

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF CODE ENFORCEMENT IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
2. Does the City have an inspection program?	_____	_____	_____
<hr/>			
3. What is the status of the following types of codes:			
	Edition	Enforced?	
<u>Code Type</u>	<u>Adopted</u>	<u>Yes</u>	<u>No</u>
Building	_____	_____	_____
Plumbing	_____	_____	_____
Electrical	_____	_____	_____
Gas	_____	_____	_____
Mechanical	_____	_____	_____
Housing	_____	_____	_____
Abandoned Structures	_____	_____	_____
Handicap	_____	_____	_____
Swimming Pool	_____	_____	_____
Amusement	_____	_____	_____
Zoning	_____	_____	_____
Excavation	_____	_____	_____
Abandoned Cars	_____	_____	_____
Overgrown Lots	_____	_____	_____
Other (Explain)	_____	_____	_____

COMMENTS: _____

4. Complete the following information on the inspectors:

Inspector's <u>Name</u>	Codes <u>Enforced</u>	Fulltime/Part- time or Contract	<u>Certifications</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

5. What is the permit and inspection history for the previous 12 months on the following:

Code	# Permits	#Inspections
Building	_____	_____
Plumbing	_____	_____
Electrical	_____	_____
Gas	_____	_____
Mechanical	_____	_____
Housing	_____	_____
Abandoned Structures	_____	_____
Handicap	_____	_____
Swimming Pool	_____	_____
Zoning	_____	_____
Abandoned Cars	<u>NA</u>	_____
Overgrown lots	<u>NA</u>	_____
Other Explain	_____	_____
	_____	_____

	YES	NO	COMMENTS
6. Does the City provide review of commercial plans?	___	___	_____
7. Does the City issue a certificate of occupancy and does it enforce it?	___	___	_____
8. Do inspectors issue citations as an enforcement mechanism?	___	___	_____
9. Does the City provide training on changes in the code(s)?	___	___	_____
10. Do revenues equal or exceed expenditures?	___	___	_____

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF LEGAL MATTERS IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
<u>Charter, Municipal Code and Ordinances</u>			
1. What kind of charter does the city have?			
(a) General law mayor aldermanic?	_____	_____	_____
<hr/>			
(b) General law manager-commission?	_____	_____	_____
<hr/>			
(c) General law modified council-manager?	_____	_____	_____
<hr/>			
(d) Private act? (Private Acts _____, chapter _____)	_____	_____	_____
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(e) Home rule?	_____	_____	_____
<hr/>			
2. Does the City have a current charter compilation that includes all the amendments to the charter?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
3. Is the charter readily available and accessible to city officers, employees and the public?	___	___	_____
<hr/>			
4. Is the charter reviewed on a frequent, regular schedule for the purpose of removing obsolete provisions and inserting needed provisions?	___	___	_____
<hr/>			
5. Is the charter clear and unambiguous relative to:			
(a) Elections of officers?	___	___	_____
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(b) Filling of vacancies in elective office?	___	___	_____
<hr/>			
(c) Quorum and voting requirements on ordinances, resolutions and motions?	___	___	_____
<hr/>			
(d) Which city personnel are officers and which are employees?	___	___	_____
<hr/>			
(e) The relative powers and duties of the mayor (or city manager) and the board or commission?	___	___	_____
<hr/>			
(f) Salary and/or other compensation of officers?	___	___	_____
<hr/>			
(g) Recall or method of removal, if any, of officers?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
(h) The property rights, if any, of employees in their jobs?	___	___	_____
<hr/>			
(i) The procedural "hoops," if any, for			

	the discipline, including termination, of employees?	___	___	_____
(j)	The due and delinquency dates for property taxes?	___	___	_____
(k)	The procedure for the collection of property taxes?	___	___	_____
6.	Does the City have a current municipal code?	___	___	_____
7.	Was the municipal code properly adopted?	___	___	_____
8.	Is the municipal code readily available to city officials, employees and the public?	___	___	_____
9.	Is the municipal code reviewed on a frequent, regular basis for the purpose of removing obsolete provisions and inserting needed ones?	___	___	_____
10.	Is a certain officer or employee assigned the definite responsibility of insuring that ordinance adoption procedures are rigorously followed and the responsibility of preserving a record of such ordinances?	___	___	_____
		YES	NO	COMMENTS
11.	Is that person, if any, thoroughly familiar with ordinance adoption procedures?	___	___	_____
12.	Is there a definite prescribed place in the City's offices for the City's ordinances to be kept?	___	___	_____
13.	Are ordinances filed and preserved by some systematic method, such as by			

number, date, subject, etc.?

Municipal Records in General

1. Does the City have a definite prescribed place in City offices for the City's records to be filed and preserved?

2. Is a certain officer or employee assigned the definite responsibility for City records filing and preservation?

3. Does the City have a systematic filing system that is understandable to City officers, employees and the public?

4. Are the City's records easily and readily accessible to City officers, employees, and the public?

5. Is the person responsible for records filing and preservation familiar with, and does he or she, follow the Open Records Law?

YES	NO	COMMENTS
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Municipal Meetings

1. Are regular meetings of the City governing held at the times and places prescribed by the City charter, code or ordinances?

2. Are special meetings called and held in accordance with the City charter?

3. Is adequate notice of both regular and special meetings given to the public?

4. Is the person who is responsible for general supervision of the City familiar with the Open Meetings Law?

5. Are minutes clearly reflecting the votes and other important actions of the municipality?

Municipal Court

1. Does the City have a municipal court?

2. If the City does not have a municipal court, does it have an agreement with the sheriff and the sessions court to enforce the City's municipal ordinances?

3. If the City has a municipal court, does it exercise:

(a) Municipal ordinance jurisdiction?

(b) Sessions court jurisdiction?

YES NO COMMENTS

4. Is the distinction between the two forms of jurisdiction clear to the municipal court judge and the municipal court clerk?

5. Is the municipal court judge an attorney?

6. Does the municipal court hold regular sessions?

7. Is there a definite program in place to require offenders to appear in court, and to punish them if they do not?

8. Does the municipal court have a written schedule of fines and costs?

9. Are complete and accurate records of the proceedings of the municipal court kept? ___ ___ ___

10. Are regular frequent comparisons made between fines and costs levied and fines and costs collected? ___ ___ ___

11. If there is a difference between fines and costs levied and fines and costs collected, is there a program in place to collect delinquent fines and costs? ___ ___ ___

	YES	NO	COMMENTS
(a) governing body kept and preserved?	___	___	_____
<hr/>			
<u>City Attorney</u>			
1. Does the City have a City Attorney?	___	___	_____
<hr/>			
2. Is he on a retainer?	___	___	_____
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3. Does the person responsible for general administration of the City and the City Council regularly consult the City attorney about questionable City practices or procedures?	___	___	_____
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4. Is the City attorney generally available, and does he or she respond to questions, in a timely manner?	___	___	_____
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5. Does the City attorney "pass on" ordinances, contracts, and other legal documents of the City?	___	___	_____
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6. Does the City generally follow the City attorney's advice?	___	___	_____
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<u>City Personnel</u>			
1. Are City employees responsible for handling money bonded in a sufficient amount?	___	___	_____
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	YES	NO	COMMENTS
2. Are vacation and sick leave policies definite and certain?	___	___	_____
3. If employees retire, quit, or are terminated, is it clear whether or not they are entitled to pay for unused vacation and sick leave?	___	___	_____
4. Does the City have written personnel regulations and policies?	___	___	_____
5. Whether or not the City has written personnel regulations, is the chain of command well-understood by both City officials and employees?	___	___	_____
6. Is it clear in such policies to which classes of employees and/or officers they apply?	___	___	_____
7. Do such personnel policies conform to the City charter?	___	___	_____
8. Are such policies followed with respect to all employees and officers to which they apply?	___	___	_____
9. Is the person responsible for personnel administration generally well-versed in the:			
(a) Fair Labor Standards Act?	___	___	_____
	YES	NO	COMMENTS
(1) General City employees?	___	___	_____
(2) Fire and police employees?	___	___	_____

	(b) Americans with Disabilities Act?	___	___	_____
<hr/>				
	(c) State and federal laws governing employment discrimination?	___	___	_____
<hr/>				
10.	Does the City impose limitations upon the political activities of its employees?	___	___	_____
<hr/>				
11.	Do such limitations with respect to police officers and firemen apply only to on-duty activities?	___	___	_____
<hr/>				
12.	Does the City have written policies governing the use of City vehicles by City employees?	___	___	_____
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<u>Alcoholic Beverage Regulation</u>				
1.	Does the City permit the sale of:			
	(a) Beer?	___	___	_____
<hr/>				
	(1) Package sales?	___	___	_____
<hr/>				
	(2) On premises sales?	___	___	_____
<hr/>				
		YES	NO	COMMENTS
	(b) "Hard" liquor?	___	___	_____
<hr/>				
	(1) Package sales?	___	___	_____
<hr/>				
	(2) On premises sales?	___	___	_____
<hr/>				
2.	Does the City have an ordinance/s regulating the sale of beer and "hard" liquor?	___	___	_____

3.	Is the ordinance current and in conformance with state law governing the sale of beer and "hard" liquor?	___	___	___
4.	If the City permits the sale of beer, does the City have a beer board?	___	___	___
5.	Does the beer board meet on a regular basis?	___	___	___
6.	Do all sellers of beer and alcoholic beverages have a permit?	___	___	___
(a)	From the beer board, in case of beer?	___	___	___
(b)	From the ABC, in case of "hard" liquor?	___	___	___

	YES	NO	COMMENTS
7. Are any distance regulations measured by the straight line method?	_____	_____	_____
8. Are distance regulations enforced in a nondiscriminatory manner?	_____	_____	_____
9. Does the City regularly monitor establishments that sell beer and "hard" liquor to insure that they have a current permit and that they are operating in conformance with municipal ordinances and state law?	_____	_____	_____
10. Does the beer board keep a detailed record of denial, suspension or revocation of permits, and supporting documentation?	_____	_____	_____

Zoning and Land Use

1. Does the City have a zoning ordinance?	_____	_____	_____
2. Are the decisions of the planning commission and BZA thoroughly documented?	_____	_____	_____

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF RISK MANAGEMENT IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
2. Has the City adopted a risk management policy?	_____	_____	_____
<hr/>			
3. Has the City appointed a risk manager?	_____	_____	_____
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4. Has a risk appraisal study been performed for the City?	_____	_____	_____
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5. If a study has been performed, are most of the recommendations suggested implemented?	_____	_____	_____
<hr/>			
6. Does the City have an insurance carrier with limits of coverage for certain exposures?	_____	_____	_____
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Exposure	Carrier	Limits
General Liability	_____	_____
Police Liability	_____	_____
Automobile Liability	_____	_____
Errors and Omissions	_____	_____
Airport Liability	_____	_____
Gas Liability	_____	_____
Federal Civil Rights	_____	_____

Worker's Compensation	_____	_____
Inland Marine	_____	_____
Property	_____	_____

	YES	NO	COMMENTS
7. Has the City insured or indemnified the employee for their limit of the exposure under the State's Tort Law?	_____	_____	_____
<hr/>			
8. Are the general liability, police liability, and errors and omissions coordinated policies?	_____	_____	_____
<hr/>			
9. Was the coverage and exposures reviewed within the last year?	_____	_____	_____
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10. Explain the City's inspection program:			
<u>Inspection Area</u>	<u>Frequency</u>		
Recreation (Parks & Facilities)	_____		
Vehicles & Equipment	_____		
Maintenance Garage	_____		
Utility Plants	_____		
COMMENTS: _____			
<hr/>			
11. Does the City have a complaint filing and tracking system?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
12. Have the following policies been reviewed and updated in the last year:			
Personnel Rules	___	___	When? ___
Police Manual	___	___	When? ___
Departmental SOP's	___	___	When? ___
Municipal Code	___	___	When? ___
13. Does the City have a fleet inspection and maintenance program?	___	___	___
14. Does the City have a traffic control sign repair or replacement policy?	___	___	___
15. Does the City have a written safety manual? How adopted?	___	___	___
16. Has the City developed a safety training curriculum and is it being implemented?	___	___	___
17. Are provisions made to maintain adequate insurance coverage?	___	___	___
18. Is insurance coverage reviewed at least annually to insure that all property is covered?	___	___	___
	YES	NO	COMMENTS
19. Are all employees handling cash adequately bonded?	___	___	___
20. Are the surety bonds in accordance with			

statutory provisions and as authorized
by the governing authority?

