



Request for Proposal
Public Entity Risk Management
& Loss Control Services

BACKGROUND

Pooled Liability Assurance Network (PLAN), a Joint Powers Authority, 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. Additional information can be found on the PLAN website at planjpa.org.

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 March 1, 2019 *by 5:00 p.m.*

POTENTIAL CONTRACT TERM

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

QUESTIONS

Bidders will be able to submit written questions to the PLAN Board of Directors by sending an e-mail to Katie Sullivan, PLAN Analyst, at Katie.Sullivan@Yorkrisk.com by the end of business on February 13, 2019, by 5:00 p.m. Responses to all questions will be released by February 20, 2019.

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; and
2. Include a plan for segregating duties, staff, and data in order to mitigate any potential future conflict.

EXPECTED TIMELINE

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

| Date | Item |
|-------------------|--|
| January 28, 2019 | RFP Released |
| February 13, 2019 | Final Date Questions may be posted to Katie Sullivan at Katie.Sullivan@Yorkrisk.com |
| February 20, 2019 | Response to Questions released |
| March 1, 2019 | Proposal Due Date |
| April 1-5, 2019 | Invitation to bidders to interview |
| June 12, 2019 | Board of Directors Final Approval of Proposer |
| June 14, 2019 | Notification to bidders of selection results |

PROPOSAL SUBMISSION INSTRUCTIONS

Proposals are to be submitted electronically to *Katie Sullivan* at Katie.Sullivan@Yorkrisk.com.

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 property driven risk identification, and related workers' compensation analysis and correction implementation strategies.
3. Conduct risk management assessment utilizing Ventiv/Risk Console (or named alternative) and develop risk management loss reduction strategies.
4. Provide/articulate member's regulatory & environmental compliance while on-site 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 agendas 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 respond 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 demonstrate:

1. 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 and the members.

EVALUATION CRITERIA

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

1. Responsiveness and timeliness of the proposal and related materials;
2. Interviews with personnel to be assigned;
3. Discussions with references;
4. Proposers capacity;
5. Understanding the overall program and services required;
6. Experience providing services to public entity self-insurance pools of similar size and objective;
and
7. 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 RFP, including:
 - A. The approach for each relevant area of work with detailed work plan;
 - B. The time dedicated to the work with guaranteed staffing levels;
 - C. The approach to PLAN member communication;
 - D. Systems and resources that will be available to PLAN; and
 - E. 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. A response to the following questionnaire:
 - A. Describe your risk management philosophy.
 - B. Discuss your firm's ability to meet the SCOPE of consulting services.
 - C. Provide a biography of the account manager or principal consultant who will assigned to this account.
 - D. Provide a list of public liability related services that do not require additional funding from PLAN other than billable hours.
 - E. Provide a list of employee safety related services that do not requires additional funding from PLAN other than billable hours.
 - F. Provide an example of how you motivate a member to invest their own time and expense in controlling losses.
 - G. Describe your practices for addressing a PLAN member who is not following your recommendations.
 - H. Provide an overview of your internal audit controls to assure that work billed to PLAN is for work performed on a PLAN account.
 - I. Explain how you will charge for travel time, to include the base location for the staff who will be working on the PLAN contract.
 - J. 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).
 - K. Provide examples of satisfaction surveys, evaluations and reviews.
3. 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.
4. Describe how and why your firm is different from other firms being considered, and why selection of your firm is the best decision.
5. 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 Board of Director's sole discretion.

PERFORMANCE GUARANTEE

PLAN expects the bidder to provide quality services, timely reporting, and prompt responses to telephone calls and e-mails. The Bidder will have the skill sets and flexibility necessary to serve 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 Board of Directors, upon notice.

CONTRACTS/OUTSOURCING

Bidders will note that any and all work intended to be subcontracted as part of the 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 auto liability coverage of at least \$2,000,000 per occurrence and \$5,000,000 annual aggregate, professional liability insurance of at least \$4,000,000 per occurrence and \$10,000,000 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 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 PLAN JPA; and will name PLAN JPA and its Affiliates as an additional insured on their liability policies prior to the start of work.

