RISK MANAGEMENT COMMITTEE MEETING
AGENDA

Wednesday, October 10, 2018
10:30 a.m.

Teleconference

All or portions of this meeting will be conducted by teleconferencing in accordance with Government Code Section 54953(b). Teleconference locations are as follows: Bickmore, 1750 Creekside Oaks Drive, Suite 200, Sacramento, CA 95833; Town of Atherton, 91 Ashfield Road, Atherton, CA 94027; City of Newark, 37101 Newark Boulevard, Newark, CA 94560; and Town of Portola Valley, 765 Portola Road, Portola Valley, CA 94028.

Each location is accessible to the public, and members of the public may address the Risk Management Committee from any teleconference location.

In compliance with the Americans with Disabilities Act, if you need a disability-related modification or accommodation to participate in this meeting, please contact Katie Sullivan at (916) 244-1164 or (916) 244-1199 (fax). Requests must be made as early as possible, and at least one full business day before the start of the meeting.

Documents and materials relating to an open session agenda item that are provided to the Pooled Liability Assurance Network Joint Powers Authority (PLAN JPA) Risk Management Committee less than 72 hours prior to a regular meeting will be available for public inspection at 1750 Creekside Oaks Dr., Suite 200, Sacramento, CA 95833.

1. CALL TO ORDER
2. INTRODUCTIONS
3. APPROVAL OF AGENDA AS POSTED (OR AMENDED)
4. PUBLIC COMMENTS - This time is reserved for members of the public to address the Committee relative to matters of the PLAN JPA not on the agenda. No action may be taken on non-agenda items unless authorized by law. Comments will be limited to five minutes per person and twenty minutes in total.

* Reference materials enclosed with staff report.
5. **CONSENT CALENDAR**

If a Committee member would like to discuss any item listed, it may be pulled from the Consent Calendar.

*A* Minutes from the May 21, 2018, Special Risk Management Committee Meeting

*Recommendation:* Staff recommends the Risk Management Committee approve the Consent Calendar.

6. **APPOINTMENTS**

A. Appointment of Risk Management Committee Chair

*Recommendation:* Staff recommends the Risk Management Committee appoint one of its members as the RMC Chair and member of the Executive Committee.

7. **RISK CONTROL MATTERS**

*A* Update on 2018/19 Risk Control Plan

*Recommendation:* None. Information only.

*B* Discussion Regarding Qualifications for Risk Control Vendors

*Recommendation:* Staff recommends the Risk Management Committee review the attached proposals and provides direction for PLAN JPA to contract fixed service pricing with Du-All Safety, DKF Solutions Group and Total Aquatic Management.

*C* Discussion Regarding Updates to PLAN JPA Risk Assessment Questions

*Recommendation:* Staff recommends the Risk Management Committee review attached Risk Assessment questions and provide feedback, suggestions and approval.

*D* Discussion of Risk Control Services Request for Proposal (RFP)

*Recommendation:* Staff recommends that the Risk Management Committee approve the RFP Timeline and RFP Document for review and final approval at the October Executive Committee meeting.

8. **CLOSING COMMENTS**

This time is reserved for comments by Risk Management Committee members and/or staff and to identify matters for future Risk Management Committee business.

A. Risk Management Committee

B. Staff

9. **ADJOURNMENT**

**NOTICES:**

- The next Risk Management Committee meeting will be held on April 3, 2019, at 10:30 a.m.

* Reference materials enclosed with staff report.
CONSENT CALENDAR

SUBJECT: Consent Calendar

BACKGROUND AND HISTORY:

The Consent Calendar consists of items that require approval or acceptance but are self-explanatory and require no discussion. If a Committee member would like to discuss any item listed, it may be pulled from the Consent Calendar.

RECOMMENDATION:

Staff recommends the Risk Management Committee approve the Consent Calendar.

REFERENCE MATERIALS ATTACHED:

A. Minutes from the May 21, 2018, Special Risk Management Committee Meeting
A special meeting of the Risk Management Committee was held on May 21, 2018, at Newark Silliman Center, 6800 Mowry Ave, Newark, CA 94560; via teleconference.

**MEMBERS PRESENT:**
Laci Kole, American Canyon  
Yulia Carter, Half Moon Bay  
David Benoun, Newark  
Jenny Liu, San Carlos *(via teleconference)*

**MEMBERS ABSENT:**
Michael Taylor, Saratoga  
Brian Dossey, Chairman, Colma  
Julie Carter, Dublin

**OTHERS PRESENT:**
Rob Kramer, General Manager, Bickmore  
Yahaira Martinez, Assistant General Manager, Bickmore  
Jeff Johnston, Risk Control Services Director, Bickmore  
Gail Ziegler, Risk Control Consultant, Bickmore  
Ritesh Sharma, Finance Manager, Bickmore *(via teleconference)*

1. **CALL TO ORDER:**

   The Special Meeting of the ABAG PLAN Risk Management Committee meeting was called to order at 10:35 a.m.

2. **INTRODUCTIONS:**

   Those present introduced themselves.

3. **PUBLIC COMMENTS:**

   None.
4. **APPROVAL OF AGENDA AS POSTED (OR AMENDED):**

   *David Benoun moved to approve the agenda as posted. Laci Kolc seconded the motion. A roll call vote was taken and the motion passed unanimously by David Benoun, Yulia Carter, Laci Kolc, and Jenny Liu.*

5. **CONSENT CALENDAR:**

   *David Benoun moved to approve the following items: A) Minutes from the April 4, 2018, Risk Management Committee Meeting. Laci Kolc seconded the motion. A roll call vote was taken and the motion passed unanimously by David Benoun, Yulia Carter, Laci Kolc, and Jenny Liu.*

6. **RISK MANAGEMENT PROGRAM:**

   A. **Presentation of Proposed PLAN JPA Risk Control Program for 2018/19:**

   Mr. Rob Kramer, General Manager, provided a quick review of previous discussions staff had with the Committee in regards to the Risk Control Program. These discussions centered around developing a draft risk control plan that would provide “core risk control services” for all members, as well as a streamlined and simplified annual Grant Fund Program to supplement each member’s respective risk management programs. The proposed Risk Control Program would go into effect with the 2018/19 program year.

   Mr. Jeff Johnston, Director of Risk Control, introduced Ms. Gail Zeigler, Risk Control Consultant, to provide an update on the activities and services she has provided members to date. Ms. Zeigler stated the majority of her time is spent on grant processing and responding to inquiries. She advised the first regional training was held in Newark, CA, and approximately ten employees from other cities attended. She stated additional regional trainings can be scheduled on specific topics members request or Ms. Zeigler can provide suggestions.

   Mr. Johnston and Ms. Zeigler provided an overview of the proposed risk control program for the 2018/19 program year as outlined in the reference materials included in the agenda. The program would provide a set of core risk services, which include an onsite risk control orientation for each member to assist with implementation of recommendations, regional trainings, unlimited phone and email support, among other services outlined in the proposed Risk Control Program Summary.
Mr. Johnston advised staff is proposing to utilize Risk Console for more than just creating reports. Staff would like to improve the collection of data and reporting as well as adding the capability to track grant usage in a manner that allows members to have access to their balances at any given time.

Mr. Johnston noted the Defensive Driver training grant would be rolled into the core risk services and will include driver ride-along evaluations. Also included in the core risk services would be member-specific contractual risk transfer trainings which would provide members with guidance to improve their process and procedures. He stated the Risk Control Plan would be reviewed mid-year to ensure the services are utilized and fulfilling members’ needs. He advised adjustments to the plan and services can be made as needed.

A discussion ensued regarding whether labor performed by a city employee for a grant approved project would be covered under the new Grant Fund Program. It was noted this is not specifically addressed in any policies; however, in the past, members have been denied reimbursement for city employee labor. Following discussion, the Committee agreed labor hours/wages for city employees completing projects should not be eligible for reimbursement; however, the cost of materials should be, and requested this be delineated in the Grant Fund Program Policy.

Mr. Johnston briefly discussed potential guidelines for using the program, stating the funds would be used to reimburse expenditures for controlling or minimizing risk, development and implementation, emergency preparedness, and purchasing equipment that would enhance employee and public safety. The funds would not be used for deferred maintenance, “wear and tear” repair or replacement, operating supplies or materials, and monetary fines from regulatory citations.

Mr. Johnston and Ms. Zeigler discussed the proposed changes to the Grant Fund Program noting the purpose of this program is to provide PLAN members with funds for expenses that support their safety and risk management programs. Currently, the Grant Fund Program is broken into various buckets. The Risk Credit Portion, which was funded through equity, would be replaced with the core risk services program and funded through the annual budget process. The remaining programs: Risk Management Program Grants, Risk Management Training Grants, and Sewer Smart Grants, would all be rolled into one simple Grant Fund. Staff recommended a total of $500,000 be allocated to the Grant Fund Program in 2018/19 and distributed to the members “pro-rata” based on each member’s percentage of premium, as outlined in the policy. Additionally, after all reimbursement requests for the 2017/18 program year have been completed, the
remaining funds in “all” of the current buckets would be combined and re-allocated to the members via the same “pro-rata” formula in January 2019.

A discussion ensued around ensuring all members are being held accountable for risk prevention; specifically, the goals each member previously set. Ms. Zeigler stated member visits and assessments will allow staff to help each member improve and continue working towards reducing their city’s liability.

*Laci Kolc moved to recommend approval by the Executive Committee of the proposed 2018/19 Risk Control Program and Grant Fund Program Guidelines as amended. David Benoun seconded the motion. A roll call vote was taken and the motion passed unanimously by David Benoun, Yulia Carter, Laci Kolc, and Jenny Liu.*

7. **CLOSING COMMENTS**

   A. **Risk Management Committee**

      None.

   B. **Staff**

      None.

8. **ADJOURNMENT**

   The Special Meeting of the PLAN JPA Risk Management Committee was adjourned at 11:40 a.m.

   ___________________________________
   Heather McLaughlin, Board Secretary
APPOINTMENTS

SUBJECT: Appointment of Risk Management Committee Chair

BACKGROUND AND HISTORY:

Prior to the start of a new fiscal year, the Board of Directors elects the upcoming year’s PLAN Committees. As such, at the June 2018 Board of Directors meeting, the new Risk Management Committee (RMC) members were elected as follows:

- George Rodericks, Town of Atherton
- Julie Carter, City of Dublin
- Yulia Carter, City of Half Moon Bay
- David Benoun, City of Newark
- Jeremy Dennis, Town of Portola Valley

Every year, the RMC is tasked with appointing its Chairperson. Therefore, a solicitation was distributed to the RMC, in August, seeking interest in serving as the RMC Chairperson. It was noted the RMC Chairperson would also be appointed to the Executive Committee in the position that is reserved for the RMC Chair.

Mr. Rodericks expressed interest in serving as the Chair of the RMC and as a member of the Executive Committee. Further nominations can be made from the floor at the meeting.

RECOMMENDATION:

Staff recommends the Risk Management Committee appoint one of its members as the RMC Chair and member of the Executive Committee.

REFERENCE MATERIALS ATTACHED:

None
PLAN JPA
RISK MANAGEMENT COMMITTEE MEETING
October 10, 2018

Agenda Item 7.A.

RISK CONTROL MATTERS

SUBJECT: Update on 2018/19 Risk Control Plan

BACKGROUND AND HISTORY:

PLAN JPA contracted with Bickmore Risk Control to provide the members with Core Risk Management Services for the 2018/19 program year. A summary of services follow:

- **Orientation and Risk Assessments**: Bickmore Risk Control has provided on-site Risk Control and Grant Program Orientations and initiated development of service plans with 27 of the 28 members. The last member visit is scheduled for October. A member City/Town Services Log has been created during member visits identifying services/member risk exposures. Member Risk Assessments will be performed in the second half of the program year. This year’s topic is Special Events and Facility Rentals.

- **Risk Management Software Refinement and Management**: The refinement of the Risk Management Software continues with an anticipated go-live date in early 2019. The updated Risk Assessment Questions are part of today’s Risk Control Matters. (See Agenda Item 7.C.)

- **Member Services and Regional Trainings**: Members received risk control services to help implement recommendations identified in the Risk Assessments as well as provide additional requested services. Training can be shared by members who volunteer to host nearby members (Regional Trainings) which allows for more training opportunities to all. The attached Risk Control Services Report provides a summary of services provided to the membership.

- **Additional Services and Resources**: In addition to unlimited phone and email consultation, members have access to the following Bickmore Risk Control website resources [http://riskcontrol.bickmore.net/](http://riskcontrol.bickmore.net/):
  - **On-line Streaming Videos** – Members have access to over 300 on-line streaming videos to help comply with OSHA and other regulatory training requirements. Bickmore-produced videos are also developed on key safety topics.
  - **Safety Publications** - We develop customized safety publications that provide guidance on a range of topics from OSHA regulatory updates to safety training resources for employees. The publications are written in an interesting and informative manner, nicely designed, and ready for distribution.
  - **Webinars** - We conduct live webinars on a range of safety and risk management topics. All of our webinars are recorded and our library contains over 40 topics to choose from.
Sample Programs, Forms, and Checklists - Our up to date sample safety programs, forms, and checklists are written in a streamlined yet comprehensive manner.

Resource Development: Bickmore Risk Control is constantly adding website resources. Since the last Risk Management Committee meeting the following topics have been added to the website.

New Safety Publications
Silica Awareness
Office Safety – Electrical and Fire Safety
Hand Injuries
Ergonomic – Micro Breaks (coming soon)
Ergonomics – Safe Lifting (coming soon)
Flu Prevention (coming soon)

New Bickmore RC Produced Videos
Firefighter Task Ergonomics (coming soon)

New Streaming Videos
Trucks, Trailers and Towing: Safe Practices and Awareness
Forklift Safety: Real Accidents, Real Stories II
Garage Shop Safety for Fleets
School Safety: Crossing Guard Training
School Bus Safety: The Role of Parents and Teachers

New Model Programs
Bloodborne Pathogens with Hepatitis A
Volunteer Program
Silica Program
Respiratory Protection (coming soon)
Video Surveillance Use Policy & Guidelines (coming soon)

RECOMMENDATION:

None. Information only.