21. Are insurance coverage and costs
periodically reviewed by officials
not directly responsible for placing
coverage?

22. Is independent professional advice on
insurance coverage and form utilized?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF PERSONNEL IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
2. Has the City assigned personnel management to a full-time or part-time position?	_____	_____	_____
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3. Is there open competition and selection based on merit?	_____	_____	_____
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4. Is the work force representative of the citizens served?	_____	_____	_____
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5. Do you conduct employee attitude surveys?	_____	_____	_____
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6. Does the survey address:			
(a) adequacy	_____	_____	_____
<hr/>			
(b) conditions of employment	_____	_____	_____
<hr/>			
(c) job security	_____	_____	_____
<hr/>			
	YES	NO	COMMENTS
<hr/>			
<u>Organization and Policy:</u>			
1. Are the public and the governing body conscious of the basic principles of good personnel administration?	_____	_____	_____
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2.	Has the governing body adopted a clear statement of personnel policies and delegated authority for the personnel functions to the top administrative official?	___	___	_____
<hr/>				
3.	Does the Chief Executive Officer have authority over the personnel management function?	___	___	_____
<hr/>				
4.	Does the official responsible for administering the personnel function have training and experience in personnel work?	___	___	_____
<hr/>				
5.	Are the responsibilities for personnel management at each level of administration clearly defined and understood?	___	___	_____
<hr/>				
6.	Has staff had input into the development of reasonable policies?	___	___	_____
<hr/>				
7.	Has personnel management authority been delegated to the lowest operating levels?	___	___	_____
<hr/>				
8.	Are policy statements made available to all affected?	___	___	_____
<hr/>				
		YES	NO	COMMENTS
9.	Are policies generally understood by supervisors and employees and consistently followed?	___	___	_____

Position Classification:

1.	Do you have a position classification plan?	___	___	_____
<hr/>				
2.	Does the position classification plan include written class specifications			

which accurately describe duties and responsibilities?	_____	_____	_____
<hr/>			
3. Does the classification plan allocate positions consistently according to duties, responsibilities, and qualifications?	_____	_____	_____
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4. Are descriptions reviewed periodically and revised as duties change and to incorporate ADA legislation, etc.?	_____	_____	_____
<hr/>			
5. Are the position classification plan and position descriptions readily available to supervisors and employees?	_____	_____	_____
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6. Are statements of duties and responsibilities available to applicants?	_____	_____	_____
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7. Do you track turnover rates by departments and positions?	_____	_____	_____
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YES NO COMMENTS

Recruitment and Selection:

1. Are vacancies anticipated and recruitment programs planned and conducted which provide employees and/or replacements with a minimum of delay?	_____	_____	_____
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2. Are vacancies publicized by bulletins, newspapers, radio, television, and the state Employment Security agency?	_____	_____	_____
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3. Have career progressions been established to encourage employees in their self-improvement efforts and to help them achieve higher levels of performance and promotion?	_____	_____	_____
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4.	Are position qualification requirements job related and realistic for the kind and quality of work to be performed?	____	____	____
<hr/>				
5.	Are qualification requirements periodically reviewed and adjusted in the light of changing working conditions, the labor market, and promotional opportunities?	____	____	____
<hr/>				
6.	Are all selection procedures used as a basis for employment (hiring, promotion, demotion) decisions including paper and pencil tests, performance tests, training programs probationary period, physical examinations, work experience requirements, interviews, and unscored application forms job related and valid for the selection of persons for which they are used?	____	____	____
<hr/>				
		YES	NO	COMMENTS
7.	Do you do employment background investigations?	____	____	____
<hr/>				
8.	Have policies been established and enforced in accordance with state and Federal statutes and court decisions to prevent discrimination in the recruitment, examination, appointment, training, promotion, separation or any other personnel action because of age, color, national origin, physical handicap, race, religion or sex?	____	____	____
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9.	Has an Affirmative Action plan been prepared, adopted by the governing body, and implemented by the organization?	____	____	____
<hr/>				
10.	Have projected Affirmative Action goals been achieved or a genuine good faith effort been made to achieve them?	____	____	____
<hr/>				
11.	Has there been any valid EEOC complaints			

and appeals filed in the past three years? ____ ____ _____

12. Is each employee required to serve a
probationary period? ____ ____ _____

13. In classes of positions in which
vacancies exist or recruitment is
difficult, has a redistribution of
duties been studied? ____ ____ _____

	YES	NO	COMMENTS
<u>Evaluation and Training:</u>			
1. Are new employees oriented and instructed as to their duties and responsibilities, the functions of their division or unit in relation to other units and divisions of the governmental unit, and their obligations, responsibilities, rights, and privileges?	___	___	_____
<hr/>			
2. Are new employees informed of the importance of the public relations aspects of their positions?	___	___	_____
<hr/>			
3. Are supervisors trained to be effective coaches who periodically coach each employee--seeking the employee's participation in setting work goals, assisting the employee to secure the equipment, training, and help necessary to achieve the mutual agreed upon goals?	___	___	_____
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4. Are the training needs of employees and supervisors determined on a continuing basis and training programs developed or arranged?	___	___	_____
<hr/>			
5. Does the governmental unit provide financial support and encourage employees to prepare themselves to improve their performances or secure promotions?	___	___	_____
<hr/>			
6. Are employee training programs systematically evaluated to determine if they increase employee effectiveness and motivation?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
7. Is employee absenteeism in all classes of positions and departments monitored to determine effect on level of service, increase costs, or need for employee assistance programs?	___	___	_____

8.	Has a well-rounded safety program been developed?	_____	_____	_____
9.	Are on-the-job accident rates below average for occupational groups and departments?	_____	_____	_____
<u>Conditions of Employment and Compensation:</u>				
1.	Is the fringe benefits program periodically reviewed and documented for the employees?	_____	_____	_____
2.	Has a systematic pay plan been adopted which assigns positions requiring work of equal skill, effort, and responsibility to the same salary range?	_____	_____	_____
3.	Does the salary plan permit the more efficient and effective employees to be rewarded by granting them merit salary increments?	_____	_____	_____
4.	Is the pay plan reviewed annually and reviewed as necessary to provide minimum and maximum pay rates competitive with the compensation paid by larger private employers and governmental units in the area?	_____	_____	_____
		YES	NO	COMMENTS
<u>Retirement:</u>				
1.	Are all employees covered by the Old-Age, Survivors, and Disability Insurance system and/or an actuarially sound retirement system?	_____	_____	_____
2.	Does the City have an early retirement plan?	_____	_____	_____

Employee Relations:

1. Have laws and policies been established to govern political activity of employees?

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2. Is outside employment being reported to each employee's supervisor and conflicting outside employment prohibited?

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3. Has a grievance procedure been established that facilitates the informal settlement of misunderstandings at the lowest possible levels?

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4. Do you have a disciplinary policy?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF REVENUE ENHANCEMENT IN ANY CITY**

	YES	NO	COMMENTS
<u>General and Special Revenue Funds:</u>			
<u>Property Taxes:</u>			
1. Does the City levy a property tax? (Can be done by Governing Body)	_____	_____	_____
2. Has there been a recent increase in the property tax rate? (There is probably no maximum legal limit on the rate a city can impose.)	_____	_____	_____
3. What is the actual and effective tax rate?	_____	_____	_____
4. Are tax roles checked to insure that all properties within the city boundary are included on the tax roll?	_____	_____	_____
5. If city properties are identified that are not on the tax role are steps taken to correct the tax role and to collect the tax before September 1, following the year the error is made?	_____	_____	_____
6. Are annexations timed to become effective before the tax assessment cutoff date? (12/31)	_____	_____	_____
7. Does the City furnish the tax assessor with building permit information?	_____	_____	_____

	YES	NO	COMMENTS
8. Does your City have authority to employ their own Tax Assessor and if so have they exercised this authority?	_____	_____	_____

Delinquent Property Taxes:

1. Has the City ever issued distress warrants as a method of collecting delinquent property taxes?	_____	_____	_____
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2. Does your City file delinquent taxes in a timely manner?	_____	_____	_____
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3. Does the tax attorney follow through on tax suits on a timely basis?	_____	_____	_____
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4. Does your City levy the maximum interest and penalty rates allowed? (1/2% penalty, 1% interest counties)	_____	_____	_____
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Payment In-Lieu of Property Taxes:

1. Within the legal limits, does your City impose the maximum amount of in-lieu tax possible on electric, gas, water and sewer?	_____	_____	_____
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2. Does your City impose the maximum in-lieu tax on the local housing authority and how do you determine this amount?	_____	_____	_____
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	YES	NO	COMMENTS
<u>Local Option Sales Tax:</u>			
1. Has the City increased the local tax cap to the maximum allowed by law? (2.75%)	___	___	_____
<hr/>			
2. Does your City do an annual sales tax site verification?	___	___	_____
<hr/>			
3. Has your City reviewed local sales tax allocation agreements to see if contract distribution can revert to the general law distribution formula?	___	___	_____
<hr/>			
4. Are annexations timed to have businesses annexed by June 30?	___	___	_____
<hr/>			
5. Do you verify that the first half of the local sales tax amounts are distributed to the school system in accordance with the law?	___	___	_____
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6. If you have a city school system, do you verify the second half of the local sales tax is allocated as designated by the State?	___	___	_____
<hr/>			
7. Does the county trustee distribute the second half of the sales tax immediately upon receipt?	___	___	_____
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Wholesale Beer Tax:

1. Do you have authorized beer sales in your City?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
2. Do you have a cap on the number of beer licenses that can be issued?	___	___	_____
<hr/>			
3. Has your City annexed businesses in			

the fringe area that sell beer?

-
4. Do you cross check wholesale distributors allocation records in order to see that your City is receiving credit on all businesses sales in your City?

-
5. Does your police department verify beer licenses at all beer outlets?

-
6. Do you authorize 7 days a week sales?

Municipal Inspection Fee Tax:

1. Does the City authorize the sale of liquor?

-
2. Does the City impose the maximum liquor tax rate allowed? (8% counties below 60,000, 5% counties above 60,000)

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3. Has your City considered annexing sites where liquor sales are authorized?

-
4. Do you verify distributors' allocation of liquor tax collections?

	YES	NO	COMMENTS
5. Does your police department verify liquor licenses at all sales locations?	_____	_____	_____
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<u>Business Licenses:</u>			
1. Does the City impose the maximum business license tax rates allowed by law?	_____	_____	_____
<hr/>			
2. Is the City proactive when it comes to annexation of outside businesses?	_____	_____	_____
<hr/>			
3. Are clerks' fees set at the maximum allowed by law?	_____	_____	_____
<hr/>			
4. Does the City cross check business licenses with sales tax site verification information on an annual basis?	_____	_____	_____
<hr/>			
5. Does the City follow through with levying and collection of delinquent or under reported sales?	_____	_____	_____
<hr/>			
6. Does the City cross check business licenses with county business licenses?	_____	_____	_____
<hr/>			
7. Does your City use a distress warrant to collect delinquent taxes? (Revenues collected as a result of this action do not have to be shared with the state.)	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
<u>Franchise Taxes:</u>			
1. Does the City have any franchise tax agreement and have you reviewed this agreement?	_____	_____	_____
<hr/>			
2. Does the City levy the maximum franchise tax allowable by law?	_____	_____	_____
<hr/>			
3. Does the City audit the books of the franchise holders?	_____	_____	_____
<hr/>			
4. Can you determine if you have services being delivered in your City that should be franchised?	_____	_____	_____
<hr/>			
<u>Room Occupancy Tax:</u>			
1. Does the City levy the maximum room occupancy tax allowable by law?	_____	_____	_____
<hr/>			
2. If your city has a room occupancy tax does the City aggressively annex motels and future motel sites?	_____	_____	_____
<hr/>			
3. Does the City verify state sales tax data to confirm room occupancy revenue accuracy?	_____	_____	_____
<hr/>			
<u>Motor Vehicle Licenses (MVL):</u>			
1. Does your City impose a motor vehicle license fee (City sticker)? (Put amount in comments.)	_____	_____	_____
<hr/>			
	YES	NO	COMMENTS
2. Does the City enforce the penalties for violations of the MVL fee ordinance?	_____	_____	_____
<hr/>			
3. Does your City have an agreement with the			

County Court Clerk that requires/allows the clerk to collect the MVL fee at the time state tags are issued?

Animal Registration:

1. Does the City issue animal registration licenses?

2. Does the City enforce the Animal Registration Ordinance?

3. Are there penalties for violations of these ordinances?

4. Do pound charges cover the cost of holding registration violations?

Building and Related Permits):

1. Does your City issue and enforce building and related permits?

2. Do you require permits to be prominently displayed at the building site?

3. Does the City impose a penalty for failure to obtain permit?

YES NO COMMENTS

4. Do City employees regularly report construction where a permit is not displayed?

5. Does permit revenue meet or exceed the cost of the inspection program?

6. Does the City enforce its building code standards?

7. Is there a fine for littering within
the City?

____ _

Sign Permit Regulations:

1. Does the City require sign permits and
does the ordinance require that sign
permit numbers be properly displayed
on the sign?

