



FACT SHEET

Audits and Investigations

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DIVISION OF SAFETY AND MANAGEMENT SERVICES SAFETY PROGRAM AUDIT

BACKGROUND

The Division of Safety and Management Services (DSMS) is responsible for overseeing the safety of all Caltrans employees through the Safety Program. DSMS assigned responsibility for administering the Safety Program to the Office of Health and Safety (OHS), which administers the Safety Program in headquarters and district offices. Each district safety office is responsible for administering the Safety Program in the districts. In addition to OHS and the district safety offices, the Divisions of Maintenance, Construction, Equipment, and Engineering Services have established safety positions.

KEY FINDINGS

Our audit disclosed DSMS has processes in place for administering portions of the Safety Program. However, the audit identified the need for further improvement as follows:

- Clarifying roles and responsibilities for safety management
- Improving operational and administrative controls
- Improving compliance with safety laws, regulations and standards
- Furthering hazard assessment and control processes
- Enhancing workplace violence prevention program
- Improving communication between OHS and programs/districts
- Developing an efficient and reliable safety information system

KEY RECOMMENDATIONS

The audit resulted in several recommendations to DSMS, some of which are listed below:

- Re-evaluate the responsibilities, and objectives of OHS with respect to the Safety Program and ensure alignment with Caltrans goals.
- Work with executive management to re-assess the role, organizational and reporting structure of OHS in Caltrans, and maintain an effective oversight body to coordinate the Safety Program, monitor safety activities, and ensure that overall safety goals are met.
- Ensure staff perform required duties so that oversight responsibilities are met.
- Develop procedures for managing safety programs, monitoring and communicating changes in safety laws and standards, conducting health and safety reviews and facilities inspections.
- Revise Workplace Violence Prevention Program policies and processes to ensure improvements.
- Explore options for ensuring better data integrity.

The audit report also recommended Caltrans management update policies and procedures to ensure they comply with rules and regulations and are consistent with each other and Caltrans mission, vision and goals.

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