# LOSS CONTROL STANDARDS

The purpose of the Loss Control Standards is to encourage CIRSA members to establish and implement comprehensive risk management and safety programs in order to prevent accidents and related losses. The standards address many of the high frequency, high severity loss exposures that public entities face.

The majority of the standards apply to members of both the Property/Casualty and Worker's Compensation pools however, some apply specifically to one pool. Smaller entities, with 15 or fewer full-time employees, are exempt from many of the standards.

Each year, the Loss Control Department audits your compliance with the standards and can assist members in complying by providing sample policies and procedures, or conducting employee training. Loss Control Credits are awarded to those members who achieve at least 80 percent compliance. Members may use these funds to offset their annual contribution or purchase needed safety items.

CIRSA

# CIRSA
# LOSS CONTROL STANDARDS

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## I.    IMPLEMENTATION OF STANDARDS

<u>New Members</u> - All standards within this document must be implemented within 18 months of joining CIRSA, unless a specific timeframe is otherwise listed in a standard. <u>Existing Members</u> – All new standards must be implemented within one calendar year of receipt.  CIRSA and your assigned Loss Control Representative have significant resources available to help you work towards compliance.

## II.    AUDIT PROCESS OVERVIEW

Each audit is customized to the member based on the applicable required standards. A larger member may have multiple applicable standards, while a smaller member may have only a few. However, members are not burdened by, nor are points deducted for, standards that do not apply to their entity. Likewise, members are not given credit for standards that do not apply, unless it can be proven that such a standard may improve their overall environmental, health, and safety efforts.

The audit cycle covers the previous calendar year with the exception of those standards that are only required every two years. For example, audits conducted during 2018 are evaluating the member's progress from January 1 – December 31, 2017.

By adopting CIRSA's Bylaws and Intergovernmental Agreement, each member has committed to follow the loss control standards and procedures adopted by the CIRSA Board of Directors. Thus, adherence to these Loss Control Standards is an obligation of membership.

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The final audit score is used in conjunction with the members' LEF (Loss Experience Factor) and Loss Ratio to determine other matters, such as safety awards, LC Audit Credit allocations, and progressive compliance status.

The audit process helps each member and CIRSA ensure that we are all working together to reduce and/or eliminate incidents, accidents, and the resulting claims, thus improving the pool's loss experience as a whole while helping to reduce costs, litigation, incidents, and injuries.

### III.     LOSS CONTROL PROGRAM MANAGEMENT

#### *Management Support:

A)  Organizational management (city/town managers, executive directors, etc.) helps to establish and implement written annual safety and loss control goals for the enhancement of the organizational safety culture and reduction of losses.
*Pool: PC & WC*

B)  Managers and supervisors support and participate in entity safety program activities.
*Pool: PC & WC*

#### Council/Board Training:

Documented training is provided to the new governing body and board and commission members on liability issues and conflict of interest issues as soon as possible upon election/appointment but no later than six months following their election or appointment to office.
*Pool: PC only*

#### Safety Committee/Safety Coordinator:

A)  A safety committee or safety coordinator has been appointed to establish, implement, and maintain the member's loss control program.
*Pool: PC & WC*

B)  Where a safety committee exists, meetings are held at least quarterly, and notes, progress, and/or action items of the meetings are maintained.
*Pool: PC & WC*

#### Contract Provisions:

A)  Where appropriate, as determined by the entity, risks of loss are contractually transferred to contractors through the use of indemnification and hold harmless agreements, and the member is named as an additional insured on the contractor's insurance policies.
*Pool: PC & WC*

B)  Where appropriate, as determined by the entity, contractors are required to provide certificates of insurance evidencing the existence of necessary coverages, including listing the entity as an additional insured. Entities should defer to their contracts, purchasing, and/or legal departments to help establish adequate limits.
*Pool: PC & WC*

C)  Contractors are required to comply with applicable federal, state, and local environmental, safety and health laws, regulations, and ordinances.
*Pool: PC & WC*

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**Accident Investigation and Reporting:**

A) Procedures for reporting and investigating accidents have been established and implemented.
*Pool: PC & WC*