REFERENCE MATERIALS ATTACHED:

A. PLAN JPA Member City/Town Services Log
B. PLAN JPA Risk Management Software Refinement Update
D. Member Satisfaction Survey for Risk Control Services
| Member                  | Date       | FTE | Police | Fire | Pools | Aquatic Centers | Water | Wastewater | Sewer | Solid Waste | Parks/Playgrounds | Golf Course | After school programs | Skate Parks | Dog Parks | Senior/Youth/Community Center | Playgrounds | Parks | City host special events | Work Camp | Post/Excess | Urban Forest | Work Comp | Post/Excess | Work Comp | Post/Excess | Work Comp | Post/Excess |
|------------------------|------------|-----|--------|------|-------|----------------|-------|-------------|-------|-------------|-------------------|-------------|--------------------------|-------------|-----------|-------------------------|------------|------|--------------------------|----------|----------|---------------|----------|----------|---------------|----------|----------|---------------|----------|----------|---------------|----------|----------|
| American Canyon        | 8.1.18     | 87  |        |      |       |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Atherton               | 7.13.18    |     |        |      |   38  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Benicia                | 8.28.18    | 230-250 |       |      |   x    |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Burlingame             | 8.27.18    |     |        |      |  212  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Campbell               | 7.26.18    |     |        |      |   172  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Colma                  | 8.28.18    |     |        |      |     50  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Cupertino              | 10.16      |     |        |      |  180  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Dublin                 | 7.18.18    |     |        |      |     90  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| East Palo Alto         | 8.15.18    |     |        |      |   112  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Foster City            | 8.27.18    |     |        |      |   180  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Half Moon Bay          | 9.11.18    |     |        |      |     39  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Hillsborough           | 9.18.18    |     |        |      |     87  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Los Altos Hills        | 8.15.18    |     |        |      |     22  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Los Gatos              | 7.26.18    |     |        |      |  130-150 |               |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Millbrae               | 9.17.18    |     |        |      |  108  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Milpitas               | 8.14.18    |     |        |      |  390  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Morgan Hill            | 9.10.18    |     |        |      |  200  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Newark                 | 9.18.18    |     |        |      |  153  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Pacifica               | 8.29.18    |     |        |      |  140  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Portola Valley         | 9.11.18    |     |        |      |     16  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Ross                   | 9.5.18     |     |        |      |     21  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| San Bruno              | 9.17.18    |     |        |      |  250  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| San Carlos             | 7.18.18    |     |        |      |     75  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Saratoga               | 7.17.18    |     |        |      |     60  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| S.San Francisco        | 8.29.18    |     |        |      |  446  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Suisun City            | 9.6.18     |     |        |      |  125  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Tiburon                | 9.6.18     |     |        |      |     42  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |
| Woodside               | 8.15.18    |     |        |      |     20  |                |       |             |       |             |                   |             |                          |             |           |                          |           |       |              |          |           |              |          |           |              |          |           |              |          |           |

Combine Training: LAH, Atherton, Hillsborough, Woodside, Portola Valley
Combine Training: Saratoga, Los Gatos
PLAN JPA Risk Management Software Update

Figure 1: Each Member will have access to the Risk Management Software for their respective City/Town

Figure 2: Members will be able to View their Grant Fund Information

Figure 3: Members will be able to drill down on Grant funding and payments
Figure 4: Members will have the option to complete risk assessment on-line and select subject. Note: logos and title needs updating.

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<td>1. Risk Management Policy</td>
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<td>2. Injury &amp; Illness Prevention Program (IPP)</td>
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<td>3. Risk Management Organization</td>
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<td>4. Risk Management Goals and Action Plans</td>
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<td>5. Claim Reporting and Follow-Up</td>
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<td>6. Vehicle Use and Operations</td>
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Figure 5: Example of what assessment questions will look like. Still to come; Members having the ability to upload documents relating to specific question.

Risk Management Policy

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 viable support of City Management.

1.1.1 The City Council has adopted a resolution supporting a formal Risk Management Program and Policy.

Enter an explanation of rating

1.1.2 The City Manager has endorsed the Risk Management Program and Policy and communicated it to all employees and provides appropriate resources.

Enter an explanation of rating
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## Risk Control Services Summary

**January 1, 2018 to September 26, 2018**

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## Risk Control Services Summary
January 1, 2018 to September 26, 2018

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## Risk Control Services Summary
### January 1, 2018 to September 26, 2018

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Safety Committee  
November Risk Mgt. Committee  
Phone & E-mail Consultation  
Fire Dept. Risk Mgt.  
Program Development  
Auto, Fleet and Driver Risk Review and Update  
Program Development  
Confined Space  
Training  
Auto, Fleet and Driver Risk  
Def Driver and Program  
Training  
Confined Space  
Training  
Parks and Recreation  
Skate park inspection | Completed  
Completed  
Placeholder  
Completed  
Placeholder  
In Progress  
Placeholder  
In Progress  
Placeholder |
| **Morgan Hill, City of** | Assessment Facilities  
Consulting Orientation  
Bickmore RC Services Orientation  
Phone & E-mail Consultation Orientation  
Bickmore RC Services  
Phone & E-mail Consultation Emergency Response Management  
Program Development IIPP  
IIPP & Safety Matrices  
Training  
Auto, Fleet and Driver Risk  
Defensive Driver Training  
Training  
IIPP  
IIPP Training | Completed  
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Bickmore Risk Control Services Survey (Sept 2018):

1. Overall, how beneficial was the Risk Control Services and Grant Fund Orientation?
   - Very beneficial
   - Somewhat beneficial
   - Neither beneficial nor unbeneicial
   - Somewhat beneficial
   - Not beneficial
   - N/A, I did not participate in the Orientation meeting.

2. Overall, how satisfied or dissatisfied are you with Bickmore Risk Control services?
   - Very satisfied
   - Somewhat satisfied
   - Neither satisfied nor dissatisfied
   - Somewhat dissatisfied
   - Very dissatisfied
   - N/A, we haven’t yet engaged with Bickmore Risk Control

3. How responsive has Bickmore Risk Control been to your questions?
   - Extremely responsive
   - Very responsive
   - Somewhat responsive
   - Not so responsive
   - Not at all responsive
   - Not Applicable

4. Overall, how well does the Bickmore Risk Control website meet your needs for Risk/Safety resources?
   - Extremely well
   - Very well
   - Somewhat well
   - Not so well
   - Not at all well
   - N/A Have not utilized the website

5. Do you have any comment, questions or concerns on Risk Control Services and/or website?


RISK CONTROL MATTERS

SUBJECT: Discussion Regarding Qualifications for Risk Control Vendors

BACKGROUND AND HISTORY:

At the last Risk Management Committee, the Committee directed staff to identify risk management/safety service vendors and obtain fixed service and pricing structure for the membership to review.

Staff has collected proposals from the following three vendors:
  • Du-All Safety
  • DKF Solutions Group
  • Total Aquatic Management

RECOMMENDATION:

Staff recommends the Risk Management Committee review the attached proposals and provides direction for PLAN JPA to contract fixed service pricing with Du-All Safety, DKF Solutions Group and Total Aquatic Management.

REFERENCE MATERIALS ATTACHED:

A. Du-All Safety PLAN JPA Proposal Letter, EHS Line Card and Evidence of Insurance
B. DKF Solutions Group Consulting Proposal and Evidence of Insurance
C. Total Aquatic Management Proposal Letter, Fee Schedule, James Wheeler CV and Evidence of Insurance
Gail Zeigler  
Bickmore Risk Services  
1750 Creekside Oaks Dr.  
Sacramento CA 95833  

Ms. Zeigler,  

In response to your email requesting “set pricing” for PLAN JPA members, please find the following options:  

1. PLAN JPA members currently under contract with Du-All Safety, LLC, will continue to receive the discounted pricing being offered to them.  

2. PLAN JPA members not currently under contract with Du-All Safety, LLC, will receive a reduced rate of $160 per hour, with a 4-hour minimum charge.  

PLAN JPA members should be instructed to contact me to discuss the scope of the project, confirm pricing and schedule. This is an important step as members may not be aware of the requirements of specific regulations.  

Please let me know if you have any questions or need any additional information.  

Thanks,  

Michael Connelly  
Chief Operating Officer
Inspections & Assessments
Wall to wall, facility safety inspection and program assessment, including:

- Comprehensive EHS compliance assessment
- Site inspection & risk assessment report
- Engineering & administrative control recommendations
- Hazardous materials and waste compliance
- Determine employee training requirements
- Review of existing safety programs and policies
- Record keeping review gap analysis
- Report detailing compliance status
- Recommendations and suggested Plan of Action

Safety Services
- Conduct on-site medical evaluations, hearing tests, and respirator fit-tests
- Develop/update written programs
- Conduct regular site safety inspections
- Maintain chemical inventory & SDS
- Conduct regular employee training
- Conduct regular safety meetings
- Maintain an annual safety plan of action

Environmental Services
- Storm Water Pollution Prevention Program
- Hazardous Materials Business Plan
- Air Permitting
- Spill Prevention, Control and Countermeasure Plan
- Underground storage tank compliance

---

**Environmental Health & Safety Training**

Du-All Safety provides quality EH&S training in compliance with current regulations. Du-All Safety tailors the instruction to address clients' specific needs and/or written program/policies.

- Storm Water Pollution Prevention Plan (SWPPP)
- Spill Prevention Control and Countermeasure (SPCC)
- Hazardous Materials Business Plan (HMBP)
- Hazardous Waste
- Forklift Operator Certification
- Crane Operator Certification
- First Aid/CPR/AED
- HazWoper – 8, 24, & 40 hour
- Ergonomics
- Electrical Safety
- Hazard Communication GHS
- Injury and Illness Prevention
- Workplace Violence
- Lockout Tagout
- Respiratory Protection & Fit-testing
- Welding Proficiency & Safety
- Driver Safety

---

**Online, Webinar & Spanish training available.**

**Go to du-all.com for a complete list of classes offered or call for quote.**

---

45950 Hotchkiss St. · Fremont, CA 94539 · (510) 651-8289 · du-all.com
CERTIFICATE OF LIABILITY INSURANCE

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFER NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER
TLB Insurance Services
CA License #0B82095
3000 Oak Road, Suite 210
Wheat Creek CA 94597

CONTACT NAME: Leanna Stellman
PHONE: (925)395-2600
FAX: (925)387-0910
EMAIL: leanna-stellman@leavitt.com

INSURER
A: Associated Indemnity Corporation
21865

INSURER B: Great American H&S Insurance
37532

INSURER D: Employers Compensation Insurance
11512

INSURER E: 

INSURER F: 

COVERAGES

CREDENTIAL NUMBER: 17-18 MASTER CERT

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

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DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

*10 day notice of cancellation for nonpayment of premium. RR: 150 Tara Rd., East Palo Alto, Ca 94303. City of East Palo Alto is included as an additional insured with respect to General Liability per the attached endorsement per written contract.

*Umbrella is follow form

CERTIFICATE HOLDER

CANCELLATION

SHOULD ANY OF ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

© 1988-2014 ACORD CORPORATION. All rights reserved.
This PROPOSAL is made on September 17, 2018, by and between DKF Solutions Group, LLC (hereinafter referred to as DKF) and the PLAN JPA (hereafter referred to as the Client). The fees contained in this proposal are valid until 12am, October 31, 2020.

QUALIFICATIONS: DKF Solutions Group, LLC or its principals, have provided risk control consulting services, including CalOSHA and CA State Water Resources Control Board (SWRCB) compliance, for the following public agency risk pools:
- CA Sanitation Risk Management Authority (CSRMA) and their 60 sanitation district members since 1999.
- Redwood Empire Municipal Insurance Fund (REMF) and their 15 member cities since 2008.
- Small Cities Organized Risk Effort (SCORE) and their 18 member cities since 2013.
- Association of Bay Area Governments Pooled Liability Insurance Network (ABAG PLAN) and their 29 member cities since 2004.
- CA Joint Powers Risk Management Authority (CJPRMA) and their ~100 member entities since 2007.

DKF Solutions Group’s qualifications also include:
- Principals have over 50 years combined experience providing full-range CalOSHA and SWRCB compliance services.
- Clients include over 300 cities and special districts in California. Services provided include, among others, CalOSHA and SWRCB compliance.
- Annually trains more 1,000 public works and water/wastewater utilities employees on topics related to CalOSHA and SWRCB compliance.
- Over 55 cities and special districts subscribe to its My Safety Officer CalOSHA compliance service.

