

**Audits and Investigations (A&I) - Response to Draft Report**

Audit Name: Safety Program Audit

Audit No. P4000-0407

Auditee: Division of Safety and Management Services

A&I Audit Recommendation	Auditee Response to Draft Report	Estimated Completion Date	Staff Responsible	60 Day Status
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**Audit Report Finding Number 1**  
**Clarifying Roles and Responsibilities for Safety Management**

We recommend DSMS:				
<ul style="list-style-type: none"> <li>Re-evaluate the responsibilities, and objectives of OHS, with respect to the Safety Program and ensure alignment with Caltrans goals.</li> </ul>	OHS is partnering with the Division of Research, Innovation and System Information to initiate a preliminary investigation that will examine the organizational structure and roles and responsibilities of the statewide Safety Program in Caltrans to ensure alignment with Caltrans goals.	September, 2018	SSM III, SSM II	A preliminary investigation has been initiated by the Division of Research, Innovation and System Information to examine the organizational structure of Safety Programs with California state departments and DOT's nationwide. Estimated completion is February, 2018.
<ul style="list-style-type: none"> <li>Work with executive management to:</li> </ul>	Schedule monthly safety meeting with Executive staff.	October, 2017	SSM III	Monthly meetings are scheduled with the Director to review discipline cases and substantiated workplace violence policy violations.
<ul style="list-style-type: none"> <li>Re-assess the role, organizational and reporting structure of OHS in Caltrans. This includes determining the desired extent of its authority with the districts.</li> </ul>	OHS is partnering with the Division of Research, Innovation and System Information to initiate a preliminary investigation that will examine the organizational structure and roles and responsibilities of the statewide Safety Program in Caltrans to ensure alignment with Caltrans goals.	September, 2018	SSM III, SSM II	OHS is crafting a scope of work for a consultant contract to examine the requirements, roles and responsibilities of a California Safety Program. Estimated completion and submittal to DPAC is December 30, 2017.
<ul style="list-style-type: none"> <li>Maintain an effective oversight body to coordinate the Safety Program, monitor safety activities, and ensure that overall safety goals are met.</li> </ul>	DSMS will conduct quarterly meetings with the Health and Safety Advisory Committee to review policies, risks, and safety activities.	September, 2016 and ongoing	SSM III, SSM II	A quarterly meeting has been scheduled with the Health and Safety Advisory Committee on January 8, 2018, and will be scheduled quarterly thereafter.
We recommend 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.	DSMS will update policies and procedures as needed to ensure they comply with regulations and are consistent with Caltrans mission, vision, and goals.	Ongoing	SSM II, SSM II, Safety Officers	OHS continues to work with the Districts and identify procedures and policies that require updates.

**Audit Report Finding Number 2**  
**Improving Operational and Administrative Controls**

We recommend DSMS:				
<ul style="list-style-type: none"> <li>Ensure staff perform required duties to ensure oversight responsibilities are met.</li> </ul>	DSMS will ensure staff perform their responsibilities. Staff duty statements will be updated to align with roles and responsibilities.	Ongoing	SSM III, SSM II, SSM I	On December 4, 2017 the new Office Chief of OHS was onboarded with new duty statement. The new Office chief was tasked with updating all of the OHS duty statements that align with roles and responsibilities.
<ul style="list-style-type: none"> <li>Develop written internal procedures for managing safety programs, including addressing district and headquarters requests for consultation, training and industrial hygiene testing.</li> </ul>	DSMS will develop written internal procedures and desk manuals for managing the statewide safety program.	September, 2018	SSM II, SSM I, Safety staff	No change
<ul style="list-style-type: none"> <li>Provide adequate and timely feedback to staff regarding safety issues raised.</li> </ul>	DSMS will create a tracking system to identify and track safety suggestions, and will publish on DSMS intranet site for transparency.	June, 2018	SSM II	No change

