1.1.1** Is there a written general safety plan?
 - Yes
 - No
 - Not Applicable
- **1.1.1.1** Is the written general safety plan:
 - Departmental/Generic
 - Agency/Site-Specific
 - Both
 - Not Applicable
- **1.1.1.2** Does it contain a management policy statement from the department/agency head?
 - Departmental/Generic
 - Agency/Site-Specific
 - Both
 - Not Applicable
- **1.1.1.3** Has the program been presented to new employees during orientation and such action been documented?
 - Yes
 - No
 - Not Applicable
- **1.1.1.4** Is the program readily accessible to all employees?
 - Yes
 - No
 - Not Applicable

- **1.1.2** Are there written safety responsibilities?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **1.1.3** Are there general safety rules?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **1.1.4** Are site/task-specific rules required?
 - Yes
 - No
 - Not Applicable

- **1.1.4.1** Are there site/task specific safety rules?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **1.2 Safety Meetings and Training**

- **1.2.1** How many documented safety meetings have been conducted at this agency during the most recently completed audit/Compliance Review period?

CLASS A

- 0
- 1-3
- 4-6
- 7-9
- 10-11
- 12+

- **1.2.1.1** Did the agency meet the 75% attendance requirement at every meeting during the audit period?

- Yes
- No
- Not Applicable

- **1.2.1.2** Did the department and/or agency head or his/her designee meet the 100% attendance requirement during the audit period?

- Yes
- No
- Not Applicable

- **1.2.2** How many documented safety meetings have been conducted at this agency during the most recently completed audit/Compliance Review period?

CLASS B

- 0
- 1-2
- 3
- 4+

- **1.2.2.1** Did the agency meet the 75% attendance requirement at every meeting during the audit period?

- Yes
- No
- Not Applicable

- **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
 - No
 - Not Applicable

- **1.2.3** Does the agency have a written policy that covers Drug-Free Workplace?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **1.2.4** Is this audit being conducted for a Headquarters or a Field Office?
 - Headquarters
 - Field Office
 - Not Applicable

- **1.2.5-A** Has the agency's designated loss prevention coordinator received documented training in Accident Investigation?
 - Yes
 - No
 - Not Applicable

- **1.2.5-B** Has the agency's designated loss prevention coordinator received documented training in Inspections?
 - Yes
 - No
 - Not Applicable

- **1.2.5-C** Has the agency's designated loss prevention coordinator received documented training in Safety Meetings?
 - Yes
 - No
 - Not Applicable

- **1.2.5-D** Has the agency's designated loss prevention coordinator received documented training in Supervisor Responsibilities?
 - Yes
 - No
 - Not Applicable

- **1.2.5-E** Has the agency's designated loss prevention coordinator received documented training on Job Safety Analyses (JSAs)?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **1.2.6-B** Has the agency's designated loss prevention coordinator or other qualified position trained the field safety representative on Inspections?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

- **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
 - No
 - 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?
 - Yes
 - No
 - Not Applicable

- **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?
 - Yes
 - No
 - Not Applicable

- **1.3 Inspections**

- **1.3.1** How many potential inspections were there during the most recently completed audit/compliance review period? _____

- **1.3.2** How many inspections were there during the most recently completed audit/compliance review period? _____

- **1.3.3** What percentage of inspections were conducted during the most recently completed audit/Compliance Review period?
 - 95%-100%
 - 90%-94%
 - 85%-89%
 - 80%-84%
 - 75%-79%
 - 74% and below

- **1.3.4** Were any of the inspections documented?
 - Yes
 - No

- **1.3.4.1** What type of inspection documentation is used?
 - Departmental/Generic
 - Agency/Site-Specific
 - Other

- **1.3.4.2** Does the documentation address: Building Safety?

- Yes
- No
- Not Applicable

○ **1.3.4.3** Does the documentation address: Electrical Safety?

- Yes
- No
- Not Applicable

○ **1.3.4.4** Does the documentation address: Emergency Equipment?

- Yes
- No
- Not Applicable

○ **1.3.4.5** Does the documentation address: Fire Safety?

- Yes
- No
- Not Applicable

○ **1.3.4.6** Does the documentation address: Office Safety?

- Yes
- No
- Not Applicable

○ **1.3.4.7** Does the documentation address: Storage Methods?

