

**HUMAN RESOURCES DEPARTMENT
RISK MANAGEMENT DIVISION
SAFETY PROGRAM
AUDIT 19-06
February 25, 2019**



CITY OF TAMPA

Bob Buckhorn, Mayor

Internal Audit Department

Christine Glover, Internal Audit Director

February 25, 2019

Honorable Bob Buckhorn
Mayor, City of Tampa
1 City Hall Plaza
Tampa, Florida

RE: Human Resources – Safety Program, Audit 19-06

Dear Mayor Buckhorn:

Attached is the Internal Audit Department's report on the Human Resources – Safety Program.

Risk Management has already taken positive actions in response to our recommendations. We thank the management and staff for their cooperation and assistance during this audit.

Sincerely,

/s/ Christine Glover

Christine Glover
Internal Audit Director

cc: Dennis Rogero, Chief of Staff
Sonya Little, Chief Financial Officer
Ernest Mueller, Chief Assistant City Attorney
Kimberly Crum, Director of Human Resources
Valerie Horton-Rakes, Risk Manager
Greg Mazer, Safety and Loss Prevention Supervisor

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/s/ Vivian Walker

Auditor

/s/ Christine Glover

Audit Director

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BACKGROUND

The Safety & Loss Prevention area of Risk Management (RM) is responsible for planning, developing, coordinating, monitoring, and evaluating safety and loss control programs throughout the City of Tampa. This area of RM has a staff of nine: one Supervisor, one Safety and Training Specialist, six Safety and Loss Prevention Specialists (SLPS), and one Utilities Training Coordinator. Four SLPS are logistically within the departments of Transportation and Stormwater Services, Water, Wastewater, and Solid Waste; one is responsible for the matrix program at Wastewater; and one is a floater for all other city departments.

STATEMENT OF OBJECTIVES

This audit was conducted in accordance with the Internal Audit Department's FY2019 Audit Agenda and the objective was to determine if a system of internal controls was in place to ensure the safety program was operating effectively and efficiently.

STATEMENT OF SCOPE

Discussions were held with Safety and Loss Prevention personnel to determine if they were fulfilling their stated duties and responsibilities in an effective and efficient manner. Original records as well as copies were used as evidence and verified through observation and physical examination.

STATEMENT OF METHODOLOGY

This review consisted of inquiries of all SLPS, Safety and Training Specialist, and Utilities Training Coordinator. Additionally, the safety and inspection process was observed as it was performed by a SLPS.

STATEMENT OF AUDITING STANDARDS

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

AUDIT CONCLUSIONS

Based upon the work performed during the planning phase and the audit recommendation noted below, we conclude that the system of internal controls can be improved to ensure the safety program operates effectively and efficiently.

SAFETY INSPECTIONS

STATEMENT OF CONDITION: While municipalities are not required to adhere to Occupational Safety and Health Administration (OSHA) standards, Risk Management issued a policy directive (policy), in 2013 to its safety and loss control staff. The policy defined the standards in consulting and enforcement of safety within departments. In order to establish consistency citywide with the safety management practices, Risk Management has developed a safety program that has nine elements:

1. Management Commitment and Involvement
2. Safety Committee
3. Safety and Health Training
4. Safety Inspections
5. Preventive Maintenance
6. Emergency Procedures
7. Incident Reporting and Review
8. Recordkeeping Procedures
9. Safety Rules, Policies and Procedures

However, there is no written directive from the Administration that would require departments to comply with the safety program. Even though there is no written mandate, departments are actively participating in aspects of the safety program as administered through departmental and “floating” Safety and Loss Prevention Specialists (Specialists). While the initial emphasis has been on items 2, 5, 6, and 7 above, it was noted that the safety inspections (referred to as surveys) completed by the Specialists do not have documented criteria for follow-up when deficiencies are identified.

Also, a discussion with the floating Specialist identified the inability to determine worksite locations without alerting the employees. An effective and objective survey is best completed by inconspicuously observing employees while they are performing their job responsibilities.

CRITERIA: Although the City is not required to comply, OSHA’s Guidelines for Safety and Health Programs demonstrates best practices in safety. These guidelines state that "Safety and health programs foster a proactive approach to “finding and fixing” workplace hazards before they can cause injury or illness."

CAUSE: The safety program, as established, has not been mandated for implementation by all City departments. A directive from the Administration would provide support for implementation of the corrective actions recommended by Risk Management.

EFFECT OF CONDITION: Exposure to risks or loss of revenue from injury or property damage is increased if departments aren't required to correct exposures identified during the surveys or employees can't be observed without their knowledge in order to identify improper/unsafe practices.

RECOMMENDATION: Risk Management should develop measures and criteria for its risk policy and safety program elements and then obtain documented support from the Administration. Upon approval by the Administration, all departments should be provided with the policy and safety program and provided guidance on its implementation, including how to respond to any deficiencies identified during a survey.

Additionally, to be effective, all Specialists should work with their respective departments to ensure they are provided with advance knowledge of worksite locations for the employees they monitor.

MANAGEMENT RESPONSE: Concur: Risk Management will utilize program specific and loss history metrics to gain the support of Department Heads and Administrators for the implementation of Citywide Safety and Loss Prevention programs.

Risk Management will provide program templates and support for City Departments to implement and manage these programs internally. Upon implementation, Risk Management will conduct regular assessments of these programs based on established measures and evaluation criteria to gauge the ongoing effectiveness and identify deficiencies where additional program emphasis and support may be needed.

Risk Management will provide Department Heads and Administrators with regular reports on program evaluations, Safety and Loss Prevention activities and loss data to support the Administration commitment to the safety of City employees and the public.

TARGET IMPLEMENTATION DATE: Within ninety days, Risk Management will begin utilizing program specific loss history metrics, to include but not limited to financial, frequency and severity data to obtain support from Department Heads and Administrators for the implementation of Citywide Safety and Loss Prevention programs.

During this same period a draft Risk Management Practice Manual will be made available for review with a projected completion date of June, 2019. Upon completion all information will be submitted for approval and adoption as required.

Finally, within the next six (6) months an implementation of approved and adopted practices will be made available to all departments and their staff with an anticipated completion date of December 15, 2019.