



November 1, 2016

Mr. Robert McDonald, General Manager
Carpinteria Valley Water District
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Brent Hastey
David T. Hodgins
W.D. "Bill" Knutson
Melody A. McDonald
Charles W. Muse
J. Bruce Rupp

Re: Liability, Property, and Workers' Compensation Risk Assessment

Dear Bob:

This confirms the risk assessment I conducted on October 27, 2016. For this visit, I met with Greg Stanford, Operations and Maintenance Manager; Norma Rosales, Assistant General Manager; and Brian King, District Engineer. Thank you for meeting with me during my visit.

The ACWA JPIA introduced its Commitment to Excellence Program in October 2013. This was based on a seven year trend analysis of liability and workers' compensation claims. These claims indicated that the most frequent and costly losses for our membership resulted from vehicles, construction, infrastructure, employment practices, ergonomics, and fall claims. Our goal is to help our membership reduce or prevent these types of claims.

The purpose of this visit was to review the "Opportunity Review" - Part A. This is the next step toward this goal. Our review identified the best practices your agency has in place, and which additional ones make sense to consider implementing. The ACWA JPIA can assist you in this effort.

Opportunity Review

Vehicle Program

- ✓ Ride-Along - For your new employee orientation/onboarding, you would have a new employee ride with a senior employee to become familiar with the District's locations. At some point, they should switch positions so the senior employee can assess the new employee's driving habits. You could also set up a test that would take into account typical driving exposures they will experience in the District. This test could include right turns, left turns, and uncontrolled intersections, etc. A sample road test can be found on our website at: http://www.acwajpia.com/C2E_VehicleOperations.aspx, then scroll down to *Driver Road Testing Procedure*.
- ✓ Also, consider using TargetSolutions online training as part of your new employee orientation/onboarding process. There are two trainings to choose from: *Driver Safety Orientation* or *Defensive Driving Strategies*.

- ✓ Consider implementing a Backing Policy. Go to the link above and scroll down to *Backing Accident Avoidance*. Here you will find a model Backing Policy plus additional documents supporting this topic.
- ✓ We encourage the District to require all employees to take TargetSolutions Defensive Driving Classes in between the classroom training that we provide every four years.

Risk Transfer

- ✓ Both you and Brian took a Risk Transfer Class in June 2015. When I spoke with him, he seemed a little unsure of responsibilities here. I would suggest that he go to the following link on our website http://www.acwajpia.com/C2E_Construction.aspx, and scroll down to *Risk Transfer*. Here you will find *Contra Costa WD Contractor Safe Practices Handbook* and *Alliant Insurance Requirements in Contracts Procedure Manual*.

Contractor Qualification

- ✓ Then scroll down to *Contractor Qualifications* and look at the documents there. We will also plan another Risk Transfer Class for the Central Coast in January.

Traffic Control

- ✓ Greg and I discussed the Watch Book as a guideline for setting up temporary traffic control. A copy is enclosed for Greg's review. Additional copies can be purchased at the following link <http://www.watchbook.org/>.

Ergonomic/Fall/Claims

- ✓ I was glad to hear that Greg completed the CEAS-I class. I told him that I am available when he completes his first evaluation and any time he has questions.

ACWA JPIA Services

- ✓ TargetSolutions - I am repeating the information on TargetSolutions below that I provided during my last visit to assure that you have an opportunity to review.

TargetSolutions

This training can be included as part of a new employee's orientation/onboarding. It can also be used as a refresher training for seasoned employees. One example is the Asbestos Cement Pipe refresher training. The Cal/OSHA Asbestos Unit will now allow the one-hour TargetSolutions course, for one-hour of the two-hour annual refresher training.

The Division of Drinking Water has also pre-approved a number of classes for straight contact hours including the following:

Approved Technical Courses:

Coagulation, Flocculation & Sedimentation Basics - Backflow Prevention Methods - Backflow Prevention Overview - Disinfection Basics - Distribution Service to Customers - Distribution System Materials & Equipment - Effective Meter Reading - Filtration Basics	- Emergency Response to Terrorism (Modules 1-4) - Hydraulics - Infectious Disease Control - Low Voltage Electrical Safety - Maintenance on Pumps, Motors & Circuits - Mathematics Applied - Mathematics Basics - Storm Water Pollution Prevention - Trenching & Shoring - Water Main Installation
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In addition, there is a large list of classes that have been pre-approved as “safety” classes. All of these classes can be completed in-house. See the attached suggested Target Solutions training schedule.

