Managing Effective Fire Prevention Programs

MEFPP-Student Manual

1st Edition, 9th Printing-October 2019

U.S. Department of Homeland Security
FEMA

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ACKNOWLEDGMENTS

The development of any National Fire Academy (NFA) course is a complex process aimed at providing students the best possible learning opportunity we can deliver.

There are many players in course development, each of whom plays an equally important part in its success. We want to acknowledge their participation and contribution to this effort and extend our heartfelt thanks for making this quality product.

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COURSE GOAL

The purpose of this course is to empower students with the ability to lead a fire prevention/risk-reduction unit.

AUDIENCE, SCOPE AND COURSE PURPOSE

The audience for the course includes (but is not limited to) those who currently (or aspire to) lead a fire prevention/risk-reduction bureau.

This course provides knowledge and helps facilitate the skills/abilities needed to lead a fire prevention/risk-reduction bureau.

The purpose of this course is to empower learners with the ability to lead a fire prevention/risk-reduction bureau.

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SCHEDULE

TIME	DAY ONE	DAY TWO
8:00-9:00	Introduction, Welcome and Administrative	Unit 2: Fostering Cultural Change (cont'd)
9:00-9:10	*Break*	*Break*
9:10-10:30	Unit 1: Defining Your New Role	Unit 2: Fostering Cultural Change (cont'd)
10:30-10:40	*Break*	*Break*
10:40-12:00	Unit 1: Defining Your New Role (cont'd)	Unit 3: Building Fire Prevention and Risk-Reduction Bureau Strength
12:00-1:00	*Lunch*	*Lunch*
1:00-2:20	Unit 2: Fostering Cultural Change	Unit 3: Building Fire Prevention and Risk-Reduction Bureau Strength (cont'd)
2:20-2:35	*Break*	*Break*
2:35-5:00	Unit 2: Fostering Cultural Change (cont'd)	Unit 3: Building Fire Prevention and Risk-Reduction Bureau Strength (cont'd)
Evening assignment		Continue work on culminating activity. Study for Examination 1

TIME	DAY THREE	DAY FOUR
8:00-9:00	Unit 3: Building Fire Prevention and Risk-Reduction Bureau Strength (cont'd)	Unit 4: Power, Politics and Influence (cont'd)
9:00-9:10	*Break*	*Break*
9:10-10:25	Unit 3: Building Fire Prevention and Risk-Reduction Bureau Strength (cont'd)	Unit 4: Power, Politics and Influence (cont'd)
10:25-10:35	*Break*	*Break*
10:35-12:00	Unit 4: Power, Politics and Influence	Unit 4: Power, Politics and Influence (cont'd)
12:00-1:00	*Lunch*	*Lunch*
1:00-2:00	Unit 4: Power, Politics and Influence (cont'd)	Unit 5: Organizational Finances
2:00-2:15	*Break*	*Break*
2:15-5:00	Unit 4: Power, Politics and Influence (cont'd)	Unit 5: Organizational Finances (cont'd)
Evening assignment	Continue work on culminating activity	Culminating activity due in the morning of Day Five

TIME	DAY FIVE	DAY SIX
8:00-9:00	Unit 5: Organizational Finances (cont'd)	Unit 6: Establish Bureau Priorities and Strategies (cont'd)
9:00-9:10	*Break*	*Break*
9:10-10:20	Unit 5: Organizational Finances (cont'd)	Unit 6: Establish Bureau Priorities and Strategies (cont'd)
10:20-10:30	*Break*	*Break*
10:30-12:00	Unit 6: Establish Bureau Priorities and Strategies	Unit 6: Establish Bureau Priorities and Strategies (cont'd)
12:00-1:00	*Lunch*	*Lunch*
1:00-2:15	Unit 6: Establish Bureau Priorities and Strategies (cont'd)	Examination 2
2:15-2:30	*Break*	*Break*
2:30-5:00	Unit 6: Establish Bureau Priorities and Strategies (cont'd)	Evaluation Graduation
Evening assignment	Study for Examination 2	

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FIREFIGHTER CODE OF ETHICS

Background

The Fire Service is a noble calling, one which is founded on mutual respect and trust between firefighters and the citizens they serve. To ensure the continuing integrity of the Fire Service, the highest standards of ethical conduct must be maintained at all times.

