

**2013 Risk Assessment
Improvement Report
Menasha**

1	Score/Level				2010 Rating Level	2013 Rating Level	2013 Score
	2	3	4	5			

Section 1 - Risk Assessment

Category A - Management Direction

Item A1	Loss Prevention Program Objectives and Action Plan (Short-term)	0	10	25	35	1	1	0
	Level II Improvement Items							
	<input type="checkbox"/> The CVMIC three year work plan has been developed, implemented and reviewed on an annual basis.							
	Level III Improvement Items							
	<input type="checkbox"/> The CVMIC work plan meeting handouts and three year work plan have been distributed to supervisors and managers.							
	Level IV Improvement Items							
	<input type="checkbox"/> Loss Prevention Program objectives and action plan have been developed beyond CVMIC loss control work plan.							
Item A2	Designated Safety Coordinator or Risk Manager	0	10	25	35	4	2	10
	Level III Improvement Items							
	<input type="checkbox"/> Individual(s) responsible for safety and risk management have management support and authority to make changes regarding safety and risk management.							
	Level IV Improvement Items							
	<input type="checkbox"/> Individual(s) responsible for safety and risk management demonstrate a commitment to ongoing education.							
Item A5	Written Risk Management/Safety Policy Statement	0	2	6	10	4	2	2
	Level III Improvement Items							
	<input type="checkbox"/> Policy statement has been disseminated to all managers and supervisors.							
	Level IV Improvement Items							
	<input type="checkbox"/> Written risk management/safety policy statement has been approved by Common Council/Village Board.							

Category B - Loss Control Methods

Item B3	Facility Self-Inspection Program	0	5	15	20	4	2	5
	Level III Improvement Items							
	<input type="checkbox"/> Scheduled frequency of inspections in addition to CVMIC inspections;							
	<input type="checkbox"/> Special forms used;							
	Level IV Improvement Items							
	<input type="checkbox"/> Follow-up procedures for corrections of deficiencies implemented. Records/documents are reviewed by management.							
Item B7	Facility Security	0	5	7	10	2	2	5
	Level III Improvement Items							
	<input type="checkbox"/> Limited electronic monitoring and alarms.							
	<input type="checkbox"/> Written city-wide policy exists on locks, key control and electronic cards.							
	Level IV Improvement Items							
	<input type="checkbox"/> Comprehensive electronic security and lighting system exists.							
	<input type="checkbox"/> Identification system for employees has been implemented.							
	<input type="checkbox"/> Security process has been established for clients, visitors and customers entering secured (non-public) areas.							

Category C - Risk Management Practices

Item C1	Service Contract Administration and Risk Transfer Techniques	5	20	30	35	1	2	20
	Level III Improvement Items							
	<input type="checkbox"/> Legal review of all contract documents and processes;							
	<input type="checkbox"/> Department heads, or designees, received training on contract risk transfer							

	and management techniques.								
	<input type="checkbox"/> Documented evidence of contract administration and enforcement, including recordkeeping.								
	Level IV Improvement Items								
	<input type="checkbox"/> All Mutual Aid Agreements have had legal and risk management review.								
Item C2	Construction Contract Risk Management Practices	0	5	10	15		2	2	5
	Level III Improvement Items								
	<input type="checkbox"/> Development of standardized bid specifications and risk management review of contracts.								
	Level IV Improvement Items								
	<input type="checkbox"/> Documented evidence of contract administration and enforcement.								
	<input type="checkbox"/> Field inspection personnel received training in contract administration and enforcement.								
Item C3	Sidewalk Inspection and Maintenance Program	0	5	15	30	3	2		5
	Level III Improvement Items								
	<input type="checkbox"/> Established criteria for design, construction, inspection and replacement.								
	<input type="checkbox"/> Assigned responsibility for regular inspections.								
	<input type="checkbox"/> Property owners notified of repairs/replacement; documentation of same.								
	<input type="checkbox"/> All sidewalk claims are promptly and effectively investigated by City officials (or an independent third party).								
	<input type="checkbox"/> Photographs of claim scenes as appropriate.								
	<input type="checkbox"/> Litigation strategy developed by legal counsel.								
	Level IV Improvement Items								
	<input type="checkbox"/> Inspections completed on a 3 - 8 year cycle.								
	<input type="checkbox"/> A documented citizen complaint system has been developed and is continuously used.								
Item C4	Transportation to Municipal Programs or Services	0	5	15	20	4	1		0
	Level II Improvement Items								
	<input type="checkbox"/> Obtaining Certificates of Insurance from volunteer drivers with appropriate coverage levels and limits specified.								
	Level III Improvement Items								
	<input type="checkbox"/> City-owned fleet vehicles operated by City personnel with appropriate safety/liability controls.								
	Level IV Improvement Items								
	<input type="checkbox"/> Contracting out most transportation services or participants responsible for making independent transportation arrangements without City involvement.								
	<input type="checkbox"/> Insurance and risk transfer issues addressed.								
Item C5	Sewer Maintenance Program	0	5	15	20	4	2		5
	Level III Improvement Items								
	<input type="checkbox"/> Written policy and procedures regarding scheduled maintenance activities (i.e. cleaning, flushing, rodding).								
	<input type="checkbox"/> Documentation includes maps with locations maintained each year.								
	<input type="checkbox"/> Employees trained on a scheduled basis on how to deal with homeowners.								
	Level IV Improvement Items								
	<input type="checkbox"/> Locations identified warranting additional attention (tree roots, grease traps, institutions or known/suspected problem areas).								
	<input type="checkbox"/> Identified and serviced; televising program for suspected problem areas.								
	<input type="checkbox"/> Inflow and infiltration reduction program established.								
Item C7	Outside Users of Municipal Facilities and Parks (Non-Special Event)	0	5	10	15	4	2		5
	Level III Improvement Items								
	<input type="checkbox"/> Security deposit required.								
	<input type="checkbox"/> Adequate life safety and security precautions established.								
	Level IV Improvement Items								
	<input type="checkbox"/> Restrictions on alcohol imposed and enforced.								
	<input type="checkbox"/> Certificates of insurance monitored on a centralized basis where applicable.								
Item C9	Certificate of Insurance	0	10	20	30		1	2	10
	Level III Improvement Items								
	<input type="checkbox"/> Certificates of Insurance required and received are monitored in a centralized or designated location and reviewed to ensure limits and requirements are								

