

STATE OF NEW HAMPSHIRE
Department of Environmental Services
Water Division – Dam Bureau Performance Audit
AUDIT FINDING Corrective Action Plan

Completion Status:

- Open** •
- Partially Resolved** ••
- Substantially Resolved** •••
- Fully Resolved** ••••

Status as of April 30, 2017

Obs #	Observation Title	Recommendation	Action Item	Due Date	Completion Status	Comments
1	<i>Project Management Approach Needed</i>	DES should use a formal project management approach for its construction and reconstruction projects.	Develop a project management plan, including a detailed project schedule and cost estimate for new projects.	11/15	••••	Completed. DES has developed a formal project management approach for its construction and reconstruction projects.
2	<i>Adequate Project Monitoring Needed</i>	Monitor and document dam construction and reconstruction progress and ensure management at all levels is aware of the progress of each project.	Implement procedures for management to closely monitor construction quality and progress.	11/15	••••	Completed. Weekly planning and progress meetings are now held on-site with Project Manager and Construction Superintendent and are documented in the Daily Field Report for that day. Monthly scheduling and progress meeting are also held on-site with Dam Bureau Administrator.
3	<i>Plans and Specifications Review Needed</i>	Ensure plans and specifications are reviewed by the Engineering & Construction Section Administrator prior to project approval and construction.	Establish and implement procedures to review and approve plans and specifications prior to submittal for permitting.	11/15	••••	Completed. Design Phase Project Management Plan developed and implemented.

4	<i>Formal Cost-Benefit Analyses Should be Performed</i>	Periodically perform formal cost-benefit analyses to ensure state resources are being used in the most cost effective manner.	Perform periodic cost-benefit analyses of performing reconstruction projects on a force account basis or by using outside contractors.	5/17	••••	Completed. The Engineering and Construction Section is performing cost-benefit analyses of aspects of Dam Reconstruction Projects and contracting out work, that can be performed more efficiently and cost-effectively by contractors rather than in-house forces.
5	<i>Dam Files Should be Centrally Located</i>	Develop and implement policies and procedures to fully document and retain all project documents in a central location, including a policy describing required documents and standard file organization.	Establish centralized electronic and paper file systems for dam reconstruction projects.	12/16	••••	Completed. Paper and electronic files have been centralized. Electronic files have also been linked to the DAMS database.
6	<i>Dam Deficiencies Should be Resolved</i>	Take steps to ensure known deficiencies at state-owned dams are resolved in a timely manner.	Contract out and acquire resources to correct identified deficiencies.	12/17	••••	Completed. Using state contracts, the Dam Bureau has addressed known deficiencies at dam sites. In addition, a Part-Time Dam Operator has been tasked to correct newly identified deficiencies.
7	<i>Operations and Maintenance Plans Should be Updated</i>	Develop policies and procedures to ensure updates are documented and addressed timely as well as periodically reviewing Operations & Maintenance Plans for state-owned dams.	Ensure that all Operation, Maintenance and Response Plans for state-owned dams are up to date.	12/17	••••	Completed. Operation, Maintenance and Response Plans are being updated as needed.

8	<i>Emergency Action Plan Policies and Procedures Needed</i>	Create policies and procedures for updating, distributing, testing and annual reviews of EAPs for state owned dams. Also formally assign responsibly for EAPs.	Ensure that all Emergency Action Plans are up to date, distributed to the proper parties and annually tested.	12/17	●●●●	Completed. Emergency Action Plans are being updated as needed.
9	<i>Need Better Internal Control of State Assets</i>	Perform periodic inventories of materials, report consumable materials to Bureau of Financial Reporting and improve storage of on-site materials.	Improve storage of materials and develop a method to track and report consumables.	7/17	●●●●	Completed. The Dam Bureau now orders consumables as needed for specific projects and has reduced inventories of supplies.
10	<i>Administrative Rules Should Be Written For Dam Maintenance Revolving Loan Fund</i>	Promulgate administrative rules per statute and begin making loans available.	Establish and implement rules for the dam maintenance revolving loan fund for private and municipally-owned dams.	12/17	●●●●	Completed. Rules have been drafted, reviewed by NHDES Legal Unit and are being sent to JLCAR for approval.
11	<i>Dam Safety Should Meet Inspection Requirements and Complete Written Reports</i>	Complete required inspections and document all results of inspections performed on state owned dams.	Complete scheduled inspections of state-owned dams, and prepare reports of those inspections.	12/16	●●●●	Completed. Inspections of all state owned dams that were due for inspection in 2016 have been completed. Inspections of state-owned dams scheduled for 2017 are underway and on schedule.
12	<i>Password Policy For Automated Gate Controls Needed</i>	Develop and implement a strong password policy aligned with current best practices for its automated gate controls.	Password-protect all automated gate control systems with strong passwords consistent with current cybersecurity standards.	10/15	●●●●	Completed. All gate control systems now operate with credentials that follow a rigid IT industry standard for password strength and a 90-day change schedule. DES will continue to

						implement a strong password policy, consistent with current cybersecurity standards for future automated gate control systems.
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