

**DEPARTMENT OF NATURAL RESOURCES**

**HUMAN RESOURCES POLICY NO:** 6  
**EFFECTIVE DATE:** February 1, 2000  
**SUBJECT:** Bonds and Crime Policy  
**AUTHORIZATION** R. S. 40:1300.21 through 1300.27

**I. POLICY:**

It is the policy of the Department of Natural Resources that a bonds/crime loss control program will be maintained as required by the Office of Risk Management.

**II. PURPOSE:**

This policy will ensure that adequate internal controls are maintained and enforced to protect the Department of Natural Resources from financial and/or property loss resulting from any act and/or omission by employees of the Department in the performance of their duties. This policy along with the Department's Cash Management Policy, Position Desk Manuals, Property Control Manual and Property Issuance Policy, provides for a comprehensive guide for all employees in their responsibilities as they relate to property use and money handling.

**III. APPLICABILITY:**

This policy will apply to all Offices within the Department of Natural Resources.

**IV. PROCEDURES:**

**FISCAL:**

1. Any employee of the Department, who handles cash or monetary receipts, will be bonded in accordance with the Division of Administration, Office of Risk Management policy. (See attachment I & II)
2. Various reconciliations and other control measures which are a part of an employee's routine job performance will be strictly adhered to by all employees responsible for receipt or classification of funds. Discrepancies, shortages or other problems will be reported to the employee's supervisor immediately upon discovery. Any unreconciled discrepancies will be reported by the supervisor to the Fiscal Officer or Undersecretary.
3. Duties will be segregated as much as is feasible, and consequential, so that no one individual controls all phases of a task which has exposure under this program. The purpose of this is to minimize the risk of loss to the Department and the state. (See attachment III - X )

4. All legislative and outside entity audit comments and recommendations relative to internal controls will be brought to the attention of the Department's executive staff and will be evaluated for action as necessary.
5. Internal controls may include, where applicable, the use(s) of pre-numbered receipts, reconciliations to information systems, segregation of duties, supervisory oversight, OMF/Fiscal oversight, limited access to receipts, and standardized procedures.
6. Each Office and/or District Office will develop and monitor its own procedures if employees within that unit handle cash/monetary receipts. (See attachments XI) These procedures must be approved by the Office of Management and Finance Fiscal Division prior to implementation.

#### **PROPERTY:**

The Department of Natural Resources Property Control Procedures Manual, Administrative Policy Number 4 (Home Storage) and Administrative Policy Number 5 (Property Issuance) provide the guidance for managing property with the Department. Compliance with this policy aids in minimizing losses and protecting the state's assets. The Department's Property Manager is responsible for maintaining the property program and will advise management of ongoing or serious abuses or problems. All instances of loss or damage to state property from any cause will promptly be reported to the Property Manger.

#### **PERSONAL INJURY/DAMAGE LIABILITY:**

The risk of liability claims resulting from injuries to private persons and damage to their property is addressed in the Department of Natural Resources by the enforcement of Human Resource Policy Number 7 (Workplace Smoking), Human Resource Policy Number 9 (Driver Safety), and Human Resource Policy Number 11 (Workplace Violence).

#### **LOCK DOWN PROCEDURES:**

1. All Department of Natural Resources offices housed in a state building must comply with the Division of Administration lock-down procedures for securing that workplace.
1. The Office of Coastal Restoration & Management, Abbeville Office utilizes the lock down procedures of the Iberia Port Authority.
2. Periodic audits by the Department's Safety Coordinator and/or the Office of Building and Grounds will ensure compliance with the lock down procedures set forth by the Division of

Administration.

**KEY CONTROL PLAN:**

1. Each Office will designate an employee on each floor to be responsible for maintaining the keys for all their offices on that floor. The Human Resources Division will be given the name and phone number of each designee.
2. Employees will be assigned office keys on their first day of work. A key assignment form will be given to the employee by a Human Resources Representative, see attachment XII. This form will be completed by the employee's immediate supervisor and returned to the Human Resources Division.
3. Upon termination or transfer of an employee, the employee's immediate supervisor will be responsible for securing the return of any keys assigned to the employee and for completing the Employee Exit Checklist, see attachment XIII, certifying the return of the key. A copy of the exit checklist should be sent to the Human Resources Division.
4. Loss of keys will be reported by completion of the Management Notification Form, see attachment XIV. The Management Notification Form will be completed by the employee and submitted to his supervisors. Supervisors will review the report and, when possible, address the issue identified, notifying the employee, Appointing Authority and Undersecretary, of the disposition. If the nature of the report is not within the scope of the supervisor's authority, the notification form will be forwarded to the Appointing Authority for disposition, with notification to the employee and the Undersecretary.
5. The Human Resources Division will be the official record keeper for the key control plan.
6. The Internal Auditor will conduct random audits to assure compliance with the Department's key control plan.

**REPORTING:**

1. Hazardous situations, suspicions of theft, loss of state assets such as cash, equipment, and small property items, unusual occurrences and/or employee concerns will be reported by completion of the Management Notification Form, see attachment xiii. The Management Notification Form will be completed by the employee and submitted to his supervisor. Supervisors will review the report and when possible addresses the issue identified, notifying the employee, Appointing Authority and Undersecretary, of the disposition.
2. If the report concerns an actual loss of assets, the DNR supervisor will report the loss through the line of authority and work with the DNR Safety Officer to file the appropriate reports and inventory documents.

3. If the loss is estimated at \$250 or more, the Assistant Secretary or his designee will report the loss immediately to police and will contact the appropriate DNR manager as follows:
  - a. DNR Safety Officer
  - b. Information Technology Director, if computer related
  - c. Chief Fiscal Officer, if related to cash or other assets.
4. The DNR Safety Officer will contact the Office of Risk Management and ensure the completion of necessary forms to file the claim.
5. The OMF Manager, as indicated in No. 3 above, will investigate the incident and take any corrective action, where possible, to avoid future occurrences. This could be in a revised procedure, or taking additional security measures, if appropriate. All such recommendations will be submitted to the Undersecretary for approval/revision and implementation.
6. The DNR Safety Officer will ensure the preparation of reports, as necessary, for Property Control.
7. Any employee found to be responsible for the wrongful loss of, or damage to, state property will be subject to appropriate disciplinary action.

**VI. RESPONSIBILITY:**

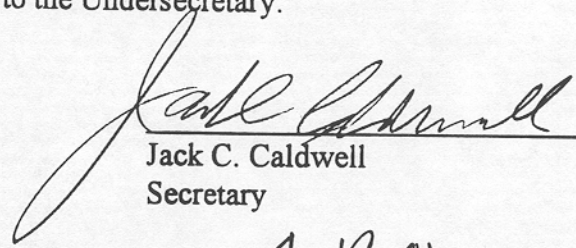
It is the responsibility of each Assistant Secretary or his/her designee to assure compliance with this policy.

**VII. EXCLUSIONS:**

There will be no exclusions to this policy.

**VIII. QUESTIONS:**

Questions regarding this policy may be directed to the Undersecretary.

  
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Jack C. Caldwell  
Secretary  
4-19-01  
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