- Yes
- No
- Not Applicable

○ **1.3.5** Is there a method in place for employees to notify management of workplace hazards?

- Yes
- No
- Not Applicable

○ **1.3.6** Is there a method in place for repair or corrective action of workplace hazards?

- Yes
- No
- Not Applicable

○ **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
- No

Not Applicable

○ **1.3.7.1** Were there any deficiencies found by the State Fire Marshal during these inspections?

Yes

No

Not Applicable

○ **1.3.7.1.1** Were the deficiencies corrected?

Yes

No

Not Applicable

● **1.4 Incident/Accident Investigations**

○ **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

No

Not Applicable

○ **1.4.2** Do the agency's investigation procedures address bodily injury and/or property concerns?

Yes

No

Not Applicable

○ **1.4.3** Has the agency had any accidents or incidents within the most recently concluded audit/Compliance Review period?

Yes

No

Not Applicable

○ **1.4.3.1** Is the agency using the DA2000/DA3000 or equivalent form for any accident or incident?

Yes

No

Not Applicable

○ **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

No

Not Applicable

- **1.4.4** Are Job Safety Analyses (JSAs) needed at this agency?
 - Yes
 - No
 - Not Applicable

- **1.4.4.1** Are JSAs developed for incident/accident trends, death, or change in job procedures or equipment?
 - Yes
 - No
 - Not Applicable

- **1.4.4.2** Is employee training on location-specific and/or task-specific JSAs documented at least annually?
 - Yes
 - No
 - Not Applicable

- **1.4.4.3** Are the JSAs posted in the workplace in an area accessible to all employees?
 - Yes
 - No
 - Not Applicable

- **1.4.5** Did any incident/accident involve one or more of the following:
 - Reasonable suspicion of employee drug or alcohol use or impairment
 - Fatality
 - Hazardous materials release
 - Not Applicable

- **1.4.5.1** Did the agency have any workers' compensation claims that required post-accident drug testing?
 - Yes
 - No
 - Not Applicable

- **1.4.5.1.1** What percentage of all workers' compensation claims involved drug testing?
 - 0% - 25%
 - 26%-50%
 - 51% - 75%
 - 76% - 100%

- **1.5 Return to Work**

- **1.5.1** Is there a written Transitional Return to Work policy?
 - Yes
 - No
 - Not Applicable
- **1.5.1.1** Is the written Transitional Return to Work policy:?
 - Departmental/Generic
 - Agency/Site-Specific
 - Both
 - Not Applicable
- **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
 - No
 - Not Applicable
- **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
 - No
 - Not Applicable
- **1.5.2** Does the agency have a Transitional Return to Work team?
 - Yes
 - No
 - Not Applicable
- **1.5.3** Has local management designated a coordinator?
 - Yes
 - No
 - Not Applicable

- **1.5.4** Did the agency have any lost time claims?

- Yes
- No
- Not Applicable

- **1.5.4.1** Does the agency have form DA WC4000 available for review?

- Yes
- No
- Not Applicable

- **1.6 Blood Borne Pathogens/First Aid**

- **1.6.1** Does the agency have a written BBP program?

- Yes
- No
- Not Applicable

- **1.6.1.1** Is the written BBP program:

- Departmental/Generic
- Agency/Site-Specific
- Both
- Not Applicable

- **1.6.1.2-A** Does the agency BBP program address the following: Exposure Determination?

- Yes
- No
- Not Applicable

- **1.6.1.2-B** Does the agency BBP program address the following: Medical Evaluation for Affected Employees?

- Yes
- No
- Not Applicable

- **1.6.1.2-C** Does the agency BBP program address the following: Methods of Compliance?

- Yes
- No
- Not Applicable

- **1.6.1.2-D** Does the agency BBP program address the following: Awareness/Training?
 - Yes
 - No
 - Not Applicable

- **1.6.1.2-E** Does the agency BBP program address the following: Work Practice Controls?
 - Yes
 - No
 - Not Applicable

- **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?
 - Yes
 - No
 - Not Applicable

- **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?
 - Yes
 - No
 - Not Applicable

- **1.6.4** Are there any high-risk employees, as identified by the agency?
 - Yes
 - No
 - Not Applicable

- **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?
 - Yes
 - No
 - 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?
 - Yes
 - No
 - Not Applicable

- **1.6.5** Are spill procedures in place?