Developed in response to the publication of the Fire Service Reputation Management White Paper, the purpose of this National Firefighter Code of Ethics is to establish criteria that encourages fire service personnel to promote a culture of ethical integrity and high standards of professionalism in our field. The broad scope of this recommended Code of Ethics is intended to mitigate and negate situations that may result in embarrassment and waning of public support for what has historically been a highly respected profession.

Ethics comes from the Greek word ethos, meaning character. Character is not necessarily defined by how a person behaves when conditions are optimal and life is good. It is easy to take the high road when the path is paved and obstacles are few or non-existent. Character is also defined by decisions made under pressure, when no one is looking, when the road contains land mines, and the way is obscured. As members of the Fire Service, we share a responsibility to project an ethical character of professionalism, integrity, compassion, loyalty and honesty in all that we do, all of the time.

We need to accept this ethics challenge and be truly willing to maintain a culture that is consistent with the expectations outlined in this document. By doing so, we can create a legacy that validates and sustains the distinguished Fire Service institution, and at the same time ensure that we leave the Fire Service in better condition than when we arrived.

FIREFIGHTER CODE OF ETHICS

I understand that I have the responsibility to conduct myself in a manner that reflects proper ethical behavior and integrity. In so doing, I will help foster a continuing positive public perception of the fire service. Therefore, I pledge the following…

- Always conduct myself, on and off duty, in a manner that reflects positively on myself, my department and the fire service in general.
- Accept responsibility for my actions and for the consequences of my actions.
- Support the concept of fairness and the value of diverse thoughts and opinions.
- Avoid situations that would adversely affect the credibility or public perception of the fire service profession.
- Be truthful and honest at all times and report instances of cheating or other dishonest acts that compromise the integrity of the fire service.
- Conduct my personal affairs in a manner that does not improperly influence the performance of my duties, or bring discredit to my organization.
- Be respectful and conscious of each member's safety and welfare.
- Recognize that I serve in a position of public trust that requires stewardship in the honest and efficient use of publicly owned resources, including uniforms, facilities, vehicles and equipment and that these are protected from misuse and theft.
- Exercise professionalism, competence, respect and loyalty in the performance of my duties and use information, confidential or otherwise, gained by virtue of my position, only to benefit those I am entrusted to serve.
- Avoid financial investments, outside employment, outside business interests or activities that conflict with or are enhanced by my official position or have the potential to create the perception of impropriety.
- Never propose or accept personal rewards, special privileges, benefits, advancement, honors or gifts that may create a conflict of interest, or the appearance thereof.
- Never engage in activities involving alcohol or other substance use or abuse that can impair my mental state or the performance of my duties and compromise safety.
- Never discriminate on the basis of race, religion, color, creed, age, marital status, national origin, ancestry, gender, sexual preference, medical condition or handicap.
- Never harass, intimidate or threaten fellow members of the service or the public and stop or report the actions of other firefighters who engage in such behaviors.
- Responsibly use social networking, electronic communications, or other media technology opportunities in a manner that does not discredit, dishonor or embarrass my organization, the fire service and the public. I also understand that failure to resolve or report inappropriate use of this media equates to condoning this behavior.

Developed by the National Society of Executive Fire Officers

"Managing Effective Fire Prevention Programs" Culminating Assignment
Student Scoring Dimensions Guide

Student Name: ______________________________ **Cumulative Assignment Score:** ________________

Critical dimensions of evaluation:

1. Clarity of expression
2. Logical organization
3. Thoroughness
4. Justification and references (as appropriate)
5. Spelling and grammar (mechanics)
6. Form and structure (language use)

	Critical Dimensions	**Poor (examples)** 0 points	**Fair (examples)** 1-2 points	**Good (examples)** 3-4 points	**Excellent** 5 points	**Points**
Critical Dimensions of Evaluation ***These critical dimensions of evaluation apply throughout answers to the following questions.***	1. Clarity. 2. Logic. 3. Thoroughness. 4. Justification. 5. Mechanics. 6. Language.	• Rambling thought process. • Incomplete, unsupported statements. • Mechanical and language errors throughout.	• Organized, clear and complete thoughts. • Minimal support. • Multiple mechanical and/or language mistakes.	• Clear statements. • Complete, supported statements. • Minor mechanical or language mistakes.	• Clear, succinct statements. • Complete, supported statements. • No mechanical or language mistakes.	
Culminating Assignment Question						
	Core Concepts to Address	***The following examples of scoring criteria apply throughout Part 1, Questions 1-10.***				
1. Explain what the other bureaus of your department know about the mission, activities performed, and impacts made by the fire prevention/risk-reduction bureau. What can you do to improve relationships among bureaus?	• Cultures. • Subcultures.	• Fails to address all core concepts. • Fails to indicate understanding of concepts.	• Addresses all core concepts and displays basic understanding. • Does not integrate core concepts into cohesive statements.	• Displays basic understanding of concepts. • Identifies additional core concepts that affect statements.	• Displays full understanding of core concepts. • Uses examples and explanations of additional core concepts within their home organization.	
2. What does your team expect of you? (If you are a team of one, what does your fire department expect of you?)	• Role. • Leadership. • Relationships. • Strategy.					

