

# CIS Best Practices Survey

<b>Member:</b>	<b>Date:</b>	<b>Conducted By:</b>
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## RISK MANAGEMENT

1	General Risk Management	Compliance			Comments
		YES	NO	Partial	
A	Are there designated individuals responsible for risk management and safety compliance functions?				
B	Are Human Resources responsibilities designated?				
C	Is a designated person responsible for sending claims to CIS?				
D	Are all Public Officials trained on employment issues, ethics, public meeting law, and public officials liability?				
E	Have all Council/Commission members reviewed copies of the entity's Charter and/or Rules?				
F	Are you aware of discretionary immunity doctrine?				

2	Contract Provisions	Compliance			Comments
		YES	NO	Partial	
A	Do you have a written contract review/administration policy?				
B	Does it include written criteria for each general type of contract, required coverage, limits, additional insured, indemnity clause, etc?				
C	Do you require certificates of insurance from contractors? (Minimum limits on GL one million)				
D	Are contracts reviewed by: in-house or contracted legal counsel and/or Agent?				

3	Land Use and Planning	Compliance			Comments
		YES	NO	Partial	
A	Is your Council/Commission or Board trained on land use laws?				
B	Do you use an experienced land use attorney?				

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<b>RISK MANAGEMENT continued...</b>					
<b>4</b>	<b>Partners for Disaster Resistance (OPDR)</b>	Compliance			Comments
		YES	NO	Partial	
A	Do you have a pre-disaster mitigation plan in place?				
B	Do you have a post-disaster recovery plan in place?				
C	is there a Business Continuity Plan in place?				
D	Has disaster awareness training been given to public/elected officials?				
E	Is there emergency food/water storage on-site for employees (or provisions to have this in place)?				
F	Do you promote employee/family personal emergency preparedness plans?				
G	Is there a regular schedule for the testing and maintenance of emergency warning systems?				
H	Is there a debris removal and management plan in place?				
I	Are emergency funds budgeted and available if needed?				
J	Is there a buildable lands inventory in place in case relocation is needed?				
K	Have building inspectors been properly trained on disaster mitigation and safe re-entry of buildings and structures?				
L	Is there a stormwater management plan in place?				
M	<i>(Higher risk/floodplain areas) Do you have policies on allowing development in floodplain areas?</i>				
N	<i>(Higher risk/floodplain areas) Has a floodplain manager identified and trained?</i>				

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### EMPLOYMENT

1	Employment Liability	Compliance			Comments
		YES	NO	Partial	
A	Have your HR policies/employee handbook been updated and reviewed by an employment attorney in the last five years?				
B	Are employees given a copy of the policy manual/handbook, given time to read/review and sign an acknowledgement form that they understand?				
C	Are formal applications & ref/background checks being completed?				
D	Are background checks completed for anyone working with youth and/or seniors?				
E	Is a functional skill test used in the placement of new employees?				
F	Is there an analysis of the jobs physical requirements (lifting up to 50 lbs., etc.) attached to or included in the job description?				
G	Do you have a formal new employee orientation?				
H	Are annual performance reviews conducted for all employees?				
I	Is there a system in place to remind supervisors when a performance review is due and one to track to make sure they are done timely?				
J	Are there consequences for supervisors who do not do the reviews timely?				
K	Does a Department Head review each performance review for accuracy prior to discussing with the employee?				
L	Are job descriptions reviewed annually for current positions?				
M	Is safety/risk prevention specifically outlined in the annual performance review?				
N	Are managers & supervisors held accountable for risk/safety related prevention and mitigation?				
O	Have supervisors received training on harassment, discrimination, contracts, ADA, FMLA and other laws?				
P	Has a progressive discipline policy been adopted?				
Q	Has the progressive discipline policy been communicated to supervisors and is it enforced?				
R	Is the use of CIS pre-loss legal services part of the discipline policy?				

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### EMPLOYMENT continued...

2	Workplace Substance Abuse Program	Compliance			Comments
		YES	NO	Partial	
A	Do you have a written substance abuse program?				
B	Is substance abuse training provided to supervisors and employees and documented?				
C	Do you do drug testing for safety sensitive positions only?				
D	Is a last chance agreement utilized for positive drug screens?				
E	Do you have an Employee Assistance Program (EAP) in place?				

### WORKERS' COMPENSATION/SAFETY

1	Employee Safety Training	Compliance			Comments
		YES	NO	Partial	
A	Are employees aware of safe work place rules in their own department?				
B	Are you in compliance with required OR-OSHA training and written programs?				
C	Have you completed and documented personal protective equipment certification & training?				
D	Are employee training attendance records kept on file?				