B) Claim reports are completed and filed in a timely manner.
*Pool: PC & WC*

C) Supervisor accident forms are completed as part of the investigation process, which includes plans and corrective actions to prevent recurrences. Timelines for corrective actions are included as part of the overall accident investigation process.
*Pool: PC & WC*

***Safety Inspections:**

A) In addition to CIRSA's property survey, documented safety inspections are conducted by the entity at least annually for active properties.
*Pool: PC & WC*

B) A method for following up on deficiencies has been implemented.
*Pool: PC & WC*

***Safety Awareness Program:**

A) A program for promoting safe job behaviors and reducing accidents is established and implemented. This may be accomplished through frequent safety/tailgate meetings, safety fairs, non-penalty-based incentive programs, and/or any combination of these or other effective awareness/improvement tools.
*Pool: PC & WC*

B) High-risk job tasks are analyzed, hazards identified, and job safety analyses (JSAs), safety checklists, or any equivalent tools/programs are developed and utilized. Employees and/or supervisors observe job tasks being performed and document safe versus at-risk behaviors.
*Pool: PC & WC*

**\*New Employees', Seasonal Employees' & Volunteers' Safety Orientation:**

New employees, seasonal employees, and volunteers receive a documented safety orientation.
*Pool: PC & WC*

**Back Injury Prevention:**

A) Employees participate in an ongoing (annual) training.
*Pool: WC only*

B) An awareness program to prevent back injuries is developed/implemented.
*Pool: WC only*

**Slip, Trips, and Fall Injury Prevention:**

A) Employees participate in an ongoing (annual) training.
*Pool: WC only*

B) An awareness program to prevent slip, trip, and fall injuries is developed/implemented.
*Pool: WC only*

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### *Incident Response Program:

A)  An incident response program for dealing with potential and/or foreseeable emergencies and incidents (such as fires, medical emergencies, storms, pandemics, etc.) has been developed. This program is updated at least every five years.
*Pool: PC & WC*

B)  Employees have been trained in appropriate incident response procedures. Training is conducted at least every two years.
*Pool: PC & WC*

### Infection Control:

A)  Infection control procedures are developed and implemented.
*Pool: WC Only*

B)  Applicable employees are trained upon hire and every three years thereafter.
*Pool: WC Only*

### *Office Ergonomics:

A)  Computer workstations are evaluated to ensure they are set up in a proper ergonomic manner to help reduce repetitive motion injuries.
*Pool: WC only*

B)  Employees who operate computers receive computer workstation ergonomics training at least every two years.
*Pool: WC only*

### Financial Controls:

A system of internal controls and fraud prevention is maintained and includes appropriate segregation of duties, disbursement approvals, regular bank account reconciliations, and an annual independent financial audit (unless exempted from audit requirements pursuant to state law). See Attachment.
*Pool: PC only*

### Data Security:

An electronic resources policy has been established and implemented.  Provisions of the policy include procedures for network security, password policies, antivirus software with frequent updates, firewall technology, daily system backups, user conduct, and procedures for pre-breach and post data breaches.  See Attachment.
*Pool: PC only*

### ADA Program:

A)  An ADA coordinator has been designated, and their contact information is publicly available, i.e. easily found on the entity's website, known to all staff, etc.
*Pool: PC and WC*

B)  *The program includes an evaluation of programs, policies, practices, facility access and transition plan(s) that are updated at least every two years.
*Pool: PC and WC*

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**Note:** This small-town exemption does not eliminate the requirement to follow all applicable requirements of the ADA. CIRSA recommends that all entities, at minimum, identify someone that can handle initial ADA requests, comments, complaints, etc., and said entities develop a full ADA program.

**Annual Safety Video:**

90% of affected employees watch the most recent CIRSA safety video. Affected employees are those member employees where the video topic is applicable to their job duties.
*Pool: PC & WC*

**Loss Control Recommendations:**

A) Property survey recommendations are responded to within 60 days of receipt of the recommendation(s).
*Pool: PC & WC*

B) Appropriate action is taken to correct hazardous conditions and to implement other safety program recommendations.
*Pool: PC & WC*

## IV. PERSONNEL MANAGEMENT

A program for dealing with employment-related claims has been established, including provisions for the following:

**Harassment:**

A) A harassment policy covering all EEOC bases, such as age, race, sex, disability, sexual orientation, religion, and national origin and conforming to federal and state law requirements has been prepared, adopted, and distributed or made available to employees, elected and appointed officials, etc.
*Pool: PC & WC*

B) Employees are trained in the prevention of harassment at least every two years.
*Pool: PC & WC*

**Pre-Termination Procedures:**

A) A review is conducted prior to terminating any employee. The review shall be conducted by a qualified attorney, human resource professional, or through the CIRSA liability hotline.
*Pool: PC only*

B) A CIRSA termination checklist or equivalent is made available to supervisors and managers to assist in identifying issues.
*Pool: PC only*

C) Managers and supervisors are trained in applicable termination procedures.
*Pool: PC only*

**\*Violence in the Workplace:**

A) A written policy regarding the prevention of workplace violence has been established.
*Pool: PC & WC*

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B) Employees are trained upon hire and at least once every two years thereafter in applicable violence prevention procedures.
*Pool: PC & WC*

### *Safety Performance Evaluations:

A) Managers, supervisors, and office staff receive an annual safety performance evaluation as part of their overall performance review.
*Pool: PC & WC*

B) All other employees, such as field staff, receive an annual safety performance evaluation as part of their overall performance review.

### Designated Medical Provider:

A) Medical providers have been designated in writing in accordance with the Colorado Workers' Compensation Act to treat the member's employees who sustain on-the-job injuries or illnesses.
*Pool: WC only*

B) All employees are made aware of the program via training or notification.
*Pool: WC only*

### *Modified Duty Work Program:

A written modified/restricted duty work program and policy have been established to facilitate, where possible, return to work by injured employees, including communicating with the designated medical provider as required by the Colorado Workers' Compensation Act to define job functions and work limitations.
*Pool: WC only*

## V.  MOTORIZED VEHICLES & EQUIPMENT

### Vehicle Safety Program:

A) A seat belt policy consistent with state law has been established, implemented, and reviewed with and signed off by employees.
*Pool: PC and WC*

B) * A system for monitoring employee seat belt compliance has been established and implemented.
*Pool: PC & WC*

C) A policy exists that prohibits forms of distracted driving, such as, but not limited to: texting, checking social media, eating and drinking, etc.
*Pool: PC & WC*

D) * MVRs (Motor Vehicle Records) are checked at least annually for existing employees and prior to placing new employees into driving positions.
*Pool: PC and WC*

E) A procedure and criteria for addressing and evaluating continued at-risk driving activities (citations, unsafe behaviors, etc.) have been established.
*Pool: PC and WC*

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F) \* All vehicle accidents are investigated to determine causes and preventative action. Employees involved in preventable accidents are subject to pre-established procedures (such as counseling, training, suspending driving activities, etc.) for preventing future accidents.
*Pool: PC & WC*

G) \* A documented vehicle maintenance and inspection program, including heavy equipment, aerial lifts, and fire apparatus, has been established.
*Pool: PC & WC*

H) Any modifications or attachments to vehicles/equipment are designed and installed per manufacturer, engineers, and/or the competent person's recommendations. Periodic (annually, at minimum) inspections of modified equipment and/or attachments also must be completed by the manufacturer, engineers, and/or the competent person.
*Pool: PC & WC*

I) Defensive driving training is conducted at least every two years for employees who operate member-owned or leased vehicles, or their personal vehicles for entity business, including heavy equipment and fire apparatus, as an essential function of their job duties.
*Pool: PC & WC*

J) Documented field evaluations of driving behaviors for new hires and employees (or any driver, regardless of employee status) who have had on-the-job preventable vehicle accidents.
*Pool: PC & WC*

### Snow Plowing Operations:

A) All snow plow drivers/operators are provided with a route and task-specific safety orientation prior to plowing snow with any vehicle or equipment, i.e. truck, loader, ATV, etc.
*Pool: PC & WC*

B) All snow plow drivers/operators receive route and task-specific snow plow training at least every two years.
*Pool: PC & WC*

## VI.   LAW ENFORCEMENT

### Policy and Procedures:

A) Adopts the key provisions of the CIRSA sample Pursuit and Emergency Vehicle Operations Policy and Pursuit Driving Policy. (2 points); or adopts the Lexipol vehicle pursuit policy and emergency vehicle operations policy or equivalent. (1 point).
*Pool: PC & WC*