PART I: SSMP SERVICES SCOPE:

1. Perform an SSMP audit against the Waste Discharge Requirements, updated Monitoring and Reporting Program (MRP) Requirements and the SWRCB Pre-SSMP Inspection Questionnaire. The City will receive a detailed report itemizing, by SSMP Element, those areas not in conformance with the SWRCB’s ORDER NO. 2006-0003-DWQ STATEWIDE GENERAL WASTE DISCHARGE REQUIREMENTS FOR SANITARY SEWER SYSTEMS. This service includes up to two on site meetings. The City is responsible for making all requested SSMP and related documentation available electronically.
   A. $9,000

2. Update Element 6 of the City’s SSMP, Overflow Emergency Response Plan (OERP), and develop staff sewer overflow and backup response procedures to reflect new SWRCB Monitoring and Reporting Program (MRP) requirements and the PLAN JPA’s procedure for residential sewer backup response and claims handling.
   A. OERP: $3,500
   B. 3-hour In-person Training on the completed OERP: $1,800 plus student materials
   C. SSO and Backup Response Packets: $150 plus tax/Set
   D. SSO Response Waterproof Reference Field Guide: $150/Each (plus tax)
   E. Interactive, computer based training module on the completed OERP, including customer communication and volume estimation techniques: $1,900
3. SSO Volume Estimation Training in accordance with SWRCB SSMP requirements.
   A. Training: $3,000 for up to 16 employees plus handouts

4. Develop Pump Station Emergency Response Plans for City sewer pump stations, including and applicable photo-based bypass, emergency power and lockout/tagout SOPs, in accordance with SWRCB SSMP requirements.
   A. Pump Station Emergency Response Plans for stations with no on-site backup power or engineered bypass system: $2,500 per station
   B. Pump Station Emergency Response Plans for stations with on-site backup power and/or engineered bypass system: $4,000 per station
   C. Training and bypass drill: $3,000 per training session
   D. Waterproof Pump Station Contingency Plans, printed on plastic: Cost plus $20% and tax

5. Develop a Water Quality Monitoring Plan (WQMP) for SSO’s 50,000 gallons or greater, in accordance with MRP requirements August 2013.
   A. WQMP: $3,800
   B. Surface Water Sample Collection Training: $2,400

6. Determination of collections system operator core competencies, development of training plan and staff competency evaluation system, in accordance with SWRCB SSMP requirements. Fee includes up to 3 on-site meetings
   A. $7,200

7. Develop sewer cleaning and emergency response equipment SOPs, in accordance with SWRCB SSMP requirements.
   A. $150/hour (travel time is billed at $75/hour up to a daily max of 5 hours)

PART II: CALOSHA SERVICES SCOPE:

NOTE: The quotes below are for departments other than police and fire.

1. Develop an Illness and Injury Prevention Policy to be in compliance with Title 8 CCR Section 3203 and provide training in accordance with Title 8 CCR Section 3203
   A. Policy: $3,000
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500

2. Develop a Bloodborne Pathogens policy to be in compliance with Title 8 CCR Section 5193 and provide training in accordance with Title 8 CCR Section 5193
   A. Policy: $3,000
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module the completed policy: $1,500
3. Develop a Confined Space policy and provide training in accordance with Title 8 CCR Section 5157
   A. Policy: $4,500 (this includes confined space identification, evaluation and classification)
   B. In person Training: $1,500 plus training handouts
   C. Hands-on training (4hours) for up to 10 employees: $3,000
   D. Customized interactive computer based training module on the completed policy: $1,500

4. Develop a Fall Protection policy and provide training in accordance with Title 8 CCR Section 1671, et al
   A. Policy (note: this includes fall hazard evaluations for work at elevated locations): $3,500
   B. In person Competent Person Training (up to 12 people): $3,000

5. Develop a Respiratory Protection policy and provide training in accordance with Title 8 CCR Section 5144 (NOTE: Costs do not include any necessary medical evaluations, fit testing or atmospheric sampling to determine employee exposure)
   A. Policy: $3,600
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500

7. Develop an Emergency Action Plan and provide training in accordance with Title 8 CCR Section 3220
   A. Policy: $2,400 per regularly staffed facility
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500

8. Develop a Fire Prevention Plan and provide training in accordance with Title 8 CCR Section 3221
   A. Policy: $2,400 per regularly staffed facility
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500

9. Develop a Hazard Communication policy and provide training in accordance with Title 8 CCR Section 5194
   A. Policy (note: this includes a physical chemical inventory and Safety Data Sheet library assembly): $4,500
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500

10. Develop a Hearing Conservation policy to be in compliance with Title 8 CCR Section 5098 and provide training in accordance with Title 8 CCR Section 5098
    A. Policy and noise exposure determinations: $3,600 (Note: this doesn’t include annual hearing tests. We recommend Center for Hearing Health for testing and can assist with scheduling and logistics)
    B. In person Training: $1,500 plus training handouts
    C. Customized interactive computer based training module on the completed policy: $1,500

11. Develop a Personal Protective Equipment policy and provide training in accordance with Title 8 CCR Section 3380
    A. Policy: $3,600
    B. PPE Assessments: $150ea (minimum of 12 PPE assessments required)
    C. In person Training: $1,500 plus training handouts
    D. Customized interactive computer based training module on the completed policy: $1,500

12. Develop a Heat Illness Prevention policy to be in compliance with Title 8 CCR Section 3395 and provide training in accordance with Title 8 CCR Section 3395
    A. Policy: $1,200
13. Develop a Transite Pipe policy addressing Title 8 CCR Section 1529 and provide training in accordance with Title 8 CCR Section 1529
   A. Policy: $2,400
   B. In person Training: $3,000 for up to 14 people

14. Develop a Lockout/Tagout policy addressing Title 8 CCR Section 3314 and provide training in accordance with Title 8 CCR Section 3314
   A. Policy: $3,600
   B. In person Training: $1,500 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500
   D. Equipment-specific LOTO SOPs, in accordance with Title 8 CCR Section 3314: $300/SOP (minimum of 5 SOPs)

15. Develop an Excavation and Trenching policy addressing Title 8 CCR Section 1541 and provide training in accordance with Title 8 CCR Section 1541
   A. Policy: $1,800
   B. Competent Person Training: $3,800

16. Develop a Silica Exposure Control Plan addressing Title 8 CCR Section 5204 and 1532 and provide training in accordance with Title 8 requirements
   A. Policy: $3,000
   B. In person Training: $1,800 plus training handouts
   C. Customized interactive computer based training module on the completed policy: $1,500

DELIVERABLE(S): All policies, procedures and other documents will be delivered as secure pdf files. All electronic training materials will be delivered via Dropbox or similar electronic file transfer service in a format compatible with any major web browser or SCORM-compliant software.

CLIENT RESPONSIBILITIES:
1. The Client will provide staff time to work with DKF SOLUTIONS GROUP to gather technical information necessary to complete SCOPE. The staff provided by the Client will have the technical knowledge, expertise, and/or written materials necessary for DKF SOLUTIONS GROUP to make technically correct evaluations.
2. All meetings or other work involving DKF SOLUTIONS GROUP, Client, and Client-provided vendors will be scheduled at mutually agreeable dates and times.

SUBCONTRACTORS: DKF Solutions Group routinely subcontracts with subject matter experts in order to provide the highest quality policy and procedure development and training services. DKF Solutions Group reserves the right to subcontract subject matter experts in instances where the Client will be best served by subcontracting a particular service.

COMPENSATION: DKF Solutions Group, LLC will invoice the Client 75% of fixed fee items upon delivery of any draft documents. All invoices are due net 30.

The Client must submit any required document review comments and edits within 60 days. If comments/edits are not received within 60 days, DKF SOLUTIONS GROUP reserves the right to finalize the last draft as the final product and be compensated accordingly. The Client will then be allowed up to another 30 days to submit review comments and edits without further fees, after which, additional fees at an hourly rate of $150 will be assessed.
AVAILABILITY: DKF Solutions Group is available on or after October 2, 2018 to provide the services described on Attachment 1.

STANDARD OF CARE/WARRANTY: DKF SOLUTIONS GROUP will perform the work under this Agreement as an independent contractor and in accordance with generally accepted professional practices. DKF SOLUTIONS GROUP will utilize reasonable care and skill consistent with and equal to that customarily possessed by environmental, health and safety consulting professionals in the community.

The parties to this agreement recognize the complex, subjective, and performance based nature of many environmental, occupational safety and health laws and regulations and the administrative interpretations thereof. In performance of the work, DKF SOLUTIONS GROUP must rely upon information derived from secondary sources and personal interviews. Except as specifically required in the scope of work, DKF SOLUTIONS GROUP will make no independent investigation as to the accuracy of completeness of the information derived from the secondary sources and personal interviews, and will assume that such information is accurate and complete.

All recommendations, findings, and conclusions will be based upon information and circumstances as they existed at the time of preparation (e.g. Federal, state, and local laws; political climate; and other matters that DKF Solutions Group, LLC deemed relevant). A change in any fact or circumstance may adversely the recommendations, findings, and conclusions expressed in the WORK. Accordingly, except as set forth in the first paragraph of this section, DKF SOLUTIONS GROUP makes no other representation, warranty or guarantee, express or implied.

ACCEPTANCE: To accept this proposal from DKF Solutions Group, LLC, for services described in SCOPE under the terms and conditions described herein, please sign below and return.

__________________________________________________________   __________________
Name and Title of Client Representative      Date
THIS CERTIFICATE OF LIABILITY INSURANCE

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CON芙ERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

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PRODUCER
Paragon Commercial Insurance Brokers, LLC
One Sansome Street Suite 3500
License #0H23526
San Francisco CA 94104

INSURED
DKF Solutions Group, LLC
170 Dogwood Lane
Vallejo CA 94591

COVERAGES

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INSURER(S) AFFORDING COVERAGE
INSURER A: RLI Insurance Company

CONTACT
NAME: info@commercialriskgroup.com
PHONE (A/C, No, Ext): 415-971-9111
FAX (A/C, No): 415-358-9410
E-MAIL ADDRESS:

POLICY NUMBER: RTP0012400
POLICY EFF (MM/DD/YYYY): 3/19/2018
POLICY EXP (MM/DD/YYYY): 3/19/2019

EXCESS LIABILITY

MANUFACTURING INSURERS: RLI Insurance Company

PRODUCER
Paragon Commercial Insurance Brokers, LLC
One Sansome Street Suite 3500
License #0H23526
San Francisco CA 94104

CERTIFICATE HOLDER

CANCELLATION

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

CA 94105-2066

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**CERTIFICATE OF LIABILITY INSURANCE**

**PRODUCER**
Tina Jang (968234H)
800 El Camino Real Ste B
Milbrae, CA 94030-2057

**INSURED**
DKF SOLUTIONS GROUP LLC
170 DOGWOOD LN
VALLEJO, CA 94591

**CONTACT**
PHONE (A/C, NO, EXT): 650-995-3499
FAX (A/C, NO): 650-376-5546
E-MAIL ADDRESS: tjang@farmersagent.com

**INSR. DKF SOLUTIONS GROUP LLC**

**AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICY(S). LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.**

**REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE INSURED.**

**DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES (ACORD POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.)**

**COVERS EXCLUDED? (Mandatory in NH) L__**

**WORKERS COMPENSATION AND EMPLOYERS’ LIABILITY**

**ANY PROPRIETOR/PARTNER/ EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH)**

**YES NO**

**DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)**

**CERTIFICATEHOLDER**

**CANCELLATION**

**SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.**

**AUTHORIZED REPRESENTATIVE**

Tina Jang

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**POLICY NUMBER:** 604713332

**POLICY EFF (MM/DD/YYYY):** 03/19/2018

**POLICY EXP (MM/DD/YYYY):** 03/19/2019

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**SCHEDULED AND NON-SCHEDULED AUTO LIABILITY**

**DED RETENTION $**

**EACH OCCURRENCE**

**AGGREGATE**

**COMBINED SINGLE LIMIT**

**EACH OCCURRENCE**

**AGGREGATE**

**EACH OCCURRENCE**

**AGGREGATE**

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**CERTIFICATE NUMBER:**

**REVISION NUMBER:**

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**DATE (MM/DD/YYYY):** 03/19/2019

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**THE ACORD NAME AND LOGO ARE REGISTERED TRADEMARKS OF ACORD.**

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PLAN

Proposal for Services

September 18, 2018

Prepared By:

James C. Wheeler, Owner

Total Aquatic Management

2250 Buena Vista Ave. Suite A  Alameda, California 94501
Contents

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2.0 Request for Services ..................................................... Page 3
3.0 Scope of Proposed Services ............................................ Page 3, 4, 5
4.0 Insurance Information .................................................. Page 5, 6
5.0 Fee Schedule ................................................................ Page 6
6.0 References ..................................................................... Page 6

Attachment A Fee Schedule
1.0 About Total Aquatic Management
Jim Wheeler began working at the City pool in 1975. He was a beach lifeguard in the 80’s and also a swim coach and instructor in the Physical Education Department at California State University, Chico. In 1995 began doing aquatic staff training for a few cities across California and worked for Jeff Ellis and Associates in the waterpark industry. In 2000 he began consulting on aquatic operations, facility management and risk management. In 2001 he was retained to investigate his first accident and performed as an expert witness for the first time. Since 1995 he has been a speaker and trainer at over 400 events in the United States and Canada. His expertise comes from over 40 years of experience working at municipal pools, public beaches and waterparks. Jim has received two citations from the Southern California Public Pool Operators Association, The National Recreation and Park Associations Distinguished Aquatics Service Award, Two Presidential Awards from the California Park and Recreation Society and the Paragon Award for Aquatic Safety from the International Swimming Hall of Fame.

2.0 Request for Services
On September 14, 2018 Jim was contacted by Gail Zeigler of Bickmore regarding providing a scope of potential services that PLAN Members could request when seeking assistance with aquatic operational review, risk management, safety and training.

3.0 Scope of Proposed Services
TAM offers the following for your consideration:
Aquatic Operational Audits – Client receives a video report and written report that includes three parts per audit:
• Observation of lifeguards and supervisors in relation to number and placement of lifeguards, supervision of lifeguards, rescue readiness, scanning and patron surveillance,
communication, professionalism, station rotations and certification verification.

- Facility inspection against current California and local health codes including; Facility entrances and customer service, locker rooms, showers, restrooms, pool decks, large equipment, depth markers, tile and plaster, ladders, steps, lifeguard stands, drains, starting blocks, pool drains, diving boards, water slides, play structures.
- Lifeguard skill testing; individual and group response scenarios.

Aquatic Training Services – Clients can choose from two training options; TOTAL Guard staff training or TOTAL SLT supervisor and management training

- TOTAL Guard: focuses on developing deck supervisor and management tools while giving participants more skills and drills for effective and challenging in-service training sessions. Our program uses data gathered from industry surveys and the latest research to make aquatic staff smarter regarding accident prevention and response. Water sessions help make staff stronger through conditioning and skill repetition. Scenarios are used at the end of the course to improve the speed and effectiveness of rescues involving multiple rescuers and one or more victims.

