

**ABAG PLAN Risk Control Program
Self Evaluation and Accountability Model
2005 - 2006**

Member:	Date:
Contact:	
Names of Those Completing the Self Assessment:	

RISK MANAGEMENT FRAMEWORK

A	Risk Management Policy	●	●	●	N/A	Comments
	To reduce or eliminate costs associated with risks of loss, each member must create a risk management structure with adequate resources to address the risk exposures of the City with visible support of City Management.	In Place/ Effective	In Progress/ Needs Work	Absent/ Ineffective		Plan for Action
	Measures					
A1.	City Council has adopted a resolution supporting a formal Risk Management Program and Policy and provides appropriate resources.					
A2.	City Manager endorses the Risk Management Program and Policy and communicates to all employees.					
A3.	Injury & Illness Prevention Plan (IIPP) The City maintains an up-to-date Injury & Illness Prevention Plan (IIPP) as required by OSHA, and actively maintains its requirements.					
	Measures					
	a. IIPP is available for review and shows proof of periodic review/revision.					
	b. IIPP identified person of authority who is responsible for IIPP administration.					
	c. Accountability standards and method of enforcement are included.					
	d. System for communicating hazards to employees and receiving employee feedback on safety concerns is in place.					
	e. Procedure for identifying workplace hazards is in place, including regular inspections and observations of work practices.					
	f. A formal accident investigation procedure is in place with mandatory review by senior management to ensure corrective action is based on identifying and eliminating root cause of accidents.					
	g. System of follow-up of identified unsafe conditions or physical hazards in place (records of mitigation maintained for one year).					
	h. Required and/or appropriate training is documented and maintained for one year.					
	Risk Management Organization					
	Measures					
A4.	A Risk Management Coordinator must be appointed who is responsible for the implementation of risk management programs.					
A5.	A Risk Management Committee (RMC) or Team with clearly defined accountabilities must be named. This may be a scope enhancement of current safety committees.					
	a. The Chair of the RMC must attend and report on risk management plans and activities at monthly Senior Management Meetings.					
	b. The Committee must hold regular meetings. Minimum acceptable frequency is quarterly.					
	c. Written minutes must be kept of each meeting along with an attendance list.					

RISK MANAGEMENT FRAMEWORK						
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	d. The Committee (or subcommittee) will review all accidents and near misses to: 1) Evaluate adequacy of root cause analysis; 2) Ensure action plan and follow-up protocols are developed and accountability assigned; 3) Determine if broader exposure to loss exists.					
	e. The RMC will serve as a mechanism for review and approval of equipment purchases or new practices/programs to evaluate risk exposure that may be created for the Member.					
Claim Reporting and Follow-Up						
Successful claim resolution is ensured by good communications among claimant, member, and adjuster with immediate reporting of claims.						
Measures						
A6.	a. Member has assigned a claims liaison who is assigned to work with ABAG adjusters to address and investigate claims.					
	b. Designees from each Member City are identified and trained to provide claimants with information and address their needs without inappropriately increasing the liability of the City.					
	c. All claims filed against the Member City that may be covered by the PLAN are reported promptly (within 48 hours).					
	d. Member staff is trained to recognize and reports incidents that may result in claims versus the City.					
	e. All claims covered by PLAN but paid by the member should be reported to ABAG to maintain the accuracy of loss data and provide trending information. Only claims for property damage no greater than 10% of the member's deductible may be paid directly without first reporting to ABAG.					
Risk Management Goals and Action Plans						
“What gets measured, gets done”. Each member program should include measurable action plans with defined goals and accountabilities.						
Measures						
A7.	Risk management goals and objectives are developed and published annually and address the most significant risk exposures as identified through data analysis developed jointly with ABAG PLAN.					
	a. Trending of accident claims/reports by type is maintained and used to define action plans to address actual and potential claim types.					
	b. Each risk management goal has a corresponding action plan, the components of which may be measured.					
	c. Performance measures for all employee levels are established to ensure risk management goals and objectives are addressed.					
	d. Annual goals and objectives are distributed to all employees.					
	e. Costs are allocated to each department for general liability.					
	f. Costs are allocated to each department for workers' compensation.					