B) Develops and implements a Use of Force Policy, including Deadly Force.
*Pool: PC & WC*

C) Develops and implements a Search, Seizure, & Arrest Policy and Procedures.
*Pool: PC & WC*

D) Develops and implements a "Less-Lethal Defensive Tools" (such as electronic restraint devices, impact weapons, OC pepper spray, etc.) Policy.
*Pool: PC & WC*

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E) Provides body armor for police officers. Policies for body armor usage have been established.
   *Pool: WC only*

### Training:

A) Training is provided on Pursuit and Emergency and Vehicle Operations (annually).
   *Pool: PC & WC*

B) Training is provided on Use of Force, including Deadly Force (annually).
   *Pool: PC & WC*

C) Training is provided on Search, Seizure, and Arrest (annually).
   *Pool: PC & WC*

D) Training is provided on Less-Lethal Defensive Tools (such as tasers, electronic restraint devices, impact weapons, OC/pepper spray, etc.)  (annually).
   *Pool: PC & WC*

E) Training is provided on the use and care of Body Armor at least every two years.
   *Pool: WC only*

F) Ethics training is provided at least every two years.
   *Pool: PC only*

G) De-escalation training is provided at least every two years.
   *Pool: PC & WC*


## VII.    FIRE DEPARTMENTS

### Safety and Health Program:

An Occupational Safety and Health Program has been established per NFPA 1500.
*Pool: PC & WC*

### Safety Officer:

A certified firefighter has been designated as the department's safety officer.
*Pool: PC & WC*

### Structural Firefighter Training:

Structural firefighter training is provided annually.
*Pool: PC & WC*

### Firefighter Level-One Training:

All firefighters are trained, at minimum, to the current Level One curriculum and/or all minimally required local, state, and/or federal standards, such as NFPA.
*Pool: PC & WC*

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## VIII.    PUBLIC WORKS, PARKS AND RECREATION, AND UTILITIES

### General (All Applicable Public Works, Parks, Utilities, Streets, and/or similar Departments):

\* Documentation of complaints or notices of hazardous conditions from the public is maintained and follow-up procedures established.
*Pool: PC only*

### Work Zone Protection (All Applicable Departments):

A)  \* The Manual on Uniform Traffic Control Devices is used in determining the placement of work zone safety devices for all work performed on streets, roads, sidewalks, and/or all other rights-of-way.  This small-town exemption does not eliminate the federal requirement to follow the MUTCD.
*Pool: PC & WC*

B)  \* Documented employee training is conducted at least every two years. Applicable employees maintain flagger certifications. This small-town exemption does not eliminate the training requirements set forth in the MUTCD.
*Pool: PC & WC*

### Lockout/Tagout Program (All Applicable Departments):

A)  A lockout/tagout program consistent with industry standards has been established and implemented.
*Pool: PC & WC*

B)  Documented employee training is conducted at least every two years.
*Pool: PC & WC*

### Trenching and Excavation (All Applicable Departments):

A)  Written procedures for trenching and excavating, consistent with industry standards, have been established and implemented.
*Pool: PC & WC*

B)  Documented employee training is conducted at least every two years.
*Pool: PC & WC*

### Confined Space Entry (All Applicable Departments):

A)  A program for entering and working in confined spaces, consistent with industry standards, has been established and implemented.
*Pool: PC & WC*

B)  Atmospheric testing equipment, personal protective equipment, emergency rescue, ventilation, and other safeguards and equipment are available and utilized for confined space entries.
*Pool: PC & WC*

C)  Documented employee training is conducted at least every two years.
*Pool: PC & WC*

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**Chemical Safety (All Applicable Departments):**

A) Written procedures for hazardous chemical use, including emergency procedures, have been established and implemented. SDS or Safety Data Sheets (formerly Material Safety Data Sheets) are maintained and accessible to employees.
   *Pool: PC & WC*

B) Documented employee training is conducted at least every two years. DOT regulations are met when transporting chemicals, such as chlorine cylinders.
   *Pool: PC & WC*

C) Chlorine Safety – Employee training is conducted at least every two years for employees who work with liquified and/or gaseous chlorine.
   *Pool: PC & WC*