____ _

2. Does the City impose a fee to regulate
signs?

____ _

3. Does the City follow up on signs that
do not have permit numbers displayed?

____ _

4. Does the City levy a penalty for
violations of this law?

____ _

	YES	NO	COMMENTS
<u>Grants--Be Aware of Future Cost Commitments</u>			
<u>Before Accepting Any Type State or Federal</u>			
<u>Grant!:</u>			
1. Has the City checked with State Planning, PARTAS, E & CD, FMHA and other agencies to see what federal and state grants might be available to them?	___	___	_____
<hr/>			
2. Does the City consider the need for the service and calculates the operating costs associated with grants?	___	___	_____
<hr/>			
<u>State Shared Revenues:</u>			
1. Are City annexations timed to be certified by June 30?	___	___	_____
<hr/>			
2. Has your City considered conducting a special census?	___	___	_____
<hr/>			
3. Does/should your City receive any corporate excise tax?	___	___	_____
<hr/>			
4. Is your City entitled to a mixed drink or alcoholic beverage tax? (This tax is a state tax that is allocated based on situs of collection TCA 57-3-301).	___	___	_____
<hr/>			
(a) City can levy licenses fees in the same amount as the state licenses?			

	YES	NO	COMMENTS
(b) Cities entitled to 1/2 of the 15% state fee? (If this tax is levied by the county first then city is not entitled to tax -- goes to county.			

Local Revenue Allocations:

1. Does the City operate a city school system? (If no, skip to next section)	___	___	_____
--	-----	-----	-------

2. Are all local school taxes shared as required by law? (TCA 67-6-712)	___	___	_____
---	-----	-----	-------

3. Does your school system levy a tuition on non-city residents?	___	___	_____
--	-----	-----	-------

4. Does the tuition equal the amount of City money appropriated on a per child basis?	___	___	_____
---	-----	-----	-------

Charges For Services:

1. Does the City levy a fees/charges for various services rendered the public?	___	___	_____
--	-----	-----	-------

2. Does the City have an agreement with the phone company that gives the City a commission from public telephones?	___	___	_____
--	-----	-----	-------

3. Does the City charge for duplication services provided the public?	___	___	_____
---	-----	-----	-------

	YES	NO	COMMENTS
4. What kind of administrative charges does the City impose on utility funds?	___	___	_____
5. Are all vending machine monies properly accounted for?	___	___	_____
6. Does the City impose a charge for zoning changes and appeals?	___	___	_____
7. Are there charges for special fire services? (i.e. fire hazard safety inspections, outside service calls, etc.)	___	___	_____
8. Do you charge a fee for bad checks?	___	___	_____
9. Does the City charge for demolition of buildings and lot cleanups?	___	___	_____
10. If charges are not paid, does the City place a lien on the property?	___	___	_____

Streets:

1. Is there a fee for special street services? (i.e. driveway and curb cuts)	___	___	_____
2. Does the City levy a street cut charge to all utilities?	___	___	_____

	YES	NO	COMMENTS
3. Does the City contract with state for maintenance of state right-of-way maintenance within the City?	___	___	_____
<hr/>			
4. Does the City charge for special street services and any materials that the public obtains?	___	___	_____
<hr/>			
<u>Sanitation:</u>			
1. Does the City impose a residential fee?	___	___	_____
<hr/>			
2. Does the City impose a commercial fee?	___	___	_____
<hr/>			
3. Are the fees set to recover costs of services provided?	___	___	_____
<hr/>			
4. Are charges levied and collected for special services?	___	___	_____
<hr/>			
5. Does the City pick up brush and trimming and is there a fee imposed for this service?	___	___	_____
<hr/>			
6. Is there a fine for unauthorized use of City containers? If yes, how is it enforced?	___	___	_____
<hr/>			
7. Is there a fine for unauthorized use of private containers? How enforced?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
<u>Parks and Recreation:</u>			
1. Is there a fee for the use of the facilities and (all) services provided?	___	___	_____
<hr/>			
2. Does the fee structure distinguish between resident and non resident?	___	___	_____
<hr/>			
<u>City Court Fines and Costs:</u>			
1. Does the City impose the maximum court costs allowed by law?	___	___	_____
<hr/>			
2. Does the City have a system in place to collect delinquent city fines and costs?	___	___	_____
<hr/>			
3. Does the City have a system in place to follow up on city fines and costs transferred to Sessions/Criminal Court?	___	___	_____
<hr/>			
4. Please explain who/how court fines collections are paid the city?	___	___	_____
<hr/>			
5. Is the city proactive in enforcement of the anti liter ordinance?	___	___	_____
<hr/>			
<u>Interest:</u>			
1. Does the City use LGIP to maximize interest income?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
2. Does the City use STEADY for Direct Deposit of state funds?	_____	_____	_____

Sale of Property:

- | | | | |
|--|-------|-------|-------|
| 1. Does the City advertise and promote the sale of surplus property? | _____ | _____ | _____ |
|--|-------|-------|-------|

HOW: _____

Special Assessments:

- | | | | |
|--|-------|-------|-------|
| 1. Does the City use special assessments for special service or service areas? | _____ | _____ | _____ |
|--|-------|-------|-------|
-

Water and Sewer Fund Revenue Enhancement Ideas:

- | | | | |
|--|-------|-------|-------|
| 1. Are rates set to cover the full cost of the services, i.e., is the w/s fund in sound financial condition? | _____ | _____ | _____ |
|--|-------|-------|-------|
-

- | | | | |
|--|-------|-------|-------|
| 2. Does the City provide any FREE w/s service? | _____ | _____ | _____ |
|--|-------|-------|-------|
-

- | | | | |
|--|-------|-------|-------|
| 3. Does the City require a separate meter for each customer? | _____ | _____ | _____ |
|--|-------|-------|-------|
-

- | | | | |
|---|-------|-------|-------|
| 4. Does the City levy fire fighting capacity charges for hydrants located outside the City? | _____ | _____ | _____ |
|---|-------|-------|-------|
-

	YES	NO	COMMENTS
5. Does the City levy a charge for customers that install sprinkler systems?	___	___	_____
6. Does the water system levy a hydrant fee charge to the General Fund?	___	___	_____
7. Is the tap fee sufficient to cover "book value" plus the material and installation costs of a new connection?	___	___	_____
8. Is the customer deposit amount sufficient to cover most uncollectible accounts?	___	___	_____
9. Has the City established strict cutoff policies?	___	___	_____
10. Are customer deposits refundable or are they considered as revenue?	___	___	_____
11. Does the City levy connection and re-connection charges for services?	___	___	_____
12. Does the City calibrate large meter on an annual basis?	___	___	_____
13. Does the City have a scheduled meter replacement program?	___	___	_____

	YES	NO	COMMENTS
14. Are dead meters replaced immediately?	_____	_____	_____
<hr/>			
15. How often does the city do water loss ratio studies?	_____	_____	_____
What is the water loss ratio? _____			
<hr/>			
16. Does the City have an accounts receivable program in place that keeps up with property damage and miscellaneous receivables?	_____	_____	_____
<hr/>			
17. Does the City reconcile the "control" accounts receivable with subsidiary records?	_____	_____	_____
<hr/>			
18. Does the City have a Rules, Regulation, Rates and Charges Manual in place?	_____	_____	_____
<hr/>			
19. Does the finance department present a list of bad debts to the council before writing off the debt?	_____	_____	_____
<hr/>			
20. Has the City violated its NPDES permit within the past 12 months?	_____	_____	_____
<hr/>			
21. Does the City have a financially sound service policy in force? (i.e., are charges for special services commensurate with costs?)	_____	_____	_____
<hr/>			

INTERNAL CONTROL AND COMPLIANCE QUESTIONNAIRE

SUMMARY OF WEAKNESSES OR NONCOMPLIANCE

	<u>Evaluation*</u>
General Statutory Provisions	_____
_____	_____
General Accounting	_____
_____	_____
Computer	_____
_____	_____
CASH MANAGEMENT:	
Cash on Hand	_____
_____	_____
Cash in Bank	_____
_____	_____
Investments	_____
_____	_____
Cash Receipts	_____
_____	_____
Taxes Assessed, Levied, Collected and Uncollected	_____
_____	_____
Inventories of Materials and Supplies	_____
_____	_____
Property and Equipment	_____
_____	_____
Interfund and Intergovernmental Transfers or Loans	_____
_____	_____
Cash Disbursements	_____
_____	_____
Accounts Payable, Expenditures Encumbrances	_____
_____	_____

Evaluation*

Purchasing and Contracting

Payrolls and Forms 1099 Reporting

Other Current Liabilities

Bonds & Notes Payable

Surety Bonds and Insurance

Signature (Prepared by)

Date

* This evaluation should be the overall rating for each of the major areas of financial responsibility.

INTERNAL CONTROL AND COMPLIANCE QUESTIONNAIRE

YES NO COMMENTS

General Statutory Provisions:

1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?

If not, are such lines clearly established and understood by all employees?

2. Are all transactions of major importance approved in minutes of the governing body? _____

3. Are all minutes of the governing body (in final form) in the permanent records of the governmental unit and properly signed? _____

4. Do the minutes adequately reflect the action of the governing body? _____

Are they clear as to intent and substance? _____

General Accounting:

1. Please list the funds managed by the city.

	YES	NO	COMMENTS
2. Please list the bank accounts and investments, (indicate account balances) used by the city and indicate if the interest earning rate of all accounts.			
3. Is a chart of accounts in use that conforms generally to the standards recommended by the State Comptroller or the Governmental Accounting Standards Board?	___	___	_____
4. Are all control accounts balanced monthly or periodically with detailed records?	___	___	_____
If yes, but not monthly, indicate how often?	___	___	_____
5. Do officials controlling City funds keep such City funds and collections separate and distinct from their own money and/or from any other monies which might be in their possession (e.g. Employee Credit Union, etc.)?	___	___	_____
6. Is custody of all City funds except those required to be under the control of another official (clerk of court, tax collector, etc.) entrusted to one position?	___	___	_____

	YES	NO	COMMENTS
7. Fund Accounting:			
(a) Is a classification of revenue by source developed through a double-entry bookkeeping system?	___	___	_____
(b) Is revenue credited to the proper fund as designated by statutes?	___	___	_____
(c) Are special requirements of revenue bonds (requiring segregation of revenue cash among separate funds or accounts) being observed?	___	___	_____
8. Are requirements for reporting revenues on a cash basis (Section 9-11-101, Tennessee Code Annotated--Cash Basis Law) being observed for general governmental funds?	___	___	_____
9. Does the information contained on the monthly financial reports present information in a manner that will allow the governing body to make informed decisions?	___	___	_____
10. Does the finance department furnish department heads adequate financial information that will help them make informed decisions?	___	___	_____
11. Does the departmental accounting information adequately reflect departmental operation? If no, please explain.	___	___	_____

	YES	NO	COMMENTS
12. Has the City taken advantage of current law and good accounting practices to reduce the number of funds and bank accounts?	___	___	_____
13. Are transactions properly distributed to the appropriate account, department, and function?	___	___	_____
14. Are accounts payable recorded monthly into the General Ledger?	___	___	_____
15. Does the accounting department make proper pre-closing entries in order to allow the balance sheet to properly reflect "Reserve" accounts?	___	___	_____
16. Are books closed in a current and proper manner without reliance on the auditor?	___	___	_____
17. If recorded only at the end of the fiscal year, is this accounting done by City staff?	___	___	_____
18. Does a review of the accounting records reflect that accounting entries have been properly recorded?	___	___	_____
19. Does the City maintain adequate accounting records for drug fund money?	___	___	_____
20. Are adequate control maintained over drug monies?	___	___	_____
	YES	NO	COMMENTS

CASH MANAGEMENT

Computer:

- | | | | |
|---|-----|-----|-------|
| 1. Has the City taken advantage of current technology and installed a computer for accounting and record keeping? | ___ | ___ | _____ |
|---|-----|-----|-------|

2.	Have the City's computerization efforts been cost effective?	___	___	_____
3.	Is the software user friendly?	___	___	_____
4.	Is the City provided adequate software support?	___	___	_____
5.	Will the payroll software adequately handle the various payroll options allowed by the IRS?	___	___	_____
6.	Do at least two people in the City know how to handle each software application?	___	___	_____
7.	Does the City back up the computer files on a daily basis?	___	___	_____
8.	Are the backup files stored off site at least weekly?	___	___	_____
9.	Are City employees provided adequate computer facilities to help them be efficient with their daily responsibilities?	___	___	_____
		YES	NO	COMMENTS
10.	Has the City made arrangements for off site hardware use should the City's computer become disabled?	___	___	_____
Cash On Hand:				
1.	Are petty cash funds at the minimum effective amount?	___	___	_____
2.	Is one individual designated as custodian of each petty cash fund with			

access limited to that individual?	___	___	___
<hr/>			
3. Has unauthorized advances from petty cash funds to employees occurred?	___	___	___
<hr/>			
4. Are all petty cash reimbursement checks cashed promptly <u>at the bank</u> ?	___	___	___
<hr/>			
5. Are petty cash vouchers or bills required for all petty cash disbursements?	___	___	___
<hr/>			
(a) Are they signed by persons receiving cash?	___	___	___
<hr/>			
(b) Are they approved in writing by a department head or other responsible official, and not the person responsible for the petty cash?	___	___	___
<hr/>			