- Yes
- No
- Not Applicable

○ **1.6.6** Are spill kits maintained?

- Yes
- No
- Not Applicable

○ **1.6.7** Does the agency have a written first aid program for employees and visitors?

- Yes
- No
- Not Applicable

○ **1.6.8** Are first aid kits maintained?

- Yes
- No
- Not Applicable

○ **1.6.9** Does the agency location meet any of the following criteria:
a) working with night shifts or any minimal/partial crew shifts?, b) employees working in remote/isolated locations?, or c) the on-site medical facility is closed?

- Yes
- No
- Not Applicable

○ **1.6.9.1** Does the agency have someone available in these situations who is trained/able to render first aid?

- Yes
- No
- Not Applicable

● **1.7 Emergency Preparedness Plan**

○ **1.7.1** Does the agency have a written emergency preparedness program?

- Yes
- No
- Not Applicable

- **1.7.1.1-A** Is the written emergency preparedness program?
 - Departmental/Generic
 - Agency/Site-Specific
 - Both
 - Not Applicable

- **1.7.1.1-B** Does the plan address fire?
 - Yes
 - No
 - Not Applicable

- **1.7.1.1-C** Does the plan address natural disasters?
 - Yes
 - No
 - Not Applicable

- **1.7.1.1-D** Does the plan proximity threats?
 - Yes
 - No
 - Not Applicable

- **1.7.1.1-E** Does the plan address terrorism?
 - Yes
 - No
 - Not Applicable

- **1.7.2** Are fire drills conducted at least once every twelve (12) months (including space leased/outside of your agency's control)?
 - Yes
 - No
 - Not Applicable

- **1.8 Hazardous Materials**

- **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
 - No
 - Not Applicable

- **1.8.2** Are hazardous materials present at any agency location covered by this audit?
 - Yes
 - No
 - Not Applicable

- **1.8.3** Does the agency have a written hazardous materials program?
 - Yes
 - No
 - Not Applicable

- **1.8.3.1** Is the written hazardous materials program:?
 - Departmental/Generic
 - Agency/Site-Specific
 - Both
 - Not Applicable

- **1.8.3.2** Does the plan ensure that materials are handled properly?
 - Yes
 - No
 - Not Applicable

- **1.8.3.3** Does the plan ensure that materials are stored properly?
 - Yes
 - No
 - Not Applicable

- **1.8.3.4** Does the plan ensure that materials are disposed of properly?
 - Yes
 - No
 - Not Applicable

- **1.8.3.5** Does the plan ensure that Safety Data Sheets (SDS) are available?
 - Yes
 - No
 - Not Applicable

- **1.8.3.6** Does the plan ensure that proper Personal Protective Equipment (PPE) is available?
 - Yes
 - No
 - Not Applicable

- **1.8.3.7** Does the plan ensure that a list of hazardous materials, updated at least annually, is available at each agency location covered by this audit?

- Yes
 - No
 - Not Applicable
- **1.8.4** Is the agency conducting appropriate documented employee training on hazard communication within thirty (30) days of hire?
 - Yes
 - No
 - Not Applicable
 - **1.8.5** Is the agency conducting appropriate documented employee training on hazard communication at least annually?
 - Yes
 - No
 - Not Applicable
 - **1.8.6** Is the agency conducting documented employee training on hazard communication when working in a new area?
 - Yes
 - No
 - 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 workplace?
 - Yes
 - No
 - Not Applicable
 - **1.8.8** Is the agency conducting appropriate, documented employee training on hazard communication whenever the department head, department safety officer, or supervisor determines that refresher training is in order?
 - Yes
 - No
 - 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
 - No
 - Not Applicable
-

➤ **2.0 - Driver Safety**

- **2.1 Program**

- **2.1.1-A** Is there a written program that includes ALL of the following components:
Procedure for enrolling in the program?
 - Yes
 - No
 - Not Applicable

- **2.1.1-B** Is there a written program that includes ALL of the following components:
Definition of high-risk drivers?
 - Yes
 - No
 - Not Applicable

- **2.1.1-C** Is there a written program that includes ALL of the following components:
Procedure for identifying high-risk drivers?
 - Yes
 - No
 - Not Applicable