appropriate.

Level IV Improvement Items

- Formal Certificate of Insurance program exists.
- Appropriate limits of liability are set for specific events based on exposure.
- A records retention program for certificates of insurance is established and followed.
- All events and contracts require Certificate of Insurance.
- Certificates of Insurance are reviewed for appropriate endorsements.
- A system is established to ensure that certificates of insurance do not expire prior to the end of the contract or event.

Item C10 Media Relations Policy 0 5 10 15 **2** **2** 5

Level III Improvement Items

- Media relations policy in place.
- Management training conducted for all departments.

Level IV Improvement Items

- On-going meetings are held with media representatives when situation warrants.

Item C12 Traffic Sign Management Program 0 5 15 25 4 **1** 0

Level II Improvement Items

- Written procedure for emergency response to downed signs and control devices, and replacement of signs when damaged.

Level III Improvement Items

- Established written guidelines on replacement of signs.
- Signs are inspected but not on a scheduled basis.

Level IV Improvement Items

- Established traffic sign management program in place.
- Signage is consistent with the most current MUTCD guidelines.

Item C13 Use of Volunteers 0 5 15 20 **1** **2** 5

Level III Improvement Items

- Orientation training sessions conducted for all volunteers.
- A use of volunteers written policy is in place.
- Drivers licenses are checked on all volunteer drivers.

Level IV Improvement Items

- Background checks are conducted on appropriate volunteers with exposure to minors and seniors.
- A written policy is in place for volunteers on Boards and Committees.

Item C14 Permitting and Licensing Process (Building, Housing, Streets, etc) 0 5 15 25 **2** **2** 5

Level III Improvement Items

- Well documented process.

Level IV Improvement Items

- Those responsible for issuing permits and/or licenses have received training on contract risk transfer and management techniques.

Item C15 Inspection Process (Buildings) 0 10 30 45 N/A **1** 0

Level II Improvement Items

- Some rough and most final inspections completed.

Level III Improvement Items

- Most rough and final inspections completed, all life/safety issues documented and followed up on.
- PPE used on a regular basis.
- A well established orientation/mentoring program for new inspectors, adequate cross training and backup available.
- Job descriptions reflect necessary education and experience levels and those are followed through on when hiring a new inspector.

Level IV Improvement Items

- Almost all rough, final and occupancy inspections completed.
- Proper documentation maintained on all inspections and necessary reports completed.
- Supervisory review of inspections for quality and accuracy.

Housing inspections conducted on a scheduled basis on all rental property.



Category E - Employment Practices Liability Management

Item E1	Personnel Function Performance Standards	0	5	20	30	2	2	5
	Level III Improvement Items							
	<input type="checkbox"/> Specialized/technical personnel staff or centralized personnel activities, especially recordkeeping.							
	<input type="checkbox"/> Has a method for documenting poor performance.							
	<input type="checkbox"/> Maintain all appropriate employment and necessary controls for access to files.							
	<input type="checkbox"/> Established procedure to eliminate duplicate personnel files.							
	Level IV Improvement Items							
	<input type="checkbox"/> Maintains documentation of progressive discipline, performance appraisals, probationary reports, and pre-termination legal sessions.							
Item E2-A	Aids-Privacy Policy	0	2	3	5	1	1	0
	Level II Improvement Items							
	<input type="checkbox"/> Written policy available in each department but has not been distributed to all supervisors and affected employees.							
	Level III Improvement Items							
	<input type="checkbox"/> Written policy disseminated to all supervisors and employees.							
	<input type="checkbox"/> Training conducted upon hire.							
	Level IV Improvement Items							
	<input type="checkbox"/> Written policy is part of a policy manual that all supervisors and affected employees have received.							
	<input type="checkbox"/> Training has been conducted when policies are updated.							
	<input type="checkbox"/> Policy is reviewed and updated once every three years or when a substantive change has occurred.							
Item E2-C2	Code of Ethics (Conflict of Interest, Gifts & Gratuities, Political Activities) Policy	0	2	3	5	2	2	2
	Level III Improvement Items							
	<input type="checkbox"/> Written policy disseminated to all supervisors and employees.							
	<input type="checkbox"/> Training conducted upon hire.							
	Level IV Improvement Items							
	<input type="checkbox"/> Written policy is part of a policy manual that all supervisors and affected employees have received.							
	<input type="checkbox"/> Training has been conducted when policies are updated.							
	<input type="checkbox"/> Policy is reviewed and updated once every three years or when a substantive change has occurred.							
Item E2-L	Polygraph Testing Policy	0	2	3	5	1	1	0
	Level II Improvement Items							
	<input type="checkbox"/> Written policy available in each department but has not been distributed to all supervisors and affected employees.							
	Level III Improvement Items							
	<input type="checkbox"/> Written policy disseminated to all supervisors and employees.							
	<input type="checkbox"/> Training conducted upon hire.							
	Level IV Improvement Items							
	<input type="checkbox"/> Written policy is part of a policy manual that all supervisors and affected employees have received.							
	<input type="checkbox"/> Training has been conducted when policies are updated.							
	<input type="checkbox"/> Policy is reviewed and updated once every three years or when a substantive change has occurred.							
Item E2-Q	References/Background Checks Policy	0	2	3	5	2	1	0
	Level II Improvement Items							
	<input type="checkbox"/> A written policy is available in each department but has not been distributed to all supervisors and affected employees.							
	Level III Improvement Items							
	<input type="checkbox"/> Written policy is disseminated to all supervisors and employees.							
	<input type="checkbox"/> Training conducted upon hire.							
	Level IV Improvement Items							
	<input type="checkbox"/> Written policy is part of a policy manual that all supervisors and affected employees have received.							