Professional Development Program

I would encourage you to get your staff involved in our Professional Development Program. We have three specialties: *Operations*, *Supervisor Basics*, and *Human Resources*. Typically, we have three conferences per year, along with regional training we provide throughout the year. TargetSolutions courses can be taken for electives. Go to <http://www.acwajpia.com/Training.aspx> and scroll down to *Professional Development Program (PDP)*.

Another very good training program is our ***Leadership Essentials for the Water Industry***. This program is a one year commitment. See the following link for program specifics http://www.acwajpia.com/filecabinet/trngnopw/leadership_essentials_summary.pdf. Norma would like to see this training offered on the Central Coast. I will discuss with our Training Department to see if we can make this happen.

Loss Experience

Workers' Compensation Loss Analysis

Policy Year	Number of Claims	Dollars Incurred	E-Mod
2012-2013	0	\$0	0.87
2013-2014	0	\$0	1.14
2014-2015	1	\$307	1.13
2015-2016	1	\$1056	1.20
2016-2017	0	\$0	0.71

The workers' compensation loss experience is trending very well. The one large claim from the 2011/12 policy-year has dropped off the e-mod calculation. This caused the e-mod to drop from 1.20 to 0.71. Keep up the good work.

Liability Program Loss Analysis

Policy-Year	No. of Cases	Dollars Incurred	E-Mod
2012-2013	1	\$2,414	0.82
2013-2014	0	\$0	0.93
2014-2015	3	\$12,585	0.92
2015-2016	2	\$7,985	0.91
2016-2017	0	\$0	0.83

There have been several incidents where gas lines have been damaged. As a reminder, hand digging or potholing is required within two feet of a marked utility. There have also been several vehicle accidents. For the vehicle accidents, TargetSolutions could be used as refresher training.

Policy-Year	No. of Cases	Dollars Incurred
2011-2012	1	\$80
2012-2013	0	\$0
2013-2014	1	\$5,338
2014-2015	0	\$0
2015-2016	1	\$21,000
2016-2017	1	\$3,200

During the 2015/16 policy-year, a 250 HP variable speed drive was damaged by a possible SCE power spike.

During the 2016/17 policy-year, there was one accident where a company employee rear-ended another vehicle. Marking the rear of these vehicles with high visibility reflective tape has been shown to reduce rear-end accidents. One resource is <http://stop-traffic.com/high-visibility-reflective-markings-for-commercial-delivery-fleet-trucks-vehicles/>.

My next risk assessment visit is scheduled for September 2017. If I can be of further assistance, please contact me at (818) 414-7382.

Sincerely,



Lee S. Patton, CSP, CPDM
Senior Risk Management Advisor

1101:ll

- Enc.: Opportunity Review - Part A
TargetSolutions Safety Schedule – Annual Training Calendar
- c: Norma Rosales, Assistant General Manager
Greg Stanford, Operations & Maintenance Manager
JPIA Risk Management Committee
Alonzo Orozco, JPIA Board Member (w/o Enc.)

PART A
Carpinteria Valley WD
Please return to ACWA-JPIA

**COMMITMENT TO EXCELLENCE (C2E) BEST PRACTICES
OPPORTUNITY REVIEW**

Please reference the Best Practices for the following C2E special emphasis areas and indicate which you would like assistance implementing or upgrading.

VEHICLE OPERATIONS
CONSTRUCTION
INFRASTRUCTURE
EMPLOYMENT PRACTICES
ERGONOMICS /FALLS
ERGONOMICS CLAIMS

VEHICLE PROGRAM BEST PRACTICES

Carpinteria Valley WD

Please indicate if you would like assistance with the Best Practices using the following checklist:

- YES (We do this already)
- NO (We don't do this at this time, but may be interested in the future)
- NA (This is not applicable for our district or something we have interest in)
- HELP (We desire assistance implementing this best Practice)