**Public Works:**

\* A documented inspection and maintenance program for streets, roads, sidewalks, signs, and traffic control devices is developed and implemented.
*Pool: PC only*

**Parks and Recreation:**

A) Safety inspections of parks, playgrounds, trails, bike paths, mountain bike courses, playgrounds, skate parks, sledding/tubing hills, ball fields, and recreational facilities are conducted at least monthly. Inspections are documented, deficiencies corrected, and records maintained.
   *Pool: PC only*

B) Employees are trained at least once every two years on how to conduct inspections.
   *Pool: PC only*

C) Provisions have been established per state law for the design, installation, and inspection of diving boards and other platforms, slides, and tubes.
   *Pool: PC only*

D) Industry standard safety rules are posted near all accessible structures such as, slides, tubes, and diving boards.
   *Pool: PC only*

E) Lifeguards are certified by a nationally-recognized program or equivalent.
   *Pool: PC only*

F) Lifeguards are provided when swimming/aquatic facilities are occupied.
   *Pool: PC only*

G) Monthly lifeguard training is provided. Weekly is preferred but not required. Training documentation is maintained.
   *Pool: PC only*

H) An informed consent/waiver of liability form system is established for participants in entity-sponsored recreational events.
   *Pool: PC only*

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### Wastewater Lines

A) A documented sewer inspection and maintenance program has been established. A plan for responding to sewer backups is established.
*Pool: PC only*

B) Inspections are conducted at least every 36 months. Recurring problem areas regarding backups are inspected and maintained more often, and documented provisions for addressing problem areas are established, implemented, and records are maintained.
*Pool: PC only*

### Electric

A) Electric utility employees receive safety training at least annually. Training must be specific to the work type, equipment/tools, and hazard types encountered in the industry. Training is documented and records maintained.
*Pool: PC & WC*

B) Electrical protective equipment, including insulating blankets, matting, covers, line hose, gloves, and sleeves shall comply with the design, care, use, inspection, and test requirements of OSHA 29 CFR.1910.137.
*Pool: WC only*

C) Aerial Devices and Digger Derricks and/or similar equipment types, as used on/near high-voltage lines, must be tested annually in accordance with ANSI A92.2, ANSI 10.31, and using OSHA (1910.67) or other industry guidelines.
*Pool: PC & WC*

D) Hot Sticks & Live Line Tools and/or similar equipment types must be tested annually per ASTM F711-02 and IEEE 978 standards.
*Pool: PC & WC*


## IX.  AUDIT ACTION PLAN (LOSS CONTROL ACTION PLAN):

The action plan is a separately-scored component of each member's audit. The plan is used to highlight specific focus areas for each member. Examples of focus areas include, but are not limited to: high claims frequency or severity, special industry needs, low score audit standards, and/or any other CIRSA and/or industry standard, where the member needs improvement.

Members whose loss control programs do not have areas that need improvement may work with their respective loss control representative to highlight innovative programs and/or high-quality, highly successful initiatives.


## X.  BONUS STANDARDS:

Members who comply with the following voluntary standards are eligible for one additional point per item (unless otherwise indicated) on their annual Loss Control Standards audit. Members may receive bonus standard credit only for standards applicable to their respective pools and/or their entity. For example, if a fire department does not offer confined space rescue as a service, they cannot receive bonus points for the training.

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**Applicable to Most Members:**

1. Establishes and implements a cost allocation system that charges the cost to risk, with consideration of departmental loss experience, to each department. (3 points) (PC & WC)

2. Attends a CIRSA General Membership, Safety Forum, Workshop (such as ADA, APWA, etc.), Police Liability Meeting, or participates on a CIRSA task force. (Maximum of 2 points) (PC & WC)

3. Implements an innovative safety program, product, initiative, system, etc., not otherwise covered under another Loss Control Standard. (Up to 3 points) (PC & WC)

4. Provides managers and supervisors training on contracts and certificates of insurance. (PC Only)

5. Conducts a security assessment of city/town hall and/or other entity facilities annually. (2 points) (PC & WC)

6. Employs a Certified ADA Coordinator on staff. (PC & WC)

7. Employs a credentialed safety/loss control professional. Recognized credentials include, but are not limited to: Certified Safety Professional (CSP), Associate Safety Professional (ASP), Occupational Safety and Health Technologist (OHST), and Safety Trained Supervisor (STS). (PC & WC)