3. What do you believe are the strengths of your bureau?	• Strategy. • Organizational development.					
4. What are the most significant leadership challenges you face as the leader of the fire prevention/risk-reduction bureau?	• Culture. • Leadership. • Strategy. • Performance.					
5. Identify the social power bases and organizational politics that are most prevalent in your organization at large.	• Leaderships. • Relationships. • Culture. • Power.					
6. Identify potential impediments that you may face when seeking to create an increased fire prevention/risk-reduction focus within your fire department's organizational culture.	• Leaderships. • Relationships. • Culture. • Power.					
7. What strategies will you utilize to create value for the fire prevention/risk-reduction bureau within the organization at large?	• Relationships. • Culture. • Power. • Politics.					
8. Identify people who could help build bridges between subgroups within your department in support of fire prevention/risk reduction.	• Relationships. • Culture. • Power. • Politics.					
9. Identify one staff position that you believe is not delivering optimal performance. Do not identify the person, just the position. Describe the position and the JPRs/knowledge, skills and abilities (KSAs) that are required for the delivery of optimal performance.	Evaluation is based on critical dimensions.					
10. Based upon the JPRs required for this position, identify potential gaps between existing and desired KSAs of the respective team member.	Evaluation is based on critical dimensions.					
				Cumulative Assignment Score:		

Culminating Assignment

Managing Effective Fire Prevention Programs

Purpose

1. This activity requires you to demonstrate application of multiple concepts presented in the MEFPP course. The purpose of this activity is to help you identify gaps in your organization and how they can be addressed.

2. Please complete the assignment as the MEFPP course progresses throughout the week. It must be submitted to the instructors no later than Thursday morning.

Questions

All questions (with the exception of number six) can be processed after Units 1 and 2 have been presented.

1. Explain what the other bureaus of your department know about the mission, activities performed, and impacts made by the fire prevention/risk-reduction bureau. What can you do to improve relationships among bureaus?

2. What does your team expect of you? (If you are a team of one, what does your fire department expect of you?)

3. What do you believe are the strengths of your bureau?

4. What are the most significant leadership challenges you face as the leader of the fire prevention/risk-reduction bureau?

5. Identify the social power bases and organizational politics that are most prevalent in your organization at large.

6. Identify potential impediments that you may face when seeking to create an increased fire prevention/risk-reduction focus within your fire department's organizational culture.

7. What strategies will you utilize to create value for the fire prevention/risk-reduction bureau within the organization at large?

8. Identify people who could help build bridges between subgroups within your department in support of fire prevention/risk reduction.

9. Identify one staff position that you believe is not delivering optimal performance. Do not identify the person, just the position. Describe the position and the JPRs/knowledge, skills and abilities (KSAs) that are required for the delivery of optimal performance.

10. Based upon the JPRs required for this position, identify potential gaps between existing and desired KSAs of the respective team member.

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A Student Guide to End-of-course Evaluations

Say What You Mean ...

Ten Things You Can Do to Improve the National Fire Academy

The National Fire Academy takes its course evaluations very seriously. Your comments and suggestions enable us to improve your learning experience.

Unfortunately, we often get end-of-course comments like these that are vague and, therefore, not actionable. We know you are trying to keep your answers short, but the more specific you can be, the better we can respond.