- TOTAL SLT: Two Day – 14-hour Aquatics Supervision and Leadership Training Course to include the following 6 modules:
  - Leadership and Duty – Duty, expectations, trust, accountability, leadership traits, decision making, discipline, evaluation, motivation, mentoring future leaders and more.
  - Supervising Operations – Layering protection, active supervision, zone validation, rescue readiness, response and care objectives and more.
Risk Management – Risk management principles, hazard identification, mitigation, negligence, aquatic best practices and more.

Emergency Management – Types of emergencies, response planning, equipment, facility inspection, staff and guest safety, critical incident stress and planning and more.

Staff Development – Training principles, basic skill reinforcement, secondary skills, training versus reality, in-service training elements and principles and more.

Customer Service – Setting service standards, handling complaints, conflict resolution, Americans with Disabilities Act and more.

Operational Review of existing aquatic operation manuals, staff manuals, and/or any other operational policy documents and provide written comments with recommended changes for the client to consider.

Review of operational practices. Meet with staff to discuss number and placement of lifeguards, emergency action plans and procedures, validate lifeguard zones of coverage, and review daily operational practices such as rotations, breaks, supervision of aquatic staff on duty, program supervision, rentals and outside user groups, tracking certifications, training records, and accident and incident reporting practices.

4.0 Insurance

James C. Wheeler doing business as Total Aquatic Management is fully insured and carries 1 million dollars of Professional Liability Insurance and 2 million dollars of General Liability Insurance in addition to 1 million in Commercial Automobile Insurance coverage. As a sole proprietor we are not required to carry workers compensation insurance. If retained by PLAN
a certificate of insurance covering PLAN as additionally insured will be provided to the agency.

5.0 Fee Schedule - Attached

6.0 References
References are available upon request.

Submitted by:
Jim Wheeler 925-788-4951 swimnjim@hotmail.com
Total Aquatic Management Fee Schedule 2018 - 2020

Facility and Lifeguard Auditing:
Facility and Lifeguard Audit – Single Facility $700
Facility and Lifeguard Audit - Multiple Facilities $600 each (2)
Facility and Lifeguard Audit - Multiple Facilities $500 each (3 and up)

Lifeguard Audit – Single Facility $600
Lifeguard Audit – Multiple Facilities $500 each (2)
Lifeguard Audit – Multiple Facilities $400 each (3 and up)

Training:
TOTAL Guard In-service, 4 hours $700
TOTAL Guard Workshop, 7 hours
  0-32 staff $1,100
  33-64 staff $1,600
  65-96 staff $2,100
  Over 96 Negotiable
Supervisor and Leadership Training, 14 hours $2,000
Aquatic Risk Management Seminar, 7 hours $2,500

Consulting:
Accident Investigation, hourly rate $175
Expert Witness, hourly rate $200
Special Projects, hourly rate $150

Consulting and investigation fees apply at 50% of the listed rate for travel time. Travel expenses (mileage, airfare, etc.) are reimbursable upon provision of receipts.

Jim Wheeler, Owner
Total Aquatic Management
2250 Buena Vista Ave. Suite A
Alameda CA 94501
Phone: 925-788-4951
E-mail: swimnji@hotmail.com
James Cheda Wheeler  
Curriculum Vitae  
Summer 2018

2250 Buena Vista Ave, Suite A  
Alameda CA 94501  
925-788-4951  
swimnjim@hotmail.com

Education  
California State University, Chico  
BA Physical Education  
1987

Work History  
Presently  
City & County of San Francisco  
Leisure and Aquatic Services Manager

2006-2009  
City of Oakland  
General Recreation Supervisor

2003-2006  
City of Nevada City  
Parks and Recreation Manager

2000-2003  
Town of San Anselmo  
Recreation Director

1998-2000  
Greater Vallejo Recreation Dist.  
Recreation Services Superintendent

1998  
Greater Vallejo Recreation Dist.  
Youth and Aquatic Programs Supervisor

1996-1997  
City of Oakland  
Aquatics Director

1995-2010  
Total Aquatic Management  
Aquatic Safety & Operations Consultant

1993-1997  
Jeff Ellis and Associates  
Associate, Program Development

1988-1995  
City of San Ramon  
Recreation Supervisor Aquatics

1985-1987  
City of Walnut Creek  
Aquatic Specialist

1980-1984  
California State Park System  
Ocean Lifeguard (seasonal)

1983  
California State University, Chico  
Temporary Faculty, Water Safety Inst.

1975-1979  
City of Walnut Creek  
Pool Manager, Lifeguard, Swim Inst.

1974  
BSA Camp Wolfboro  
Lifeguard, Boating & Swimming Inst.

Training / Certification  
California Park and Recreation Society (CPRS), Administrators Institute

National Recreation and Park Association (NRPA), National Aquatic Management School

National Recreation and Park Association, Pacific Risk Management School

National Pool and Waterpark Aquatic Safety School

California Specialized Training Institute – Disaster Training Course

Certified Aquatic Facility Operator

American Red Cross Instructor Trainer, WSI, LGI, CPR, CPR/AED, PDT, O2, Title 22

National Pool and Water Park Lifeguard Training Program – Instructor Trainer

Professional Service  
2015-2018  
California Park and Recreation Society President

2013-2015  
California Park and Recreation Society Administrators Section President

2010-2013  
California Park and Recreation Society Administrators Section Board

2007-2009  
Insurance Coordinator and Risk Manager US Masters Swimming

2005-2006  
California Park & Recreation Society State Secretary/Treasurer

2003-2004  

2002-2003  
ARC Bay Area Health and Safety Committee Member

2001-2003  
CPRS District 1 Board of Directors, Administrators Section Representative

1994-2002  
NRPA Pacific Risk Management School, Board of Regents and Instructor

1998-2002  
NRPA National Aquatic Management School, Instructor

1999-2000  
Fighting Back Partnership, Vallejo, Community Council Member

1999-2000  
Vallejo Neighborhood Improvement Partnership Committee Member
1999-2000  ARC Solano County, Chairman of Community Education Committee
1999-2000  ARC Bay Area Board of Directors, Board Member
1991-1997  CPRS Aquatic Section, Founder, Board Member, President 1995-1996
1991-1995  CPRS Legislative Committee, Aquatic Section Representative
1991-1993  CPRS District 3 Board of Directors, Member at Large
1989-2002  Bay Area Public Pool Operators, Member, Steering Committee 1991-1994

Volunteer Service
2017-2018  Richmond Yacht Club - Safety Officer
2015-2018  Richmond Yacht Club – Jr. Sailing Program Instructor
2011-2012  United States Masters Swimming Governance Committee
2006-2011  American Red Cross Bay Area Water Safety Advisory Board
2007-2008  United States Masters Swimming, Risk Management Specialist
2005-2006  United States Masters Swimming, Planning Committee Chairman
2003-2004  Silver Lake Home Owners Association Board of Directors
2000-2003  Aquatics International Magazine Advisory Board
1988-2002  Pacific Masters Swimming Committee Member
1998-2002  Pacific Masters Swimming Open Water Swimming Chairman
1998-2006  United States Masters Swimming Parliamentarian
2000-2002  United States Masters Swimming Safety Education Committee
1999-2004  United States Masters Swimming Long Distance Swimming Committee
2001-2002  United States Masters Swimming Planning Committee
1994-1998  United States Masters Swimming Marketing Committee

Speaker / Trainer
2018
- National Aquatic Safety Company – International Safety School Staff
- Association of Aquatic Professionals – Keynote - “Thriving on Aquatic Chaos”
- Santa Cruz County Senior Staff TOTAL Guard Training
- City of Seaside TOTAL Guard Training
- City of San Ramon – All Staff In-service Training
- City of Pleasanton TOTAL Guard Training Central San Joaquin Valley Risk Management Authority – Aquatic Risk Management Workshops – 3 Locations, Merced, Reedley, Porterville
- CPRS District VI TOTAL Guard Training
- City of Bakersfield - Senior Staff TOTAL Guard Training
- Los Angeles County Aquatics – Senior Management Training
- Northern California Cites Self Insurance Fund - “Aquatic Risk Management” – Yuba City
- Highlands Recreation District TOTAL Guard Training
- CPRS District X TOTAL Guard Training
- City of Pasadena TOTAL Guard Training
- City of Piedmont TOTAL Guard Training
- City of El Cerrito TOTAL Guard Training
- Northern California Aquatic Managers Association TOTAL Guard Training
- City of West Hollywood TOTAL Guard Training
- Los Angeles County Aquatics – TOTAL Guard Training – 3 Locations
2017

- National Aquatic Safety Company – International Safety School Staff
- CPRS District XI – Recreation Conference – “Day Camp Aquatic Safety”
- City of San Ramon – All Staff In-service Training
- City of Mission Viejo TOTAL Guard Training
- Central San Joaquin Valley Risk Management Authority – Aquatic Risk Management Workshops – 3 Locations, Modesto, Fresno, Bakersfield
- CPRS District VI TOTAL Guard Training
- Los Angeles County Aquatics – Senior Management Training
- Association of Bay Area Governments – “Aquatic Risk Management”
- Highlands Recreation District TOTAL Guard Training
- Bay Cities Insurance Authority – “Aquatic Risk Management”
- Livermore Area Recreation and Park District Senior Staff TOTAL Guard Training
- City of Piedmont TOTAL Guard Training
- CPRS District X TOTAL Guard Training
- City of Pasadena TOTAL Guard Training
- City of Corona TOTAL Guard Training
- Pleasant Valley Recreation District TOTAL Guard Training
- San Diego County Aquatic Council TOTAL Guard Training
- Northern California Aquatic Managers Association TOTAL Guard Training
- City of West Hollywood TOTAL Guard Training
- Los Angeles County Aquatics – TOTAL Guard Training – 3 Locations
- City of San Ramon – All Staff In-service Training
- City of Cupertino TOTAL Guard Training
- El Dorado Hills CSD TOTAL Guard Training
- City of Newark TOTAL Guard Training
- National Recreation and Park Association Conference - “Aquatic Management: Training and Mentoring Senior Staff”
- California Aquatic Management School – Keynote Speaker – “Thriving on Aquatic Chaos”
- CPRS District XII Training – “Taking Day Camps to the Pool”
- CPRS Pacific Maintenance Management School – “Critical Thinking”

2016

- National Aquatic Safety Company – International Safety School Staff
- League of California Cities – City Managers Conference – “Sustainable Communities Through Health and Wellness’
- City of San Ramon – All Staff In-service Training
- City of Bakersfield - Senior Staff TOTAL Guard Training
- Central San Joaquin Valley Risk Management Authority – Aquatic Risk Management Workshops – 3 Locations, Lathrop, Kingsburg and Tulare
- Independent Cities Risk Management Authority - “Aquatic Risk Management”
- CPRS District VI TOTAL Guard Training
- CPRS District X TOTAL Guard Training
- City of Pasadena TOTAL Guard Training
- City of Palo Alto TOTAL Guard Training
- City of Irvine TOTAL Guard Training
- City of Carlsbad TOTAL Guard Training
- City of Coronado TOTAL Guard Training
- City of Chula Vista TOTAL Guard Training
- City of Piedmont TOTAL Guard Training
- Northern California Aquatic Managers Association TOTAL Guard Training
- City of West Hollywood TOTAL Guard Training
- City of Cupertino TOTAL Guard Training
- El Dorado Hills CSD TOTAL Guard Training
- City of San Ramon – All Staff In-service Training
- City of Newark TOTAL Guard Training
- South Dakota Park and Recreation Association – Aquatic Workshop – “Staff Planning and training”, “Risk Management – Case Studies”
- CPRS District XII – Recreation Conference – “Training Comes in Many Forms”

2015
- National Aquatic Safety Company – International Safety School Staff
- Association of Aquatic Professionals – Closing Keynote “Aquatic Factoids”
- City of San Ramon – All Staff In-service Training
- Southern California Public Pool Operators Association – Workshop Speaker
- City of Bakersfield - Senior Staff TOTAL Guard Training
- CPRS District VI TOTAL Guard Training
- Canadian Red Cross, Saskatchewan Water Safety Conference Keynote – “Smarter, Stronger, Faster, Building a Better Lifeguard”
- San Diego County Aquatic Council Aquatic Leadership Training
- San Diego County YMCA – Aquatic Managers Training
- CPRS District X TOTAL Guard Training
- City of Pasadena TOTAL Guard Training
- City of Palo Alto TOTAL Guard Training
- City of Cupertino TOTAL Guard Training
- City of Inglewood TOTAL Guard Training
- British Columbia Municipal Safety Association – “Handling Critical Incidents at Your Facility”, “Preparing for Disaster and Eliminating Hazards”
- City of Piedmont TOTAL Guard Training
- Northern California Aquatic Managers Association TOTAL Guard Training
- City of West Hollywood TOTAL Guard Training
- El Dorado Hills CSD TOTAL Guard Training
- City of San Ramon – All Staff In-service Training

2014
- National Aquatic Safety Company – International Safety School Staff
- Association of Aquatic Professionals – “Reality Based Aquatics Operations and Training”, “Aquatic Management: Training and Mentoring Senior Staff”
- United States Masters Swimming - “Open Water Safety” Webinar
- Independent Cities Risk Management Authority - “Aquatic Risk Management”
- City of Morgan Hill Senior Staff Training and Staff TOTAL Guard Training
- South Dakota Recreation and Park Association Aquatics Workshop Speaker
- City of Davis TOTAL Guard Training
• California Park and Recreation Society, District I TOTAL Guard Training
• CPRS District X TOTAL Guard Training
• City of Pasadena TOTAL Guard Training
• City of Inglewood TOTAL Guard Training
• City of West Hollywood TOTAL Guard Training
• City of Bell Gardens TOTAL Guard Training
• City of Cupertino TOTAL Guard Training
• City of Roseville TOTAL Guard Training
• El Dorado Hills CSD TOTAL Guard Training
• Oregon Recreation and Park Association – “21st Century Leadership”, “Aquatic In-service Training for Improved Risk Management”, “Understanding and Preventing Lifeguard Failure”
• California Aquatic Management School Featured Speaker
• Athletic Business Conference – “Aquatic Management: Training and Mentoring Senior Staff”