Focus	Checklist	Yes	No	NA	HELP	Comments
Driver Review/Qualification	<input type="checkbox"/> Applicable for all positions.	x				
	<input type="checkbox"/> Copy of DMV Report (pre-hire).	x				
	<input type="checkbox"/> Driver record point standard greater than DMV.	x				
	<input type="checkbox"/> Pull Notice Program used.	x				
	<input type="checkbox"/> Ride-along (test, re-test, post accident).		x			
Defensive Driver Training	<input type="checkbox"/> Required for all.	x				
	<input type="checkbox"/> Prior to driving assigned vehicle.		x			
	<input type="checkbox"/> Within 60 days of hire and every 2 years.		x			
	<input type="checkbox"/> Post accident tailgate/briefings.			x		
	<input type="checkbox"/> Formal Accident Investigation and Report.	x				
Accident Investigation Reporting	<input type="checkbox"/> Corrective action taken and documented.	x				
	<input type="checkbox"/> Formal management review (by GM).	x				
	<input type="checkbox"/> Investigation Report sent JPIA.	x				
	<input type="checkbox"/> Personnel action taken for at-fault incidents.	x				
	<input type="checkbox"/> Employees acknowledge policy.		x			
Backing Accident Avoidance	<input type="checkbox"/> Formal written policy.		x			
	<input type="checkbox"/> Non-compliance/at-fault discipline.		x			
	<input type="checkbox"/> Periodic Program Review.		x			
	<input type="checkbox"/> Policy acknowledged by drivers.	x				
	<input type="checkbox"/> Cell/Texting/Electronic Policy exceeds state standards.	x				
Cell/Texting/ Electronic Devices	<input type="checkbox"/> Disciplinary action points for policy violation.	x				
	<input type="checkbox"/> "E-Device" use reviewed following accidents.	x				
	<input type="checkbox"/> Based on local milestones, improvements, achievements.			x		
	<input type="checkbox"/> Annual award recognition by the Board.			x		
	<input type="checkbox"/> Award pin, certificate, plaque, etc.			x		

Had been part of Safety Committee duties

Not to use when driving.

CONSTRUCTION PROGRAM BEST PRACTICES

Please indicate if you would like assistance with the Best Practices using the following checklist:

- **YES** (We do this already)
- **NO** (We don't do this at this time, but may be interested in the future)
- **NA** (This is not applicable for our district or something we have interest in)
- **HELP** (We desire assistance implementing this best Practice)

Focus	Checklist	Yes	No	NA	HELP	Comments
USALine Location	<input type="checkbox"/> Marking Documentation	X				Handled in-house
	<input type="checkbox"/> Locator Qualification/Training	X				
	<input type="checkbox"/> Excavator Qualification Training	X				
	<input type="checkbox"/> Line GPS/Maps/Tracer Wire	X				
	<input type="checkbox"/> Using Damage Incident Reporting Tool (DIRT) Form		X			
	<input type="checkbox"/> USA Ticket Verification	X				
Risk Transfer	<input type="checkbox"/> Program		X			Risk Transfer Class needed-change in duties and responsibilities with promotions..
	<input type="checkbox"/> Responsible Person and Backup		X			Brian just assumed responsibilities when promoted.
	<input type="checkbox"/> Insurance Coverage Equals Risk		X			
	<input type="checkbox"/> Pre-Qualification Packet (Process)		X			
	<input type="checkbox"/> Emergency Response Risk Transfer		X			
	<input type="checkbox"/> Tracking Risk Transfer Requirements		X			
	<input type="checkbox"/> Permit Coordination		X			
	<input type="checkbox"/> Document Retention		X			
Contractor Qualification	<input type="checkbox"/> Pre-Qualification Packet/Program	X				All contractors must be approved by Board. Currently using Elite General Engineering & Tierra Contracting. Contractors are doing 50% of leak repair.
	<input type="checkbox"/> Insurance Requirements		X			
	<input type="checkbox"/> Reference Check		X			
	<input type="checkbox"/> Post-Project Evaluation		X			
	<input type="checkbox"/> Bid Writing/Loss Prevention Coordination		X			
	<input type="checkbox"/> Pre-Job Review		X			
	<input type="checkbox"/> Acceptance of Project	X				
	<input type="checkbox"/> Site Control	X				
	<input type="checkbox"/> Site Documentation, Site Inspection (Pre/Post Construction Inspection)	X				
	<input type="checkbox"/> Contract Language/Responsible Party		X			
Third Party Exposures	<input type="checkbox"/> Multi-Employer Exposures		X			Danny responsible for inspection.
	<input type="checkbox"/> Lighting, Warnings		X			
	<input type="checkbox"/> Asset Inspection		X			
	<input type="checkbox"/> Third Party Exposure Inspection		X			

Traffic Control			X	
<input type="checkbox"/> Template/Formal				
<input type="checkbox"/> Encroachment Permit		X		
<input type="checkbox"/> Controlling Agency Coordination		X		
<input type="checkbox"/> Inspection Program		X		
<input type="checkbox"/> Trained Personnel (Qualified Person)		X		
<input type="checkbox"/> Equipment Storage		X		