- **2.1.1-D** Is there a written program that includes ALL of the following components:
Driver Training?
 - Yes
 - No
 - 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?
 - Yes
 - No
 - Not Applicable

- **2.1.1-F** Is there a written program that includes ALL of the following components:
Claims reporting?
 - Yes
 - No
 - Not Applicable

- **2.1.1-G** Is there a written program that includes ALL of the following components:
Accident investigation?
 - Yes
 - No
 - Not Applicable
- **2.1.1-H** Is there a written program that includes ALL of the following components:
Definition of State vehicles?
 - Yes
 - No
 - Not Applicable

- **2.2 Inspection and Repair of State-Owned Vehicles**

- **2.2.1** Does the agency have any state-owned vehicles?
 - Yes
 - No
 - Not Applicable
- **2.2.1.1** How many potential vehicle inspections (# of vehicles X 12) were there in the most recently completed audit/Compliance Review period? _____
- **2.2.1.2** How many potential vehicle inspections were conducted in the most recently completed audit/compliance review period? _____
- **2.2.1.3** What percentage of your fleet was inspected?
 - 0%-19%
 - 20%-39%
 - 40%-59%
 - 60%-79%
 - 80%-99%
 - 100%
- **2.2.1.4** Is documented corrective action taken on deficiencies noted on the checklist to prevent further damage or accidents?
 - Yes
 - No
 - Not Applicable
- **2.2.1.5** Is preventative maintenance performed and documented?
 - Yes
 - No
 - Not Applicable

- **2.3 Inspection and Repair of State-Owned Vehicles**

- **2.3.1** Is documented defensive driving training provided for all agency employees authorized to drive on state business?
 - Yes
 - No
 - Not Applicable

- **2.3.2** Is initial training conducted within ninety (90) days of hire or entering the program via authorization on a DA2054 form?
 - Yes
 - No
 - Not Applicable

- **2.3.3** Is refresher training conducted once every three (3) years thereafter?
 - Yes
 - No
 - Not Applicable

- **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
 - No
 - Not Applicable

2.4 Records and Forms

- **2.4.1** Is there a signed and dated list of approved or unapproved drivers verified by the Official Driving Record (ODR) forms?
 - Yes
 - No
 - Not Applicable

- **2.4.2** Are Driver Authorization forms (DA 2054 or other form), that have been signed and dated annually, available for review?
 - Yes
 - No
 - Not Applicable

- **2.4.3** Are Official Driving Records (ODR), which have been reviewed annually, available for review?
 - Yes
 - No
 - Not Applicable

- **2.4.4** Have there been any vehicular accidents during the most recent one (1) year audit period?
 - Yes
 - No

- Not Applicable
 - **2.4.4.1** Has a Driver Accident Report Form (DA 2041) been completed for each accident?
 - Yes
 - No
 - Not Applicable
 - **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?
 - Yes
 - No
 - Not Applicable
-

➤ **3.0 – Bonds, Crime, & Property**

• **3.1 Program**

- **3.1.1** Is there a written program that addresses the prevention of property damage and/or loss?
 - Yes
 - No
 - Not Applicable
- **3.1.2** Are there procedures in place to address separation of duties?
 - Yes
 - No
 - Not Applicable
- **3.1.3** Are there procedures in place to address controlling inventories?
 - Yes
 - No
 - Not Applicable
- **3.1.4** Are there procedures in place to address purchasing procedures?
 - Yes
 - No
 - Not Applicable
- **3.1.5** Are there procedures in place to address reporting losses/damages of property and/or negotiable items?
 - Yes
 - No
 - Not Applicable

- **3.1.6** Are there procedures in place to address investigating losses/damages of property and/or negotiable items?
 - Yes
 - No
 - Not Applicable

- **3.1.7** Are there procedures in place to address timely reporting of losses/damages of property and/or negotiable items to the correct claims unit?
 - Yes
 - No
 - Not Applicable

- **3.1.8** Are there procedures in place to address handling negotiable items?
 - Yes
 - No
 - Not Applicable

- **3.1.9** Are there procedures in place to address securing vaults/safes?
 - Yes
 - No
 - Not Applicable

- **3.1.10** Is someone assigned the responsibility for keeping the program current?
 - Yes
 - No
 - Not Applicable