If bidder proposes to provide lesser limits of insurance, please disclose specific limits and coverages to be provided in your proposal.

REFERENCES

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

Note: PLAN 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. Risk Assessment Questionnaire

| <u>Number</u> | <u>Page Name</u> | <u>Preferred Answer</u> | <u>If No, Sub answer</u> | <u>Member Comments</u> | <u>Priority</u> |
|---------------|--|-------------------------|---|------------------------|-----------------|
| 1.1 | Risk Management Policy | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Low |
| 1.2 | Risk Management Policy | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Low |
| 2.1 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.2 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.3 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.4 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.5 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 2.6 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.6a | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.7 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 2.8 | Injury & Illness Prevention Program (IIPP) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 3.1 | Risk Management Organization | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 3.1a | Risk Management Organization | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 3.2 | Risk Management Organization | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Low |

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|-----|--|-----------------------|---|----------|--------|
| 3.3 | Risk Management Organization | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 3.4 | Risk Management Organization | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Low |
| 3.6 | Risk Management Organization | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 4.1 | Risk Management Goals and Action Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 4.2 | Risk Management Goals and Action Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 4.3 | Risk Management Goals and Action Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 4.5 | Risk Management Goals and Action Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Low |

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|------|--|-----------------------|---|----------|--------|
| 4.6 | Risk Management Goals and Action Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Low |
| 5.1 | Claim Reporting and Follow-Up | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 5.2 | Claim Reporting and Follow-Up | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 5.3 | Claim Reporting and Follow-Up | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 5.4 | Claim Reporting and Follow-Up | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 5.5 | Claim Reporting and Follow-Up | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 5.5a | Claim Reporting and Follow-Up | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |

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|-----|-------------------------------------|-----------------------|---|----------|--------|
| 6.1 | Vehicle Use and Operations | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 6.2 | Vehicle Use and Operations | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 6.3 | Vehicle Use and Operations | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 6.4 | Vehicle Use and Operations | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 6.5 | Vehicle Use and Operations | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 6.6 | Vehicle Use and Operations | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 7.1 | Sidewalk Inspection and Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |

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|-----|--|-----------------------|---|----------|--------|
| 7.2 | Sidewalk Inspection and Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 7.3 | Sidewalk Inspection and Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 7.4 | Sidewalk Inspection and Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 7.5 | Sidewalk Inspection and Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 8.1 | Urban Forest Management (Trees and Vegetation) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 8.2 | Urban Forest Management (Trees and Vegetation) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 8.3 | Urban Forest Management (Trees and Vegetation) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |

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|------|--|-----------------------|---|----------|--------|
| 8.4 | Urban Forest Management (Trees and Vegetation) | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 9.1 | Sewer Loss Prevention and Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 9.2 | Sewer Loss Prevention and Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 9.3 | Sewer Loss Prevention and Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 10.1 | Police Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 10.2 | Police Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 10.3 | Police Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 10.4 | Police Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 10.5 | Police Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium-High |
| 10.6 | Police Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 11.1 | Fire Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 11.2 | Fire Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 11.3 | Fire Risk Management | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 12.1 | Contractor Selection and Control | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 12.2 | Contractor Selection and Control | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 12.3 | Contractor Selection and Control | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 12.4 | Contractor Selection and Control | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 13.1 | Road Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 13.2 | Road Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 13.3 | Road Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 13.4 | Road Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 13.5 | Road Maintenance | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 14.1 | Contractual Risk Transfer | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 14.2 | Contractual Risk Transfer | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 14.3 | Contractual Risk Transfer | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 15.1 | ADA Compliance and Transition Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 15.2 | ADA Compliance and Transition Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 15.3 | ADA Compliance and Transition Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 15.4 | ADA Compliance and Transition Plans | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 16.1 | Playground Safety | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 16.2 | Playground Safety | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 16.2a | Playground Safety | In Place/Effective/ Exposure Transferred Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 16.3 | Playground Safety | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 16.5 | Playground Safety | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 17.1 | Facilities Maintenance and Hazard Identification | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 17.2 | Facilities Maintenance and Hazard Identification | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 17.3 | Facilities Maintenance and Hazard Identification | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 17.4 | Facilities Maintenance and Hazard Identification | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.1 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.2 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.3 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.4 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 18.5 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.6 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.7 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.8 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 18.9 | Aquatics Programs | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 19.1 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 19.1a | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |

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| 19.2 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 19.3 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 19.4 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 19.5 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 19.6 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 19.7 | Special Events and Facility Rentals | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 20.1 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 20.1a | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 20.2 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 20.3 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 20.3a | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | High |
| 20.4 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 20.5 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
| 20.6 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |

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| 20.7 | Employment Best Practices | Yes/No/Not Applicable | In Progress/Considered & Declined (see comments)/Taking alternative action (see comments) | Text Box | Medium |
|------|---------------------------|-----------------------|---|----------|--------|

Question Text

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

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

IIPP is available for review and shows proof of periodic review/revision.

IIPP identifies the person (or title of position) of authority who is responsible for its administration.

Accountability standards and methods of enforcement of safety requirements are included.

System for communicating hazards to employees and receiving employee feedback on safety concerns is in place.

Procedure for identifying workplace hazards is in place, including regular inspections and observations of work practices.

An-accident investigation procedure is in place.

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.

A system is in place to confirm identified unsafe conditions or physical hazards have been corrected or mitigated.

Required and/or appropriate training is documented and maintained for one year.

The member has identified a Risk Management Coordinator who is responsible for the implementation of risk management programs and policies.

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.

The Chair of the RMC attends and reports on risk management plans and activities at senior/executive management meetings.

The RMC-holds quarterly meetings.

RMC meetings include written minutes and an attendance list.

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.

The Member reviews liability claims/reports and creates action plans to address exposures.

Each risk management goal has a corresponding action plan, the components of which may be measured.

Member actively participates in PLAN JPA risk management and control programs as demonstrated by: 1. Active participation in loss prevention/risk control assessments; ~~and,~~ 2. Annual review and development of action plan/strategy to address risk exposures as defined by the assessment or the member's RMC.

Action plans/strategy to address risk exposures are shared with employees.

Member has considered allocating general liability costs to each department for general liability or rejected idea.

The Member has assigned a claims liaison who is assigned to work with claim adjusters to address and investigate claims.

The Member has identified and trained designated personnel to provide claimants with information and address their needs without inappropriately increasing the liability of the City.

All claims filed against the Member that may be covered by PLAN JPA are reported promptly (within 48 hours).

Member staff are trained to recognize and reports incidents that may result in claims against the City.

All claims covered by PLAN JPA but paid by the City are reported to 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.

Member utilizes a written program for driver selection and screening of employees and prospective employees for driving related duties.

Members have and enforce a policy addressing employees who have DMV violation points that follow PLAN JPA standards.

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.

Maintenance records are maintained to meet relevant standards and warranties.

The City has adopted a vehicle use policy detailing when and how Member-City and personal vehicles may be used for Member-business.

The program includes defensive driver techniques and safe practices on the use of hands free electronic devices and distracted driving.

Member utilizes a written Sidewalk Management Plan to minimize sidewalk defects.

The Member City has considered adopting an ordinance which transfers the liability for injuries on sidewalks to the property owner.

The Member City has a written process in place to notify property owners to repair sidewalks where allowed by Code.

The Member City has a follow-up procedure to ensure defects have been addressed by marking, barricading, etc. within reasonable periods.

Digital images are secured and maintained to visually record action taken to guard against contact by the public with a hazardous sidewalk site.

There is a written process to select, situate, and maintain trees to minimize hazards, hardscape damage, and maintenance costs.