- Training has been conducted when policies are updated.
- Policy is reviewed and updated once every three years or when a substantive change has occurred.

Item E3	Legal Review and Support Services Policy Level II Improvement Items <input type="checkbox"/> Legal Counsel reviewed and approved employment application. Level III Improvement Items <input type="checkbox"/> Legal Counsel consulted prior to initiating an adverse employment action. Level IV Improvement Items <input type="checkbox"/> Department heads and supervisory personnel receive documented legal training on Employment Practices Liability Management.	0 5 10 15 4 1 0
Item E5	ADA Title I Level III Improvement Items <input type="checkbox"/> Supervisors have received training on ADA compliance requirements upon hire or when substantial changes occur in the law. Level IV Improvement Items <input type="checkbox"/> Policy references return-to-work program to accommodate newly disabled personnel. <input type="checkbox"/> Involvement of municipal attorney for terminations involving employees covered by ADA.	0 10 15 25 1 2 10
Item E6	ADA Title II Level II Improvement Items <input type="checkbox"/> ADA transition plan and self-evaluation of programs/services completed and documented. <input type="checkbox"/> Designated ADA Coordinator established. Level III Improvement Items <input type="checkbox"/> Attainment of barrier-free environment. <input type="checkbox"/> Supervisors received training on ADA policy and procedures. Level IV Improvement Items <input type="checkbox"/> Public notice on organization compliance with ADA completed. <input type="checkbox"/> Public education on citizen rights under ADA conducted. <input type="checkbox"/> All front line employees (i.e. employees who receive requests over the phone or at the front desk) trained on ADA policy and procedure.	0 10 15 25 1 1 0
Item E7	Recruitment and Selection Level III Improvement Items <input type="checkbox"/> Interviewer trained in appropriate interviewing techniques. Level IV Improvement Items <input type="checkbox"/> Conduct adverse impact analysis in the recruiting process. <input type="checkbox"/> A job analysis is conducted to establish hiring criteria.	0 15 20 30 4 2 15
Item E9	I-9 Compliance Policy Level II Improvement Items <input type="checkbox"/> Written I-9 compliance policy in place. Level III Improvement Items <input type="checkbox"/> I-9s are always received within 3 days of employment. <input type="checkbox"/> Appropriate documentation is reviewed. <input type="checkbox"/> I-9s maintained for appropriate period after employee termination. Level IV Improvement Items <input type="checkbox"/> I-9 process handled in a centralized location. <input type="checkbox"/> Staff involved have received documented training. <input type="checkbox"/> Only designated individuals sign the I-9s.	0 5 10 20 1 1 0
Item E11	Fair Labor Standard Act (FLSA) Policy Level III Improvement Items <input type="checkbox"/> Recent evaluation of exemption status of employees (Since 2004 changes). <input type="checkbox"/> Supervisors have been trained on the FLSA policy. Level IV Improvement Items No Requirements found for this Level	0 3 5 7 4 2 3

