

Office of the Auditor General  
Preliminary Survey Summary

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**Safety and Security Administration**  
Michigan Department of Transportation

August 2015

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State of Michigan Auditor General  
Doug A. Ringler, CPA, CIA

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The auditor general shall conduct post audits of financial transactions and accounts of the state and of all branches, departments, offices, boards, commissions, agencies, authorities and institutions of the state established by this constitution or by law, and performance post audits thereof.

*Article IV, Section 53 of the Michigan Constitution*

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# OAG

Office of the Auditor General

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**Doug A. Ringler, CPA, CIA**  
Auditor General

August 10, 2015

Mr. Jerrold M. Jung, Chair  
State Transportation Commission  
and  
Kirk T. Steudle, PE, Director  
Michigan Department of Transportation  
Murray Van Wagoner Transportation Building  
Lansing, Michigan

Dear Mr. Jung and Mr. Steudle:

I am pleased to provide this preliminary survey summary of the Safety and Security Administration, Michigan Department of Transportation. Because we did not identify significant concerns that would warrant the additional use of our audit resources, we have decided to terminate this performance audit.

We appreciate the courtesy and cooperation extended to us during our preliminary survey. If you have any questions, please call me or Laura J. Hirst, CPA, Deputy Auditor General.

Sincerely,

A handwritten signature in black ink that reads "Doug Ringler". The signature is written in a cursive, flowing style.

Doug Ringler  
Auditor General



# PRELIMINARY SURVEY SUMMARY

## SAFETY AND SECURITY ADMINISTRATION

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### RESULTS

Our preliminary survey did not identify significant concerns that would warrant the additional use of our audit resources to complete a performance audit. Therefore, we have terminated the planned performance audit.

### FACTORS IMPACTING AUDIT TERMINATION

- MDOT's response to emergency events within its responsibility during our survey period was well documented and all reimbursed costs were appropriately supported.
- MDOT's equipment tracking met all federal requirements.
- MDOT's Michigan Occupational Safety and Health Administration (MIOSHA) safety citations during our survey period were minimal (0 in 2012, 3 in 2013, and 1 in 2014).
- We tested 2 of 5 emergencies that occurred during our survey period and the corresponding emergency logs within the Michigan Critical Incident Management System and did not identify any shortcomings. The Safety and Security Administration followed its Emergency Response Plan.
- We tested 12 of 40 environmental safety audits performed during our survey period and determined that MDOT noted no serious or immediate environmental concerns.
- We tested 3 of 8 health and safety inspections performed during our survey period and determined that each facility was in compliance with MDOT's health and safety requirements.
- MDOT collected, compiled, and utilized annual safety data of MDOT injury and illness incidents as an internal measurement tool throughout our survey period.
- MDOT's Hazardous Materials Routing Synopsis was well documented and all federal regulations were followed.

### BACKGROUND

**Responsibilities:** The Safety and Security Administration is a facilitating agency within MDOT. Its responsibilities include helping to develop, coordinate, implement, and evaluate MDOT occupational safety, hazardous materials, environmental safety, emergency management, and homeland security programs to ensure a safe and secure environment for MDOT employees and users of the State trunkline.

**Expenditures:** For fiscal years 2013 and 2014, MDOT had safety and security administrative expenditures totaling \$530,521 and \$532,740, respectively.

**Employees:** As of June 30, 2015, MDOT had four employees designated for the Safety and Security Administration.

## SCOPE

Our preliminary survey generally covered the period October 1, 2012 through June 30, 2015 and included a review of the following significant safety and security activities:

- Occupational safety training and inspections:
  - Issuance of departmentwide safety topics to promote worker safety awareness.
  - Collection and analysis of MDOT worker injury, illness, and motor vehicle incident data.
  - Performance of health and safety inspections of MDOT facilities.
- Hazardous materials and environmental safety audits:
  - Administration of the hazardous material routing on behalf of MDOT and the State of Michigan.
  - Performance of environmental safety audits of MDOT facilities.
- Emergency management and homeland security:
  - Coordination of MDOT homeland security activities.
  - Coordination of MDOT emergency management activities.
  - Planning of emergency preparedness in conjunction with the Michigan Department of State Police and partnering governmental agencies.

## PURPOSE

Within a performance audit, we design the preliminary survey to obtain an understanding of the core activities within an entity or a program and to identify potential program improvements and/or deficiencies that could impair management's ability to conduct its operations in an effective and efficient manner. If the results of a preliminary survey do not identify significant concerns, our practice is to terminate the planned performance audit.

Preliminary survey procedures are limited in nature and should not be considered a completed performance audit in accordance with *Government Auditing Standards* issued by the Comptroller General of the United States. In addition, our preliminary survey procedures would not necessarily disclose the presence or absence of any material conditions and/or reportable conditions. Given that the procedures we employed did not constitute a performance audit, we will not issue a performance audit report and we do not express conclusions regarding the effectiveness or efficiency of the Safety and Security Administration.









