



Office of Risk  
Management

# Compliance Review



## Agency 5260 - University of Louisiana at Lafayette - General Operations

Audit Information		Audit Results	
Audit Type	Compliance Review	Score	97.64%
Site Visit Date	9/18/2017	Status	Compliant
LP Officer	Mandy Meaux	No. of Recs	3

Location Information	
Location Name	University of Louisiana at Lafayette - General Operations
Location Code	5260
Mailing Address 1	P.O. BOX 43210
Mailing Address 2	
City, State, ZIP	LAFAYETTE, LA, 70504
Safety Contact	Joseph "Joey" V. Pons IV
Safety Contact Phone #	337-482-5357
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Location Mgr	Taz Winger
Location Mgr Phone #	337-482-1049
Location Mgr Email	taz@louisiana.edu

## 1 General Safety

### CR - General Information

Question	Answer
CR - Number of Employees:	3304
CR - Number of Full Time Employees:	1426
CR - Number of Part Time Employees:	1878
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
CR - 1.1.1.3 Has the program been presented to new employees during orientation and such action been documented?	Yes
CR - 1.1.2 Are there written safety responsibilities?	Yes

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CR - 1.1.2.1 Have documented safety responsibilities been presented to all new employees initially during orientation and/or upon assignment to a position with different/additional safety responsibilities?	Yes
CR - 1.1.3 Are there general safety rules?	Yes
CR - 1.1.3.1 Have these rules been distributed ANNUALLY (via safety meetings, postings, 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
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
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?	360
CR - 1.3.2 How many inspections were there during the most recently completed audit/Compliance Review period?	339

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CR - 1.3.3 What percentage of inspections were conducted during the most recently completed audit/Compliance Review period?	90-94%
<b>Recommendation:</b> Inspections are required for all agency buildings/structures. It is strongly recommended that the required inspections are conducted at the same time each quarter or month depending on the agency's prior year audit/CR results.	
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?	No

## 1.4 Incident/Accident Investigations

Question	Answer
CR - 1.4.3 Has the agency had any accidents or incidents within the most recently concluded audit/Compliance Review period?	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:	Both
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
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.	Yes
CR - 1.5.A.2 Does the agency have a Transitional Return to Work team?	Yes
CR - 1.5.A.3 Has 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

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## 1.5.B Post-Accident Drug Testing

Question	Answer
CR - 1.5.B.1 Is there a written Post-Accident Drug Testing policy?	Not Applicable
CR - 1.5.B.2 Did the agency have any workers' compensation claims that required post-accident drug testing?	Not Applicable

## 1.6 Blood Borne Pathogens/First Aid

Question	Answer
CR - 1.6.1 Does the agency have a written BBP program?	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

## 1.7 Emergency Preparedness Plan

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

## 1.8 Hazardous Materials

Question	Answer
CR - 1.8.1 Has a documented assessment been conducted to determine if there are any hazardous materials at any agency location covered by this audit?	Yes
CR - 1.8.2 Are hazardous materials present at any agency location covered by this audit?	Yes

## 2 Driver Safety

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## 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?	1512
CR - 2.2.1.2 How many documented vehicle inspections were conducted in the most recently completed audit/Compliance Review period?	1512
CR - 2.2.1.3 What percentage of your fleet was inspected?	100%
CR - 2.2.1.4 Is documented corrective action taken on deficiencies noted on the checklist to prevent further damage or accidents?	Yes
CR - 2.2.1.5 Is preventative maintenance performed and documented?	Yes

## 2.3 Training

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

## 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?	No
Recommendation:	
Complete a DA 2041 for each vehicle accident and maintain a copy for the audit.	

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## 3 Bonds, Crime, & Property

### 3.1 Program

Question	Answer
CR - 3.1.8 Are there procedures in place to address handling negotiable items?	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

### 3.4 Key Control

Question	Answer
CR - 3.4.1 Is there a key/access card control policy in place?	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
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

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### 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

### 4.1.3 Work Order System

Question	Answer
CR - 4.1.3.3 Are all repairs documented?	Yes

### 4.1.4 Lockout/Tagout (LO/TO)

Question	Answer
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

### 4.1.5 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?	Not Applicable

### 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?	No
Recommendation:	
Ensure all elevator code violations have been corrected and documented.	

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### 4.1.7 Confined Space

Question	Answer
CR - 4.1.7.1 Has a documented assessment been performed to determine if confined spaces exist?	Yes

### 5 Water Vessel

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

#### 5.1.2 Inspections and Repairs

Question	Answer
CR - 5.1.2.2 Are there any vessels that are twenty-six (26) feet or longer?	No

#### 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

#### 5.1.4 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

### 6 Flight Operations

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

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