

**ABAG PLAN Risk Control Program
Self Evaluation & Accountability Model**

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

Risk Management Framework	● In Place/ Effective	● In Progress/ Needs Work	● Absent/ Ineffective	N/A	Comments/ Plan for Action
Risk Management Policy					
To reduce or eliminate costs associated with risks of loss, each City must create a risk management structure with adequate resources to address the risk exposures of the City with visible support of City Management.					
1-1-1					
1-1-2					
Injury & Illness Prevention Program (IIPP)					
The City must maintain an up-to-date Injury & Illness Prevention Program (IIPP) as required by OSHA, and actively maintains its requirements.					
1-2-1					
1-2-2					
1-2-3					
1-2-4					
1-2-5					
1-2-6					
1-2-7					
1-2-8					
Risk Management Organization					
A Risk Management Committee (RMC) or Team with clearly defined accountabilities must be named. This may be a scope enhancement of current safety committees.					
1-3-1					
1-3-2					
1-3-3					
1-3-4					

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1-3-5	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, 3. Determine if broader exposure to loss exists.					
1-3-6	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 City.					
Goals & Objectives						
1-4-1	Trending of accident claims/reports by type is maintained and used to define action plans to address actual and potential claim types.					
1-4-2	Each risk management goal has a corresponding action plan, the components of which may be measured.					
1-4-3	Participation in PLAN Risk Management programs demonstrated by: 1. Active participation in loss prevention/risk control surveys and discussions by PLAN staff on strategies to prevent loss, 2. Written response within 45 days upon request providing status of "best practice" recommendations, 3. Development of action plan/strategy to address the five most significant risk exposures as defined by audits and data analysis.					
1-4-4	Performance measures for all employee levels are established to ensure risk management goals and objectives are addressed.					
1-4-5	Annual goals and objectives are distributed to all employees.					
1-4-6	Costs are allocated to each department for general liability.					
1-4-7	Costs are allocated to each department for workers' compensation.					
Claim Reporting and Follow-Up						
Successful claim resolution is ensured by good communications among claimant, City, and adjuster with immediate reporting of claims.						
1-5-1	City has assigned a claims liaison who is assigned to work with ABAG adjusters to address and investigate claims.					
1-5-2	Designees from each City are identified and trained to provide claimants with information and address their needs without inappropriately increasing the liability of the City.					
1-5-3	All claims filed against the City that may be covered by the PLAN are reported promptly (within 48 hours).					
1-5-4	City staff is trained to recognize and reports incidents that may result in claims against the City.					
1-5-5	All claims covered by PLAN but paid by the City 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 City's deductible may be paid directly without first reporting to ABAG.					

Operational Best Practices		● In Place/ Effective	● In Progress/ Needs Work	● Absent/ Ineffective	N/A	Comments/ Plan for Action
Vehicle Use and Operations						
Each City must adopt 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						
2-1-2	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.					
2-1-3	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.					
2-1-4	All employees who drive any vehicle on City business are enrolled in the DMV Employer Pull Notice (EPN) 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						
2-1-6	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						
2-1-8	The City has adopted a vehicle use policy detailing when and how City and personal vehicles may be used for City business.					
2-1-9	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						
The City has adopted a sidewalk/walkway inspection, maintenance, and complaint response plan.						
2-2-1	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.					
2-2-2	The City has an ordinance in place transferring the liability for injuries on sidewalks to the property owner.					
2-2-3	The City has a written process in place to notice property owners to repair sidewalks where allowed by Municipal Code.					
2-2-4	The City has a follow-up procedure to ensure defects have been addressed by marking, barricading, etc. within reasonable periods.					
2-2-5	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.					
2-2-6	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.					