INFRASTRUCTURE PROGRAM BEST PRACTICES

Please indicate if you would like assistance with the Best Practices using the following checklist:

- **YES** (We do this already)
- **NO** (We don't do this at this time, but may be interested in the future)
- **NA** (This is not applicable for our district or something we have interest in)
- **HELP** (We desire assistance implementing this best Practice)

Focus	Checklist	Yes	No	NA	HELP	Comments
WATER LINE FAILURE	<input type="checkbox"/> Asset Identification	X				
	<input type="checkbox"/> Valve Exercising/Flushing	X				Conducted throughout the year.
	<input type="checkbox"/> Preventive Maintenance	X				
	<input type="checkbox"/> H ₂ O Loss Monitoring	X				AWWA Tap Program
	<input type="checkbox"/> Emergency Response	X				In-house or through contractor.
	<input type="checkbox"/> Inspection – Lift station/Pipe			X		
	<input type="checkbox"/> Inspections – Lift station			X		
	<input type="checkbox"/> Inspections – Entire Sewer System			X		
	<input type="checkbox"/> Lateral Responsibility			X		
	<input type="checkbox"/> Preventive Maintenance			X		
SEWER BACKUP	<input type="checkbox"/> Asset Identification			X		
	<input type="checkbox"/> Emergency Response			X		
	<input type="checkbox"/> Rodent Control			X		
	<input type="checkbox"/> Operations			X		
	<input type="checkbox"/> Inspection/Maintenance			X		
	<input type="checkbox"/> Construction/Design			X		
	<input type="checkbox"/> Vegetation/Weed Control			X		
	<input type="checkbox"/> Security/Alarms/Cameras	X				At HQ.
	<input type="checkbox"/> Equipment ID	X				
	<input type="checkbox"/> Fencing/Enclosures	X				Will be improving at HQ.
FIRE	<input type="checkbox"/> Hotwork			X		
	<input type="checkbox"/> Controlled Burns			X		
	<input type="checkbox"/> Defensible Space	X				
	<input type="checkbox"/> Electric Surge		X			Do have UPS for computer system. Do thermal imaging through contractor
EQUIPMENT FAILURE	<input type="checkbox"/> Preventive Maintenance	X				Contractor handles for MCC units.
	<input type="checkbox"/> Animals/Insects/Bugs	X				
	<input type="checkbox"/> Lightning	X				
	<input type="checkbox"/> Backup Equipment	X				
	<input type="checkbox"/> Emergency Response	X				

EMPLOYMENT PRACTICES BEST PRACTICES

Please indicate if you would like assistance with the Best Practices using the following checklist:

- YES (We do this already)
- NO (We don't do this at this time, but may be interested in the future)
- NA (This is not applicable for our district or something we have interest in)
- HELP (We desire assistance implementing this best Practice)

Focus	Checklist	Yes	No	NA	HELP	Comments	
Appropriate Documentation	<input type="checkbox"/> Up to date handbook/MOU	X				Personnel Manual and MOU reviewed by attorney May 2016.	
	<input type="checkbox"/> Up to date job descriptions	X					
	<input type="checkbox"/> Regular performance appraisals given	X					
	<input type="checkbox"/> Management procedures and policies in place	X					
	<input type="checkbox"/> Uniform hiring process	X					Using E-relations
	<input type="checkbox"/> Pre-employment checks on all hires	X					
	<input type="checkbox"/> Post-hiring process followed for all new staff	X					
	<input type="checkbox"/> Organization aligned to support staff development	X					
	<input type="checkbox"/> Supervisor specific training	X					Would like to have Leadership Training come to Central Coast.
	<input type="checkbox"/> Job specific training	X					
Promoting Staff Development	<input type="checkbox"/> Sexual Harassment/Discrimination training	X					
	<input type="checkbox"/> Regular performance feedback	X					
	<input type="checkbox"/> Designated and trained Human Resources staff	X				Norma	
	<input type="checkbox"/> Labor specific counsel utilized	X					
	<input type="checkbox"/> Involvement in professional organization(s)	X					
	<input type="checkbox"/> JPIA resources utilized	X					
	<input type="checkbox"/> All staff communication mechanism	X				Quarterly All Hands Meeting.	
	<input type="checkbox"/> Routine management meetings	X					
	<input type="checkbox"/> Open door policy	X					
	<input type="checkbox"/> Internal complaint procedure	X					
Effective Communication	<input type="checkbox"/> Collaborative problem solving	X					