2	Safety	Compliance			Comments
		YES	NO	Partial	
A	Is management committed to providing a safe workplace and is it visible and/or verbally communicated to employees?				
B	Does your new employee orientation include safe work practices (PPE, MSDS, claims and accident/injury reporting, safety expectations)?				
C	Do you currently conduct baseline audiograms for police, public safety, and public works employees?				
D	Do you currently conduct annual retests of baseline audiograms for police, public safety, and public works employees?				
E	Are post-offer medical evaluations for heavy work (parks, public works, police, fire) completed prior to starting work?				
F	Are ergonomic evaluations completed for workstations, new employees and other jobs/tasks as needed?				
G	Are safety meetings held in compliance with OSHA standards? (i.e. frequency, documenting, training)				

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### WORKERS' COMPENSATION/SAFETY continued...

3	Safety continued...	Compliance			Comments
		YES	NO	Partial	
H	Are required quarterly worksite inspections completed?				
I	Have the corrective actions from the quarterly worksite inspection(s) been documented?				
J	When inspections or complaints reveal needed maintenance, is there a system for insuring it is done timely and documented?				

4	Return-to-Work Program	Compliance			Comments
		YES	NO	Partial	
A	Do you have written return-to-work policy in place?				
B	Does the policy limit the duration of transitional work (i.e., 90 days)?				
C	If you have hired Preferred Workers, have you reported them to CIS?				
D	Do you use Employer at Injury Program for assistance in Return to Work?				

5	Accident Reporting/Claims Management	Compliance			Comments
		YES	NO	Partial	
A	Do you know how to contact CIS for reporting claims 24/7?				
B	Are your accident/incident procedures documented?				
C	Are 801's completed for work injuries requiring medical treatment and faxed or mailed to CIS Claims within 5 work days?				
D	Are internal accident investigation reports on timeloss claims completed and submitted to CIS Claims within 5 work days?				
E	Are accident reviews forwarded to Safety Committee to determine root cause, and do they make recommendations to management?				
F	Are you aware of OR-OSHA Reporting Requirements: Overnight or longer hospitalization (24 hours) & Fatality (8 hours)				

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### WORKERS' COMPENSATION/SAFETY continued...

6	Volunteers	Compliance			Comments
		YES	NO	Partial	
A	Do you have volunteers?				
B	Has a volunteer resolution been adopted declaring which volunteers will be covered by Workers' Compensation?				
C	Are volunteer rosters kept?				
D	Are job descriptions completed and class codes for wage reporting verified?				
E	Do you conduct background checks for people working with youth and seniors?				
F	Are there safe work rules and are physical job requirements outlined?				
G	Do you have a designated volunteer coordinator?				

### PROPERTY/LIABILITY

1	Premises Liability	Compliance			Comments
		YES	NO	Partial	
A	Have you adopted a sidewalk ordinance?				
B	Do you regularly inspect external property, including sidewalks, parks, playgrounds and equipment for deterioration and vandalism?				
C	Do you conduct regular inspections of all lighting in interior stairwells, exit ways, exit signs and exterior entrances, exits and public parking areas?				
D	Do buildings have fire alarms, fire extinguishers or sprinklers (where required)?				

2	Property	Compliance			Comments
		YES	NO	Partial	
A	At your remote outlying building(s), are fire hazards minimized by brush being cleared, shrubs trimmed, etc.?				
B	Is vandalism and property damage repaired promptly?				
C	Are all hood and vent systems covered under an annual maintenance cleaning contract?				

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<b>PROPERTY/LIABILITY continued...</b>					
<b>3</b>	<b>Emergency Planning/Security</b>	Compliance			Comments
		YES	NO	Partial	
A	Have you evaluated your buildings for safety and security issues?				
B	Do you have a disaster/emergency response plan in place?				
C	Are emergency evacuation plan posted?				
D	Are computer/data systems backed up and stored off-site?				
E	Are non-electronic essential records stored in fireproof vault or cabinet?				

<b>4</b>	<b>Public Works/Parks</b>	Compliance			Comments
		YES	NO	Partial	
A	Are skate/BMX parks constructed according to the CIS guidelines?				
B	Are skate/BMX parks signed according to the CIS guidelines?				
C	Are skate/BMX parks inspected and maintained on a regular schedule?				
E	Has recreational immunity been applied to skate/BMX parks or other public recreation areas?				
D	Are streets/roads/traffic control signs and devices inspected and maintained?				
F	Are there written inspections and maintenance programs for sanitary sewer lines and facilities?				
G	Are sewer lines inspected and maintained regularly?				
H	Has there been an assessment of infrastructure needs (sanitary sewers) done in the last three years?				