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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 hazards related to trees, shrubs, and vegetation.						
2-3-1	There is a written process to select, situate, and maintain trees to minimize hazards, hardscape damage, and maintenance costs. Inspection and monitoring frequency is prioritized by degree of exposure of the public to vegetation hazards. (i.e. obscured intersections, parks, playgrounds)					
2-3-2	Urban forest management is under the control and supervision of persons who have the necessary professional credentials and expertise to qualify as urban foresters or arborists.					
2-3-3	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.					
2-3-4	The City has adopted an ordinance defining ownership and maintenance responsibilities for trees.					
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.						
2-4-1	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.					
2-4-2	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 if training not provided by ABAG (David Patzer).					
2-4-3	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 City’s overall risk management exposure and should be subject to the risk assessment and evaluation review process as conducted by representatives from all City departments.						
2-5-1	City-written General Orders or guidelines reflect dates indicating reviews and updates. Key policies should be reviewed annually.					
2-5-2	Each City subscribes to a legal liability service for updated policy and procedure notification and advice.					
2-5-3	City departments have adopted a “reasonable force” approach to policing. Training records reflect this philosophy.					
2-5-4	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.					
2-5-5	City departments comply with all POST-mandated training requirements including perishable skills and training to General Orders is documented.					
2-5-6	Digital audio-visual technology, and/or digital audio recorders on person, are used to document any contact or incident					

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Fire Risk Management						
Fire risk management is an integral part of the City's overall risk management exposure and should be subject to the risk assessment and evaluation review process as conducted by representatives from all City departments.						
2-6-1	Dispatch has either been transferred to another agency or detailed training, data and communication management, and technology are used to prevent dispatch error.					
2-6-2	The department has a written policy clearly defining if and how emergency response (Code 3) driving is permitted and executed.					
2-6-3	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 City projects.						
2-7-1	The City has contractor selection criteria that include reference and site checks, interviews, insurance loss history, Cal/OSHA citation history, and license verification for general and all subcontractors.					
2-7-2	The contractor has a safety program (IIPP) in place.					
2-7-3	The contractor has site protection, traffic control, inspection, and debris removal plan in place.					
2-7-4	The City has documented planning, oversight, and quality control meetings with contractor.					
Road Maintenance						
The City has a systematic process in place for inspection, maintenance, repair, and emergency response for roadways.						
2-8-1	The City Council and/or City Engineer signs off on all road site protection plans to preserve governmental immunity.					
2-8-2	The City has on staff or access to a Caltrans-trained work zone safety specialist to oversee and approve all work zones.					
2-8-3	To enhance the City'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.					
2-8-4	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.					
2-8-5	The City 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 City is involved are part of the risk management review process.						
2-9-1	A contract review process is in place to provide for consistent contract administration and oversight.					
2-9-2	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.					
2-9-3	Contracts are reviewed for safety plans, staffing, oversight, and accountability.					

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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.						
2-10-1	The City has an ADA transition plan in place.					
2-10-2	Documentation verifies action taken on transition plan items.					
2-10-3	Five-year budget and development plans reflect budgeting for ADA compliance projects.					
2-10-4	Alternative procedures are in place to provide access for disabled persons to buildings and facilities until full structural access is achieved.					
Playground Safety						
City 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.						
2-11-1	A current playground equipment inventory exists for each playground.					
2-11-2	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.					
2-11-3	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.					
2-11-4	Depending on frequency and intensity of use, weekly and/or daily inspection checklists are available for audit.					
2-11-5	For playgrounds that do not comply with accessibility requirements under the 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 City buildings and other facilities should be in place.						
2-12-1	Checklists or other tools used to document inspections are available for review.					
2-12-2	Action items are prioritized and are assigned for correction with a due date for completion. Completion date is recorded.					
2-12-3	All new or newly acquired facilities have a documented risk assessment review for structural and operational risk.					
2-12-4	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.					