Actual quotes from student evaluations:	Examples of specific, actionable comments that would help us improve the course:
1 "Update the materials."	• The (ABC) fire video is out-of-date because of the dangerous tactics it demonstrates. The available (XYZ) video shows current practices. • The student manual references building codes that are 12 years old.
2 "We want an advanced class in (fill in the blank)."	• We would like a class that enables us to calculate energy transfer rates resulting from exposure fires. • We would like a class that provides one-on-one workplace harassment counseling practice exercises.
3 "More activities."	• An activity where students can physically measure the area of sprinkler coverage would improve understanding of the concept. • Not all students were able to fill all ICS positions in the exercises. Add more exercises so all students can participate.
4 "A longer course."	• The class should be increased by one hour per day to enable all students to participate in exercises. • The class should be increased by two days so that all group presentations can be peer evaluated and have written abstracts.
5 "Readable plans."	• The plans should be enlarged to 11 by 17 and provided with an accurate scale. • My plan set was blurry, which caused the dotted lines to be interpreted as solid lines.
6 "Better student guide organization," "manual did not coincide with slides."	• The slide sequence in Unit 4 did not align with the content in the student manual from slides 4-16 through 4-21. • The instructor added slides in Unit 4 that were not in my student manual.
7 "Dry in spots."	• The instructor/activity should have used student group activities rather than lecture to explain Maslow's Hierarchy. • Create a pre-course reading on symbiotic personal relationships rather than trying to lecture on them in class.
8 "More visual aids."	• The text description of V-patterns did not provide three-dimensional views. More photographs or drawings would help me imagine the pattern. • There was a video clip on NBC News (date) that summarized the topic very well.
9 "Re-evaluate pre-course assignments."	• The pre-course assignments were not discussed or referenced in class. Either connect them to the course content or delete them. • The pre-course assignments on ICS could be reduced to a one-page job aid rather than a 25-page reading.
10 "A better understanding of NIMS."	• The instructor did not explain the connection between NIMS and ICS. • The student manual needs an illustrated guide to NIMS.

UNIT 1:
DEFINING YOUR NEW ROLE

TERMINAL OBJECTIVE

The students will be able to:

1.1 Distinguish their role in the fire prevention/risk-reduction bureau.

ENABLING OBJECTIVES

The students will be able to:

1.1 Compare and contrast the composition of fire prevention/risk-reduction bureaus.

1.2 Define the roles, responsibilities and beneficial traits of the fire prevention/risk-reduction bureau manager.

1.3 Select common challenges that the leader of a fire prevention/risk-reduction bureau may face.

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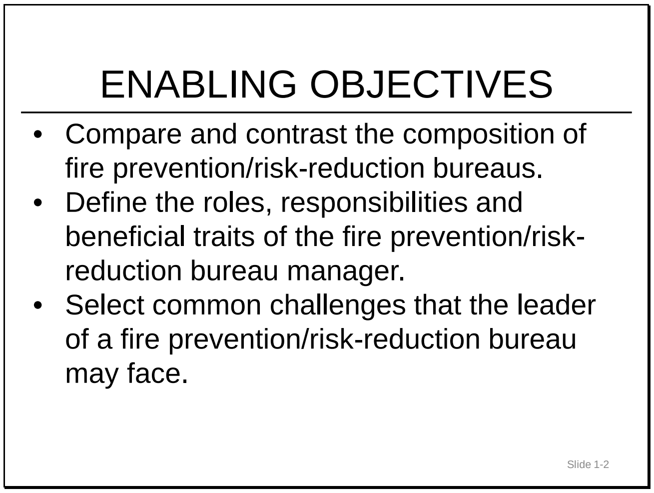
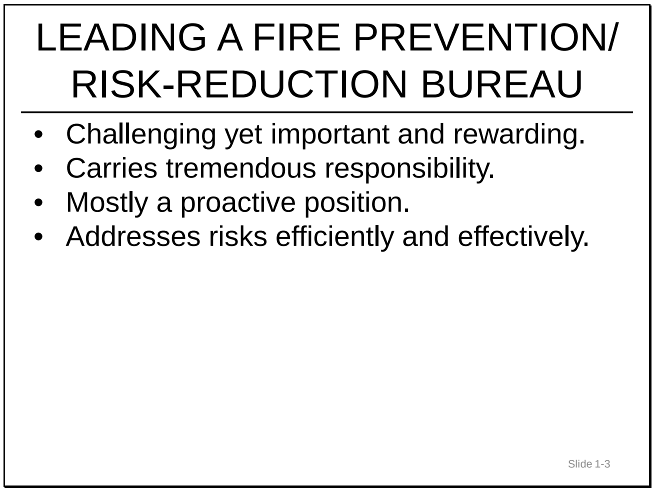
UNIT 1:
DEFINING YOUR NEW ROLE



ENABLING OBJECTIVES

- Compare and contrast the composition of fire prevention/risk-reduction bureaus.
- Define the roles, responsibilities and beneficial traits of the fire prevention/risk-reduction bureau manager.
- Select common challenges that the leader of a fire prevention/risk-reduction bureau may face.