- **3.2 Employee Responsibility**

- **3.2.1** Does the agency program outline employee responsibility?
 - Yes
 - No
 - Not Applicable

- **3.2.2** Have only authorized employees been assigned to duties covered under the program?
 - Yes
 - No
 - Not Applicable
- **3.2.3** Are employees receiving documented training in their job duties per the program?
 - Yes
 - No
 - Not Applicable

- **3.3 Security**

- **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
 - No
 - Not Applicable
- **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
 - No
 - 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?
 - Yes
 - No
 - 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?
 - Yes
 - No
 - Not Applicable

- **3.4 Key Control**

- **3.4.1** Is there a key/access card control policy in place?
 - Yes
 - No
 - Not Applicable
- **3.4.1.1** Does key control policy include the following: A key/card log?

- Yes
- No
- Not Applicable

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

- Yes
- No
- Not Applicable

- **3.4.1.3** Does key control policy include the following: Methods for issuing, returning, and accounting for lost/stolen keys/cards?

- Yes
- No
- Not Applicable

- **3.4.1.4** Does key control policy include the following: Specifying employee responsibility/procedures for handling keys/cards?

- Yes
- No
- Not Applicable

➤ **4.0 – Equipment Management**

- **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
- No
- Not Applicable

- **4.1.1 Program**

- **4.1.1.1** Is there a written equipment management program?

- Yes
- No
- Not Applicable

- **4.1.1.1.1** Is the written equipment management program:?

- Departmental/Generic
- Agency/Site-Specific
- Both

- Not Applicable
- **4.1.1.1.2** Does it address mechanical equipment?
 - Yes
 - No
 - Not Applicable
- **4.1.1.1.3** Does it address electrical equipment?
 - Yes
 - No
 - Not Applicable
- **4.1.1.1.4** Is there a current, specific inventory of ALL applicable program equipment?
 - Yes
 - No
 - Not Applicable
- **4.1.1.1.5** Are there preventive maintenance procedures for inventoried equipment?
 - Yes
 - No
 - Not Applicable
- **4.1.1.1.6** Is there a written preventive maintenance schedule for mechanical equipment?
 - Yes
 - No
 - Not Applicable
- **4.1.1.1.7** Is there a written preventive maintenance schedule for electrical equipment?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.8** Is preventive maintenance documentation being maintained for mechanical equipment?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.9** Is preventive maintenance documentation being maintained for electrical equipment?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.10** Does the program include testing procedures for mechanical equipment?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.11** Does the program include testing procedures for electrical equipment?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.12** Are maintenance and/or other designated employees trained on the written equipment management program?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.13** Is formal and/or on-the-job training for the operation of inventoried equipment documented?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.14** Is formal and/or on-the-job training for the operation of testing equipment documented?
 - Yes
 - No
 - Not Applicable

- **4.1.1.1.15** Is formal and/or on-the-job training for assigned maintenance duties documented?

- Yes
- No
- Not Applicable

- **4.1.2 Program**

- **4.1.2.1** Has a documented assessment been conducted to determine if the use of any personal protective equipment (PPE) is required?

- Yes
- No
- Not Applicable

- **4.1.2.2** Is PPE required?

- Yes
- No
- Not Applicable

- **4.1.2.3** Are there written procedures that address the: procurement, use, maintenance, and disposal of PPE?

- Yes
- No
- Not Applicable

- **4.1.3 Work Order System**

- **4.1.3.1** Are there written work order procedures for the following areas:
Scheduled preventive maintenance?

- Yes
- No
- Not Applicable

- **4.1.3.2** Are there written work order procedures for the following areas:
Reported problems?

- Yes
- No
- Not Applicable

- **4.1.3.3** Are all repairs documented?

- Yes
- No
- Not Applicable

- **4.1.3.4** Are employees aware of the written procedures for reporting problems via the work order system?
 - Yes
 - No
 - Not Applicable

- **4.1.4 Lockout/Tagout (LO/TO)**
 - **4.1.4.1** Does the agency have a written LO/TO program?
 - Yes
 - No
 - Not Applicable

 - **4.1.4.2** Will any LO/TO be performed by agency personnel?
 - Yes
 - No
 - Not Applicable

 - **4.1.4.2.1** For LO/TO performed by agency personnel, is there documented training for the following: Authorized Employees?
 - Yes
 - No
 - Not Applicable

 - **4.1.4.2.2** For LO/TO performed by agency personnel, is there documented training for the following: Affected Employees?
 - Yes
 - No
 - Not Applicable

 - **4.1.4.3** Will any LO/TO be performed by a contractor?
 - Yes
 - No
 - Not Applicable

 - **4.1.4.3.1** Does the contractor have its own written LO/TO program?
 - Yes
 - No
 - Not Applicable

- **4.1.4.4** Are proper LO/TO devices available?