B	Operational Best Practices	●	●	●		Comments
		In Place/ Effective	In Progress/ Needs Work	Absent/ Ineffective	N/A	Plan for Action
Measures						
Vehicle Use and Operations						
	Member has adopted a comprehensive fleet management program to include driver training (defensive driver training), driver screening and selection, vehicle use, non-owned vehicle use, and vehicle maintenance.					
Driver Selection and Training Measures						
B1.	There is a written program in place that is actively utilized as the basis for driver selection and screening of employees and prospective employees for driving related duties.					
B2.	There is evidence that employees with negative Motor Vehicle Records (MVR) activity as defined by the ABAG PLAN standards are provided personnel counseling, training, rehabilitation, and/or remove from driving responsibilities depending on the nature and seriousness of the activity on their MVR or observed driving behavior.					
B3.	All employees who drive any vehicle on Agency business are enrolled in the DMV Employer Pull Notice Program and MVRs are reviewed to prevent negligent retention. Note: Release required for drivers whose license does not require participation in the EPN program.					
Vehicle Maintenance Measures						
B4.	Vehicles and records are maintained to meet standards and warranties relevant to the vehicles or equipment and to help defend negligence claims.					
Vehicle Operations Measures						
B5.	The City has adopted a vehicle use policy detailing when and how City and personal vehicles may be used for City business.					
B6.	The City has adopted a cell phone or distracted driver policy and all vehicle accident investigations reflect any "distracted driver" implication as part of the root cause analysis.					
Sidewalk Inspection and Maintenance						
	Member has adopted a sidewalk/walkway inspection, maintenance, and complaint response plan.					
Measures						
B7.	There is an effective, written City-specific procedure in place to minimize sidewalk defects such as raised offsets, tilts or steep cross slopes, sunken sections, spalling, improper repairs to surround structures such as drains, and offsets between public and private sidewalks.					
B8.	The City has an ordinance in place transferring the liability for injuries on sidewalks to the property owner.					
B9.	The City has a written process in place to notice property owners to repair sidewalks where allowed by Municipal Code.					
B10.	The City has a follow-up procedure to ensure defects have been addressed by marking, barricading, etc. within reasonable periods.					
B11.	The City has a follow-up procedure to ensure defects have been mitigated by the property owner or other responsible party within a reasonable period.					
B12.	Photographs are taken and maintained in Public Works to visually record action taken to guard against contact by the public with a hazardous sidewalk site. This will aid in defense against allegations of inaction by the City.					
Urban Forest Management (Trees and Vegetation)						
	The City has a written urban forest management plan, which includes selection and placement of trees and provides for identification and mitigation of tree/shrub/vegetation related hazards.					

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Measures						
B13.	There is a written process to select, situate, and maintain trees to minimize hazards, hardscape damage, and maintenance costs.					
B14.	Urban forest management is under the control and supervision of persons who have the necessary professional credentials and expertise to qualify as an urban forester or arborist.					
B15.	A written plan is in place and documented to provide for methodical, periodic inspection, care, maintenance, and complaint/emergency response for trees and other vegetation.					
B16.	Urban forest management plan inspection and monitoring frequency is prioritized by degree of exposure of the public to vegetation hazards. (i.e. obscured intersections, parks, playgrounds) This includes weed abatement and other fire hazards.					
Sewer Loss Prevention and Management The City has a written program for risk assessment and review, regular inspection, preventive maintenance, and emergency response for its sanitary sewer system.						
Measures						
B17.	An ordinance is in place that meets or exceeds current plumbing code requirements for backflow devices. Council meeting minutes reflect recommendations and cost justification by staff for adoption of an ordinance requiring backflow devices when events not addressed by the code occur, such as when a property owner suffers a loss, remodels, or sells the property. Cleanout backflow relief devices are allowed.					
B18.	Key personnel have been trained to interact with property owners when responding to reports of sewer backup. Training topic outline and document templates are available for review.					
B19.	Sewer inspection and maintenance protocols reflect identification and attention to “high frequency or impact areas” of the system.					
Police Risk Management Police risk management is an integral part of the overall City’s risk management exposure and should be subject to the risk assessment and evaluation review process as conducted by representatives from all City departments.						
B20.	Member written General Orders (GO’s) or guidelines reflect dates indicating reviews and updates. Key policies should be reviewed annually.					
B21.	Each Member subscribes to a legal liability service for updated policy and procedure notification and advice.					
B22.	Member departments have adopted a “force options” approach to policing. Training records reflect this philosophy.					
B23.	Code 3 driving standards are in place and documented, which reflect current legal liability and professional standards that minimize risk to others sharing roads with emergency vehicles.					
B24.	Member departments comply with all POST-mandated training requirements, including perishable skills, and training to General Orders is documented.					
B25.	Digital audio-visual technology in patrol vehicles, and digital audio recorders on person, are used to provide defense against alleged police misconduct claims.					