Category F - Safety and Health Regulatory Compliance

Item F1	<p>Preparedness for Department of Safety and Professional Services (DSPS) Health/Safety Inspection</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Supervisors have received training on supervisory safety responsibilities and/or public sector safety/health compliance responsibilities.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Departments aware of and in compliance with DSPS Chapter 332 requirements.</p>	0	3	8	15	3	2	3
Item F2	<p>Job Site Protection and Traffic Control Measures (MUTCD)</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Supervisors and employees receive training on MUTCD guidelines.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Evidence of active conformance to MUTCD and enforcement by supervisors within the past 3-years.</p>	0	2	5	10	3	2	2
Item F4	<p>Confined Space Entry</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Confined space entry classroom training has been conducted.</p> <p><input type="checkbox"/> Entrants and attendants receive training on CPR and basic first aid.</p> <p><input type="checkbox"/> Confined space entry permit completed for all entries.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Hands-on confined space entry training conducted annually.</p> <p><input type="checkbox"/> Annual rescue training conducted with rescue agency.</p> <p><input type="checkbox"/> Rescue procedure clearly defined in written policy.</p>	0	2	7	10	4	2	2
Item F6	<p>Respiratory Protection</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Annual training on selection and use of respiratory protection equipment.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Conducting required medical evaluation for respiratory users.</p> <p><input type="checkbox"/> Annual fit testing is conducted with issued respirator.</p>	0	2	7	10	4	2	2
Item F10	<p>Powered Industrial Trucks (Forklifts)</p> <p>Level II Improvement Items</p> <p><input type="checkbox"/> A written forklift policy is in place.</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Initial classroom training and operator evaluations are conducted for all forklift operators.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Inspection checklists are completed prior to initial use on each shift.</p> <p><input type="checkbox"/> Refresher training is conducted according to proper criteria.</p> <p><input type="checkbox"/> Operator performance is evaluated and documented at least every 3 years.</p>	0	2	7	10	3	1	0
Item F14	<p>Ergonomics</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Written ergonomic policy is in place.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Proactive work station and worksite ergonomic evaluation have been conducted.</p> <p><input type="checkbox"/> Ergonomics training has been conducted.</p>	0	2	7	10	2	2	2
Item F17	<p>Lead</p> <p>Level III Improvement Items</p> <p><input type="checkbox"/> Administrative and engineering controls are in place to reduce employee exposures.</p> <p><input type="checkbox"/> Lead safety training has been conducted for all affected employees.</p> <p>Level IV Improvement Items</p> <p><input type="checkbox"/> Air monitoring has been conducted to determine employee exposure.</p> <p><input type="checkbox"/> A medical surveillance program is in place for employees who are or may be exposed above the action level for more than 30 days per year.</p>	0	2	7	10	2	2	2

A blood sampling program is in place for all employees who have exposures above the limit.

Item F19 Tuberculosis 0 2 7 10 4 **1** 0

Level II Improvement Items

A risk assessment has been conducted to determine which employees have potential occupational exposure.

A written tuberculosis policy is in place.

Training is conducted for employees with potential exposure.

Level III Improvement Items

Baseline skin testing is conducted for employees with potential occupational exposure at the time of hire.

Reporting procedures for potential exposures has been established.

Level IV Improvement Items

Annual skin testing is conducted for all employees with potential occupational exposure.

Post exposure follow-up procedures are in place.

Respirators are provided and the respiratory requirements are being met.

Item F20 Flammable Liquids 0 2 7 10 4 **2** 2

Level III Improvement Items

Flammable liquids training has been conducted.

All secondary containers meet NFPA 30 guidelines.

Level IV Improvement Items

Flammables liquids are stored in approved flammable cabinets.

Formal spill prevention plan in place.

Storage rooms comply with NFPA 30 design guidelines.

All spraying of flammable liquids done in compliance with 1910.107.

Item F21 Ladder Safety (New item) 0 5 8 10 N/A **1** 0

Level II Improvement Items

Informal and undocumented inspection system in place.

In-house fabricated ladders or modifications are prohibited.

Level III Improvement Items

Ladder safety training has been conducted.

Formal inspection program in place for all portable and fixed ladders.

Procedure in place for removing unsafe ladders from service.

Level IV Improvement Items

Ladder assessment conducted including proper ladder selection, construction, and rating.

Necessary fall protection in place as required for fixed ladders (e.g., cages, cable/rail systems, etc.).

Category G - Utilization of CVMIC Resources

Item G3 Attendance at CVMIC Provided Regional Training Programs (3 year Average) 0 10 15 20 4 **1** 0

Level II Improvement Items

Participated in 10-30% of regional topics held.

Level III Improvement Items

Participated in 31-50% of regional topics held.

Level IV Improvement Items

Participated in more than 51% of regional topics offered.

Item G4 Item Has Been REMOVED 0 0 0 0 **0** N/A N/A

Category H - Claims and Accident reporting, Investigation, Monitoring and Follow Up

Item H2 Citizen Liability Complaint Reporting and Tracking System 0 10 20 25 **2** **2** 10

Level III Improvement Items

Sufficient documentation maintained to demonstrate timely response.

- Complaints linked to work order maintenance system.
- Level IV Improvement Items**
- Documented evidence of program oversight and feedback mechanism to citizen.
- Documentation maintained to demonstrate final disposition of complaint or service request.

Item H4 Reporting of On-the-Job Accidents, Injuries, and Illnesses 0 10 20 30 3 **2** 10

Level III Improvement Items

- OSHA 300 log is completed, up to date and maintained at each facility.

Level IV Improvement Items

- Medical log kept at each facility and forwarded to central location.
- OSHA 300A summary is posted February 1 - April 30 each year in each establishment.
- OSHA 300A form is mailed to WI Department of Safety and Professional Services (DPS) prior to March 1 of each year.

Item H5 Modified Duty/Return To Work Program 0 5 15 25 **2** **2** 5

Level III Improvement Items

- Written modified duty/return to work policy is in place.

Level IV Improvement Items

- Training is conducted for all supervisors on modified duty/return to work policy.

Section 2 - Fire and EMS Assessment

Category A - Management Direction

Item A3 Department Commitment to Loss Control 0 5 10 15 **1** **1** 0

Level II Improvement Items

- Written loss control plan exists.
- There has been implementation of activities to achieve plan goals.