8. Employs a credentialed risk manager. Recognized credentials include, but are not limited to: Associate in Risk Management (ARM) or Certified Risk Manager (CRM). (PC & WC)

9. Goes the previous calendar year without incurring a property/liability loss. (2 points) (PC Only)

10. Goes the previous calendar year without incurring a workers' compensation loss. (2 points) (WC Only)

11. Evaluates field activities and modifies jobs with awkward positions, repetitive motions, or excessive forces to prevent musculoskeletal injuries. (WC Only)

12. Develops and implements a written succession planning program with the goal of maintaining institutional knowledge when seasoned employees leave the organization. (PC & WC)

**Law Enforcement:**

13. Achieves state or national accreditation. (2 points for state accreditation, 3 for national) (PC & WC)

14. Police department records personnel are certified by the Colorado Certified Records Network Board. (PC Only)

15. Provides hazardous material response training for police and/or fire department personnel. (PC & WC)

16. Implements or repeats the Below 100 program every two years, and at least 80% of police officers have: completed all six online courses, attended classroom instruction with an authorized instructor, or attended online training as a group with an authorized instructor. (2 points every two years) (PC & WC)

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17. Implements a patrol-based video system(s) in the police department with an applicable use and retention policy in place. (PC & WC)

**Fire Departments:**

18. Achieves state or national accreditation. (2 points for state accreditation, 3 for national) (PC & WC)

19. Provides hazardous material response training at least every two years. (PC & WC)

20. Provides documented confined space rescue training for personnel at least every two years. (PC & WC)

21. Provides documented excavation and trenching rescue training for personnel at least every two years. (PC & WC)

**Public Works, Parks and Recreation, and Utilities:**

22. Employs a certified Traffic Control Supervisor on staff. (PC & WC)

23. Employs a Certified Playground Inspector on staff. (PC Only)

24. Develops and implements a "SHARPS Container" program for departments tasked with cleaning up publicly accessed facilities where needle exposures exist. (PC & WC)

## XI.    ATTACHMENTS:

The attached checklists are for reference purposes only. Your assigned loss control representative will have the most current version of the checklist.

1. Financial Controls – page 14

2. Data Security – page 15

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**CIRSA - Financial Controls Questionnaire - Reference Only**

| Note: There is no small-town exemption for any of these criteria unless exempted per state law. | YES | NO |
|---|---|---|
| **INDEPENDENT FINANCIAL AUDIT** | | |
| Does your entity receive an annual, independent financial audit? | | |
| Did your auditors identify any significant deficiencies or material weaknesses in conjunction with their audit procedures?  If so, do they remain uncorrected? | | |
| **SYSTEM OF INTERNAL CONTROLS AND FRAUD PREVENTION** | | |
| Do your governing body and senior management commit the appropriate time and other resources to maintaining effective internal controls? | | |
| Are background checks performed on all new hires? | | |
| Has senior management established a clear structure of authority and responsibility which segregates incompatible duties?  Specifically: | | |
| ☐   Is the employee who approves purchases and/or payroll different from the employee who signs the checks or otherwise disburses the funds? **Or,** Is there second person verification for these activities? | | |
| ☐   Are billings determined and sent to your customers/constituents by an employee different from the employee who receives and records the payment? **Or,** Is there second person verification for these activities? | | |
| ☐   Are checks or other receipts received and logged by a separate employee from the employee who records the receipt in your accounting system? **Or,** Is there second person verification for these activities? | | |
| ☐   Is the individual who approves accounts receivable write-offs different from the employee who sends out the bill and/or accepts the receipts? **Or,** Is there second person verification for these activities? | | |
| ☐   Do you provide credit or purchasing cards to employees?  If so, are monthly statements received and reviewed by a different, authorized individual? | | |
| Are significant accounting records reviewed and/or reconciled on a regular (such as monthly) basis?  Specifically, | | |
| ☐   Are your bank accounts reconciled on a monthly basis by someone who is not authorized to write checks and/or accept payments?  If not, are bank statements received and reviewed by an independent party prior to providing them to the assigned employee? | | |
| ☐   Are accounts receivable aged regularly (such as monthly)?  Are past due accounts reviewed by an individual separate from the employee who recorded the bill or accepts receipts? | | |
| ☐   Is an annual budget of anticipated revenues and expenditures prepared and approved by your governing body?  Is there a regular (such as monthly) reporting of budgeted to actual amounts provided to the governing body or someone who is independent of the purchasing or billing function? | | |
| ☐   Is there a regular physical inventory of <u>significant assets</u> performed by an individual who has no responsibilities to either maintain the assets or record them in your accounting records? **Note:** This timeframe is at the discretion of the member, based on their inventory needs | | |
| Is access to physical assets and accounting records restricted?  Specifically: | | |
| ☐   Are cash and checks maintained in a secured area until deposited? | | |
| ☐   Do you keep an inventory of valuable physical assets?  Are they protected from unauthorized access/use and safeguarded from theft? | | |
| ☐   Is access to your accounting system and supporting financial records restricted to authorized personnel? | | |