2013
• National Aquatic Safety Company – International Safety School Staff
• California Park and Recreation Society District II TOTAL Guard Training
• San Diego County Aquatic Council – TOTAL Guard Training
• Michigan Recreation and Park Association - “In-service Training for Risk Management”, “Understanding and Preventing Lifeguard Failure”, “Handling Critical Incidents at Your Facilities”
• City of Bakersfield – Aquatic Coordinators and Managers Training
• In Shape Health Clubs – North and South Facilities Pool Managers Training
• CPRS District IV TOTAL Guard Training
• California Park and Recreation Society, District I TOTAL Guard Training
• City of Patterson TOTAL Guard Training
• CPRS District X TOTAL Guard Training
• City of Pasadena TOTAL Guard Training
• City of Piedmont TOTAL Guard Training
• City of Inglewood TOTAL Guard Training
• City of West Hollywood TOTAL Guard Training
• City of Roseville TOTAL Guard Training
• City of Bell Gardens TOTAL Guard Training
• El Dorado Hills CSD TOTAL Guard Training
• City of San Ramon TOTAL Guard Training
• World Water Park Association - “In-service Training for Risk Management”
• British Columbia Municipal Safety Association - “Handling Critical Incidents at Your Facilities”, Workshop Featured Speaker
• Athletic Business Conference Workshop Speaker

2012
• Texas Public Pool Council – “Understanding and Preventing Lifeguard Failure”
• National Aquatic Safety Company – International Safety School Staff
• Northern California Aquatic Managers Association – “Failing Forward”
• Association of Aquatic Professionals – “In-service Training for Risk Management”, “Leadership Strategies for the 21st Century”
• Utah Recreation and Park Association – “Understanding and Preventing Lifeguard Failure”, “Handling Critical Incidents at Your Facilities”
• California Park and Recreation Society - “Failing Forward”
• Pool-a-Palooza – Wichita, Kansas - Workshop Featured Speaker
• In Shape Health Clubs – North and South Facilities Pool Managers Training
• City of Bakersfield – Aquatic Coordinators and Managers Training
• California Park and Recreation Society District I TOTAL Guard Training
• City of Oakdale TOTAL Guard In-service Training
• City of Morgan Hill Pool Managers Training and Lifeguard Training
• California Park and Recreation Society District IV TOTAL Guard Training
• Association of Bay Area Governments Aquatic Risk Management Workshop
• Strathcona Regional District Aquatic Staff Training, B.C. Canada
• Strathcona Regional District Safety Conference Guest Speaker, B.C. Canada
• County of Salt Lake, Staff Pre-season Training, Salt Lake City, UT
• City of Pasadena TOTAL Guard Training
• California Park and Recreation Society District X TOTAL Guard Training
• City of Inglewood TOTAL Guard Training
• City of Cupertino TOTAL Guard Training
• City of San Bruno TOTAL Guard Training
• City of West Hollywood TOTAL Guard Training
• City of Morgan Hill TOTAL Guard Training
• City of Bakersfield TOTAL Guard Training
• United States Aquatic Sports Annual Convention – Practice Safe Swimming
• National Congress on Parks and Recreation – Aquatic Safety and Training
• California Aquatic Management School – Understanding and Preventing LG Failure
• Washington Recreation and Park Association Aquatics Workshop
• Athletic Business Conference

2011
• Athletic Business Conference – Succession Planning in Tough Times, In-service Training for Improved Risk Management
• National Aquatic Safety Company – International Safety School Staff
• Texas Public Pool Council – Let’s Get Serious About Aquatic Safety
• World Open Water Swimming Safety Conference – Presenter
• Nebraska Recreation and Park Association Aquatic Workshop
• Jewish Community Centers of North America – Presenter
• CPRS District X – TOTAL Guard workshop
• CPRS District II – TOTAL Guard workshop
• CPRS District I – TOTAL Guard Workshop
• CPRS District III – TOTAL Guard Workshop
• CPRS District IV – TOTAL Guard workshop
• Southern California Pool Operators Association TOTAL Guard workshop
• San Diego County Aquatic Council TOTAL Guard workshop
• City of Inglewood In-service training
• City of Pasadena In-service training
• City of Bell Gardens In-service training
• City of Cupertino In-service training
• El Dorado Hills Community Services District In-service training
• City of Garland, Texas In-service training
• Hyland Hills, Colorado In-service training
• University of California, San Francisco In-service training
• World Aquatic Health Conference – Emergency Response Planning
• California Aquatic Management School – Why You Need to Get Wet
• Washington Recreation and Park Association Aquatics Retreat

2010
• National Aquatic Safety Company – International Safety School Staff
• Texas Public Pool Council – Keynote: Truth, Justice and the Aquatic Way
• Michigan Recreation and Park Association Conference: 5 sessions
• NRPA National Aquatic Management School – Lead Faculty Member
• Kansas City Metro Aquatic Council – Aquatic Leadership Workshop
• City of Inglewood In-service training
• City of Pasadena In-service training
• CPRS District X – TOTAL Guard workshop
• CPRS District II – TOTAL Guard workshop
• CPRS District I – TOTAL Guard Workshop
• City of San Ramon – TOTAL Supervisor Leadership Training
• ABAG Aquatic Risk Management Workshop
• World Waterpark Association Symposium – Advanced Aquatic Care
• Athletic Business Conference – Drowning Prevention Strategies

2009
• Northern California Aquatic Management Institute – 4 on 1 Aquatics Power Play
• Utah Recreation and Park Association – Supervisor and Leadership Training
• Kansas City Aquatic Leadership Adventure – 4 sessions over 1 day workshop
• Washington Recreation and Park Association Aquatic Retreat
• CPRS Region III, Ventura CA – Total Guard Workshop
• CPRS Districts IX & X, Los Alamitos CA – Total Guard Workshop
• City of San Bruno In-service training
• City of San Ramon Summer training Kick off speaker
• City of Commerce In-service training
• City of Cerritos In-service training
• City of Inglewood In-service training
• City of Pasadena In-service training
• Athletic Business Conference, “Layer Aquatic Protection with Active Supervision”

2008
• National Aquatic Safety Company, International Safety School Guest Speaker
• United States Masters Swimming, Local Mentor Workshop – Trainer
• Tennessee Recreation and Park Association – “Teambuilding”, “Aquatic Staff In-service Training”
• CPRS State Conference, “Ask the Experts” – Panel
• NRPA National Aquatic Management School – “In-service Training”, “On the Job Training”, “Operational Auditing”
• NRPA National Aquatic Conference, “Sweaty Palms, the Art of Public Speaking”, “Recruiting and Retaining Aquatic Staff”, “Handling Critical Incidents at your Facilities”
• Southern California Public Pool Operators Assoc., TOTAL Guard workshop
• San Diego Aquatic Council, TOTAL Guard Workshop
• Inter City Risk Management Association, “Aquatic Risk Management Workshop”
• CPRS District I – Total Guard Training
• CPRS District VII – Total Guard Training
• City of Los Alamitos In-service Training
• City of Cypress In-service Training
• City of Pasadena In-Service Training
• City of Bell Gardens In-Service Training
• City of Norwalk In-Service Training
• City of San Rafael In-Service Training
• City of Redwood City In-service Training
• City of San Bruno In-service Training
• City of San Mateo In-service Training
• City of Burlingame In-service Training
• California Aquatic Management School, “4 on 1 the Aquatic Power Play”
• Athletic Business Conference, “Layer Aquatic Protection with Active Supervision”
• CPRS District I Winter Maintenance Forum “21st Century Leadership”

2007
• California Aquatic Management School, “In-service Training”
• Athletic Business Conference, “Recruiting and Retaining Aquatic Staff’, “Creating ‘Super’isors, Peer Supervision”
• World Waterpark Association, “Recruiting and Retaining Aquatic Staff”
• Texas Public Pool Council “Facility and Staff Auditing”, “Peer Supervision”
• CPRS District VII, “Layer Aquatic Protection with Active Supervision”
• CPRS State Conference, “Lifeguard Best Practices”
• NRPA National Aquatic Management School “Performance Based Budget Development”, “In-service training”, “Facility and Staff Auditing”
• Association of Bay Area Governments, “Aquatic Risk Management Workshop”
• Southern California Public Pool Operators Assoc., Guest speaker
• Pacific Masters Swimming Workshop “Getting What You Deserve or Deserving What You Get…”
• CPRS District I “TOTAL Guard Training”
• City of Napa In-service Training
• City of Vacaville In-service Training
• City of Los Alamitos In-service Training
• City of Cypress In-service Training
• City of Pasadena In-Service Training
• City of Bell Gardens In-Service Training

2006
• National Aquatic Safety Company, International Safety School Guest Speaker
• Texas Public Pool Council “Layer Aquatic Protection with Active Supervision”
• NRPA National Aquatic Management School, “Inspiration in Action”, “Performance Based Budget Development”, “In-service training”
• CPRS State Conference, “Layer Aquatic Protection with Active Supervision”
• City of American Canyon, In-service Training
• City of Los Alamitos and Cypress In-service Training
• City of Henderson, NV Staff Training and Supervisor Training
• University of California, San Francisco TOTAL Guard Training
• Southern California Public Pool Operators Assoc., Guest speaker
• City of Pasadena, City of Bell Gardens, City of Cerritos In-Service Training
• United States Aquatic Sports, “Building Relationships with your Aquatic Facility”
• World Aquatic Health Conference, “The Role of Training and Supervision in Preventing Drowning”
• World Waterpark Association Symposium, “When Lifeguards become Supervisors”, “Performance Based In-service Training Programs”
• California Aquatic Management School, “Training to Beat the Odds”
• Athletic Business Conference, “Ask the Experts”, “In-service training and Auditing”

2005
• CPRS State Conference, “Layer Aquatic Protection with Active Supervision”
• Utah Rec & Park Association State Conference, “Performance Based Lifeguard Development”
• NRPA National Aquatic Conference and National Aquatic Management School
• Texas Public Pool Council, Guest Speaker
• National Aquatic Safety Company, National Safety School Guest Speaker
• City of Roseville Supervisor Training, “Supervision and Leadership Development”
• CPRS District 1 Aquatics Roundtables, “In-Service Training”
• Nebraska Recreation and Park Association, State Aquatics Workshop Speaker
• South Dakota Aquatics Institute Speaker
• Wisconsin Park and Recreation Association State Conference, “Auditing, Supervision and Leadership”
• Athletic Business Conference, “Layer Aquatic Protection with Active Supervision”

2004
• Utah Recreation and Park Association State Conference, “Training the Best to Lead the Rest”, “Homegrown Aquatic Auditing”
• Nor Cal Aquatic Managers Assoc – “Auditing Aquatic Programs”
• CPRS California Aquatic Management School – Mentoring Program Coordinator
• CPRS District 1 Aquatics Training - “TOTAL Guard Program”
• City of Roseville Aquatic Managers - “TOTAL Guard Program”

2003
• CPRS “SuperCal” “Just tell Me What I Need to Know”, “Emergency Preparedness”
• Bay Area Public Pool Operators Managers - “Total Guard Program”
• Livermore Area Recreation and Park District Staff - “Total Guard Program”
• Marinwood Community Services District Staff - “Total Guard Program”
• Cities of Pasadena/Glenda & Rose Bowl Aquatic Staff - “Total Guard Program”
• CPRS District 1 Aquatics Training - “TOTAL Guard Program”
• CPRS Conference Aquatics Institute – “Professional Development”
• Nevada Parks and Recreation Society – “Back to Basics”, “Alternative Staffing”
• NRPA National Aquatic Conference - “Training the Best to Lead the Rest”, “Home Grown Auditing”

2002
• CPRS California Aquatic Management School – “Training the Best to Lead the Rest”
• CPRS “Supercal” Supervisors Training - “Emergency Preparedness for Safer Places and Programs”
• Bay Area Public Pool Operators – “Lifeguard Basics, Supervisor Essentials”
• Kansas City Aquatics Coalition – Key Note, “Back to Basics”, “Home Grown Auditing", “Challenges of Seasonal Supervision”
• NRPA National Aquatic Management School – “Back to Basics”, “Aquatic Prioritization”
• NRPA Pacific Risk Management School – “Emergency Preparedness for Safer Places and Programs”
• City of Pasadena – Teamwork Oriented Training in Advanced Lifeguarding
• City of Benicia - Teamwork Oriented Training in Advanced Lifeguarding
• Marinwood Recreation District - Teamwork Oriented Training in Advanced Lifeguarding

2001
• NRPA National Aquatic Management School – “Challenges of Seasonal Supervision”, “New Technology in Aquatics”
• South Dakota Park and Recreation Association Aquatic Institute - Four 1 ½ hour sessions – “Back to basics”, “Challenges of Seasonal Supervision”, “Ten Successful Aquatic Safety Habits”, Roundtable discussion
• Oregon Masters Swimming – Keynote speech on working with your local government and elected officials for improved aquatic programs and access.
• NRPA Pacific Risk Management School – “High Risk Activities”
• CPRS District 1 Fall Institute – “Skate Parks Are in Our Future”
• City of Benicia - Teamwork Oriented Training in Advanced Lifeguarding
• City of Concord - Teamwork Oriented Training in Advanced Lifeguarding
• Greater Vallejo Recreation District - Teamwork Oriented Training in Advanced Lifeguarding