Level III Improvement Items

- Training efforts are focused on areas with identified deficiencies or targeted for improvement.

Level IV Improvement Items

- Loss control plan is fully implemented.
- All members of the Department have been informed of the loss control plan.
- Officers, employees and volunteers are held accountable for non-compliance.

Category B - Liability/Risk Management Processes

Item B2 Media Relations Policy 0 5 10 12 **1** **2** 5

Level III Improvement Items

- News media has been informed of media relations policy.
- Media relations policy has been verbally communicated to appropriate staff.

Level IV Improvement Items

- Affected staff has been formally trained on media relations policy.
- On-going meetings with media representatives are conducted.
- A Public information officer is identified during incidents.

Item B3 Open Records 0 7 10 12 **2** **1** 0

Level II Improvement Items

- Open records information is strategically posted for public scrutiny.
- Legal custodians are designated.

Level III Improvement Items

- Legal custodians are trained.

Level IV Improvement Items

- Open records training has been provided to the entire department including civilian employees.
- Open records policy addresses confidential records, medical/patient records, e-mail, and computer files.

	<input type="checkbox"/> Open records training has been reviewed by legal counsel.								
Item B4	Civil Liability Awareness and Legal Update Training	0	5	10	15	1	1		0
	Level II Improvement Items								
	<input type="checkbox"/> Training is conducted infrequently (less than once a year).								
	Level III Improvement Items								
	<input type="checkbox"/> Periodic training (at least annually) on civil liability and current legal issues.								
	Level IV Improvement Items								
	<input type="checkbox"/> Regular legal updates are distributed to all personnel.								
	<input type="checkbox"/> In-service training on legal liabilities provided for all personnel.								
Item B5-C	Specialized Responses <input type="checkbox"/> Swift Water Rescue	0	5	15	20	1	2		5
	Level III Improvement Items								
	<input type="checkbox"/> Selection of participants is made by a procedure with strict screening protocols.								
	<input type="checkbox"/> On-going Training provided.								
	<input type="checkbox"/> Leader has decision-making authority, the roles of all supervisory personnel involved in the activity are clearly defined.								
	<input type="checkbox"/> Administration, supervision, and dispatch personnel have a good working knowledge of how to activate a <input type="checkbox"/> response.								
	Level IV Improvement Items								
	<input type="checkbox"/> Trains as a unit a minimum of four times per year and members also attend specialized skill seminars, (i.e., comply with all medical protocols, fit testing, etc.).								
	<input type="checkbox"/> Supervisory and administrative personnel adhere to policy regarding operations and decision-making.								
	<input type="checkbox"/> Administrators and officers not directly attached receive training in critical incident management and demonstrate understanding operations.								
	<input type="checkbox"/> Department budget reflects commitment to quality equipment and training.								
Item B5-G	Specialized Responses - Hazmat	0	5	15	20	N/A	2		5
	Level III Improvement Items								
	<input type="checkbox"/> Selection of participants is made by a procedure with strict screening protocols.								
	<input type="checkbox"/> On-going Training provided.								
	<input type="checkbox"/> Leader has decision-making authority, the roles of all supervisory personnel involved in the activity are clearly defined.								
	<input type="checkbox"/> Administration, supervision, and dispatch personnel have a good working knowledge of how to activate a <input type="checkbox"/> response.								
	Level IV Improvement Items								
	<input type="checkbox"/> Trains as a unit a minimum of four times per year and members also attend specialized skill seminars, (i.e., comply with all medical protocols, fit testing, etc.).								
	<input type="checkbox"/> Supervisory and administrative personnel adhere to policy regarding operations and decision-making.								
	<input type="checkbox"/> Administrators and officers not directly attached receive training in critical incident management and demonstrate understanding operations.								
	<input type="checkbox"/> Department budget reflects commitment to quality equipment and training.								

Category C - Safety and Health Programs

Item C6	Physical Fitness Program	0	15	25	30	2	2		15
	Level III Improvement Items								
	<input type="checkbox"/> Department has developed minimum fitness standards.								
	Level IV Improvement Items								
	<input type="checkbox"/> Department approved individual fitness programs are made available to employees.								
	<input type="checkbox"/> Fitness instructors are developed to improve skills.								
	<input type="checkbox"/> Individualized programs with performance guidelines exist.								
Item C8	Hazmat	0	10	15	25	1	1		0
	Level II Improvement Items								
	<input type="checkbox"/> Written hazmat program in place.								
	Level III Improvement Items								
	<input type="checkbox"/> Agency has clearly defined hazmat objectives.								

- Hazmat training has been conducted to meet agency stated level of response.
- Adequate hazmat staffing to meet agency objectives.
- Agency has adequate apparatus, equipment, supplies, and materials to respond to hazmat situations.
- Level IV Improvement Items**
- Agency has up-to-date information system in place by which to provide information to analyze the hazardous materials program.
- Formal inspection program for PPE and equipment in place.