ERGONOMIC/FALL PROGRAM BEST PRACTICE

Ergonomics

Carpinteria Valley WD

Please indicate if you would like assistance with the Best Practices using the following checklist:

- YES (We do this already)
- NO (We don't do this at this time, but may be interested in the future)
- NA (This is not applicable for our district or something we have interest in)
- HELP (We desire assistance implementing this best Practice)

Focus	Checklist	Yes	No	NA	HELP	Comments
Ergonomic Program	<input type="checkbox"/> Written program with periodic review.		x			
	<input type="checkbox"/> Included in new employee orientation (NEO).		x			
	<input type="checkbox"/> Office/field evaluations.		x			Greg just completed CEAS I training. Have used JPIA, but Greg will now be able to complete.
	<input type="checkbox"/> Evaluations performed internally.		x			Greg
Ergonomic Training	<input type="checkbox"/> Responsible person identified	x				
	<input type="checkbox"/> Provided all employees & on-going		x			
	<input type="checkbox"/> Provided during new employee orientation (NEO).		x			Consider adding TargetSolutions for their office and industrial ergo training.
	<input type="checkbox"/> Provided temporary workers.			x		
Ergonomic Operations Equipment	<input type="checkbox"/> In-house trainer(s).		x			Greg will be able to handle in future.
	<input type="checkbox"/> TargetSolutions usage.		x			JPIA will schedule both Office and Field Ergo Classes.
	<input type="checkbox"/> Tools, equipment, resources obtained.	x				Added vacuum trailer which is attached to valve truck. Also have small boom.
	<input type="checkbox"/> Quantity & availability.	x				
	<input type="checkbox"/> Mechanical assistance.	x				
	<input type="checkbox"/> Workstations.	x				Have added a number of sit/stand stations.
	<input type="checkbox"/> Personal protective equipment (PPE).	x				Allow 2 pairs of safety shoes per year.
	<input type="checkbox"/> HR LaBounty Safety Award participation).		x			

Falls

Focus	Checklist	Yes	No	NA	HELP
Work Environment	<input type="checkbox"/> Housekeeping.	x			
	<input type="checkbox"/> Work area debris management.	x			
	<input type="checkbox"/> Work site access.	x			
	<input type="checkbox"/> Lighting.	x			
	<input type="checkbox"/> Footwear/boots.	x			
	<input type="checkbox"/> Guardrails/walkways.	x			
	<input type="checkbox"/> Fall prevention/arrest systems.	x			
Fall Protection Personal Protective					

ERGONOMIC/FALL/CLAIMS PROGRAM BEST PRACTICES

Claims

Carpinteria Valley WD

Please indicate if you would like assistance with the Best Practices using the following checklist:

- **YES** (We do this already)
- **NO** (We don't do this at this time, but may be interested in the future)
- **NA** (This is not applicable for our district or something we have interest in)
- **HELP** (We desire assistance implementing this best Practice)

Focus	Checklist	Yes	No	NA	HELP	Comments
Claims Reporting	<input type="checkbox"/> Written procedures.	X				
	<input type="checkbox"/> Primary & Back-up responsible persons.	X				
	<input type="checkbox"/> Timely reporting to JPIA.	X				
	<input type="checkbox"/> Staff, NEO, training.	X				
Job Descriptions	<input type="checkbox"/> Physical requirements identified & updated periodically.	X				
	<input type="checkbox"/> Pre-employment physicals.	X				
	<input type="checkbox"/> Considered in RTWP.	X				
	<input type="checkbox"/> Formal Program w/ periodic review.	X				
Return To Work Program	<input type="checkbox"/> Return to work team.	X				
	<input type="checkbox"/> Fit-for-duty exams (not for WC claims).	X				
	<input type="checkbox"/> Temporary duty focus.	X				
Aging Workforce Considerations	<input type="checkbox"/> Aging workforce planning.			X		
	<input type="checkbox"/> Interactive process provided.			X		

ACWA-JPIA Services
Carpinteria Valley WD

Please indicate if your District currently uses any of the following programs:

	Yes	No	Unaware Program Existed	Comments
<input type="checkbox"/> Target Solutions	x			Look to expand usage to field and office staff.
<input type="checkbox"/> Safety Awards Program		x		Let employees know about the JPIA's HR LaBounty Safety Award Program.
<input type="checkbox"/> JPIA Webinars		x		
<input type="checkbox"/> Learning Management System (LMS)		x		
<input type="checkbox"/> Risk Transfer Manual /Hot Line		x		
<input type="checkbox"/> Employment Practice Hotline		x		