2000
• NRPA National Aquatic Management School – “Blood, Gas and War (OSHA for Aquatics)
• CPRS District 2 Aquatics Workshop - “Challenges of Seasonal Supervision”
• Bay Area Public Pool Operators – “Risk Management and Auditing”
• Texas Public Pool Council – “Ten Successful Aquatic Safety Habits”

1999
• NRPA National Aquatic Conference - “Ten Successful Aquatic Safety Habits”
• CPRS State Conference - “Ten Successful Aquatic Safety Habits”

1998
• CPRS State Conference – “Alternative Staffing”
• NRPA National Aquatic Management School – “Alternative Staffing”
• NRPA National Risk Management School – “Employee and User Safety (OSHA)”
• Texas Public Pool Council – “Lighter Side of Aquatics (Managing Chaos)”

1997
• NRPA National Aquatic Management School – “Alternative Staffing”
• South Dakota Park and Recreation Association Aquatic Institute - Four 1 ½ hour sessions
• Texas Public Pool Council - “Total Aquatic Efficiency Auditing”

1996
• CPRS District 6 Aquatics - Pre-summer Training Institute

1995
• NRPA Congress on Parks and Recreation – “Total Aquatic Efficiency Auditing”
• CPRS State Conference – “New Technology in Drowning”
1994
• NRPA National Risk Management School – “Safe Facilities and Programs”

1993
• NRPA National Risk Management School – “Safe Facilities and Programs”
• Hawaiian Recreation and Park Association – “Bloodborne Pathogens”, “In-service Training and In-house Auditing”

1992
• NRPA Congress on Parks and Recreation – “Recruiting, Selecting, Training and Retaining”
• CAHPERD – “Managing Risk Through In-house Facility and Staff Auditing”
• NRPA National Aquatic Conference – “Junior Lifeguard Training, It Pays”

1991
• Florida Recreation and Park Association - “Junior Lifeguard Training, It Pays”

Aquatic Safety Consulting (1995 - 2017)*

Aquatic Staff Training
City of Milpitas, CA
City of Oakland, CA
City of Benicia, CA
City of Union City, CA
City of Concord, CA
City of Pasadena, CA
City of Glendale, CA
Rose Bowl Aquatics, CA
Livermore ARP, CA
Marinwood CSD, CA
City of Roseville, CA
City of Cerritos, CA
City of Napa, CA
UCSF, CA
City of Los Alamitos, CA
City of Cypress, CA
City of American Canyon
City of Vacaville, CA
City of Bell Gardens, CA
City of Norwalk, CA
City of Rowlett, TX
City of San Rafael, CA
City of Redwood City, CA
City of San Mateo, CA
City of American Canyon
City of Dublin
City of American Canyon
Highlands Recreation District
City of Carlsbad
City of Roseville
Menlo Swim and Sport
City of Campbell
City of Pacifica
Livermore Area Rec & Park Dist.

Aquatic Auditing
City of Brighton, CO
City of Carrolton, TX
City of Chula Vista, CA
City of Vacaville, CA
City of Morgan Hill
City of Newark
City of San Ramon
City of Gilroy
City of Milpitas
City of San Bruno
City of Cupertino
City of South San Francisco
City of Burlingame
City of San Mateo
City of Bakersfield
City of Piedmont
City of Benicia
City of Dublin
City of American Canyon
Highlands Recreation District
City of Carlsbad
City of Roseville
Menlo Swim and Sport
City of Campbell
City of Pacifica
Livermore Area Rec & Park Dist.

Expert Investigation
Water World USA, CA
Leavenworth, WA
Fremont, CA
Daly City, CA
Lodi, CA
USA Swimming
Calgary, CAN
Tracy, CA
UCSF, CA
Patterson, CA
Stockton, CA
Merced, CA
Farmington, UT

Operational Consulting
City of Brighton, CO
City of Denton, TX
City of Benicia
City of Manhattan Beach
City of El Monte
City of Vacaville
City of Gilroy
City of Newark
City of Palo Alto
City of San Ramon
Assoc. of Bay Area Govts.
Highland Hills Rec. Dist.
Aquatic Staff Training Cont.
City of Commerce, CA
Strathcona Regional District, BC CAN
City of Bakersfield, CA
In Shape Health Clubs, Stockton, CA
Salt Lake County, UT
City of Patterson, CA
City of West Hollywood, CA
El Dorado Hills Community Services District, El Dorado Hills, CA
City of Oakdale, CA
City of Irvine
City of Mission Viejo
Los Angeles County
Livermore Area Recreation and Park District
Pleasant Valley Recreation District
City of La Mirada
Santa Cruz County
City of Seaside
City of Pleasanton

Published
2014 Parks and Recreation Business Magazine – “Take Time to Train”
2001 Aquatics International Magazine – “In-house Facility and Staff Auditing”
2000 Aquatics International Magazine – “Evaluation is Vital to Success”
1993 NRPA Parks and Recreation Magazine – Guest Editor
1992 CPRS Leisure Lines Magazine – “What You Need to Know About Bloodborne Pathogens”
1991 SWIM Magazine – “Swimming and the Community”
1991 California Park and Recreation Magazine – “Saving water at Your Aquatic Facilities”

Awards
2017 California Park and Recreation Society – “Aquatic Professional Achievement Award”
2009 Southern California Public Pool Operators “Citation Award”
2008 International Swimming Hall of Fame “Paragon Award for Aquatic Safety”
2008 National Recreation and Park Association, “Distinguished Aquatic Service Award”
2008 California Park and Recreation Society, “Presidential Award”
2007 Aquatics International Magazine’s “Power 25 of Aquatics”
2007 Bay Area Public Pool Operators “Professional Merit Award”
2005 United States Masters Swimming, “Distinguished Service Award”
1999 Pacific Masters Swimming, “Contributor of the Year”
1995 California Park and Recreation Society, “Presidential Award”
1994 National Recreation and Park Association, “Young Professional Award”
1992 California Park and Recreation Society, “Supervisors Citation”
1993 Southern Cal Public Pool Operators “Citation Award”
### CERTIFICATE OF LIABILITY INSURANCE

**THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFER NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.**

**IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. IF SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).**

**PRODUCER**
Santa Barbara, CA - PRSU - HUB International Insurance Services Inc.
40 East Alamar Avenue
Santa Barbara, CA 93105

**CONTACT NAME:** Ray Ricardo
**PHONE:** (805) 879-9525
**FAX:** (805) 617-1767
**E-MAIL ADDRESS:** ray.ricardojr@hubinternational.com

**INSURER(S) AFFORDING COVERAGE**
- **INSURER A:** Evanston Insurance Company
  - **NAIC #:** 35378
- **INSURER B:** Ohio Security Insurance Company
  - **NAIC #:** 24082
- **INSURER C:** Underwriters at Lloyd’s London
  - **NAIC #:** 15792

**INSURED**
James C. Wheeler
DBA: Total Aquatic Management
2250 A Buena Vista Ave
Alameda, CA 94501

**COVERAGES**

#### COMMERICAL GENERAL LIABILITY

**POLICY NUMBER:** 3EN4026
**CERTIFICATE NUMBER:** TOTAAQU-01
**CANCELLATION:**
**DATE:** 09/18/2018
**DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES**

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Description</th>
<th>Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commercial General Liability</td>
<td>Each Occurrence: Damage to Rented Premises (EA occurrence)</td>
<td>$1,000,000</td>
</tr>
<tr>
<td></td>
<td>Personal &amp; Adv Injury</td>
<td>$5,000</td>
</tr>
<tr>
<td></td>
<td>General Aggregate</td>
<td>$1,000,000</td>
</tr>
<tr>
<td></td>
<td>Products - Comp/Op Agg</td>
<td>$2,000,000</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>$1,000,000</td>
</tr>
</tbody>
</table>

#### AUTOMOBILE LIABILITY

**POLICY NUMBER:** BAS56269387
**CERTIFICATE NUMBER:** TOTAAQU-01
**CANCELLATION:**
**DATE:** 04/10/2018
**DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES**

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Description</th>
<th>Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automobile Liability</td>
<td>Combined Single Limit (EA accident)</td>
<td>$1,000,000</td>
</tr>
<tr>
<td></td>
<td>Bodily Injury (Per person)</td>
<td>$50,000</td>
</tr>
<tr>
<td></td>
<td>Property Damage (Per accident)</td>
<td>$50,000</td>
</tr>
</tbody>
</table>

#### UMRELLA LIAB

**POLICY NUMBER:** ATR1800661
**CERTIFICATE NUMBER:** TOTAAQU-01
**CANCELLATION:**
**DATE:** 04/10/2018
**DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES**

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Description</th>
<th>Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Umbrella Liability</td>
<td>Each Occurrence</td>
<td>$1,000,000</td>
</tr>
</tbody>
</table>

**EVIDENCE OF INSURANCE**

- **Producer:** HUB International Insurance Services Inc.
- **Address:** 40 East Alamar Avenue, Santa Barbara, CA 93105
- **Phone:** (805) 617-1767
- **Fax:** (805) 879-9525
- **Email:** ray.ricardojr@hubinternational.com

**AUTHORIZE REPRESENTATIVE**

Signature: [Signature]

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RISK CONTROL MATTERS

SUBJECT: Discussion Regarding Updates to PLAN JPA Risk Assessment Questions

BACKGROUND AND HISTORY:

At the last Risk Management Committee meeting, as part of the Core Services Contract, Bickmore Risk Control received approval to update and refine Risk Consol to improve the collection, warehousing and reporting of Risk Assessments. Bickmore Risk Control has reviewed and provided suggested updates to the assessment questions. Once approved, the data will be uploaded into Risk Consol.

RECOMMENDATION:

Staff recommends the Risk Management Committee review attached Risk Assessment questions and provide feedback, suggestions and approval.

REFERENCE MATERIALS ATTACHED:

A. Updated PLAN JPA Risk Assessment Questions
<table>
<thead>
<tr>
<th>Number</th>
<th>Page Name</th>
<th>Preferred Answer</th>
<th>Priority</th>
<th>Question Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>Risk Management Policy</td>
<td>In Place/Effective/</td>
<td>Medium Low</td>
<td>The City Council has adopted a resolution supporting a formal written Risk Management Program and Policy.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>Risk Management Policy</td>
<td>In Place/Effective/</td>
<td>Medium Low</td>
<td>The City Manager has endorsed the Risk Management Program and Policy and communicated it to all employees and provides appropriate resources.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>IIPP is available for review and shows proof of periodic review/revision.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>IIPP identifies the person (or title of position) of authority who is responsible for its administration.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>Accountability standards and methods of enforcement of safety requirements are included.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>System for communicating hazards to employees and receiving employee feedback on safety concerns is in place.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.5</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>Procedure for identifying workplace hazards is in place, including regular inspections and observations of work practices.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.6</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>An formal accident investigation procedure is in place, with mandatory review by senior management to ensure corrective action is based on management action to prevent a re-occurrence rather than placing blame on employee.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.6a</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>Senior management is reviewing all accident investigations to ensure corrective action is based on management action to prevent a re-occurrence rather than placing blame on the employee.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.7</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>A system is in place to confirm that follow-up of identified unsafe conditions or physical hazards have been corrected or mitigated. in place (records of mitigation maintained for one year).</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.8</td>
<td>Injury &amp; Illness Prevention Program (IIPP)</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>Required and/or appropriate training is documented and maintained for one year.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/</td>
<td>Medium High</td>
<td>The member has identified a Risk Management Coordinator must be appointed who is responsible for the implementation of risk management programs and policies.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1a</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>The member has created a Risk Management Committee (RMC) Note: an Executive Team or Safety Committee may also function as a RMC if Risk Management is discussed.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/</td>
<td>Medium Low</td>
<td>The Chair of the RMC must attends and reports on risk management plans and activities at monthly but no less than quarterly senior/executive management meetings.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/</td>
<td>Medium</td>
<td>The RMC must holds quarterly regular meetings. Minimum acceptable frequency is quarterly.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/</td>
<td>Medium Low</td>
<td>RMC meetings include written minutes and an attendance list. must be kept of the portion of each meeting dealing with RM (if RMC is also the Exec Team) along with an attendance list.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exposure Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Section</td>
<td>Title</td>
<td>Status</td>
<td>Risk Level</td>
<td>Details</td>
</tr>
<tr>
<td>---------</td>
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</tr>
<tr>
<td>3.5</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>The RMC (or subcommittee) should 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.</td>
</tr>
<tr>
<td>3.6</td>
<td>Risk Management Organization</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>The RMC serves 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.</td>
</tr>
<tr>
<td>4.1</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium High</td>
<td>The Member reviews liability Trending of accident claims/reports and creates by type is maintained and used to define action plans to address exposures, actual and potential claim types.</td>
</tr>
<tr>
<td>4.2</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>Each risk management goal has a corresponding action plan, the components of which may be measured.</td>
</tr>
<tr>
<td>4.3</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>Performance measures for all employee levels are established to ensure risk management and safety goals and objectives are addressed.</td>
</tr>
<tr>
<td>4.4</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>Action plans/strategy to address risk exposures are shared with Annual goals and objectives are distributed to all employees or posted on intranet.</td>
</tr>
<tr>
<td>4.5</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium Low</td>
<td>Member has considered and either Evaluation has been made whether costs can be allocating general liability costs ed-to each department for general liability or rejected idea.</td>
</tr>
<tr>
<td>4.6</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium Low</td>
<td>Evaluation has been made whether costs can be allocated to each department for compensation.</td>
</tr>
<tr>
<td>4.7</td>
<td>Risk Management Goals and Action Plans</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>The Member City has assigned a claims liaison who is assigned to work with ABAG claim adjusters to address and investigate claims.</td>
</tr>
<tr>
<td>5.1</td>
<td>Claim Reporting and Follow-Up</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>The Member City has identified and trained designated personnel to provide claimants with information and address their needs without inappropriately increasing the liability of the City.</td>
</tr>
<tr>
<td>5.2</td>
<td>Claim Reporting and Follow-Up</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>All claims filed against the Member City that may be covered by ABAG PLAN JPA are reported promptly (within 48 hours).</td>
</tr>
<tr>
<td>5.3</td>
<td>Claim Reporting and Follow-Up</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium High</td>
<td>Member City staff are trained to recognize and reports incidents that may result in claims against the City.</td>
</tr>
<tr>
<td>5.4</td>
<td>Claim Reporting and Follow-Up</td>
<td>In Place/Effective/ Exposure Transferred</td>
<td>Medium</td>
<td>All claims covered by ABAG PLAN JPA but paid by the City are reported to ABAG PLAN JPA 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 are paid directly without first reporting to ABAG PLAN.</td>
</tr>
<tr>
<td>Section</td>
<td>Topic</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Risk Rating</td>
<td>Details</td>
</tr>
<tr>
<td>---------</td>
<td>-------------------------------------------</td>
<td>----------------------------------------</td>
<td>-------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>5.5a</td>
<td>Claim Reporting and Follow-Up</td>
<td>High</td>
<td></td>
<td>Only claims for property damage no greater than 10% of the City's deductible are paid directly without first reporting to ABAG PLAN.</td>
</tr>
<tr>
<td>6.1</td>
<td>Vehicle Use and Operations</td>
<td>Medium</td>
<td></td>
<td>Member utilizes 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.</td>
</tr>
<tr>
<td>6.2</td>
<td>Vehicle Use and Operations</td>
<td>Medium High</td>
<td></td>
<td>Members have and enforce a policy addressing employees who have DMV violation points that follow There is evidence that employees with negative Motor Vehicle Records (MVRs) activity as defined by ABAG-PLAN JPA standards. are provided personnel counseling, training, rehabilitation, and/or are removed from driving responsibilities depending on the nature and seriousness of the activity on their MVRs or observed driving behavior.</td>
</tr>
<tr>
<td>6.3</td>
<td>Vehicle Use and Operations</td>
<td>Medium High</td>
<td></td>
<td>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: Releases required for drivers whose license does not require participation in the EPN program.</td>
</tr>
<tr>
<td>6.4</td>
<td>Vehicle Use and Operations</td>
<td>Medium</td>
<td></td>
<td>Maintenance records are maintained to meet relevant standards and warranties. Vehicles and records are maintained to meet standards and warranties relevant to the vehicles or equipment and to help defend negligence claims.</td>
</tr>
<tr>
<td>6.5</td>
<td>Vehicle Use and Operations</td>
<td>Medium</td>
<td></td>
<td>The City has adopted a vehicle use policy detailing when and how Member-City and personal vehicles may be used for Member-City business.</td>
</tr>
<tr>
<td>6.6</td>
<td>Vehicle Use and Operations</td>
<td>Medium</td>
<td></td>
<td>The program includes defensive driver techniques and safe practices on the use of hands free electronic devices and distracted driving. 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.</td>
</tr>
<tr>
<td>7.1</td>
<td>Sidewalk Inspection and Maintenance</td>
<td>Medium</td>
<td></td>
<td>Member utilizes a written Sidewalk Management Plan There is an effective, written, City specific procedure in place to minimize sidewalk defects, such as raised offsets, tilted or steep cross slopes, sunken sections, spalling, improper repairs to surround structures such as drains, and offsets between public and private sidewalks.</td>
</tr>
<tr>
<td>7.2</td>
<td>Sidewalk Inspection and Maintenance</td>
<td>Medium</td>
<td></td>
<td>The Member City has considered adopting an ordinance which transfers the liability for injuries on sidewalks to the property owner.</td>
</tr>
<tr>
<td>7.3</td>
<td>Sidewalk Inspection and Maintenance</td>
<td>Medium</td>
<td></td>
<td>The Member City has a written process in place to notify property owners to repair sidewalks where allowed by Code.</td>
</tr>
<tr>
<td>7.4</td>
<td>Sidewalk Inspection and Maintenance</td>
<td>Medium</td>
<td></td>
<td>The Member City has a follow-up procedure to ensure defects have been addressed by marking, barricading, etc. within reasonable periods.</td>
</tr>
<tr>
<td>Section</td>
<td>Title</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Exposure Priority</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------</td>
<td>----------------------------------------</td>
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</tr>
<tr>
<td>7.5</td>
<td>Sidewalk Inspection and Maintenance</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>Digital images are secured. 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.</td>
</tr>
<tr>
<td>8.1</td>
<td>Urban Forest Management (Trees and Vegetation)</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>There is a written process to select, situate, and maintain trees to minimize hazards, hardscap damage, and maintenance costs.</td>
</tr>
<tr>
<td>8.2</td>
<td>Urban Forest Management (Trees and Vegetation)</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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. Alternatively, the management plan was created by an expert and managed by the Member.</td>
</tr>
<tr>
<td>8.3</td>
<td>Urban Forest Management (Trees and Vegetation)</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>Written procedures are in place for periodic inspection, care, maintenance, and complaint/emergency response. 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.</td>
</tr>
<tr>
<td>8.4</td>
<td>Urban Forest Management (Trees and Vegetation)</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>The Member City has adopted an ordinance defining ownership and maintenance responsibilities for trees.</td>
</tr>
<tr>
<td>9.1</td>
<td>Sewer Loss Prevention and Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>An ordinance is in place that meets or exceeds current plumbing code requirements for backflow devices. Staff reports 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.</td>
</tr>
<tr>
<td>9.1a</td>
<td>Sewer Loss Prevention and Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Staff reports 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.</td>
</tr>
<tr>
<td>9.2</td>
<td>Sewer Loss Prevention and Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Key personnel have been trained to interact with property owners when responding to reports of sewer backups. Training topics, outlines, and document templates are available for review.</td>
</tr>
<tr>
<td>9.3</td>
<td>Sewer Loss Prevention and Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>Sewer inspection and maintenance protocols reflect identification and attention to &quot;high frequency or impact&quot; areas of the system.</td>
</tr>
<tr>
<td>10.1</td>
<td>Police Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Member City written General Orders or guidelines reflect dates indicating reviews and updates. Key policies should be reviewed annually.</td>
</tr>
<tr>
<td>10.2</td>
<td>Police Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Each City subscribes to a legal liability service for updated policy and procedure notification and advice.</td>
</tr>
<tr>
<td>10.3</td>
<td>Police Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Members City departments have adopted a 'reasonable force' approach to policing. Training records reflect this philosophy.</td>
</tr>
<tr>
<td>10.4</td>
<td>Police Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
<tr>
<td>Section</td>
<td>Category</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>High</td>
</tr>
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</tr>
<tr>
<td>10.5</td>
<td>Police Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Members City departments comply with and document all POST-mandated training requirements, including perishable skills, and training to General Orders is documented.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.6</td>
<td>Police Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Digital audio-visual technology is used to document any contact or incident.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.1</td>
<td>Fire Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Dispatch receives has either been transferred to another agency or detailed training on data and communication management, and technology are used to prevent dispatch error.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.2</td>
<td>Fire Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>The department has a written policy clearly defining if and how emergency response (Code 3) driving is permitted and executed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.3</td>
<td>Fire Risk Management</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.1</td>
<td>Contractor Selection and Control</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Members City has contractor selection criteria that include reference and site checks, interviews, insurance loss history, Cal/OSHA citation history, and license verification for general contractors and all subcontractors.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.2</td>
<td>Contractor Selection and Control</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member verify's their City contractors have safety programs (IIPPs) in place.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.3</td>
<td>Contractor Selection and Control</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member verifies that City contractors have site protection, traffic control, inspection, and debris removal plans in place.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.4</td>
<td>Contractor Selection and Control</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member implements The City has documented planning, oversight, and quality control meetings with contractor.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.1</td>
<td>Road Maintenance</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member The City Council and/or City Engineer signs off on all road site protection plans to preserve governmental immunity.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.2</td>
<td>Road Maintenance</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member The City has on staff or access to a Caltrans-trained work zone safety specialist to oversee and approve all work zones.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.3</td>
<td>Road Maintenance</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member To enhance the City’s ability to defend claims, protection of work sites should be documented in photographs work sites to document illustrate protection provided to ensure drivers, pedestrians, cyclists do not come in contact with hazardous conditions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.4</td>
<td>Road Maintenance</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member includes language in contract transferring contractors to be Contract language is signed by contractors accepting responsibility for the clean-up and debris removal from work sites to the vendor, reduce potential for damage to vehicles or cyclists.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.5</td>
<td>Road Maintenance</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>The Member City has adopted a minimum Pavement Condition Index to serve as the standard to which road surfacing is to be maintained. Example: PCI=70</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.1</td>
<td>Contractual Risk Transfer</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td></td>
<td>A contract review process is in place to provide for consistent contract administration and oversight.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.2</td>
<td>Contractual Risk Transfer</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>All contracts are reviewed and approved by legal counsel to ensure that the City is adequately protected and risk is transferred or shared as intended.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.3</td>
<td>Contractual Risk Transfer</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Contracts are reviewed for safety plans, staffing, oversight, and accountability.</td>
</tr>
<tr>
<td>15.1</td>
<td>ADA Compliance and Transition Plans</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>The Member City has an ADA transition plan in place.</td>
</tr>
<tr>
<td>15.2</td>
<td>ADA Compliance and Transition Plans</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Documentation verifies action taken on transition plan items or complaints of barriers to access.</td>
</tr>
<tr>
<td>15.3</td>
<td>ADA Compliance and Transition Plans</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Five-year budget and development plans reflect budgeting for ADA compliance projects.</td>
</tr>
<tr>
<td>15.4</td>
<td>ADA Compliance and Transition Plans</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Alternative procedures are in place to provide access for disabled persons to buildings and facilities until full structural access is achieved.</td>
</tr>
<tr>
<td>16.1</td>
<td>Playground Safety</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>A current playground equipment inventory exists for each playground.</td>
</tr>
<tr>
<td>16.2</td>
<td>Playground Safety</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>A detailed playground inspection 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. New or renovated playgrounds have formal State-mandated audits completed by a CPSI.</td>
</tr>
<tr>
<td>16.2a</td>
<td>Playground Safety</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>High</td>
<td>New or renovated playgrounds are assessed by a Certified Playground Safety Inspector.</td>
</tr>
<tr>
<td>16.3</td>
<td>Playground Safety</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Member documents documented periodic, 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.</td>
</tr>
<tr>
<td>16.4</td>
<td>Playground Safety</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Depending on frequency and intensity of use, weekly and/or daily inspection checklists are available for audit.</td>
</tr>
<tr>
<td>16.5</td>
<td>Playground Safety</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>For playgrounds that do not comply with accessibility requirements under the ADA are included in the Member's transition plan, an action plan with time tables to bring the site into compliance is available for review.</td>
</tr>
<tr>
<td>17.1</td>
<td>Facilities Maintenance and Hazard Identification</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Checklists or other tools are used to document facility inspections are available for review.</td>
</tr>
<tr>
<td>17.2</td>
<td>Facilities Maintenance and Hazard Identification</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Action items are prioritized and are assigned for correction with due dates for completion. Completion dates are recorded.</td>
</tr>
<tr>
<td>17.3</td>
<td>Facilities Maintenance and Hazard Identification</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>All new or newly acquired facilities have a documented risk assessment review for structural and operational risk.</td>
</tr>
<tr>
<td>17.4</td>
<td>Facilities Maintenance and Hazard Identification</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Buildings that have not been determined to be adequately protected against natural disasters or fire are not used for public gatherings and classes or leased to others.</td>
</tr>
<tr>
<td></td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
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</tr>
<tr>
<td>18.2</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>At least one facility staffer is certified as a Lifeguard Manager, or has attended educational sessions on Lifeguard Management and has experience in supervision.</td>
</tr>
<tr>
<td>18.3</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Facility has all recommended rescue equipment, communication devices, posted warnings, information, and instruction signage present and in operable condition.</td>
</tr>
<tr>
<td>18.4</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Equipment such as diving boards, slides, inflatables, and other play equipment are correctly installed for water depth, weight, and use requirements as recommended by recognized industry standards. Documented inspections of this equipment are performed daily. Permits and inspections must be obtained as required by Law (e.g. water slides).</td>
</tr>
<tr>
<td>18.5</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
<tr>
<td>18.6</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
<tr>
<td>18.7</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>“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.</td>
</tr>
<tr>
<td>18.8</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>A lifeguard on duty supervises all programs and rentals.</td>
</tr>
<tr>
<td>18.9</td>
<td>Aquatics Programs</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Daily pool maintenance and water quality logs are on site and kept up to date.</td>
</tr>
<tr>
<td>19.1</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>The member has 1) a written process and 2) an application form for applicants who wish to use member facilities and/or host events on public property. (ex: classes, meetings, banquets, outdoor markets, block parties and parades) 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.</td>
</tr>
<tr>
<td>19.1a</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>High</td>
<td>The Member requires a written contract and/or permit that includes language that the applicant agree to defend, indemnify and hold harmless the member, its officials, agents and employees from any and all claims arising from the special event.</td>
</tr>
<tr>
<td>Section</td>
<td>Topic</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Risk Level</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
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</tr>
<tr>
<td>19.2</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>When appropriate, the Member requires the applicant to provide proof of insurance including an additional insured endorsement in favor of the Member, its officials, agents and employees for any covered claims arising from the event. 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 applicant, sponsor and/or required by all participating organizations.</td>
</tr>
<tr>
<td>19.3</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Any organization serving alcohol must be properly licensed, have properly trained servers, and control quantities. Provide security is provided for any event with alcohol.</td>
</tr>
<tr>
<td>19.4</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
<tr>
<td>19.5</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
<tr>
<td>19.6</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>High</td>
<td>Special events requiring road closures includes a traffic management plan that is approved by a qualified engineer.</td>
</tr>
<tr>
<td>19.7</td>
<td>Special Events and Facility Rentals</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>High</td>
<td>The participants and/or volunteers of special events that involve risk of injury (ex: sporting activities) are required to sign waivers prior to participation.</td>
</tr>
<tr>
<td>20.1</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Member has 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.</td>
</tr>
<tr>
<td>20.1a</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>High</td>
<td>Members obtain background/reference checks on applicants prior to hire.</td>
</tr>
<tr>
<td>20.2</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>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.</td>
</tr>
<tr>
<td>20.3</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>Members Agencies shall have a current anti-harassment, and discrimination and retaliation 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.</td>
</tr>
<tr>
<td>20.3a</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium High</td>
<td>Members provide workplace safety training as required by state and federal laws and regulations (i.e. OSHA and CalOSHA).</td>
</tr>
<tr>
<td>20.4</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Agencies shall <strong>Members have</strong> an internal grievance procedure in order to resolve employment related disputes at the lowest level possible.</td>
</tr>
<tr>
<td>20.5</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Agencies shall <strong>Members</strong> have a comprehensive discipline policy and procedure that is timely, reasonable, consistent, well-supported, and provides for procedural due process.</td>
</tr>
<tr>
<td>20.6</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Agencies shall <strong>Members</strong> periodically evaluate for compliance with FLSA to ensure that jobs are correctly classified as exempt or nonexempt and to ensure that payroll processing is accurate relative to the regular rate of pay and overtime compliance.</td>
</tr>
<tr>
<td>20.7</td>
<td>Employment Best Practices</td>
<td>In Place/Effective/Exposure Transferred</td>
<td>Medium</td>
<td>Agencies shall <strong>Members</strong> have 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, time off to vote, and any other requirements.</td>
</tr>
</tbody>
</table>
RISK CONTROL MATTERS