	YES	NO	COMMENTS
6. Are such vouchers stamped paid at the time of reimbursement to petty cash by an individual other than custodian?	___	___	_____
<hr/>			
7. Is effective control of petty cash vouchers maintained showing account distribution, date of reimbursement, check number, and signature of (a higher authority) person approving reimbursement?	___	___	_____
<hr/>			
8. Does the City have a policy against cashing personal checks?	___	___	_____
<hr/>			
<u>Cash In Banks:</u>			
1. Have depositories been authorized by the governing body?	___	___	_____
<hr/>			
2. Are all funds invested and deposited with each bank in excess of the federally insured amount secured by collateral held in escrow by a third party bank as required by 9-1-107?	___	___	_____
<hr/>			
3. Is authorization to sign checks on the various accounts approved by the governing body?	___	___	_____
<hr/>			
4. Are the records of the depository banks up to date as to such authorization?	___	___	_____
<hr/>			
5. Do all bank accounts require at least two signatures for withdrawals\checks?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
6. Are all bank accounts reconciled (to the books) monthly?	_____	_____	_____
7. Does the city use LGIP as an investment option?	_____	_____	_____
8. Are all bank accounts reconciled by someone other than employees who participate in the receipt, deposit or disbursement of cash?	_____	_____	_____
<u>Investments:</u>			
1. Are investments made in accordance with TCA 6-56-106 AND 9-1-107?	_____	_____	_____
2. Do investment transactions require dual signatures?	_____	_____	_____
3. Are investment instruments adequately protected, preferably in safe deposit boxes or in a fire proof file?	_____	_____	_____
4. Is a record maintained of each security, reflecting all pertinent information as to principal and interest?	_____	_____	_____
5. Is a system in effect to insure that all interest earned is collected and credited to the fund when earned?	_____	_____	_____

	YES	NO	COMMENTS
6. Are monthly investment summary reports prepared and furnished to the manager or mayor?	_____	_____	_____
<hr/>			
<u>Cash Receipts:</u>			
1. Are receipts issued at the time funds are received?	_____	_____	_____
<hr/>			
2. Is the receiving function centralized to maximum extent?	_____	_____	_____
<hr/>			
3. Are cash receipts deposited intact, at least every three days or more often if cash flow dictates?	_____	_____	_____
<hr/>			
4. Are checks restrictively endorsed (stamped "FOR DEPOSIT ONLY") immediately upon receipt?	_____	_____	_____
<hr/>			
5. Does the collector or collection department prepare daily cash reports in which receipts are appropriately classified?	_____	_____	_____
<hr/>			
6. Are duplicate pre-numbered receipts issued for all monies received?	_____	_____	_____
<hr/>			
7. Are unissued receipts adequately controlled?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
8. Are issued receipts adequately filed and controlled?	_____	_____	_____
9. Are licenses and permits issued on pre-numbered forms?	_____	_____	_____
10. Is there segregation of duties, to the extent possible, as to:			
(a) Collections	_____	_____	_____
(b) Billing	_____	_____	_____
(c) Receivable records	_____	_____	_____
(d) Deposits (Does someone other than cashier make deposits?)	_____	_____	_____
(e) Reconciliation	_____	_____	_____
11. Are actual deposits checked against records by someone other than cashier and depositor?	_____	_____	_____
12. Are there proper controls with depositories to prohibit cashing of any check payable to the governmental unit?	_____	_____	_____
13. Are checks identified on deposit slip by maker and amount?	_____	_____	_____
	YES	NO	COMMENTS
14. Are off-site collections authorized?	_____	_____	_____
15. Are off-site collections accounted for separately or as part of the normal			

office collection process?

____ _

16. Are State funds deposited directly to the City bank account?

____ _

17. Does the city use bank drafts for collection of utility bills?

____ _

18. Please explain how court revenues are collected and transferred to the city.

Taxes Assessed, Levied, Collected, And Uncollected:

1. Have all adjustments to the tax assessments been properly authorized (in writing) by the Tax Assessor?

____ _

2. Have all releases, rebates, refunds, and taxes charged off been authorized in the minutes of governing body?

____ _

3. Are late listings property tax assessments adequately controlled and prescribed penalties applied?

____ _

	YES	NO	COMMENTS
4. Are taxes receivable reconciled periodically? (Answer in comments how often and by whom?)	___	___	_____
5. Are uncollected property taxes being turned over for collection on a timely basis?	___	___	_____
6. Has the City taken any real action to collect the delinquent taxes filed or are they just filing and hoping the taxes will be paid?	___	___	_____
7. Has a delinquent property tax sale been held within the last five years?	___	___	_____
8. Does the City levy and collect a proper amount of penalty and interest on delinquent property taxes?	___	___	_____
9. If taxes are collected in advance, are they segregated from current collections, excluded from current revenues, and effectively controlled?	___	___	_____
<u>Inventories of Materials and Supplies:</u>			
1. Does the general ledger include inventory control for all major classes of materials and supplies?	___	___	_____
2. Is the perpetual inventory periodically balanced against the general ledger controls?	___	___	_____
	YES	NO	COMMENTS
3. Are all classes of inventory items physically counted and balanced to the general ledger account?	___	___	_____

(a)	Were such physical counts:			
	(1) In accordance with written instructions or adequately planned verbal instructions?	___	___	___
<hr/>				
	(2) Adequately supervised?	___	___	___
<hr/>				
	(3) Made by employees independent of the department being inventoried?	___	___	___
<hr/>				
	(4) Test-checked by different employees?	___	___	___
<hr/>				
	(5) Recorded on permanent inventory count sheets?	___	___	___
<hr/>				
(b)	Were the inventory count sheets signed and dated by the person supervising the count?	___	___	___
<hr/>				
(c)	Were adequate provisions made for cut-off of receipts and issues?	___	___	___
<hr/>				
(d)	Were the perpetual records adjusted to the actual inventory quantities per physical counts? If so, what dollar adjustment was required?	___	___	___
<hr/>				
		YES	NO	COMMENTS
(e)	Were such adjustments approved by the responsible official?	___	___	___
<hr/>				
5.	Is one an individual assigned responsibility for each inventory class?	___	___	___
<hr/>				
6.	Are inventory goods adequately safeguarded against loss or theft by being kept in secured facilities or areas?	___	___	___

7.	Is access to these secured areas monitored?	___	___	_____
8.	Are goods protected against physical deterioration?	___	___	_____
9.	Is there an adequate system of requisitions for issuing inventory?	___	___	_____
10.	Are requisition copies properly filed?	___	___	_____
11.	Are requisitions approved by the head of the department initiating the requisition?	___	___	_____
12.	Have adequate provisions been made for obsolete and inactive items in inventories?	___	___	_____
13.	Have re-order points been established for all items in inventory?	___	___	_____
		YES	NO	COMMENTS
14.	Is a periodic report made to the governing body or to management, regarding obsolete and overstocked items?	___	___	_____
15.	Are all inventory items necessary?	___	___	_____
16.	Are fuel inventory charges based on usage?	___	___	_____
17.	Are materials and supplies inventories accurately distributed to the using department's expenditure accounts?	___	___	_____

Property and Equipment:

1.	Does the City maintain acceptable general fixed asset accounting records?	___	___	_____
<hr/>				
2.	Is the fixed asset accounting amount reasonable? (\$200 to \$500)	___	___	_____
<hr/>				
3.	Are individual items of equipment identified by tags or numbers?	___	___	_____
<hr/>				
4.	Are records maintained which adequately classify and identify individual items?	___	___	_____
<hr/>				
5.	Has there been a physical inventory of equipment?	___	___	_____
<hr/>				

	YES	NO	COMMENTS
6. Are such physical inventories taken on a periodic basis?	___	___	_____
<hr/>			
7. Are the titles of real property, buildings, vehicles, and other properties and equipment held in the City's name?	___	___	_____
<hr/>			
(a) Were exceptions to this noted?	___	___	_____
<hr/>			
8. Are all items of property and equipment reasonably safeguarded from loss due to fire, theft, or misplacement?	___	___	_____
<hr/>			
9. Is accountability for sales, scrapping, obsolescence, etc., satisfactory?	___	___	_____
<hr/>			
10. Does the City have procedures for disposing of property?	___	___	_____
<hr/>			
11. Are these procedures adequate and do they comply with legal requirements?	___	___	_____
<hr/>			
12. In case of acquisition of personal property:			
(a) Were items purchased necessary for City purposes?	___	___	_____
<hr/>			
(b) Have they been used exclusively for purposes indicated?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
(c) Have they been maintained in good condition?	_____	_____	_____
<hr/>			
<u>Inter-Fund and Intergovernmental Transfers or Loans:</u>			
1. Do all transfers or loans comply with state and local requirements?	_____	_____	_____
<hr/>			
2. With respect to interfund loans, did the authorization make provision for method and time of repayment?	_____	_____	_____
<hr/>			
3. Has the City complied with the repayment plan?	_____	_____	_____
<hr/>			
4. Are appropriate transfers between funds authorized and recorded in accordance with sound accounting principles?	_____	_____	_____
<hr/>			
5. Are all receivables and payables from other funds properly reflected on all balance sheets?	_____	_____	_____
<hr/>			
6. Are non-current receivables offset as reserves?	_____	_____	_____
<hr/>			
<u>Cash Disbursements:</u>			
1. Are pre-numbered checks used for all disbursements?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
2. Is the supply of unused checks adequately controlled and safeguarded?	_____	_____	_____
3. Is the practice of signing blank checks in advance prohibited and were any signed blank checks in evidence?	_____	_____	_____
4. Are all paid invoices and vouchers stamped with check number to avoid reuse?	_____	_____	_____
5. Are payments made only from a periodic statement supported by an original invoice?	_____	_____	_____
6. Are payments made only from original invoices and payments from duplicate prohibited?	_____	_____	_____
7. Are payment procedures in place to take advantages of discounts offered?	_____	_____	_____
8. Does the City occasionally fail to take advantage of discounts?	_____	_____	_____
9. Are all voided checks retained and canceled?	_____	_____	_____
10. Is the practice of making checks to order of "Cash" prohibited?	_____	_____	_____
11. Is a check protector used?	_____	_____	_____

	YES	NO	COMMENTS
12. Were all checks written before the end of the fiscal year actually distributed to the payees? (That is, were any checks being held in City offices for any reasons?)	_____	_____	_____
<hr/>			
13. Are checks signed only by authorized personnel?	_____	_____	_____
<hr/>			
14. Are receiving reports required for all material and supply before payment of bills or claims?	_____	_____	_____
<hr/>			
15. Have all disbursements been approved for payment by the properly designated official?	_____	_____	_____
<hr/>			
16. Do invoices indicate the City is taking advantage of its tax exempt status?	_____	_____	_____
<hr/>			
17. Does someone other than the person authorized to sign checks have to approve the invoice for payment?	_____	_____	_____
<hr/>			
18. If a facsimile signature is authorized, are precautions taken to insure that the other person authorized to sign checks does not have access to the facsimile plate?	_____	_____	_____
<hr/>			
19. Is effective control maintained over mailing or distribution of checks after they are signed?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
20. Is there a definite (preferably written) policy for requesting travel advances, reporting travel expenses, and reimbursing the unit for unexpended advances?	___	___	_____
21. Are travel expense reports in adequate form, properly supported and approved?	___	___	_____
22. Has the City adopted reasonable maximum per diem limits?	___	___	_____
23. Are travel advances approved by department heads?	___	___	_____
24. Does the finance department require full account controls over all advances?	___	___	_____
25. Are travel allowances provided to anyone? If so, who, why and how are they reported to IRS?	___	___	_____

Accounts Payable, Expenditures, and Encumbrances:

1. Does the governmental unit prepare and use a budget appropriation ordinance as a primary guide for controlling expenditures:			
(a) In governmental type funds?	___	___	_____
(b) In enterprise type funds?	___	___	_____

	YES	NO	COMMENTS
2. Have budget appropriations for current year been recorded to the appropriation expenditures accounts on a timely basis?	___	___	_____
<hr/>			
3. Have amendments been made to the budget in a timely manner?	___	___	_____
<hr/>			
4. Was there an effective cut-off of liabilities at the end of the fiscal year by the City's finance staff?	___	___	_____
<hr/>			
5. Are debit balances in accounts payable properly reviewed and followed-up?	___	___	_____
<hr/>			
<u>Purchasing and Contracting:</u>			
1. Are purchase orders required in advance for all purchases in accordance with existing law or charter requirements?	___	___	_____
<hr/>			
2. Does the City issue "blanket or standing" purchase orders?	___	___	_____
<hr/>			
3. If the answer to question 2 is yes, has the City taken bids to obtain the best available price on items purchased under the blanket purchase order?	___	___	_____
<hr/>			
4. Are pre-numbered purchase orders used?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
5. Are purchase orders required for all purchases in excess of _____ (check charter to find exact amount)?	___	___	_____
6. Are procedures followed to insure lowest available price on purchases below the PO required amount?	___	___	_____
7. Are there written records to support this procedure?	___	___	_____
8. Does the City take advantage of state purchasing contracts state?	___	___	_____
9. Does the City take advantage of cooperative purchases with other governments?	___	___	_____
10. Are all duties in connection with approval of invoices or vouchers for payment independent of the purchasing department or the purchasing agent?	___	___	_____
11. Is an open file of outstanding purchase orders maintained?	___	___	_____
12. Is effective control maintained on goods and services purchased to insure:			
(a) They are received?	___	___	_____
(b) They are at reasonable and most economical costs?	___	___	_____
	YES	NO	COMMENTS
(c) Were actually required for efficient operations and were effectively used?	___	___	_____
13. Are all departmental purchases requisi-			

tioned or approved in advance by the
department head?