Category D - EMS/Ambulance Services

Item D1	Access to Patient Records (Compliance with 146.50(12))	0	10	20	30	1	1	0
	Level II Improvement Items							
	<input type="checkbox"/> Policy communicated verbally.							
	Level III Improvement Items							
	<input type="checkbox"/> Written access to patient records policy in place that complies with 146.50(12).							
	Level IV Improvement Items							
	<input type="checkbox"/> Training on access to patient records policy has been conducted.							
Item D2	Patient releases	0	10	20	30	N/A	N/A	N/A
Item D3	Item Has Been REMOVED	0	0	0	0	0	N/A	N/A
Item D14-2	EMS/Ambulance Preventative Maintenance <input type="checkbox"/> Suction Units	0	2	6	12	2	2	2
	Level III Improvement Items							
	<input type="checkbox"/> Established PM schedule is in place.							
	Level IV Improvement Items							
	<input type="checkbox"/> Documentation of PM exists.							
	<input type="checkbox"/> Maintained schedule is complete.							
Item D14-3	EMS/Ambulance Preventative Maintenance <input type="checkbox"/> Blood Pressure	0	2	6	12	2	2	2
	Level III Improvement Items							
	<input type="checkbox"/> Established PM schedule.							
	Level IV Improvement Items							
	<input type="checkbox"/> Documentation of PM exists.							
	<input type="checkbox"/> Maintained schedule is complete.							
Item D14-4	EMS/Ambulance Preventative Maintenance <input type="checkbox"/> Stretchers	0	2	6	12	N/A	N/A	N/A
Item D14-5	EMS/Ambulance Preventative Maintenance <input type="checkbox"/> Glucose Monitors	0	2	6	12	N/A	N/A	N/A

Category E - Policy and Procedure Development

Item E1	Standard Operating Guidelines Manual	0	10	25	30	2	2	10
	Level III Improvement Items							
	<input type="checkbox"/> Agency has a clear mission statement and written values and beliefs forming the basis for administrative guidance system. (WI SPS 330)							
	Level IV Improvement Items							
	<input type="checkbox"/> SOG manual is supported by periodic training.							
	<input type="checkbox"/> Policies/procedures/guidelines reviewed and amended on a regular basis.							
Item E2	Guideline Development Process	2	15	20	25	2	2	15
	Level III Improvement Items							
	<input type="checkbox"/> Standard operating guideline/policy development includes a legal review of critical task policies to ensure compliance with legal and procedural guidelines.							
	Level IV Improvement Items							
	<input type="checkbox"/> Elements of policy development; if applicable, include the maintenance of historical files which include documentation related to research and considerations of the impact on external and public relations, internal relations and morale, financial resources and agency efficiency and effectiveness.							
Item E3	Guideline Dissemination	7	15	20	25	2	2	15

Level III Improvement Items

Written copy of standard operating guideline/policy is given to all affected personnel and documentation of dissemination and training is maintained.

Level IV Improvement Items

- There is an established training schedule for the re-education process especially in any high risk/critical task.
- Includes a documented test or assessment of proficiency.

Item E4 Guideline Review and Revision 0 10 20 25 **1** **1** 0

Level II Improvement Items

All policies and procedures are assigned a review date.

Level III Improvement Items

In addition to scheduled review or revision dates, changes made in response to issues as they arise.

Level IV Improvement Items

- There is constant attention by management to ensure policies, procedures and guidelines are revised to comply with regulatory changes or modifications to recommended guidelines.
- Training provided as needed.

Category G - Training and Education

Item G4 Training 0 10 15 30 4 **1** 0

Level II Improvement Items

Department provides no training beyond the minimum training established in SPS 330 (including: mandated topics).

Level III Improvement Items

Department exceeds the minimum training established in SPS 330 & NFPA 1500 for each employee.

Level IV Improvement Items

In addition to the minimum training requirements, training occurs utilizing a variety of methodologies National Fire Academy (incident command), videos, and/or computer based training programs.

Section 3 - DPW/Utilities Assessment

Category A - DPW

Item 7 Digger's Hotline (Requesting a Locate) 0 5 15 30 4 **2** 5

Level III Improvement Items

Diggers hotline training conducted and documented.

Level IV Improvement Items

No Requirements found for this Level

Item 8 Municipal Locate Response 0 5 20 30 **1** **1** 0

Level II Improvement Items

Written municipal locate response program is in place.

Level III Improvement Items

Training is conducted for all affected employees.

Level IV Improvement Items

- Annual training of all personnel responsible for conducting locates.
- Awareness training is conducted for staff in impacted areas.
- Supervisory review of documentation and periodic on-site review of locate work.

Section 4 - Law Enforcement Assessment

Category A - Liability Management Processes

Item A8-5 Specialized Units - ATVs 0 5 15 20 **1** **1** 0

Level II Improvement Items

- A written ATV policy is in place.
- Accidents are reviewed and recommendations made to correct deficiencies.

Training is conducted annually.

Level III Improvement Items

Selection of participants is made by a procedure with strict screening protocols.

Performance evaluations conducted and performance deficiencies are corrected and remedial training is provided as needed.

Level IV Improvement Items

Program is reviewed annually.

Supervisory oversight and review of unit is on going.

Formal training program established to ensure necessary skills are maintained.

Item A8-6 Specialized Units Boats (Watercraft)

0 5 15 20 N/A N/A N/A

Category B - Risk Management Practices

Item B1 Mutual Aid Agreements

0 10 20 30 2 2 10

Level III Improvement Items

Management training has been conducted.

Level IV Improvement Items

Agreement in place, on-going training with department personnel and other mutual aid agencies.