SUBJECT: Discussion of Risk Control Services Request for Proposal (RFP)

BACKGROUND AND HISTORY:

The Executive Committee approved a one-year contract with Bickmore for Risk Control Services at their June 6, 2018 meeting. The Risk Control Plan provides core risk control services for all members in addition to the streamlined Grant Fund Program. A Member Satisfaction Survey, included for the RMC’s feedback under Agenda Item 7.A, will be distributed to members to evaluate Bickmore's development and delivery of the Risk Control Plan, and the results will be presented at the December Board of Directors meeting. Several Committee members requested that PLAN JPA issue a request for proposal (RFP) for risk control services for the upcoming 2019/20 program year.

Attached is a sample RFP process timeline for the Risk Control Committee’s consideration. Staff has developed the timeline to coordinate with PLAN’s overall Board and Committee meeting schedule.

Also attached is a sample RFP document for the Risk Control Committee’s consideration.

RECOMMENDATION:

Staff recommends that the Risk Management Committee approve the RFP Timeline and RFP Document for review and final approval at the October Executive Committee meeting.

REFERENCE MATERIALS ATTACHED:

A. Sample Timeline for PLAN JPA Member Risk Control Services Request for Proposal (RFP) Process
B. Sample Request for Proposal (RFP) – PLAN JPA Member Risk Management & Loss Control Services
# Sample Timeline for PLAN JPA Member Risk Control Services Request for Proposal (RFP) Process

<table>
<thead>
<tr>
<th>Action</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review and approve RFP timeline, as proposed</td>
<td>10/10/2018 (at Risk Management Committee meeting)</td>
</tr>
<tr>
<td>Review and approve draft RFP document</td>
<td>Updates prior to 10/24/2018 Executive Committee meeting (date subject to change)</td>
</tr>
<tr>
<td>Approval of RFP timeline and form</td>
<td>10/24/2018 (at Executive Committee meeting)</td>
</tr>
<tr>
<td>Open distribution of RFP</td>
<td>01/07/2019</td>
</tr>
<tr>
<td>RFP Response Deadline</td>
<td>02/08/2019 (Allowing 32 days to respond)</td>
</tr>
<tr>
<td>Risk Management Committee receives compiled Proposer responses for review</td>
<td>02/18/2019</td>
</tr>
<tr>
<td>Risk Management Committee reviews RFP responses and develops interview list</td>
<td>Weeks of 02/18/2019 and 02/25/2019</td>
</tr>
<tr>
<td>Review and approve Risk Management Committee interview recommendations</td>
<td>03/06/2019 (at Special Executive Committee meeting)</td>
</tr>
<tr>
<td>Notification to Proposers of advancement to second stage – date(s) set for Proposer interviews</td>
<td>03/07/2019</td>
</tr>
<tr>
<td>Proposer interviews with Risk Management Committee</td>
<td>Weeks of 03/18/19 and 03/25/19</td>
</tr>
<tr>
<td>Review and approve RFP results and develop Proposer selection recommendation</td>
<td>04/03/2019 (at Risk Management Committee meeting)</td>
</tr>
<tr>
<td>Final approval of Proposer</td>
<td>04/18/2019 (at Executive Committee meeting)</td>
</tr>
<tr>
<td>Notification to Proposers of selection results for contracted services starting 07/01/2019</td>
<td>04/19/2019 (allowing at least 60 days before start of new program year)</td>
</tr>
</tbody>
</table>
Sample Request for Proposal
Public Entity Risk Management
& Loss Control Services
BACKGROUND

Pooled Liability Assurance Network, a Joint Powers Authority (PLAN) was established to provide and administer property and liability insurance and self-insurance services for member cities. PLAN membership includes 28 municipalities located in the bay area of Northern California. PLAN uses self-insurance, traditional insurance carriers and pooled self-insurance to provide financial coverage for the membership.

INVITATION

Your firm has been selected by PLAN to receive this Request for Proposal (RFP) for Risk Management and Loss Control Services and is invited to submit a proposal based on the schedule listed on the next page. PLAN invites responses to this Request for Proposal (RFP) until ___time/date____.

POTENTIAL CONTRACT TERM

The initial term of the proposed contract shall be three years commencing July 1, 2019

QUESTIONS

Bidders will be able to submit written questions to the PLAN Board of Directors by sending an e-mail to ___name/e-mail___ by the end of business on ___date/time____. Responses to all questions will be released on ___date___.

CONFLICTS OF INTEREST – PROPOSER INDEPENDENCE

Because of potential conflicts of interest, responders to this RFP are expected to be “independent” in regard to relevant entities OR disclose the relationship as outlined below.

In order to be “independent” the responder (including affiliates, subsidiaries or parent company) should not:

1. Be compensated by relevant entities as employees or independent contractors;
2. Have their compensation determined by individuals who are compensated by relevant entities;
3. Receive, directly or indirectly, material financial benefits from relevant entities; or
4. Be related to or reside with anyone described above.

If a responder is not “independent”, it must:

1. Disclose the relationship in the proposal.
2. Include a plan for segregating duties, staff and data in order to mitigate any potential future conflict.
3. Immediately recuse him/herself/relevant staff from any and all relevant discussions.
EXPECTED TIMELINE

PLAN reserves the right to cancel/modify the following dates at any time.

<table>
<thead>
<tr>
<th>Date</th>
<th>Item</th>
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<tbody>
<tr>
<td></td>
<td>RFP Released</td>
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<td>Final Date Questions may be posted to <em><strong>name/email</strong></em></td>
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<tr>
<td></td>
<td>Response to Questions released</td>
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<td>Proposal Due Date</td>
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<td>Risk Mgt. Committee reviews RFP responses and develops interview list</td>
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<td>Executive Committee reviews and approves RMC interview recommendations</td>
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<td>Invitation to bidders to interview</td>
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<td>Oral Presentations with the RMC</td>
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<td>RMC develops bidder selection recommendation</td>
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<td>Executive Committee selects bidder</td>
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<td>Notification to bidders of selection results</td>
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PROPOSAL SUBMISSION INSTRUCTIONS

Proposals are to be submitted both electronically to ___name/e-mail___.

SCOPE

The successful bidder will anticipate working within the current risk management structure developed by PLAN JPA and be managed by the PLAN Risk Management Committee and program administrator.

Bidder will be expected to:

1. Provide a comprehensive menu of consulting and technical information services in line with liability driven loss reduction work plans.
2. Provide both liability and worker compensation driven risk identification, analysis and correction implementation strategies.
4. Provide/articulate member’s regulator & environmental compliance while on-side for risk assessment or other assignments.
5. Schedule, coordinate and provide risk management consulting and loss control services to members.
6. Schedule, coordinate, advertise and provide regional risk management and loss control trainings for all members.
7. Prepare Risk Management Committee and Executive Committee agenda’s and staff reports and provide technical support to the committees.
8. Maintain a library of risk management and loss control resources.
9. Provide monthly communications on risk management and loss control topics.
10. Promptly response to phone & email inquiries by members during core business hours.
11. Facilitate and/or participate in member risk management meetings as requested.
12. Provide monthly activity reports to the PLAN administrator.

QUALIFICATIONS

Qualified proposers will:

1. Demonstrate comprehensive and progressive experience in risk management and loss control.
2. A thorough understanding of all relevant industry standards and applicable legal standards.
3. Professional credentials and/or certifications recognized in the industry.
4. Sufficient capacity to guarantee seamless service regardless of internal turnover or client acquisition.

SERVICE FEES

All anticipated costs to provide services are to be included in the proposal, including printing/photocopying/mailing, travel and expenses for the provision of services to PLAN JPA and the members.

EVALUATION CRITERIA

PLAN will evaluate proposals on a fair, comprehensive, qualitative basis. Evaluation may include any or all of the following:

1. Review of the proposal and related materials;
2. Interviews with personnel to be assigned;
3. Discussions with references;
4. Proposers capacity;
5. Responsiveness and timeliness of proposal;
6. Communicating and understanding the overall program and services required;
7. Experience providing services to public entity self-insurance pools of similar size and objective; and
8. Fee structure along with commitment of adequate resources, staff and time.

PROPOSAL

Proposals will include:

1. A detailed description on how the bidder will meet the obligations of this RFT, including:
   • The approach for each relevant area of work with detailed work plan;
   • The time dedicated to the work with guaranteed staffing levels;
   • The approach to PLAN member communication;
   • Systems that will be available to PLAN; and
   • Expected benefits to PLAN of the above and how those benefits will be measured.
Note: Proposals may recommend changes to the Scope of Services described or other suggestions that will reduce costs while maintaining or enhancing the final deliverables.

2. Payment terms and amounts. All proposals will include a fee structure expressed at a minimum as periodic payments and total payment over three years as well as a budget per scope of service category.
3. A describe how and why your firm is different from other firms being considered, why selection of your firm is the best decision.
4. A section describing how the bidder will manage distance without negatively affecting service to PLAN if you are outside the Bay Area.

DISCLAIMERS

PLAN reserves the right to:

1. Reject any and all proposals, waive any informalities or irregularities and to make the selection among the proposals as deemed in the best interest of PLAN.
2. Interview one or more consultants to further assist in the review process and will award the contract at the governing board’s sole discretion.

PERFORMANCE GUARANTEE

PLAN JPA expects the bidder to provide quality services, timely reporting and prompt responding to telephone calls and e-mails. The Bidder will have the skill sets and flexibility necessary to serve our members requests and will provide such a guarantee and make whatever personnel adjustments are needed in order to comply. Failure to make such adjustments may be grounds for termination of the contract at the sole discretion of the PLAN JPA Board, upon notice.

CONTRACTS/OUTSOURCING

Bidders will note that any and all work intended to be subcontracted as part of the big submittal must be accompanied by background materials and references for each proposed subcontractor.

INSURANCE, INDEMNITY AND WORKERS’ COMPENSATION

Bidder agrees to maintain and provide a Certificate of Insurance evidencing general and professional liability insurance of at least $2,000,000 per occurrence and $5,000,000 annual aggregate, auto liability coverage of at least $2,000,000 per occurrence and $5,000,000 annual aggregate, errors and omission coverage of $2,000,000 per occurrence and statutory workers’ compensation coverage for staff.

Bidder will also agree to defend, indemnify and hold the PLAN JPA and its Affiliates harmless from and against any and all loss, liability, damage, including reasonable attorney fees and/or court costs, arising from the execution of a contract for risk management and safety consulting except if caused by the sole negligence or willful misconduct of the PLAN JPA; and will name PLAN JPA and its Affiliates as an additional insured on their lability policies prior to the start of work.
QUESTIONNAIRE

Describe your capabilities after each question. Responses will be scored for expertise, experience, strength of your organization and anticipated fit within the PLAN JPA organization.

1. Describe your risk management philosophy.
2. Discuss your firm’s ability to meet the SCOPE of consulting services.
3. Provide a biography of the account manager or principal consultant who will assigned to this account.
4. Provide a list of public liability related services that do not require additional funding from PLAN JPA other than billable hours.
5. Provide a list of employee safety related services that do not require additional funding from PLAN JPA other than billable hours.
6. Provide an example of how you motivate a member to invest their own time and expense in controlling losses.
7. Describe your practices for addressing a PLAN JPA member who is not following your recommendations.
8. Provide an overview of your internal audit controls to assure that work billed to PLAN JPA is for work performed on a PLAN JPA account.
9. Explain how you will charge for travel time, to include the base location for the staff who will be working on the PLAN JPA contract.
10. Describe the technology and additional services your firm has to offer (I.E webinars, on-line training, additional contracted services; and the pricing for each service).
11. Provide examples of satisfaction surveys, evaluations and reviews.

REFERENCES

Provide a reference list of up to three clients your organization currently provides services to that are similar to that you are quoting. Include the contract’s name and the phone number and email of the Primary contact.

Note: PLAN JPA will not contact your references unless you are selected as a finalist.

INFORMATIONAL DOCUMENTS

The following are either attached with this RFP or will be sent electronically as an attachment.

1. ..
2. ..
3. ..