- Yes
- No
- Not Applicable

- **4.1.5 Boilers**

- **4.1.5.1** Does the agency have boilers that meet the criteria that mandate an inspection?

- Yes
- No
- Not Applicable

- **4.1.5.1.1** Are current certificates posted at/near equipment?

- Yes
- No
- Not Applicable

- **4.1.5.1.2** Have all items cited in the inspection report been corrected and documented?

- Yes
- No
- Not Applicable

- **4.1.6 Elevators & Fire Service Key/Equipment Room**

- **4.1.6.1** Does the agency have elevators?

- Yes
- No
- Not Applicable

- **4.1.6.1.1** Are current elevator certificates available?

- Yes
- No
- Not Applicable

- **4.1.6.1.2** Have ALL code violations been corrected and documented?

- Yes
- No
- Not Applicable

- **4.1.6.1.3** Are there written procedures outlining availability of the fire service key?

- Yes
- No
- Not Applicable

- **4.1.6.1.4** Has the fire service key been provided to the designated employee?

- Yes
- No
- Not Applicable

- **4.1.6.1.5** Is the fire service key provided to the local fire department or readily accessible upon their arrival?

- Yes
- No
- Not Applicable

- **4.1.7 Confined Space**

- **4.1.7.1** Has a documented assessment been performed to determine if confined spaces exist?

- Yes
- No
- Not Applicable

- **4.1.7.1.1** Were any confined spaces identified?

- Yes
- No
- Not Applicable

- **4.1.7.1.1.1** Do the identified confined spaces require a permit?

- Yes
- No
- Not Applicable

- **4.1.7.1.1.2** Is ALL confined space entry work contacted out?

- Yes
- No
- Not Applicable

- **4.1.7.1.1.2.1** Does the contractor have its own written confined space program?

- Yes
- No

Not Applicable

○ **4.1.7.1.1.3** Is there a written confined space entry program that covers Training?

- Yes
- No
- Not Applicable

○ **4.1.7.1.1.4** Is there a written confined space entry program that covers PPE?

- Yes
- No
- Not Applicable

○ **4.1.7.1.1.5** Is there a written confined space entry program that covers Rescue?

- Yes
- No
- Not Applicable

○ **4.1.7.1.1.6** Is there a written confined space entry program that covers Environmental Testing?

- Yes
- No
- Not Applicable

○ **4.1.7.1.1.7** Is there a written confined space entry program that covers Permits?

- Yes
- No
- Not Applicable

○ **4.1.7.1.1.8** Is all required confined space equipment available?

- Yes
- No
- Not Applicable

- **4.1.7.1.1.9** Is training provided to applicable employees on Equipment?
 - Yes
 - No
 - Not Applicable

 - **4.1.7.1.1.10** Is training provided to applicable employees on PPE?
 - Yes
 - No
 - Not Applicable

 - **4.1.7.1.1.11** Is training provided to applicable employees on Rescue?
 - Yes
 - No
 - Not Applicable

 - **4.1.7.1.1.12** Is training provided to applicable employees on Environmental Testing?
 - Yes
 - No
 - Not Applicable

 - **4.1.7.1.1.13** Is training provided to applicable employees on Permits?
 - Yes
 - No
 - Not Applicable
-

➤ **5.0 – Water Vessel**

- **5.1** Does the agency have any state-owned water vessels (e.g., boats, ferries, airboats)?
 - Yes
 - No
 - Not Applicable

- **5.1.1 Program**
 - **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
 - No
 - Not Applicable
 - **5.1.1.1-B** Is there a written program that includes ALL of the following components: Definition of high-risk operators?

- Yes
- No
- Not Applicable

- **5.1.1.1-C** Is there a written program that includes ALL of the following components: Definition of high-risk operators?