Documentation and review of all calls for assistance.

Legal and risk management review of all mutual aid agreements.

Category C - Safety and Health Programs

Item C3 Physical Fitness/Wellness Program

0 5 10 40 2 2 5

Level III Improvement Items

Department purchased equipment.

Developed a fitness program to meet minimum fitness standard.

Alternate membership to health club.

Level IV Improvement Items

Department approved fitness/ wellness program supported by equipment and training.

Cholesterol screening, weight reduction, stress reduction, stop smoking programs, etc.

Instructor development and individualized programs.

Performance guidelines/testing criteria.

Category F - Critical Task Issues

Item F2 Use of Force

0 35 60 90 3 2 35

Level III Improvement Items

Policy is reviewed annually by the municipal attorney and police administration.

DAAT training conducted on a semi-annual basis.

Also, semi-annual familiarization with shotgun and tactical weapons.

Level IV Improvement Items

DAAT training conducted on a quarterly basis.

Category H - Facility Design and Maintenance

Item H3 Indoor Firearms Range Facility and Range Maintenance/Cleaning

0 10 25 30 N/A 2 10

Level III Improvement Items

Eye and ear protection and body armor required of all persons in the range area.

Range maintenance and cleaning in complete compliance with WI SPS regulations.

Maintenance employees receive necessary lead safety training and medical testing.

Level IV Improvement Items

- Air quality checked regularly.
- Serum lead level and audiometric testing for all range masters conducted annually.

Section 5 - Park and Recreation Assessment

Category A - Park and Recreation

Item 11	Park Inspections and Maintenance: Arenas, Stadiums Level II Improvement Items <input type="checkbox"/> Limited inspections conducted, but inadequate/incomplete. <input type="checkbox"/> Partial documentation and inadequate follow-up practices. Level III Improvement Items <input type="checkbox"/> Scheduled frequency of inspections. <input type="checkbox"/> Inspection forms are used. <input type="checkbox"/> Some items not corrected in a timely manner. Level IV Improvement Items <input type="checkbox"/> Documents show adequate frequency and depth of inspections. <input type="checkbox"/> Records reviewed by management. <input type="checkbox"/> Follow-up procedures for corrections of deficiencies implemented.	0 3 5 7 4 1 0
Item 8	Chemical/Pesticide Control Level III Improvement Items <input type="checkbox"/> Written chemical/pesticide program in place. Level IV Improvement Items <input type="checkbox"/> All pesticide applicators are state certified. <input type="checkbox"/> Risk transfer guidelines are in place for dealing with contracted services.	0 10 15 20 2 2 10

Section 6 - Fleet Safety Assessment

Category A - Fleet Safety

Item 1	Fleet Safety Program Policy and Policy Statement Level II Improvement Items <input type="checkbox"/> Fleet safety rules informally communicated and enforced. Level III Improvement Items <input type="checkbox"/> Written policy has been developed and adopted. Level IV Improvement Items <input type="checkbox"/> Written policy has been communicated and reviewed with all employees, drivers, and mechanics. <input type="checkbox"/> Senior management supports and endorses the fleet safety policy. <input type="checkbox"/> Key elements are followed and enforced.	0 10 15 30 2 1 0
Item 2	Driver Qualifications and Selection Level II Improvement Items <input type="checkbox"/> MVR reviews are conducted on new hires where a license is a minimum qualification for the position. Level III Improvement Items <input type="checkbox"/> Municipality has an adopted driver's license status change notification policy that is communicated to all drivers. <input type="checkbox"/> Periodic and/or random physical license checks are conducted. <input type="checkbox"/> MVR review criteria has been developed, is clearly stated and is consistently used. <input type="checkbox"/> MVR reviews are conducted on a routine basis on employees required to have a valid drivers license. Level IV Improvement Items <input type="checkbox"/> Road test evaluations are conducted for new permanent full and part-time drivers by a competent evaluator. <input type="checkbox"/> Municipality is a member of the Wisconsin DOT-MV PARS program and has designated a coordinator responsible for the PARS program. <input type="checkbox"/> Municipality has established an internal process to handle <input type="checkbox"/> out of service <input type="checkbox"/> CDL driver situations.	0 5 20 30 4 1 0

Item 3 Driver Improvement Education and Training 0 5 10 20 4 **1** 0

Level II Improvement Items

- Driver training is provided occasionally to selected drivers or new drivers.
- Training records are maintained.

Level III Improvement Items

- Driver training or reviews are provided to those drivers with a preventable accident.
- Training is provided to drivers based on identified needs.
- Municipality has developed and disseminated a driver safety handbook/manual to all drivers.
- New drivers receive and review the driver safety handbook/manual at new employee orientation.

Level IV Improvement Items

- New CDL drivers, and newly appointed supervisors overseeing CDL drivers, receive mandatory training on the drug and alcohol testing program per the USDOT 49 CFR Part 40 standard and the municipality's Drug and Alcohol Free Workplace Policy.

Item 4 Accident Reporting and Investigations 0 8 15 25 4 **1** 0

Level II Improvement Items

- Supervisor/Manager investigates and reviews most accidents.
- Accident review determines preventability, but does not recommend corrective actions.
- An accident report form is used and all drivers have been trained on how to use the accident report form and the required reporting procedure.