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<b>Audit Report Finding Number 3</b> <b>Improving Compliance with Safety Laws, Regulations, and Standards</b>				
We recommend DSMS establish processes for:				
<ul style="list-style-type: none"> <li>Monitoring and communicating new and changing safety laws, regulations and standards.</li> </ul>	DSMS will establish a process for monitoring and communicating new and changing safety laws, regulations, and standards. OHS will publish quarterly newsletters.	June, 2018	SSM II	No change.
<ul style="list-style-type: none"> <li>Conducting health and safety reviews in districts and headquarters to ensure supervisors comply with safety requirements.</li> </ul>	DSMS will collaborate with district and division safety officers to ensure supervisors comply with safety requirements.	September, 2018	SSM III, SSM II	A statewide safety conference was held November 15 - 17 to communicate updates with safety requirements. OHS conducts monthly teleconferences with statewide safety personnel.
<ul style="list-style-type: none"> <li>Clarifying their role and responsibility for following up on changes in laws and regulations that affect occupational safety in all programs and divisions in Caltrans.</li> </ul>	DSMS will establish a process for following-up on changes in laws and regulations that affect occupational safety in Caltrans.	June, 2018	SSM II	No change.
<ul style="list-style-type: none"> <li>Developing a policy department-wide that establishes roles and responsibilities for OHS involvement in investigations, including requirements for programs and districts to inform OHS when citations are issued.</li> </ul>	OHS is partnering with the Division of Research, Innovation and System Information to initiate a preliminary investigation that will examine the organizational structure and roles and responsibilities of the statewide Safety Program in Caltrans to ensure alignment with Caltrans goals.	September, 2018	SSM III, SSM II	OHS is crafting a scope of work for a consultant contract to examine the requirements, roles and responsibilities of a California Safety Program. Estimated completion and submittal to DPAC is December 30, 2017.
<ul style="list-style-type: none"> <li>Tracking, monitoring and following up to ensure corrective action is taken to address CalOSHA citations to Caltrans.</li> </ul>	DSMS will develop statewide tracking tool for Cal/OSHA citations to ensure correction action is taken and statewide communication occurs.	June, 2018	SSM II, AGPA	No change.
<b>Audit Report Finding Number 4</b> <b>Furthering Hazard Assessment and Control Process</b>				
We recommend DSMS ensure proper annual facilities inspections are conducted and establish a process for following up to ensure corrective action is taken to mitigate safety hazards.	DSMS will partner with the Divisions of Business, Facilities and Security, Maintenance, Equipment, and Traffic Operations to develop a system that will document facility inspections and establish a process to ensure corrective action is taken to mitigate safety hazards.	September, 2018	SSM III, SSM II, Safety Officers	No change.
<b>Audit Report Finding Number 5</b> <b>Enhancing Workplace Violence Prevention Program</b>				
We recommend DSMS:				
<ul style="list-style-type: none"> <li>Review the Workplace Violence Prevention Program policies and processes and make revisions where necessary to ensure they are adequate.</li> </ul>	DSMS will revise the Workplace Violence Prevention Program policies and procedures consistent with the results from the Lean 6 Sigma effort underway.	March, 2018	SSM II, SSM I	In progress. OHS continues to work on the Lean 6 effort with weekly conference calls.
<ul style="list-style-type: none"> <li>Develop methods of effectively communicating awareness of workplace violence prevention and changes to the Workplace Violence Prevention Program to all employees.</li> </ul>	DSMS will improve the intranet site for OHS on Workplace Violence Prevention.	June, 2018	SSM II, SSM I	No change.

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<ul style="list-style-type: none"> <li>Ensure consistent approaches in the investigation and substantiation of complaints.</li> </ul>	DSMS will complete decision document to consolidate the statewide Workplace Violence Prevention Program in Sacramento.	9/1/2017	SSM III	OHS completed a decision document to consolidate the workplace violence prevention program and reviewed the document with Tony Tavares on 10/9/17. A MOU between DSMS and Maintenance will be complete by 12/31/2017.
<b>Audit Report Finding Number 6</b> <b>Improving Communication between the Office of Health and Safety and Programs/Districts</b>				
We recommend the DSMS and OHS to:				
<ul style="list-style-type: none"> <li>Ensure the revised Safety Manual clearly establishes the responsibilities and procedures for communicating and promoting safety issues and guidance.</li> </ul>	DSMS will ensure revisions to the Safety Manual establishes the responsibilities and procedures for communicating and promoting safety issues and guidance.	Ongoing	SSM III, SSM II	No change.
<ul style="list-style-type: none"> <li>Communicate information on safety topics, including new and proposed requirements, revisions to directives, policies, and the Safety Manual department-wide.</li> </ul>	DSMS will conduct monthly conference calls with Districts and HDQ Divisions.	September, 2016 and Ongoing	SSM II, Safety Officers	Monthly conference calls continue. Next call scheduled 12/20/17.
<ul style="list-style-type: none"> <li>Use appropriate means of communication including recently established monthly teleconferences, safety bulletins, etc. to disseminate information on safety topics.</li> </ul>	DSMS will conduct monthly conference calls with Districts and HDQ Divisions. DSMS will develop and distribute quarterly Safety bulletins to disseminate information on safety topics.	September, 2016 and Ongoing	SSM II, Safety Officers	Monthly conference calls continue. Next call scheduled 12/20/17. Quarterly safety bulletin is being developed and will be distributed in January, 2018.
<ul style="list-style-type: none"> <li>Identify and reach out to programs in headquarters and districts that may not have a safety officer to attend safety meetings and conferences and provide alternative means of communication.</li> </ul>	DSMS will conduct monthly conference calls with Districts and HDQ Divisions.	September, 2016 and Ongoing	SSM II, Safety Officers	Monthly conference calls continue. Next call scheduled 12/20/17.
<b>Audit Report Finding Number 7</b> <b>Developing a Reliable Safety Information Management System</b>				
We recommend DSMS to:				
<ul style="list-style-type: none"> <li>Continue to explore options for developing a more efficient tracking system.</li> </ul>	DSMS will explore an IT solution to develop a centralized database to maintain vehicular accident, injury, and illness reporting.	June, 2018	SSM II, AGPA	DSMS will submit an Information Technology Intake Document for a statewide database to IT by December 19, 2017.
<ul style="list-style-type: none"> <li>Establish administrative controls on data fields.</li> </ul>	DSMS will explore the feasibility of placing administrative controls on data fields within the current database structure.	April, 2018	SSM II, SSM I, AGPA	In progress.
<ul style="list-style-type: none"> <li>Establish a process to ensure data integrity by conduct periodic reviews based on risk.</li> </ul>	DSMS will develop a process to conduct periodic reviews of data and notify the Districts to address deficiencies.	April, 2018	SSM II, AGPA	OHS acquired a business intelligence tool Tableau, and staff are receiving training to use and evaluate data.
<ul style="list-style-type: none"> <li>Create guidelines to ensure consistency by all database users and a process for modifying information after mandatory reports have been issued.</li> </ul>	DSMS will develop database guidelines and review with District Safety Officers.	June, 2018	SSM II, AGPA	In progress.