- Yes
- No
- Not Applicable

- **5.1.1.1-D** Is there a written program that includes ALL of the following components: Operator training?

- Yes
- No
- 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?

- Yes
- No
- Not Applicable

- **5.1.1.1-F** Is there a written program that includes ALL of the following components: Claim reporting?

- Yes
- No
- Not Applicable

- **5.1.1.1-G** Is there a written program that includes ALL of the following components: Accident investigation?

- Yes
- No
- Not Applicable

- **5.1.1.2** Is someone assigned to monitor the program?

- Yes
- No
- Not Applicable

- **5.1.2 Inspections and Repairs**

- **5.1.2.1-A** Were all required monthly vessel inspections performed?

- Yes
- No

- Not Applicable
- **5.1.2.1-B** Were any deficiencies found during the inspection?
 - Yes
 - No
 - Not Applicable
- **5.1.2.1-B.1** Have corrective actions been taken for deficiencies found during the inspection?
 - Yes
 - No
 - Not Applicable
- **5.1.2.1-B.1.1** Have the corrective actions been documented?
 - Yes
 - No
 - Not Applicable
- **5.1.2.2** Are there any vessels that are twenty-six (26) feet or longer?
 - Yes
 - No
 - Not Applicable
- **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?
 - Yes
 - No
 - Not Applicable
- **5.1.2.2.1.1** Have corrective actions been taken for all item(s) cited?
 - Yes
 - No
 - Not Applicable

- **5.1.2.3** Is periodic, preventive maintenance, per the manufacturer's recommendations, performed and documented?

- Yes
- No
- Not Applicable

- **5.1.3 Training**

- **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
- No
- Not Applicable

- **5.1.3.2** Is a refresher course conducted once every three (3) years thereafter?

- Yes
- No
- Not Applicable

- **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
- No
- Not Applicable

- **5.1.4 Records and Forms**

- **5.1.4.1** Is there a signed and dated list of approved operators indicating annual verification of the operator records?

- Yes
- No
- Not Applicable

- **5.1.4.2** Are the Vessel Authorization/Operator History forms (DA 2066) signed and dated annually?

- Yes
- No
- Not Applicable

- **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?
 - Yes
 - No
 - Not Applicable

 - **5.1.4.3.1** Was a Report of Marine Accident, Injury, or Death form (CG-2692) completed for each and submitted to the U.S. Coast Guard?
 - Yes
 - No
 - Not Applicable

 - **5.1.4.4** Have there been any non-commercial vessels involved in an accident in any waters?
 - Yes
 - No
 - Not Applicable

 - **5.1.4.4.1** Has a Louisiana Department of Wildlife and Fisheries (LDWF) Boating Accident/Investigation Report (DWF-BIR-005 OR DWF-BIR-010OP) been completed for each accident and submitted to LDWF?
 - Yes
 - No
 - Not Applicable
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➤ **6.0 – Flight Operations**

- **6.1** Does the agency have any state aircraft?

- Yes
- No
- Not Applicable

- **6.1.1 Program**

- **6.1.1.1** Is there a written flight operations program?

- Yes
- No
- Not Applicable

- **6.1.1.1.1** Does the plan follow Federal Aviation Administration (FAA) regulations?
 - Yes
 - No
 - Not Applicable

- **6.1.1.2** Has the agency ever been cited by the FAA?
 - Yes
 - No
 - Not Applicable

- **6.1.1.2.1** Have corrective actions taken for the item(s) cited?
 - Yes
 - No
 - Not Applicable

- **6.1.1.2.1.1** Have the corrective actions been documented?
 - Yes
 - No
 - Not Applicable

- **6.1.1.3** Has the agency had any incidents/accidents involving aircraft within the most recently completed audit/compliance review period?
 - Yes
 - No
 - Not Applicable

- **6.1.1.3.1** Has an aircraft incident/accident statement been completed for each incident/accident?
 - Yes
 - No
 - Not Applicable

- **6.1.1.3.2** Has the statement been faxed/mailed within forty-eight (48) hours or two (2) business days to the claims unit?
 - Yes
 - No
 - Not Applicable

- **6.1.1.4** Do all pilots flying state-owned and/or state-authorized private aircraft possess a commercial pilot's license?
 - Yes
 - No
 - Not Applicable