-
14. Are department heads furnished with
summaries of itemized expenditures
and comparisons of actual expenditures
with budget estimates for management
responsibility?

-
15. Were all contracts that required public
bids awarded as prescribed by statutes?

-
16. Are there any indications that purchases
are being made for someone's personal use?

-
17. Has the City made any purchases from
elected or appointed City officials
or city employees?

Please explain: _____

Payrolls and Forms 1099:

1. Does the city follow the practice of
having properly written authorizations
on file for:

(a) New employees?

(b) Salary or wage changes?

(c) Terminations?

-
2. Is a separate payroll account maintained
on the imprest system?

-
3. Are the mechanics of preparing payrolls
re-checked, at least on a test basis?

YES NO COMMENTS

4.	Are payroll checks distributed by a person who has no part in payroll preparation, at least on a quarterly or semi annual basis?	___	___	___
5.	Are persons distributing payroll checks rotated from time to time or are surprise distributions of checks made by an independent individual?	___	___	___
6.	Are payroll deduction payments being made on a timely basis?	___	___	___
7.	Are W-4 forms on file for all employees?	___	___	___
8.	Are time cards:			
	(a) Used when practical?	___	___	___
	(b) Initialed by an authorized person for changes?	___	___	___
		YES	NO	COMMENTS
	(c) Approved by supervisor?	___	___	___
	(d) Checked for computation of hours?	___	___	___
9.	Are 1099 forms furnished all vendors as required by law?	___	___	___
10.	Does the City have Taxpayer Identification Numbers (TIN) for all vendors on which they may be required to prepare the 1099 form?	___	___	___
11.	Does the City have in place a system that insures compliance with Form 1099 reporting?	___	___	___

Other Current Liabilities:

1. Are all contracts approved by the governing body?

____ _

-
2. Is a detailed record of outstanding contracts maintained?

____ _

-
3. Are procedures in place to ensure all developmental fees or deposits are collected?

____ _

	YES	NO	COMMENTS
<u>Bonds and Notes Payable:</u>			
1. Do the minutes of the governing body reflect adequate information on bond issues?	_____	_____	_____
2. Does the publication of the notice of bond election agree with the purposes and restrictions contained in the board minutes?	_____	_____	_____
3. Are the proceeds from the sale of bonds used in accordance with the stated purpose of the issue?	_____	_____	_____
4. Are separate bank accounts and accounting records maintained for each bond issue if required by the bond resolution?	_____	_____	_____
5. Are the investment and disbursement practices for bond issues in compliance with arbitrage laws and/or regulations?	_____	_____	_____
6. Did the City receive prior approval from the Director of Local Finance before the issuance of notes?	_____	_____	_____
7. Does the City have a master list of bond and coupon requirements by fiscal year, and by month?	_____	_____	_____

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF PURCHASING IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
2. Are you familiar with the provisions of the 1983 Municipal Purchasing Law (T.C.A. Section 6-56-301, et. seq.)?	_____	_____	_____
<hr/>			
3. Are you subject to the provisions of the 1983 Municipal Purchasing Law?	_____	_____	_____
<hr/>			
4. Are you aware of other general laws that apply to your purchasing activities?	_____	_____	_____
<hr/>			
5. Do you have a centralized purchasing system?	_____	_____	_____
<hr/>			
6. Do you have one person who has the responsibility for purchasing activities?	_____	_____	_____
<hr/>			
7. Do you permit department heads or other designated employees to make any purchases without going through the purchasing agent?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
8. Do you utilize a purchase requisition form?	___	___	_____
9. Do you utilize purchase orders?	___	___	_____
10. Do you ever issue confirming purchase orders?	___	___	_____
11. Do you encumber funds when a purchase order is issued?	___	___	_____
12. Do you check for the availability of funds prior to issuing a purchase order?	___	___	_____
13. Do using departments prepare the specifications for major purchases?	___	___	_____
14. Are the quality and quantity of purchases verified prior to payment of the vendor?	___	___	_____
15. Do you have a procedure for the disposal of surplus material, equipment, parts, etc.?	___	___	_____
16. Have you adopted a purchasing ordinance?	___	___	_____
17. Have you adopted written purchasing procedures?	___	___	_____

	YES	NO	COMMENTS
18. Have your purchasing procedures been reviewed during the past five years?	_____	_____	_____

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF LAW ENFORCEMENT IN ANY CITY**

	YES	NO	COMMENTS
<u>Organizational Indicators:</u>			
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	___	___	_____
(a) For the department?	___	___	_____
(b) If not, are such lines clearly established and understood by all employees?	___	___	_____
2. Is there a Mission Statement for the department?	___	___	_____
3. Does the department have support from the governing body?	___	___	_____
4. Are there achievable short and long-term goals and objectives?	___	___	_____
5. Have the goals and objectives been agreed to by the governing body?	___	___	_____
6. Do the department and governing body evaluate the performance of the department?	___	___	_____
7. Are policies developed and reviewed?	___	___	_____
	YES	NO	COMMENTS
8. Are community groups used to develop support for the department and its goals?	___	___	_____

9.	Is the department organized functionally?	___	___	___
<hr/>				
10.	Are all supervisors involved in the budget process?	___	___	___
<hr/>				
11.	Are public relations efforts used?	___	___	___
<hr/>				
12.	Does the chief balance his time between internal management and external responsibilities (citizens, city government, business community, etc.)?	___	___	___
<hr/>				
13.	Are auxiliary officers used?	___	___	___
<hr/>				
14.	Do officers work a 40-hour work week?	___	___	___
<hr/>				
15.	Is there a City court?	___	___	___
<hr/>				
16.	Does the City operate a holding facility?	___	___	___
<hr/>				
17.	Does the City provide outside police services?	___	___	___
<hr/>				

	YES	NO	COMMENTS
18. If it does, are such services provided in accordance with written agreements that conform to the state law governing mutual aid and outside emergency assistance?	___	___	_____
<hr/>			
19. Does the City have a current written police policy and procedures manual?	___	___	_____
<hr/>			
20. Does the City employ:			
(a) Full-time police officers?	___	___	_____
<hr/>			
(b) Part-time police officers?	___	___	_____
<hr/>			
(c) Auxiliary or reserve police officers?	___	___	_____
<hr/>			
21. Are all the City's police officers POST commission certified?	___	___	_____
<hr/>			
(a) Full-time officers?	___	___	_____
<hr/>			
(b) Part-time officers?	___	___	_____
<hr/>			
(c) Auxiliary police officers?	___	___	_____
<hr/>			
22. If some police officers are not certified, does the person responsible for police administration justify the legal reason they are not certified?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
23. If the City uses reserve or auxiliary police officers, are they subject to clear, definite written policies and procedures that define their function and role?	___	___	_____

24.	Does the City have a "ride-along" program? If so, is it operated subject to clear, definite, written policies and procedures that define the role of the ride-along?	___	___	___
-----	--	-----	-----	-----

25.	Does the police department conform to the peculiar overtime regulations prescribed for police departments under the Fair Labor Standards Act?	___	___	___
-----	---	-----	-----	-----

26.	Have non-police city personnel been given the authority to issue ordinance summons for sanitation, litter and animal control?	___	___	___
-----	---	-----	-----	-----

27.	If so, do those persons given such authority understand the extent and limitations of their authority?	___	___	___
-----	--	-----	-----	-----

Technical Indicators:

1.	Do information systems (i.e. computers, record keeping systems, etc.) meet the reporting needs of management as well as the whole agency?	___	___	___
----	---	-----	-----	-----

2.	Are workload allocation studies conducted?	___	___	___
----	--	-----	-----	-----

		YES	NO	COMMENTS
3.	Does the department work cooperatively with other government and private agencies as needed?	___	___	___

4.	Are ample supplies and materials available to the agency to assure that services are provided effectively and efficiently?	___	___	___
----	--	-----	-----	-----

5.	Is all major equipment inventoried			
----	------------------------------------	--	--	--

and in good condition?	_____	_____	_____
<hr/>			
6. Is there a fleet replacement schedule?	_____	_____	_____
<hr/>			
7. Does the City maintain its communication center or dispatch center?	_____	_____	_____
<hr/>			
8. Is there an adequate internal communications system?	_____	_____	_____
<hr/>			
9. Are calls for service and incident reports continually evaluated to ensure that sufficient manpower is provided to cover as many conditions as possible to maximize citizen safety?	_____	_____	_____
<hr/>			
10. Are all public safety facilities clean with adequate space for relevant activities?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
11. Is there in place a civilian complaint system?	_____	_____	_____
<hr/>			
12. Are investigations into citizen complaints handled in a timely fashion and are communications maintained with the complainant?	_____	_____	_____
<hr/>			
<u>Personnel Indicators:</u>			
1. Are there job descriptions?	_____	_____	_____
<hr/>			
2. Are the functions and responsibilities of each unit within the department clearly defined?	_____	_____	_____
<hr/>			
3. Are accountability systems in place which are consistent with the agency's goals and objectives?	_____	_____	_____
<hr/>			
4. Is there a system designed to select agency members for specialized positions?	_____	_____	_____
<hr/>			
5. Is the promotional system fair and does it use methods considered state-of-the art such as assessment centers?	_____	_____	_____
<hr/>			
6. Is the disciplinary system fair, consistent, and quick to respond?	_____	_____	_____
<hr/>			
7. Is professional development encouraged?	_____	_____	_____
<hr/>			
	YES	NO	COMMENTS
8. Is there a recruitment policy in place?	_____	_____	_____
<hr/>			
9. Is management training offered?	_____	_____	_____

10.	Is the hiring and selection process designed to match job requirements and conducted objectively, using state-of-the-art methodology such as entry-level assessment centers, written examinations, etc.	_____	_____	_____
11.	Are training needs assessments conducted regularly to ensure that the in-service training subjects meet the needs of officers and managers?	_____	_____	_____
12.	Are all members of the public safety agency concerned with a professional personal appearance?	_____	_____	_____
13.	Are all members of the public safety agency concerned with their physical health and agility?	_____	_____	_____
14.	Is on-the-job and remedial training provided to agency members when deficiencies are noted and do members who recognize their own deficiencies free to request assistance?	_____	_____	_____
15.	Are civilians and volunteers used whenever possible to free sworn agency members to perform their primary duties and responsibilities?	_____	_____	_____
		YES	NO	COMMENTS
16.	Are services provided to support agency members?	_____	_____	_____
17.	Are gifts or gratuities from merchants or citizens accepted?	_____	_____	_____
18.	Are the officers given protection against communicable diseases?	_____	_____	_____

19. Are hiring procedures in compliance
with ADA?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE
MANAGEMENT OVERVIEW OF FLSA IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
2. Is the City paying a minimum wage rate for all employees, including part-time, seasonal, temporary, etc.?	_____	_____	_____
<hr/>			
3. Is the City paying time and one-half for all hours worked over 40 in a seven-day work week in the form of pay or compensatory time?	_____	_____	_____
<hr/>			
4. If the City is using compensatory time to pay overtime, does it have a clear policy relating to its use, and do employees understand the policy?	_____	_____	_____
<hr/>			
5. Is the City aware of the limits of the amount of compensatory time that can be accumulated (240 hours for non-fire and police, and 480 hours for fire and police)?	_____	_____	_____
<hr/>			
6. Is the City aware of the special rules relating to certain exemptions from overtime for fire and police personnel?	_____	_____	_____
<hr/>			
	YES	NO	COMMENTS
(a) Is the City maintaining the proper records to substantiate these exemptions?	_____	_____	_____
<hr/>			

7.	Are police officers paid a flat rate for court time?	____	____	_____
<hr/>				
(a)	Are police officers paid for hours worked?	____	____	_____
<hr/>				
8.	Does the City have a listing of those employees who are considered exempt from overtime (this relates to administrative, executive, and professional exemptions)?	____	____	_____
<hr/>				
(a)	Do the employees' job descriptions support the exemption?	____	____	_____
<hr/>				
9.	Does the City understand that employees cannot "volunteer" to perform duties they are normally paid to do, i.e. fire fighters volunteering for their own department?	____	____	_____
<hr/>				
10.	Does the City understand the conditions of dual employment and how overtime is to be paid to employees who may work for two different departments within the same city?	____	____	_____
<hr/>				
(a)	Are they paying employees who are working for two departments the proper overtime rate of pay?	____	____	_____
<hr/>				
		YES	NO	COMMENTS
11.	Are dispatchers in fire and/or police organizations considered civilian employees, and not given the same exemptions as police and fire employees?	____	____	_____
<hr/>				
12.	Does the City realize that training required for certification is not subject to overtime compensation?	____	____	_____
<hr/>				
13.	Does the City maintain records in			

accordance with FLSA regulations?