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<b>PROPERTY/LIABILITY continued...</b>					
<b>5</b>	<b>Motor Vehicles/Fleet</b>	Compliance			Comments
		YES	NO	Partial	
A	Have you established a policy on employee use of personal and public vehicles?				
B	Does your policy include written criteria for what counts as an acceptable driving record (max. moving violations, traffic infractions, etc)?				
C	Do you allow personal use of public vehicles?				
D	Are Motor Vehicle Record checks documented for all drivers at the time of hire?				
E	Are you using DMV's Automated Reporting System or annual reviews to monitor driving records?				
F	Are CDL drivers recertified as required, including physical examination?				
G	Are autos frequently taken out of state				
H	Have you adopted CIS' fleet/auto or comparable loss control program?				
I	Are all vehicle accidents subject to a committee accident review process?				
J	Does accident review committee recommend remedial training or refer to manager for discipline when the accident justifies it?				
K	Do all driving employees receive some defensive driving training on a regular basis (2 yrs. or less)?				
L	Are vehicle inspection checklist used daily, recorded?				
M	Is there a preventative maintenance program for all vehicles and equipment?				
N	If autos are leased or loaned to others is a lease agreement executed?				
O	Is member held harmless for use of any autos leased or loaned to others?				
<b>6</b>	<b>Transit</b>	Compliance			Comments
		YES	NO	Partial	
A	Do you operate buses or vans for the transportation of non-employees?				

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<b>PROPERTY/LIABILITY continued...</b>					
7	Financial Controls	Compliance			Comments
		YES	NO	Partial	
A	Are you in compliance with annual audit requirements under ORS 297.425 and/or ORS 297.435?				
B	If there were qualifications to the audit, have they been addressed by the governing body?				
C	Are background checks, including financial checks, done on all new hires who will be handling funds for the entity?				
D	Are the FCRA (Fair Credit Reporting Act) required waivers signed for employees handling funds for the entity?				
E	Have you evaluated risk (of asset loss) associated positions that are entrusted with responsibility for your assets?				
F	Have you taken steps to protect your entity with crime coverage or a bond(s)?				
G	Is there a division of responsibility between 2 or more people in the following processes: Receipts, Deposits, Checks, Financial Reports?				
H	Are two signatures required on checks?				
I	Are any signatures pre-printed on checks?				
J	Is the person signing the checks different from the person paying the bills and making the deposits?				
K	Are incoming checks documented and totaled against the deposit?				
L	Are W-9s received for all vendors?				
M	Are bank runs made at different times of day and following different routes?				
N	Are monthly bank reconciliations done on all checks/cash requests to spot irregularities such as missing checks, altered checks, checks written by the payee, etc.?				
O	Is staff cross-trained on the check & cash handling procedures so they would be able to spot irregularities?				
P	Is training provided to spot irregular activities by those handling assets?				
Q	Is there a process to review over-rides and unusual transactions?				
R	Do performance reviews of those handling funds cover employee's adherence to policies and best financial practices?				
S	Are financial personnel required to take a continuous week of vacation?				

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### PUBLIC SAFETY

1	Firefighters/EMS/EMT	Compliance			Comments
		YES	NO	Partial	
A	Do you have firefighters/EMS/EMT?				
B	Is your General Operations Manual in compliance with OSHA CFR 1910.156(b)(1)?				
C	Is your General Operations Manual annually reviewed and updated?				
D	Are all responding firefighters required to have Basic FF1/DPSST training?				
E	Are all volunteers trained at same level as paid staff?				
F	Are your mutual aid agreement documents reviewed at least every 3 years?				
G	Do fire & emergency vehicle operators receive vehicle training annually?				
H	Are Physicals/Fit-for duty required after conditional job offer and after major surgery and serious injury?				

2	Emergency Communications Center (ECC)	Compliance			Comments
		YES	NO	Partial	
A	Do you have an ECC?				

3	Court-Mandated Workers	Compliance			Comments
		YES	NO	Partial	
A	Do you use any court-mandated workers?				
B	Are you using workers under the age of 18?				
C	Are the workers supervised by an appropriately trained supervisor?				
D	Is vehicle and machinery use restricted?				

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<b>✓ Unique Risks</b>		<b>Comments</b>
Airports - No coverage under our program		
Own or operate aircraft? - No coverage under our program		
Operate a swimming pool?		
Diving boards / platforms?		
Own or operate a waterslide?		
Any Daycare, Preschool, Afterschool, Summer Camps, or Youth Programs?		
Rodeos		
Any Monster Truck, Motor Sport, or Demolition Derby Events?		
Own or operate a health clinic?		
Do you have any Dams/Reservoirs?		
Do you have any levees or dikes?		
Cable Access Provider		
Electrical or Gas Utility Provider		
Internet Providers		
Fireworks		
Do you own or operate Amusement Park Rides?		
Watercraft transporting persons on a for hire basis		
Do you own or operate any jails, prisons or holding cells?		
Do you conduct blasting operations?		
Do you own or operate any ski facilities?		
Do you own or operate railroads or trolley lines?		
Are you responsible for any events w/alcohol involved?		
Are you responsible for any festivals or special events?		
Do you own or operate any golf courses?		
Do you own or operate any zoos or carnivals?		
Do you own or maintain any bridges 300 ft or longer?		
Do you do any Construction / Demolition / Remodeling?		
Do you own or operate trampolines / rebounding devices?		
Pesticide/herbicide application by you?		