



Audit of DPW Operations Division Safety

March 2021

Agenda

- Scope & Objectives
- Procedures
- Conclusion
- Findings
- Next Steps

Audit Scope & Objectives

The scope of this audit included DPW Operations Division Safety practices from July 1, 2019 through June 30, 2020.

The primary objective of the audit was to assess the safety practices of the Department of Public Works Operations Division. Specifically,

- Review and evaluate the mitigation of safety risks within the DPW Operations Division. Determine if key controls are in place to mitigate safety risks. Determine if key controls are operating effectively.
- Review and evaluate compliance of DPW Operations Division Safety with regulatory standards and ordinances as required.

Audit Procedures

Audit activities consisted of:

- Process walkthroughs
- Observations
- Review of policies and procedures
- Testing of controls

Testing Performed

- Training (New Hire, Transfer, Annual)
- Pre-Trip and Post-Trip Vehicle Inspection Reports
- Driver Credentials
- Accident Investigation
- Clearinghouse

Audit Conclusion

Safety controls in place over the Operations Division are adequately designed and are operating effectively. Two recommendations in the areas of safety training and safety activity evidence retention would further enhance the control environment.

Audit Finding #1: Safety Training

- Finding: Annual safety trainings were not consistently conducted during the audit period. Onboarding and transfer safety trainings were inconsistently documented and monitored.
- Risk: Inconsistent documentation of safety trainings may make the City more vulnerable to litigation. Inconsistent annual training may increase the number and severity of safety incidents.
 - *Risk Rating: Medium*
- Recommendation: DPW departments should align with DPW Safety personnel on title-specific evidence to demonstrate that DPW personnel received all necessary onboarding and annual safety trainings for their roles. Then, DPW departments should confirm that all employees received the trainings necessary for their roles, DPW Safety should monitor that confirmation, and DPW Safety should sample test that employees have received the necessary trainings.

Audit Finding #2: Record Retention

- Finding: Evidence is inconsistently retained to support the execution of safety activities.
- Risk: Lack of ability to evidence training and other safety activities during litigation situations. Reputational risk if the City could not provide evidence of basic safety activities. Lack of ability to monitor performance of safety activities.
 - *Risk Rating: Low*
- Recommendation: Management should identify key safety controls and develop and implement a document retention schedule for evidence supporting key safety control activities.

Next Steps

Phase 1

- Present findings to the Finance & Personnel Committee



Phase 2

- DPW management remediates audit findings



Phase 3

- Internal Audit will solicit a remediation update annually as part of annual reporting on audit finding remediation progress for all audits presented to the Finance & Personnel Committee

Thank You



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