___ ___

14. Are records also kept on exempt personnel?

___ ___

15. Are all records relating to pay and time worked kept for at least three years?

___ ___

16. Does the City pay overtime even though an employee takes leave during the work period?

___ ___

**FIRE DEPARTMENT
MANAGEMENT ANALYSIS SURVEY**

1. Is there an organization chart that defines the lines of authority and responsibility for the City?

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

2. Is there an organizational chart for the fire department?

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

3. Does the City charter or any ordinances or resolutions address the organization or operation of the fire department?

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

4. Is there a map available of the area protected by the fire department?
(It should include water mains and location of hydrants and fire stations.)

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

5. Does the fire department have any automation in any of the following areas:

Fire Incident Reporting	YES_____	NO_____
Training Records	YES_____	NO_____
Geographical Data	YES_____	NO_____
Pre-Fire Planning	YES_____	NO_____
Hazardous Materials (SARA)	YES_____	NO_____
Computer Assisted Dispatch (CAD)	YES_____	NO_____
Inspection or Code Enforcement	YES_____	NO_____

On all yes answers, please give a brief description of the system including both hardware and software utilized to operate it. (Please use additional sheet of paper and reference question 5.)

6. Does the area protected by the fire department include any territory outside the City?

YES_____

NO_____

If yes, please describe how the cost for these services is recovered and provide a map of the area if not included in the map requested in Question 4 above.

7. Does the City or fire department have any regular or automatic mutual aid agreements with surrounding jurisdictions?

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

8. Does the fire department have a written SOP Manual?

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

9. Does the fire department have a written planning document or does the City have such a document and the fire department is included. (i.e., capital improvement plan, strategic plan, plan of service, etc.)

YES_____

NO_____

If yes, please furnish a copy.
_____ (copy attached)

If yes, what is the length of the planning term? YEARS_____

10. Does the fire department have a fire incident reporting system?

YES_____

NO_____

If yes, please furnish a copy of the last report covering a complete year.
_____ (copy attached)

11. Is the fire department participating in the state firefighter certification program?

YES_____

NO_____

If yes, how many firefighters hold some level of certification?

NUMBER _____

12. Has the City adopted a fire code?

YES_____

NO_____

If yes, give name and date of
code.

Code_____

Year model of code_____

13. What is the total population of the City? _____
(do not include population protected outside of City)

14. What were the actual expenditures from the fire department budget for
the last two complete years available?

Year_____ Expenditures_____

Year_____ Expenditures_____

Please furnish one copy of the last budget adopted for the
fire department.
_____(copy attached)

15. What are the total resources of the fire department in the following
categories?

Personnel: Paid Firefighters_____ Paid on-call Firefighters_____

Volunteer Firefighters_____ Public Safety Officers _____

Number of Fire Stations_____

Have any fire stations been added in the last 5 years?

Yes_____ No_____ If yes, how many? _____

Are any fire stations being planned within the next 2 years?

Yes_____ No_____ If yes, how many? _____

Apparatus:

List all vehicles owned by the fire department on a separate
sheet.

Sample: engine 1 - 1000gpm - 1985 - Grumman
tanker 1 - 1500cap. - 250gpm - 1979 - GMC

16. If you have any volunteer or paid-on-call firefighters, does the City have a volunteer incentive program to encourage retention and recruitment?
- YES_____ NO_____ If yes, please describe.
(Use separate sheet, reference Q16)
17. If Q15 contained any paid firefighters, briefly describe the type of shift that they are currently working.
- _____Does not apply
- Shift description_____
-
18. What standard of training does the department use to insure that all firefighters are adequately trained?
-
19. What is your current ISO rating?_____ What year did you receive this rate? _____
- Please furnish a copy of your ISO evaluation letter.
_____ (copy attached)
20. What other service outside of basic firefighting does the fire department provide?
- | | | |
|------------------------------|----------|---------|
| Pre-Fire Planning | YES_____ | NO_____ |
| Public Fire Education | YES_____ | NO_____ |
| Arson Investigation | YES_____ | NO_____ |
| First Responder | YES_____ | NO_____ |
| Advanced Life Support | YES_____ | NO_____ |
| Ambulance (transport) | YES_____ | NO_____ |
| Vehicle Extrication | YES_____ | NO_____ |
| Hazardous Materials Response | YES_____ | NO_____ |
| Fire Safety Inspections | YES_____ | NO_____ |
| Code Enforcement | YES_____ | NO_____ |
| Building Code Enforcement | YES_____ | NO_____ |
| Other_____ | YES_____ | NO_____ |

**LIST OF OTHER CHECKLIST ITEMS FOR A
FIRE ORGANIZATION IN ANY CITY**

	YES	NO	COMMENTS
<u>Community Data:</u>			
1. Is there general geographic information such as regional and area maps available (GIS)?	_____	_____	_____
2. Is there a map of the transportation network, i.e., railroads, roads, waterways, airports?	_____	_____	_____
3. Is there a chart of population trends - past and future?	_____	_____	_____
4. Is there physical data on the largest private employers? (Function, location, fire protection features, size, etc.)	_____	_____	_____
5. Is there physical data on schools, hospitals, nursing homes, large places of assembly?	_____	_____	_____
6. Is there a listing of occupancies housing the most hazardous materials?	_____	_____	_____
7. Does the City government have a good working relationship with other area local governments?	_____	_____	_____
8. Does the fire department conform to the peculiar overtime regulations prescribed for fire departments under the Fair Labor Standards Act?	_____	_____	_____
	YES	NO	COMMENTS
9. Are all ordinances relating to fire prevention current or in the process of being updated?	_____	_____	_____

Fire Department:

1.	Are there department by-laws and/or rules and regulations available?	___	___	_____
<hr/>				
2.	Is the fire department aware of NFPA 1500 and 1501 requirements?	___	___	_____
<hr/>				
3.	Can the City determine the number and extent of job-related injuries and illnesses over the past five years?	___	___	_____
<hr/>				
4.	Does the fire department have an adequate employee safety policy in practice?	___	___	_____
<hr/>				
5.	Does the City encourage or require fire fighter certification?	___	___	_____
<hr/>				
6.	Does the department maintain personnel records on volunteers?	___	___	_____
<hr/>				
7.	Is the department in compliance with FLSA requirements?	___	___	_____
<hr/>				
8.	Does the department have a disciplinary process and any grievance procedures?	___	___	_____
<hr/>				
		YES	NO	COMMENTS

Communications:

1.	Does the City provide its own dispatching?	___	___	_____
<hr/>				
2.	Does the department handle dispatching duties?	___	___	_____
<hr/>				
3.	Does the department have its own radio frequency?	___	___	_____
<hr/>				

4. Can area departments effectively communicate with each other? _____

5. Does an S.O.P. for communications exist? _____

Response Times:

1. Are records maintained on response times? _____

2. Are there geographic factors or man-made obstructions that affect response times? _____

3. Are streets adequately marked? _____

Equipment:

1. Is there a list of make, model, and year of all motorized fire apparatus by fire station? _____

	YES	NO	COMMENTS
2. Does the equipment meet NFPA standards?	_____	_____	_____

3. Can the City determine approximate amount of hose and hose accessories in each department?	_____	_____	_____
---	-------	-------	-------

4. Can City determine the number and size of ground ladders?	_____	_____	_____
--	-------	-------	-------

5. Does turnout gear (boots, coat, pants, helmet, gloves) meet NFPA and OSHA standards?	_____	_____	_____
---	-------	-------	-------

6. Are there any policies regarding wearing of protective clothing?	_____	_____	_____
---	-------	-------	-------

7. Is there a way to determine the number of self-contained breathing apparatus (SCBA's) and spare bottles available? _____

8. Do you have a system for refilling air bottles? _____

9. Is there a tool equipment replacement schedule? _____

Facilities:

1. Are facilities used for purposes other than for the fire department? _____

	YES	NO	COMMENTS
2. Does the department have back-up power sources?	_____	_____	_____
<hr/>			
3. Do you have an adequate number and location of fire facilities?	_____	_____	_____
<hr/>			
<u>Training:</u>			
1. Are training records maintained?	_____	_____	_____
<hr/>			
2. Are training facilities available and adequate?	_____	_____	_____
<hr/>			
3. Is training conducted on a routine basis? (frequency?)	_____	_____	_____
<hr/>			
<u>Support Services:</u>			
1. Are there any external support groups that exist for the volunteer department?	_____	_____	_____
<hr/>			
2. Does the City perform central equipment maintenance and keep maintenance records?	_____	_____	_____
<hr/>			
3. Is there a department budget preparation process?	_____	_____	_____
<hr/>			
4. Does the volunteer fire department handle its own finances and recordkeeping?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
5. Does the department utilize TFIR's and are they fully completed and sent to the State Fire Marshall's Office?	___	___	_____
<hr/>			
<u>Water Supplies:</u>			
1. Can the City determine fire flow capabilities of the water system(s) and the department in suppression activities (public and private)?	___	___	_____
<hr/>			
2. Can high hazard areas be identified on the water system map and determination made of needed fire flows?	___	___	_____
<hr/>			
3. Does the City conduct spot checks of fire flows by actually conducting flow tests?	___	___	_____
<hr/>			
4. Does the City have the latest copy of the ISO rating report?	___	___	_____
<hr/>			
5. Does the department have a designated water supply officer?	___	___	_____
<hr/>			
6. Are hydrants color coded and visible?	___	___	_____
<hr/>			

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF PUBLIC WORKS IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	_____	_____	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	_____	_____	_____
<hr/>			
<u>Streets and Bridges:</u>			
1. Does the Public Works Department have written policies and procedures?	_____	_____	_____
<hr/>			
2. Is there a snow plan encompassing places, times, temperature conditions, equipment availability, personnel assignment, coordination with public safety agencies, scoop and haul and treatment applications of salt or other means?	_____	_____	_____
<hr/>			
3. Is there a time and performance benchmark standard on filling potholes, utility cut depression or other surface hazard conditions that may cause personal injury or vehicle damage?	_____	_____	_____
<hr/>			
4. Is there a pavement management plan geared toward multi-year projections for the various methodologies used in street maintenance, both spot and general surface treatment?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
5. Is there incorporation of multiple technologies into the street upgrade and maintenance plan such as recycling of existing material?	___	___	_____
<hr/>			
6. Is there a sound utility cut ordinance that assigns responsibility, inspection services, times available and guarantees against failure?	___	___	_____
<hr/>			
7. Is there a protection plan against salt damage on bridges and other concrete structures such as retaining walls, etc.?	___	___	_____
<hr/>			
8. Do subdivision standards sufficiently meet the following criteria:			
(a) Do they accommodate the axle loads?	___	___	_____
<hr/>			
(b) Is underground and lateral drainage done in proper places?	___	___	_____
<hr/>			
(c) Is geometry of the streets of modern standards?	___	___	_____
<hr/>			
(d) Is traffic control in conformance with the Manual of Uniform Traffic Control Devices?	___	___	_____
<hr/>			
9. Is there a graduated "retirement plan" for repetitious problems?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
10. Is there adequate equipment in place for work required?	_____	_____	_____
11. Is there an equipment replacement program in place?	_____	_____	_____
12. Is there a right-of-way maintenance program in place?	_____	_____	_____

Utilities (street related):

1. Are utilities well located with emphasis on being out from under the wearing surface of the street?	_____	_____	_____
2. Does the City utilize trenchless technology?	_____	_____	_____
3. Is there an on going in-line maintenance and repair system for ww lines?	_____	_____	_____
4. Does the City require an adequate compaction and street replacement program for all utility cuts?	_____	_____	_____
5. Are there adequate construction standards and specifications to prevent premature collapse or deterioration of pipelines?	_____	_____	_____

	YES	NO	COMMENTS
6. Does the City have an ongoing program to keep rain water out of ww manholes and lines?	___	___	_____
7. Are there quick methods to adjust manhole risers for conformity with the street surface?	___	___	_____
8. Is there a permitting process that insures that all utility adjustments are well coordinated and inspected for sound street maintenance?	___	___	_____
9. Is the O & M budget for streets adequate?	___	___	_____
10. Do you have up-to-date street maps?	___	___	_____
11. Do your street maps reflect utilities?	___	___	_____

General Items You May Want to Ask About Streets:

1. Give us an overview of your streets? Type, age and condition. How many miles do you maintain?
2. How many people work in the streets department? Are they organized into crews? Do they have responsibilities in other departments?
3. What are your biggest problems in operating the streets department?
4. What changes in subdivision standards regarding streets are needed?
5. What major capital expenditures will be coming up in the streets department in the next five years?
6. How do you coordinate utility cuts with the water and sewer departments?
7. What is handled in-house and what is contracted out?