* Indicates an exemption from the CIRSA loss control standard for "small entities." A small entity, as defined by CIRSA, is any member with 15 or fewer full-time employees.  However, federal, state, and local laws may impose similar requirements which do apply to such "small entities." Thus, exemptions from these CIRSA standards do not reflect exemptions from any applicable laws.

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**CIRSA - Data Security Checklist – Reference Only**

| Note: These are the minimum criteria necessary to receive credit. | YES | NO | N/A |
|---|---|---|---|
| **PASSWORD POLICY*** | | | |
| Is there a password policy in place? | | | |
| Are passwords changed a minimum of every six months? | | | |
| **COMPLEXITY PASSWORDS** | | | |
| Are complexity passwords enforced, i.e. upper case, lower case, eight character minimum, special character (!@#$%^&*), etc.? | | | |
| **SECURE DATA ROOM FACILITY*** | | | |
| Is the computer room in a secure location? | | | |
| Are authorized personnel the only personnel allowed in the secure computer room? | | | |
| Are access codes, keys, locks, etc. changed anytime an "authorized person" leaves? | | | |
| **SYSTEM NIGHTLY BACKUP*** | | | |
| Are the system files written to a backup device? | | | |
| Is a full backup created a minimum of once per week? | | | |
| **OFF SITE STORAGE** | | | |
| Is there a current full backup stored offsite at a secured location? | | | |
| Are authorized personnel the only personnel with access to the backup data/information? | | | |
| **ACCESSIBILITY TO NETWORK*** | | | |
| Are network administrator accounts only given to authorized personnel? | | | |
| **ANTIVIRUS** | | | |
| Is there an antivirus system in place? | | | |
| Are virus definitions updated hourly (preferred) or at minimum, daily (acceptable but not recommended)? | | | |
| **WEB FILTER** | | | |
| Is a web filter in place? | | | |
| **FIREWALL** | | | |
| Is a firewall in place for equipment outside of the internal network? | | | |
| **CLOUD STORAGE** | | | |
| Is cloud storage utilized? If so, please answer the questions below. If not, skip this section. | | | |
| Is the data secured while transferring to the cloud storage? | | | |
| Is data, such as personal identification, i.e. names, SSN's, etc. stored on the cloud? | | | |
| **DEPARTURE PROCEDURES** | | | |
| Are procedures in place to disable/delete departed employees? | | | |
| Are procedures in place to disable/delete departed IT employees? | | | |
| **UPDATES MAINTENANCE*** | | | |
| Are updates to hardware applied to all affected computer equipment? | | | |
| Are updates to software applied to all affected computers/equipment? | | | |
| **ROTATION SCHEDULE** | | | |
| RECOMMENDED ONLY - Are computers upgraded a minimum of every 3 Years? | | | |
| RECOMMENDED ONLY - Are network servers upgraded a minimum of every 5 Years? | | | |
| **DATA BREACH PROCEDURES*** | | | |
| Is a policy and procedure in place for Pre-data breach? | | | |
| Is a policy and procedure in place for Post-data breach? | | | |
| Has testing of these policies and procedures been implemented? | | | |

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