

STATE OF LA. - OFFICE OF RISK MANAGEMENT – LOSS PREVENTION
SELF-AUDIT 3.5

• **1 General Safety**

▪ General Information

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

▪ **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:
 - Department/Generic
 - Agency/Site Specific
 - Both
 - Not Applicable
- 1.1.1.2 Does it contain a management policy statement from the department/agency head?
 - Department/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 distributed ANNUALLY (via safety meetings, postings, etc.) TO ALL EMPLOYEES and such action documented?
 - Yes
 - No
 - Not Applicable

- 1.1.4 Are site/task specific safety 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 distributed ANNUALLY (via meetings, posting, etc.) TO ALL EMPLOYEES and such action documented?
 - 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 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 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 who must perform new tasks or operate new equipment, or 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/Specific
 - Other

- 1.3.4.2 Which topics does the documentation address: Building Safety:
 - Yes
 - No
 - Not Applicable

- 1.3.4.3 Which topics does the documentation address: Electrical Safety:
 - Yes
 - No
 - Not Applicable

- 1.3.4.4 Which topics does the documentation address: Emergency Equipment:
 - Yes
 - No
 - Not Applicable

- 1.3.4.5 Which topics does the documentation address: Fire Safety:
 - Yes
 - No
 - Not Applicable

- 1.3.4.6 Which topics does the documentation address: Office Safety:
 - Yes
 - No
 - Not Applicable

- 1.3.4.7 Which topics 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 or incident/accident trends, death, or change in job procedures or equipment?
 - Yes
 - No
 - Not Applicable
- 1.4.4.2 Is employee training on 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
- 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:
 - Department/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:

- Department/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/training on BBP for low risk employees within 90 days of hire?
 - Yes
 - No
 - Not Applicable

- 1.6.3 Is the agency conducting documented employee awareness on BBP for low risk employees at least once every 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 for high-risk employees within 90 days of hire?
 - Yes
 - No
 - Not Applicable

 - 1.6.4.2 Is the agency conducting documented employee training on BBP 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: * Working with night shifts or any minimal/partial crew shifts? * Employees working in remote/isolated locations? * 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?
 - Department/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 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:
 - Department/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

- 1.8.4 Is the agency conducting appropriate documented employee training on hazard communication within 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 work place?
 - Yes
 - No
 - 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?
 - 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 Driver Safety**

- **2.1 Program**

- 2.1.1-A Is there a written program that includes ALL of the following components?
Procedure for enrolling employees 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 documented 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 Training**

- 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 to the Claims Unit?
 - Yes
 - No
 - Not Applicable

- **3 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?
 - Yes
 - No
 - Not Applicable
 - 3.1.6 Are there procedures in place to address investigating losses/damages?
 - Yes
 - No
 - Not Applicable
 - 3.1.7 Are there procedures in place to address timely reporting of losses 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 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:

- Department/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 Personal Protective Equipment (PPE)**
 - 4.1.2.1 Has a documented assessment been conducted to determine if the use of any Personal Protective Equipment is required?
 - Yes
 - No
 - Not Applicable

 - 4.1.2.2 Is Personal Protective Equipment 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 their 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 which 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 contracted out?
 - Yes
 - No
 - Not Applicable

- 4.1.7.1.1.2.1 Does the contractor have their 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

▪ **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?
Determination 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?
Claims 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 Were any deficiencies found during the inspection?
 - Yes
 - No
 - Not Applicable

 - 5.1.2.1.1 Have corrective actions been taken for deficiencies found during the inspection?
 - 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

- **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 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