I. LEADING A FIRE PREVENTION/RISK-REDUCTION BUREAU



LEADING A FIRE PREVENTION/ RISK-REDUCTION BUREAU

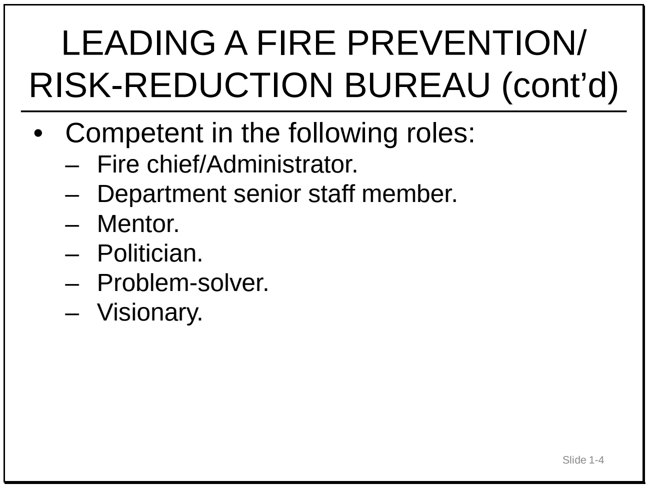
- Challenging yet important and rewarding.
- Carries tremendous responsibility.
- Mostly a proactive position.
- Addresses risks efficiently and effectively.

A. Being in command of a fire prevention/risk-reduction unit can be one of the most challenging yet important and rewarding positions in a fire department.

B. The position carries tremendous responsibility because the leader often has authority (or co-responsibility with the chief of department) over a wide range of programs.

C. While the job is sometimes reactionary in nature, it is mostly a proactive position that requires vision, leadership and mastery of a diverse set of skills.

D. The ultimate job of the bureau leader is to ensure that risks in the community are addressed both efficiently and effectively.



LEADING A FIRE PREVENTION/ RISK-REDUCTION BUREAU (cont'd)

- Competent in the following roles:
  - Fire chief/Administrator.
  - Department senior staff member.
  - Mentor.
  - Politician.
  - Problem-solver.
  - Visionary.

E. The bureau leader needs to have a professional skill set so he or she is competent in the following roles:

1. Fire chief/Administrator.

2. Department senior staff member.

3. Mentor.

4. Politician.

5. Problem-solver.

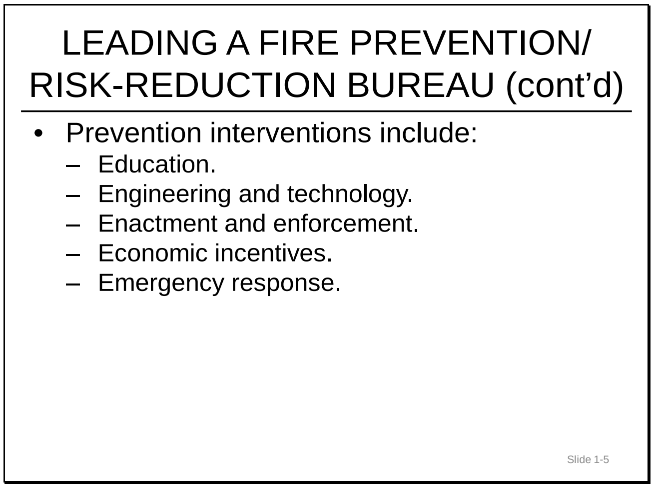
6. Visionary.

F. The most effective risk-reduction strategies are those that employ a broad-based integrated approach utilizing a combination of prevention interventions.

G. The goal of utilizing multiple interventions in parallel is twofold:

1. Prevent incidents from occurring.

2. When prevention fails, reduce (mitigate) the impact of the incident.



LEADING A FIRE PREVENTION/ RISK-REDUCTION BUREAU (cont'd)

- Prevention interventions include:
  - Education.
  - Engineering and technology.
  - Enactment and enforcement.
  - Economic incentives.
  - Emergency response.