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.

Written procedures are in place for periodic inspection, care, maintenance, and complaint/emergency response.

The Member has adopted an ordinance defining ownership and maintenance responsibilities for trees.

An ordinance is in place that meets or exceeds current plumbing code requirements for backflow devices.

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.

Sewer inspection and maintenance protocols reflect identification and attention to "high frequency or impact" areas of the system.

Member written General Orders or guidelines reflect dates indicating reviews and updates.

Member subscribes to a legal liability service for updated policy and procedure notification and advice.

Members have adopted a 'reasonable force' approach to policing. Training records reflect this philosophy.

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.

Members comply with and document all POST-mandated training requirements.

Digital audio-visual technology is used to document any contact or incident.

Dispatch receives detailed training on data and communication management, and technology are used to prevent dispatch error.

The department has a written policy clearly defining if and how emergency response (Code 3) driving is permitted and executed.

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.

Member-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.

Member verify's their contractors have safety programs (IIPPs) in place.

Member verifies that ~~City~~ contractors have site protection, traffic control, inspection, and debris removal plans in place.

Member implements planning, oversight, and quality control meetings with contractor

The Member City Engineer signs off on all road site protection plans to preserve governmental immunity.

Member has on staff or access to a work zone safety specialist to oversee and approve all work zones.

Member photographs work-sites to document protection provided.

Member includes language in contract transferring responsibility for the clean-up and debris removal from work-sites to the vendor.

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

A contract review process is in place to provide for consistent contract administration and oversight.

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.

Contracts are reviewed for safety plans, staffing, oversight, and accountability.

The Member has an ADA transition plan in place.

Documentation verifies action taken on transition plan items or complaints of barriers to access.

Five-year budget and development plans reflect budgeting for ADA compliance projects.

Alternative procedures are in place to provide access for disabled persons to buildings and facilities until full structural access is achieved.

A current playground equipment inventory exists for each playground.

A detailed playground inspection is available for review and reflects equipment as stated in the inventory.

New or renovated playgrounds are assessed by a Certified Playground Safety Inspector.

Member documents-periodic inspections and repair records.

Playgrounds that do not comply with accessibility requirements under the ADA are included in the Member's transition plan.

Checklists or other tools are used to document facility inspections.

Action items are prioritized and are assigned for correction with due dates for completion. Completion dates are recorded.

All new or newly acquired facilities have a documented risk assessment review for structural and operational risk.

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.

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.

At least one facility staffer is certified as a Lifeguard Manager, or has attended educational sessions on Lifeguard Management and has experience in supervision.

Facility has all recommended rescue equipment, communication devices, posted warnings, information, and instruction signage present and in operable condition.

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).

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.

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.

'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.

A lifeguard on duty supervises all programs and rentals.

Daily pool maintenance and water quality logs are on site and kept up to date.

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)

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.

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.

Any organization serving alcohol must be properly licensed, have properly trained servers and provide security.

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.

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.

Special events requiring road closures includes a traffic management plan that is approved by a qualified engineer.

The participants and/or volunteers of special events that involve risk of injury (ex: sporting activities) are required to sign waivers prior to participation.

Member has a recruitment procedures that comply with applicable State and Federal laws regulating employment discrimination.

Members obtain background/reference checks on applicants prior to hire.

Members educate new employees on all applicable and relevant personnel policies, procedures, rules, regulations as part of the orientation process. The process includes a written sign-off by the new hire to document receipt of the important information.

Members have a current anti-harassment,-discrimination and retaliation policy in place and-train supervisors and manager on the policy in compliance with AB 1825.

Members provide workplace safety training as required by state and federal laws and regulations (i.e. OSHA and CalOSHA).

Members have an internal grievance procedure in order to resolve employment related disputes at the lowest level possible.

Members have a comprehensive discipline policy and procedure that is timely, reasonable, consistent, well-supported, and provides for procedural due process.

Members 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.

-Members 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.