YES NO COMMENTS

Storm Water:

1. Is there a comprehensive storm water management plan encompassing the following features?

(a)	Are conveyances in the system sized for a specific storm frequency?	_____	_____	_____
(b)	Is there a record of all upsized and new conveyances?	_____	_____	_____
(c)	Does new development have to conform to the applicable storm frequency without downstream impact?	_____	_____	_____
(d)	Is there a scheduled maintenance program for all parts of the storm water system?	_____	_____	_____
(e)	Do construction standards and specifications encompass minimum life standards for all pipes, structures, etc.?	_____	_____	_____
2.	Is there monitoring of the quality of storm water being discharged from the City?	_____	_____	_____
3.	Is there a program, both for the existing system and the future additions to the system to clean up water before discharge into downstream rivers or lakes?	_____	_____	_____
		YES	NO	COMMENTS
4.	Is there an erosion control ordinance in place?	_____	_____	_____
5.	Is the O&M budget for drainage management adequate?	_____	_____	_____
6.	Do you have subdivision standards regarding storm water runoff?	_____	_____	_____

7.	Are your subdivision standards regarding storm water runoff adequate?	___	___	___
<hr/>				
8.	Are changes needed in your subdivision standards regarding storm water runoff?	___	___	___
<hr/>				
9.	Do you have any drainage maps?	___	___	___
<hr/>				
10.	Do your drainage maps show details on type of structures, pipe size, etc.?	___	___	___
<hr/>				

General Items You May Want to Ask About Storm Water:

1. Give us an overview of your storm water management system. Type, age and condition of storm drains.
2. How many people work in storm water management? Are they organized into crews? Do they have other responsibilities?
3. What are your biggest problems with drainage management?
4. What major capital expenditures will be coming up in drainage management in the next five years?
5. What is handled in-house and what is contracted out?
6. What design criteria are used?
7. How are citizens' complaints regarding drainage problems handled?

	YES	NO	COMMENTS
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Traffic Control:

1.	Is there an on-going traffic device inspection and maintenance program?	___	___	___
<hr/>				
2.	Are all devices installed and maintained in conformance with the Manual of Uniform Traffic Control Devices?	___	___	___
<hr/>				
3.	Is the long-range transportation development plan periodically updated?	___	___	___
<hr/>				
4.	Are alternative modes such as mass			

transit given fair consideration on their merits?	_____	_____	_____
<hr/>			
5. Are traffic flow studies being conducted and reviewed according to some schedule and system?	_____	_____	_____
<hr/>			
6. Is there a working arrangement with a professional traffic and transportation consultant?	_____	_____	_____
<hr/>			
7. Is there interdepartmental coordination with other departments in ascertaining and correcting safety problems?	_____	_____	_____
<hr/>			
8. Is the City maintaining and analyzing traffic incident records?	_____	_____	_____
<hr/>			
	YES	NO	COMMENTS
<u>R.O.W. Maintenance:</u>			
1. Is there a scheduled mowing, tree and shrub trimming and other green stuff maintenance program?	_____	_____	_____
<hr/>			
2. Are difficult spots being retired from constant maintenance by going to alternate solutions?	_____	_____	_____
<hr/>			
3. Is there a litter and trash removal program operating on schedule?	_____	_____	_____
<hr/>			
4. Are all storm conveyances including ditches on a maintenance program?	_____	_____	_____
<hr/>			
5. Are all trees and plants watered with an underground pipe system?	_____	_____	_____
<hr/>			
6. Are there alternative methods of growth control such as plant growth regulators, selected herbicides, etc., being used at			

appropriate times?

-
7. Is there a scheduled surveillance and removal of plant growth that might cause traffic safety problems?

-
8. Is the equipment properly matched to the job requirements?

	YES	NO	COMMENTS
9. Is there a long-range "green plan"?	___	___	_____
<hr/>			
<u>Fleet Management:</u>			
1. Is there a fleet replacement policy geared to sound analysis of vehicle operation and maintenance?	___	___	_____
<hr/>			
2. Is there a fleet manager?	___	___	_____
<hr/>			
3. Does the fleet manager have proprietary authority over vehicles?	___	___	_____
<hr/>			
4. Is there a fleet replacement plan based on analytical fleet replacement policies and funded by a revolving fleet replacement fund or annual budget?	___	___	_____
<hr/>			
5. Are there preventive maintenance policies and operational procedures that are adhered to?	___	___	_____
<hr/>			
6. Are multi-functional vehicles being used?	___	___	_____
<hr/>			
7. Do all users have access to all equipment?	___	___	_____
<hr/>			
8. Is there a fleet management software package?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
9. Is the parts inventory maintained on a historical need (analytical) basis?	_____	_____	_____
10. Are fuel and oil usage tracked against miles/hours?	_____	_____	_____
11. Is there a tire recap policy?	_____	_____	_____
12. Does the City's training program provide for upgrading mechanical skills?	_____	_____	_____
13. Are operators trained for optimum fuel usage and vehicle wear?	_____	_____	_____
14. Is disciplinary action taken when operator abuse is discovered?	_____	_____	_____
15. Is equipment purchased with maximum effect in mind for multiple or integrated use/functions?	_____	_____	_____
16. Is usage frequency considered in purchasing decisions, and leasing considered as an economical option?	_____	_____	_____
17. Are your people certified and is this required?	_____	_____	_____
18. Do you see vehicle abuse?	_____	_____	_____

General Items You May Want to Ask About Fleet Management:

1. Describe what is done in the vehicle maintenance department if there is one and which departments are served?
2. How many people are used in this department?
3. What are your biggest problems in the operation of the department?
4. Do you prepare a budget?
5. How do you charge for service?
6. How do you purchase new test equipment? Do you include instructions for your people in price? Do you furnish tools?
7. Describe the routine when a vehicle is placed in the shop?

	YES	NO	COMMENTS
<u>Solid Waste:</u>			
1. Does the City employ a professional waste manager?	___	___	_____
<hr/>			
2. Is there a citizen's advisory group involved in developing a waste plan?	___	___	_____
<hr/>			
3. Does the City have an integrated waste management plan?	___	___	_____
<hr/>			
4. Does the City have a waste reduction plan and is it sufficient to meet state standards?	___	___	_____
<hr/>			
5. Does the City utilize dual collection equipment for curbside recycling?	___	___	_____
<hr/>			
6. Is there a composting plan for yard waste/wastewater/sludge/wet msw?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
7. Has collection been reduced to minimum frequency necessary to serve the purpose?	___	___	_____
<hr/>			
8. Does the City have a written policy			

	governing the collection and disposal of solid waste?	___	___	_____
<hr/>				
9.	Is there an effort to automate waste handling as much as possible?	___	___	_____
<hr/>				
10.	Has the City fairly considered private contracts?	___	___	_____
<hr/>				
11.	Is the City involved in regional planning?	___	___	_____
<hr/>				

General Items You May Want to Ask About Solid Waste:

1. Give us an overview of your solid waste system.
2. Does the City operate its own collection system and if so, how many people are employed?
3. If you contract collection, who is the contract with? For how long? Are you satisfied with the service?
4. How frequent is collection and are commercial and industrial customers served?
5. What type of collection equipment is used and what is its condition?
6. What impact has the Solid Waste Act of 1991 had on the City?
7. What are the short and long term plans for waste collection and disposal?
8. What are the current costs of collection and disposal and how is that projected to change in the next 5 years?
9. What are your biggest problems in solid waste collection and disposal?

YES NO COMMENTS

Geographical Information System (GIS):

1.	Does the city have a GIS system?	___	___	_____
<hr/>				
2.	Is data entry current?	___	___	_____
<hr/>				
3.	Is it updated?	___	___	_____
<hr/>				

4. Is there a qualified operator? _____

5. Is there a back-up operator? _____

General Items You May Want to Ask About GIS:

1. How old is the City's GIS system?
2. What is the GIS system being used for?

YES NO COMMENTS

General Notes:

1. Is there a preventive maintenance program for public works with adequate annual appropriations? _____

2. Is there a travel, membership and education budget in the street budget for the upgrading of management, operational and technical skills? _____

3. Has the department established benchmarks for performance in all functions? _____

YES NO COMMENTS

4. Is there an on-going performance auditing program for work and efficiency measurement? _____

5. Does the City have any computerized record keeping systems? _____

6. Are hand tools used where appropriate? _____

7. Does the City plan on both an annual and a day-to-day basis? _____

8. Is there any community input into public works priorities? _____

9.	Are professional consultants used in all phases of the departmental operations when needed?	___	___	_____
10.	Is there a 5 year+ capital improvements schedule?	___	___	_____
11.	Does the department provide status reports on projects to the City Administration?	___	___	_____
12.	Do you monitor air and water quality within the City?	___	___	_____
13.	Do you utilize GIS (geographic information system)?	___	___	_____
		YES	NO	COMMENTS
14.	Does the City have an accurate well-controlled land survey master grid of GPS quality?	___	___	_____
15.	Are privatization policies always considered as alternatives to public works programs?	___	___	_____
16.	Are comparisons made between the private sector and the public sector on cost?	___	___	_____
17.	Does the City utilize job order contracting?	___	___	_____
18.	Does the City have any operations and maintenance contracts?	___	___	_____
19.	Is the City doing life cycle costing on equipment and facilities?	___	___	_____

20.	Does the department have a safety/loss control program?	___	___	___
<hr/>				
21.	Has the total infrastructure been valued and is the process continuing so that bond ratings, etc., can be as sound as possible?	___	___	___
<hr/>				
22.	Is there a computerized complaint system?	___	___	___
<hr/>				
23.	Does your department set long and short term goals, objectives and action plans?	___	___	___
<hr/>				
		YES	NO	COMMENTS
24.	Are there training or skill deficiencies in your department?	___	___	___
<hr/>				
25.	Does your division work closely with other divisions and departments of the City (i.e., utilities and streets)?	___	___	___
<hr/>				

General Items You May Want to Ask:

1. What is your role/responsibility in the Water/Wastewater/Public Works Department? (circle one)
2. Give us your perception of the existing organizational structure of this department.
3. How are priorities established in your department?
4. Who makes the decisions about how resources are used to address day-to-day workloads, problems, etc.?
5. What jobs or problems are not addressed, in a timely manner, because of lack of resources?
6. How often do you have staff meetings and what is usually discussed?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT
OVERVIEW OF NATURAL GAS SYSTEMS IN ANY CITY**

	YES	NO	COMMENTS
<u>Administrative:</u>			
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	___	___	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	___	___	_____
<hr/>			
2. Is there an organizational chart in place?	___	___	_____
<hr/>			
3. Are all positions appropriately certified?	___	___	_____
<hr/>			
4. Do you have job descriptions and have they been reviewed with employees?	___	___	_____
<hr/>			
5. According to the audit report, is the system financially sound?	___	___	_____
<hr/>			
6. Is a rate increase needed?	___	___	_____
<hr/>			
7. Does the system have a written policy and procedures manual?	___	___	_____
<hr/>			
8. Do customers sign a formal application for service with the terms and agreements attached?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
9. Are deposits for services received and how are these utilized?	___	___	_____
<hr/>			
10. Are the rate structures sufficient for			

	proper operation?	___	___	_____
11.	Are the rate structures available to all customers?	___	___	_____
12.	Are extension policies on file and enforced?	___	___	_____
13.	Are short and long term supply questions adequately addressed?	___	___	_____
14.	Are turn-off policies on file and enforced?	___	___	_____
15.	Are emergency procedures on file and copies distributed to the employees?	___	___	_____
16.	Are comprehensive specifications adopted and on file for materials and appliances?	___	___	_____
17.	Are as-built distribution system maps available, updated yearly with valve locations, and proper valve operation marked or noted on valve cards?	___	___	_____
18.	Does the system subscribe to the Tennessee One Call System?	___	___	_____
		YES	NO	COMMENTS
19.	Are all fire and police department personnel taught safety procedures on the handling of emergencies entailing natural gas?	___	___	_____
20.	Are there some policies/procedures that you need but do not have?	___	___	_____
21.	Is the system under any enforcement action by the fed's or state?	___	___	_____

Operation and Maintenance:

1. Are service personnel lighting all
pilot lights, regardless of the
situation? _____

2. Are sufficient repair parts in stock
or within immediate reach of service
personnel? _____

3. Is there an anode replacement program
currently being performed on all
metal distribution piping? _____

4. Is there a regular maintenance
program on all regulators within the
system? _____

5. Are system valves operated yearly and
are the non-operating valves replaced? _____

	YES	NO	COMMENTS
6. Is the odorizer equipment regularly serviced?	___	___	_____
7. Are permits issued for new building installation with inspections required and are fees received which cover the cost of the inspections?	___	___	_____
8. Is there a meter repair or replacement program in operation?	___	___	_____
9. Are all system pressure recorders maintained at regular intervals?	___	___	_____
10. Do you provide service outside of City limits or to utility districts?	___	___	_____

General Items You May Want to Ask About Gas System:

1. Give us an overview of your gas system. From whom do you buy your gas? Regulator station with odorizing facility - location and age? Type, age and conditions of lines? Do you have a propane or LNG plant? How many connections served?
2. How many people do you employ in gas department including clerical/administration?
3. What are your biggest problems in operating the gas system?
4. What things have happened in the gas department recently that you are most proud of?
5. How do you plan to handle the new laws on gas purchasing?
6. Have you given any thought to the impact of this new law on your system (Order 636)?
7. How are complaint calls handled? Are they tracked? Who follows-up?
8. What major capital expenditures will the gas system need in the next 5 years?
9. How do you handle meter calibration/replacement?
10. How do you handle leak detection survey? How often is this done? i.e., mandated?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE
MANAGEMENT OVERVIEW OF WATER IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	___	___	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	___	___	_____
<hr/>			
2. Is there a combined water and sewer system?	___	___	_____
<hr/>			
3. Is there an administrative board other than the elected governing body?	___	___	_____
<hr/>			
4. Do you extend services outside the City?	___	___	_____
<hr/>			
5. Do you have a percent difference between inside and outside rates?	___	___	_____
<hr/>			
<u>Administrative:</u>			
1. Is there an organizational chart in place?	___	___	_____
<hr/>			
2. Are all positions appropriately certified?	___	___	_____
<hr/>			
3. Do you have job descriptions and have they been reviewed with the employees?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
4. According to the audit report is the system financially sound?	___	___	_____
<hr/>			
5. Are tap fees adequate to pay cost of			

	actually making connection?	___	___	_____
6.	Is a rate increase needed?	___	___	_____
7.	Does the system have a written policy and procedures manual?	___	___	_____
8.	Do customers sign a formal application for service with the terms and agreements attached?	___	___	_____
9.	Are deposits for service received and how are these utilized?	___	___	_____
10.	Are extension policies on file and enforced?	___	___	_____
11.	Are turn-off policies on file and enforced?	___	___	_____
12.	Are emergency procedures on file and copies distributed to the employees?	___	___	_____
13.	Are all Fire and Police Department personnel taught safety procedures on the handling of emergencies entailing natural gas?	___	___	_____
		YES	NO	COMMENTS
14.	Is the system under any enforcement action by the state?	___	___	_____
15.	Have you had a leak detection survey in recent years?	___	___	_____

Operations & Maintenance:

- Are there up-to-date maps of the system and "as built" drawings of the

treatment facilities?	___	___	___
<hr/>			
2. Does the water plant meet state standards?	___	___	___
<hr/>			
3. Is water adequate according to:			
(a) capacity?	___	___	___
<hr/>			
(b) storage?	___	___	___
<hr/>			
(c) quality?	___	___	___
<hr/>			
4. Is there adequate fire protection according to:			
(a) storage?	___	___	___
<hr/>			
(b) flow pressure?	___	___	___
<hr/>			

	YES	NO	COMMENTS
5. Does the system have a consistent meter replacement program for large meters as well as residential meters?	___	___	_____
6. Are valves and hydrants operated and tested on a regular basis?	___	___	_____
7. Do you have written contracts for sales to other political entities?	___	___	_____
8. Are all major mechanical components of the system regularly serviced and properly maintained?	___	___	_____
9. Are elevated tanks drained, cleaned, and inspected on a regular basis?	___	___	_____
10. Is there an on-going collection/distribution system maintenance and replacement program in effect?	___	___	_____
(a) Is it predictive (preferably software)?	___	___	_____
11. Is there a policy on coordination with street division on work?	___	___	_____
12. Is there a utility cut ordinance?	___	___	_____
13. Do you provide service to utility districts?	___	___	_____

General Items You May Want to Ask About Water:

1. Give us an overview of your water system. Do you have your own treatment plant? Size and age? Type, age and conditions of lines, storage reservoirs, pump stations, etc.? How many connections served?
2. How many people do you employ in treatment? In distribution? In clerical/administration?

3. What are your biggest problems in operating the water system?
4. What things have happened in the water department recently that you are most proud of?
5. How are you handling the increased monitoring requirements for water systems?
6. How are complaint calls handled? Are they tracked? Who follows-up?
7. What major capital expenditures will the water system need in the next 5 years?
8. How do you handle meter calibration/replacement?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE
MANAGEMENT OVERVIEW OF SEWER IN ANY CITY**

	YES	NO	COMMENTS
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	___	___	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	___	___	_____
<hr/>			
2. Is there a combined water and sewer system?	___	___	_____
<hr/>			
3. Is there an administrative board other than the elected governing body?	___	___	_____
<hr/>			
4. Do you extend services outside the City?	___	___	_____
<hr/>			
5. Do you have a percent difference between inside and outside rates?	___	___	_____
<hr/>			
<u>Administrative:</u>			
1. Is there an organizational chart in place?	___	___	_____
<hr/>			
2. Are all positions appropriately certified?	___	___	_____
<hr/>			
3. Do you have job descriptions and have they been reviewed with employees?	___	___	_____
<hr/>			
	YES	NO	COMMENTS
4. According to the audit report is the system financially sound?	___	___	_____
<hr/>			
5. Are tap fees adequate to pay cost of			

	actually making connection?	___	___	_____
<hr/>				
6.	Is a rate increase needed?	___	___	_____
<hr/>				
7.	Does the system have a written policy and procedures manual?	___	___	_____
<hr/>				
8.	Do customers sign a formal application for service with the terms and agreements attached?	___	___	_____
<hr/>				
9.	Are deposits for service received and how are these utilized?	___	___	_____
<hr/>				
10.	Are extension policies on file and enforced?	___	___	_____
<hr/>				
11.	Are turn-off policies on file and enforced?	___	___	_____
<hr/>				
12.	Are emergency procedures on file and copies distributed to the employees?	___	___	_____
<hr/>				
13.	Are all fire and police department personnel taught safety procedures on the handling of emergencies entailing natural gas?	___	___	_____
<hr/>				
		YES	NO	COMMENTS
14.	Are there some policies/procedures that you need but do not have?	___	___	_____
<hr/>				
15.	Is the system under any enforcement action by the state?	___	___	_____
<hr/>				

Operations & Maintenance:

1. Are there up-to-date maps of the

system and "as built" drawings of the treatment facilities?	_____	_____	_____
<hr/>			
2. Are all permits for wastewater discharge verified for compliance?	_____	_____	_____
<hr/>			
3. Is wastewater treatment adequate in:			
(a) capacity?	_____	_____	_____
<hr/>			
(b) quality?	_____	_____	_____
<hr/>			
4. Are wastewater flows monitored during rainfall periods to determine a need for sewer rehabilitation?	_____	_____	_____
<hr/>			
(a) Are I/I storm drain connections and CSO checks done?	_____	_____	_____
<hr/>			
5. Do you have written contracts for treatment for other political entities?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
6. Are all major mechanical components of the system regularly serviced and properly maintained?	___	___	_____
7. Does the system have an up-to-date sewer use ordinance and do you have in place or need a pretreatment program?	___	___	_____
8. Is there an on-going collection/distribution system maintenance and replacement program in effect?	___	___	_____
(a) Is it predictive (preferably software)?	___	___	_____
9. Is there a policy on coordination with street division on work?	___	___	_____
10. Is there a utility cut ordinance?	___	___	_____
11. Is there adequate and timely sludge disposal?	___	___	_____
12. Do you provide service to utility districts?	___	___	_____

General Items You May Want to Ask About Sewer:

1. Give us an overview of your sewer system. Do you have your own treatment plant? Size and age? Type, age and conditions of lines, lift stations, etc.? How many connections served?
2. How many people do you employ in treatment? In collection? In clerical/administration?
3. What are your biggest problems in operating the wastewater system?
4. What things have happened in the sewer department recently that you are most proud of?
5. How are complaint calls handled? Are they tracked? Who follows-up?

6. What major capital expenditures will the sewer system need in the next 5 years?

**LIST OF CHECKLIST ITEMS FOR A COMPREHENSIVE MANAGEMENT OVERVIEW
OF RECREATION AND PARKS DEPARTMENTS IN ANY CITY**

	YES	NO	COMMENTS
<u>Organizational Indicators:</u>			
1. Is there an organization chart that clearly defines lines of authority and responsibility for the City?	___	___	_____
<hr/>			
(a) If not, are such lines clearly established and understood by all employees?	___	___	_____
<hr/>			
2. Do you know under what statutory authority your department is established (Title 11, Charter, other)?	___	___	_____
<hr/>			
3. Is there a Comprehensive Recreation and Parks Plan?	___	___	_____
<hr/>			
4. Is there a Recreation Advisory Board?	___	___	_____
<hr/>			
(a) Is there a Recreation Policy Board? Appointed by?	___	___	_____
<hr/>			
5. Does the community have input into the operations and planning of recreation activities?	___	___	_____
<hr/>			
6. Is there a mission statement for the department?	___	___	_____
<hr/>			

	YES	NO	COMMENTS
7. Do the employees have a formal input into the work plans of the organizations?	___	___	_____
8. Is there a policy and procedures manual?	___	___	_____
9. Do employees have input into policy development?	___	___	_____
10. Is there a full-time Department Head?	___	___	_____
11. Is there a committee made up of the governing body members that handle recreation issues?	___	___	_____
12. Is there an organizational chart?	___	___	_____

Finance and Budget:

1. Do you know what percent of revenues are generated from fees and charges?	___	___	_____
2. Is there a fees and charges policy?	___	___	_____
3. Do you know how much per capita is spent on recreation?	___	___	_____
(a) Does it distinguish between resident and non-resident?	___	___	_____

	YES	NO	COMMENTS
4. Have revenues kept pace with inflation?	___	___	_____
5. Is there a capital budget?	___	___	_____

6. Do you have outstanding bond issues
dedicated to recreation and parks?

____ _

7. Do supervisors have input into the
budget?

____ _

8. Do you know what percent of the City's
operating budget is spent on recreation
and parks?

____ _

9. Does the City utilize impact fees or
other special taxes to enhance Parks
and Recreation?

____ _

Personnel:

1. Do you provide training for:

(a) Hazardous Chemical Right to
Know?

____ _

(b) Specific functional training?

____ _

(c) Management training?

____ _

	YES	NO	COMMENTS
(d) Specialization courses for programmers and maintenance workers?	___	___	_____
(e) Special training needs, i.e. golf course, civic arena?	___	___	_____
(f) Customer service?	___	___	_____
2. Is there a budget for training? How much?	___	___	_____
3. Is there a budget for travel? How much?	___	___	_____
4. Are employees certified by TRPA?	___	___	_____
5. Are positions advertised?	___	___	_____
<u>Other Providers:</u>			
1. Has there been a determination of the programs and facilities offered for citizens by other governments, private agencies and non-profit agencies?	___	___	_____
(a) Could the department fill any gaps?	___	___	_____
(b) Is the City's program specialized, or is it broad based?	___	___	_____
	YES	NO	COMMENTS
2. Are there any members of the population who are not being served by other providers?	___	___	_____

3. Is there a coordinated effort between all
leisure service providers in the City?

4. Are services provided to outside
residents?

Programming:

1. Does the department take into account the
demographic data of the City when planning
facilities and programs?

2. Is there a list of programs and the number
attending?

3. Do you survey the population to develop
programming?

4. Diversity of programming--Are programs
offered for elderly, disabled, and other
special populations?

5. Does the department have staffing and
expertise for special populations?

	YES	NO	COMMENTS
<u>Facilities:</u>			
1. Does the department have a risk management study of all facilities and programming?	_____	_____	_____
<hr/>			
2. Do facilities conform to ADA handi-capped accessible requirements?	_____	_____	_____
<hr/>			
3. Do facilities meet the needs of the public? Based upon survey?	_____	_____	_____
<hr/>			
4. Capital projects and budget--Are facilities well planned and financed?	_____	_____	_____
<hr/>			
5. Is there a fixed asset account of the facilities and equipment?	_____	_____	_____
<hr/>			
(a) Is there a replacement schedule?	_____	_____	_____
<hr/>			
6. Are the existing facilities dispersed appropriately?	_____	_____	_____
<hr/>			
<u>Planning:</u>			
1. Is there community involvement in planning recreation and park issues?	_____	_____	_____
<hr/>			
2. Are surveys conducted?	_____	_____	_____
<hr/>			

	YES	NO	COMMENTS
3. Is there a determination process for the location of future facilities?	_____	_____	_____
4. Are annexation issues included?	_____	_____	_____
5. Is demographic data used in planning?	_____	_____	_____
6. Is there a good relationship between the recreation department and the planning department?	_____	_____	_____
<u>Public Relations and Marketing:</u>			
1. Is there a marketing plan?	_____	_____	_____
2. Is there a staff member designated to handle public information needs?	_____	_____	_____
3. Do you use brochures, etc., for advertising? If not, how do you advertise?	_____	_____	_____
4. Do you use program evaluations in developing and modifying future programs?	_____	_____	_____
(a) Users?	_____	_____	_____
(b) Staff?	_____	_____	_____
	YES	NO	COMMENTS
(c) General Public?	_____	_____	_____
(d) Others?	_____	_____	_____

5. Do you have a program for tax exempt
gifts and donations?