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Measures						
Fire Risk Management						
Fire risk management is an integral part of the overall City's risk management exposure and should be subject to the risk assessment and evaluation review process as conducted by representatives from all City departments.						
Measures						
B26.	Dispatch has either been transferred to another agency or detailed training, data and communication management, and technology are used to prevent dispatch error.					
B27.	The department has a written policy clearly defining if and how emergency response (Code 3) driving is permitted and executed.					
B28.	The department has equipment, procedures, and training in place to address equipment/gear that may not be enclosed or secure and may fall from the apparatus.					
Contractor Selection and Control						
Additional selection and evaluation criteria are used along with "low bidder" to ensure safe, cost effective, completion of member projects.						
Measures						
B29.	Member has contractor selection criteria that includes reference and site checks, interviews, insurance loss history, Cal/OSHA citation history, and license verification for general and all subcontractors.					
B30.	The contractor has a safety program (IIPP) in place.					
B31.	The contractor has site protection, traffic control, inspection, and debris removal plan in place.					
B32.	Member has documented planning, oversight, and quality control meetings with contractor.					
Road Maintenance						
Member has a systematic process in place for inspection, maintenance, repair, and emergency response for roadways.						
Measures						
B33.	The City Council and/or City Engineer signs off on all road site protection plans to preserve governmental immunity.					
B34.	Member has on staff or access to a CalTrans trained work zone safety specialist to oversee and approve all work zones.					
B35.	To enhance the Member's ability to defend claims, protection of work-sites should be documented in photographs to illustrate protection provided to ensure drivers/pedestrians/cyclists do not come in contact with hazardous conditions.					
B36.	Contract language is signed by contractors accepting responsibility for the clean up and debris removal from work-sites to reduce potential for damage to vehicles or cyclist.					
B37.	Member has adopted a minimum Pavement Maintenance Index to serve as the standard to which road surfacing is to be maintained. Example: PMI=70					
Contractual Risk Transfer						
All contracts in which the member is involved are part of the risk management review process.						

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Measures						
B38.	A contract review process is in place to provide for consistent contract administration and oversight.					
B39.	All contracts are reviewed and approved by legal council to ensure that the City is adequately protected and risk is transferred or shared as intended.					
B40.	Contracts are reviewed for safety plans, staffing, oversight, and accountability.					
ADA Compliance and Transition Plans						
The Congressional passage of the Americans with Disabilities Act (ADA), which became effective in 1992, dictates equal access to public buildings and facilities, along with hiring and other EEOC-enforced provisions.						
Measures						
B41.	Members have an ADA transition plan in place.					
B42.	Documentation verifies action taken on transition plan items.					
B43.	Five-year budget and development plans reflect budgeting for ADA compliance projects.					
B44.	Alternative procedures are in place to provide access for disabled persons to buildings and facilities until full structural access is achieved.					
Playground Safety						
Member playgrounds must be designed, inspected, and maintained in compliance with the State of California requirements, which are described in <i>The Handbook for Public Playground Safety</i> and ASTM F187-95.						
Measures						
B45.	a. A current playground equipment inventory exists for each playground.					
	b. An annual playground audit is available for review and reflects equipment as stated in the inventory. The audit is conducted either by a Certified Playground Safety Inspector (CPSI) or personnel trained by a CPSI.					
	c. Documented monthly inspections and repair records are available for review. Inspections are conducted and signed off by a CPSI or staff who was trained and overseen by a CPSI.					
	d. Depending on frequency and intensity of use, weekly and/or daily inspection checklists are available for audit.					
	e. For playgrounds that do not comply with accessibility requirements under the Americans with Disabilities Act (ADA), an action plan with time tables to bring the site into compliance is available for review.					
Facilities Maintenance and Hazard Identification						
City owned and/or operated facilities, including those for which joint use agreements are in place, present risk exposures to users and neighboring facilities. A process for scheduled, documented inspection of Member buildings and other facilities should be in place.						
Measures						
B46.	a. Checklists or other tools used to document inspections are available for review.					
	b. Action items are prioritized and are assigned for correction with a due date for completion. Completion date is recorded.					
	c. All new or newly acquired facilities have a documented risk assessment review for structural and operational risk.					
	d. Buildings that have not been determined to be adequately protected against natural disaster or fire are not used for public gatherings and classes or leased to others.					