Level III Improvement Items

- Supervisor/Manager investigates and reviews all vehicle accidents.
- Supervisor/Manager determines preventability and recommends corrective actions.
- Drivers have been trained on proper behavior at an accident scene.
- Accident report forms are placed in all vehicles.

Level IV Improvement Items

No Requirements found for this Level

Item 5 Accident Data Analysis 0 3 5 10 3 **2** 3

Level III Improvement Items

- Accident data is collected at a central location.
- Some data is analyzed and communicated to supervisors and managers with some follow up actions as a result of the analysis.

Level IV Improvement Items

- Accident data is thoroughly analyzed and identified trends are used to develop corrective measures and prevent future occurrences.
- Incident rates are calculated.
- Benchmarking is established to measure improvements during designated reporting periods.
- Mechanism in place to ensure recommended corrective actions are implemented.

Item 6 Vehicle and Equipment Inspections 0 5 10 20 4 **1** 0

Level II Improvement Items

- Vehicle and equipment inspections are conducted on an adhoc basis by some drivers and operators.

Level III Improvement Items

- An inspection program has been established to ensure that vehicles and equipment are inspected on a regular basis.
- Inspection checklists/forms have been developed for motor vehicles and for some equipment.
- Management requires regular inspections on motor vehicles.

Level IV Improvement Items

- Customized inspection checklists/forms have been developed for motor vehicles and specialized equipment.
- Drivers/operators are trained on inspection practices and are required to perform a quick daily visual inspection each time a vehicle is to be operated.
- Regular inspections are documented and reviewed by management.
- Inspections are required on a regular schedule.

Item 7 Vehicle and Equipment Preventative Maintenance and Repair 0 5 10 20 4 **1** 0

Level II Improvement Items

- Preventative maintenance of vehicles and equipment occurs as per the manufacturer's specifications and performed by drivers/operators.
- Procedures are in place for writing up a vehicle when repairs are needed to ensure roadworthiness.

Level III Improvement Items

- Preventative maintenance and repair procedures are fully documented and include the sign-off of all repairs and alterations.
- All vehicle and equipment repairs are performed by qualified mechanics/service technicians.
- Preventative maintenance and repair records/logs are manually completed and filed by assigned fleet number.

Level IV Improvement Items

- Management has a comprehensive vehicle replacement schedule based on service histories, repair costs, mileage and operating costs.

Item 8 Driver Recognition Programs 0 2 5 10 2 2 2

Level III Improvement Items

- Driver recognition programs have been designed with input from drivers.

Level IV Improvement Items

- Driver recognition programs have been designed and approved as part of the budget.
- Programs are custom designed to meet the various needs of operating departments.
- Driving performance is monitored.

Item 9 Distracted (Inattentive) Driving 0 2 5 15 3 1 0

Level II Improvement Items

- Initial training completed for some affected employees.

Level III Improvement Items

- Training has been conducted for all affected employees and new hires.

Level IV Improvement Items

- Drivers/operators receive recurrent training on driver distractions.
- Supervisors/managers are held accountable for compliance and consistently enforce the policy.
- Management follows and supports distracted driving policy.

Item 10 Seatbelt Policy 0 0 5 15 4 1 0

Level II Improvement Items

No Requirements found for this Level

Level III Improvement Items

- Policy and/or work rule exists that requires mandatory occupant use of seatbelts/shoulder harnesses in motor vehicles (driver and passengers) and use of seatbelts where installed as part of roll-over-protection (ROP) on small and heavy equipment.
- Supervisors/managers do not consistently enforce policy and/or work rule.

Level IV Improvement Items

- Policy and/or work rule has been disseminated and reviewed with all drivers and operators.

Item 11 Personal Vehicle Use For Municipal Business Mileage Reimbursement Policy 0 3 5 15 4 2 3

Level III Improvement Items

- Written rules or policy concerning city owned and/or personal vehicles used on-the-job including accident reporting procedures.

Level IV Improvement Items

- Policy has been disseminated and reviewed with all affected drivers.
- Minimum levels of insurance are required and certificates of insurance are obtained from drivers before mileage reimbursement occurs.

Item 12 Hours of Service Policy 0 0 5 15 1 1 0

Level II Improvement Items

No Requirements found for this Level

Level III Improvement Items

- Written policy exists and the policy identifies the maximum amount of consecutive hours of on duty status for drivers, snow command staff, and mechanics.
- Mandatory out of service periods are addressed in the policy.
- Policy has been disseminated and reviewed with all affected employees.

Level IV Improvement Items

- Supervisors/managers are held accountable for compliance and consistently enforce the policy.
- Management reviews the policy with drivers to ensure employee safety.
- Employees also receive training and information on reducing driver fatigue.

Item 13

Vehicle Safety Equipment

0 3 5 15 4 **1** 0

Level II Improvement Items

- Safety features are considered when purchasing vehicles and equipment but not on a consistent basis and with no driver and operator input.

Level III Improvement Items

- Drivers and operators are consulted when specifications are developed and assists management in identifying safety feature priorities.

Level IV Improvement Items

- Management incorporates driver recommendations when developing specifications for replacement vehicles and equipment.
- Management consults with manufacturers, after market vendors, and other municipalities to ensure the latest safety features are investigated and incorporated.
- Management has a fleet enhancement/modification program to retro-fit older vehicles with added or upgraded safety features.