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<p align="center">Aquatics Programs</p> <p>The program measures below are not a comprehensive list of all the important practices, which should be in place to help ensure a well-managed and safe aquatics operation. However these measures are good measures to use in the self-evaluation process. They will assist in ensuring that a City-managed aquatics operation includes the most highly recommended management controls.</p>						
2-13-1	All staff responsible for facility operations and swimmer/participant safety are certified by a recognized agency and have received site-specific training with clear assignment of responsibilities. This includes validated, current certifications; required training in pool and/or concession operations; equipment; safety; security; and emergency response, including use of oxygen delivery and use of automated external defibrillators if available.					
2-13-2	At least one facility staffer is certified as a Lifeguard Manager, or has attended educational sessions on Lifeguard Management and has experience in supervision.					
2-13-3	Facility has all recommended rescue equipment, communication devices, posted warnings, information, and instruction signage present and in operable condition.					
2-13-4	Equipment such as diving boards, slides, blobs, and other play equipment are correctly installed for water depth, weight, and use requirements as recommended by the YMCA or other recognized standards. Documented inspections of this equipment are performed daily.					
2-13-5	Lifeguard rotations are no longer than 20-30 minutes with change of body position every 5-10 minutes. Dedicated supervision is provided for special equipment such as slides.					
2-13-6	Starting Platforms are only in place for competitions, and are only used under close supervision by participants that have been properly educated in their use.					
2-13-7	No diving is marked clearly on the pool deck in all areas that have less than 5 feet of water depth. Diving instruction should not take place in less than 9 feet of water.					
2-13-8	A Lifeguard on duty supervises all programs and rentals.					
2-13-9	Daily pool maintenance and water quality logs are on site and kept up to date.					

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Special Events & Facility Rentals The program measures below are not a comprehensive list of all the important practices which should be in place to help ensure an incident-free, well-managed and successful special event. However these measures are good measures to use in the self evaluation process. They will help ensure the planning and execution of a City-sponsored event or facility rental includes the most highly-recommended management controls.						
2-14-1	Contractual Risk Transfer and Contractor Selection and Management Best Practices are followed when issuing permits for an event, renting out a facility, or in hiring or screening contractors for the event.					
2-14-2	If the permittee, renter, or contractor does not have insurance coverage as referenced in the Contractual Risk Transfer best practices, Special Events Insurance, including liquor liability coverage for anyone serving alcohol, is obtained by the sponsor and/or required by all participating organizations.					
2-14-3	Any organization serving alcohol must be properly licensed, have properly trained servers, and control quantities. Security is provided for any event with alcohol.					
2-14-4	For outdoor events, a pre-event safety audit and inspection of site, permanent and temporary structures, lighting, communications, accessibility, emergency plans, traffic and crowd control are conducted and documented.					
2-14-5	Unless provided by an independent contractor, shuttle and parking services are provided by employees who meet the recommended Driver Selection and Training Best Practices, in vehicles which meet applicable safety standards.					

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Employment Best Practices The program measures below are not a comprehensive list of all the important practices, which should be in place to help ensure well-managed and safe employment practices. However these measures are good measures to use in the self-evaluation process. They will assist in ensuring that a City-managed employment practice operation includes the most highly recommended management controls.						
1	Each agency shall have recruitment procedures that comply with applicable State and Federal laws regulating employment discrimination. Agencies shall take steps to complete a background/reference check on applicants prior to hire.					
2	Agencies shall take steps to ensure that all new employees are educated (oriented) on all applicable and relevant personnel policies, procedures, rules, regulations as part of the orientation process. This process shall include a written sign-off by the new hire to document receipt of the important information.					
3	Agencies shall have a current anti-harassment and discrimination policy in place and shall train supervisors and manager on the policy in compliance with AB 1825. In addition, agencies shall ensure that workplace safety training, including violence prevention, is completed as required by state and federal laws and regulations (i.e. OSHA and CalOSHA). This includes the development and maintenance of an IIPP along with training for employees.					
4	Agencies shall have an internal grievance procedure in order to resolve employment related disputes at the lowest level possible.					
5	Agencies shall have a comprehensive discipline policy and procedure that is timely, reasonable, consistent, well-supported, and provides for procedural due process.					
6	Agencies shall periodically evaluate for compliance with FLSA to ensure that jobs are correctly classified as exempt or non-exempt and to ensure that payroll processing is accurate relative to the regular rate of pay and overtime compliance.					
7	Agencies shall have current policies, procedures and/or forms in place relative to the many types of leaves available to employees: industrial leave, ADA/FEHA accommodation leave, CA family sick leave, CA pregnancy disability leave, FMLA/CFRA leave, family temporary disability leave, military leave, leave to appear at child's school, leave for victim of domestic violence, leave for jury duty and court appearances, and time off to vote.					