H. Prevention interventions include:

1. Education.

   a. Informing constituents of the risks that are impacting, or have potential to threaten, the local community.

   b. Teaching the community how the risk develops and what they can do to help prevent it and/or mitigate its impact.

   c. Creating a sense of urgency through the use of a fact-based rationale that explains why the risk is serious and how a combination of preventive interventions can be utilized for prevention/mitigation.

   d. Demonstrating the advantages of utilizing a multifaceted approach to prevention and mitigation that ultimately results in a safer community.

2. Engineering and technology.

   a. Suggesting the use of technology to help prevent and/or mitigate targeted risks.

   b. Investigating how a living and/or working environment could be modified so that prevention and/or mitigation is accomplished.

c. Examples include:

  - Presence of working smoke detection systems.
  - Integrated systems that automatically notify the emergency services when incidents occur.
  - Automatic suppression systems.

d. Exploring how technology can be utilized to enhance agency performance.

e. Investigating how human behavior during emergencies, such as evacuation, affects incident outcomes.

3. Enactment and enforcement.

   a. Exploring how public policy can be utilized as a prevention and/or mitigation tool.

   b. Following the community's designated process to help develop and adopt public policy that targets community risk.

   c. Applying policies that target identified community risks.

   d. Demonstrating professional enforcement practices that reflect positively on the bureau and overall organization.

4. Economic incentives.

   Working to incorporate incentives (both positive and negative) that support risk reduction.

   a. Positive incentives reward constituents for proactive behavior or provide free/low-cost services to support life safety.

   b. Negative incentives penalize people for infractions of adopted public policies and may include civil and criminal sanctions.

5. Emergency response.

   a. Supporting the existence of an adequately staffed, equipped and trained group of emergency responders.

b. The presence of emergency response forces in the community serves as a psychological reminder that can be used to reinforce the prevention message.

c. In the environment, it is paramount that prevention bureaus integrate themselves into the entire organization, including emergency response.

I. It is the responsibility of the risk-reduction leader to work with his or her organization and community to identify local risk priorities and address them in a strategic manner.

J. The structure of a risk-reduction bureau will vary based upon the department and community.

1. Some prevention bureaus are responsible for public education, plan review, code enforcement and fire investigation.

2. Others may include a mix of the above.

3. Staffing will obviously vary based upon the types and levels of services provided.

K. The job of the prevention/risk-reduction leader is to close the loop of the fire and life safety cycle.

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ACTIVITY 1.1

Composition of Fire Prevention/Risk-reduction Bureaus

Purpose

To identify, compare and contrast the composition of your fire prevention/risk-reduction bureau with peers.

Directions

1. Please discuss the composition of your fire prevention/risk-reduction bureau with the other members of your table group.

2. The table group should note both differences and similarities of bureau structure and duties performed by staff members.

3. You will be allowed 15 minutes for small group discussion.

4. The instructor will provide a five-minute summary to the activity.

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II. DEVELOPING A LEADERSHIP MINDSET

A. Becoming the leader/manager of a fire prevention/risk-reduction bureau is a career goal for many who are promoted or appointed to the position.

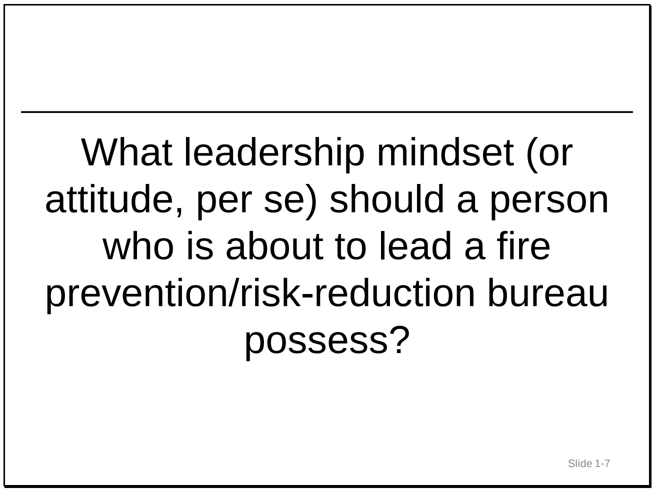
B. In some larger departments, an officer aspiring for further advancement may be required to serve in a variety of leadership positions throughout his or her career. This may include holding a leadership position on a prevention bureau.

C. In fact, time spent in the Operations Bureau can help a prevention leader recognize risks from fire behavior that cannot be adequately described in codes or public education. It also lends credibility to the prevention leader when working with operations members.

D. Whatever the career path, most who assume command of a prevention/risk-reduction bureau quickly realize that developing the right mindset is essential.

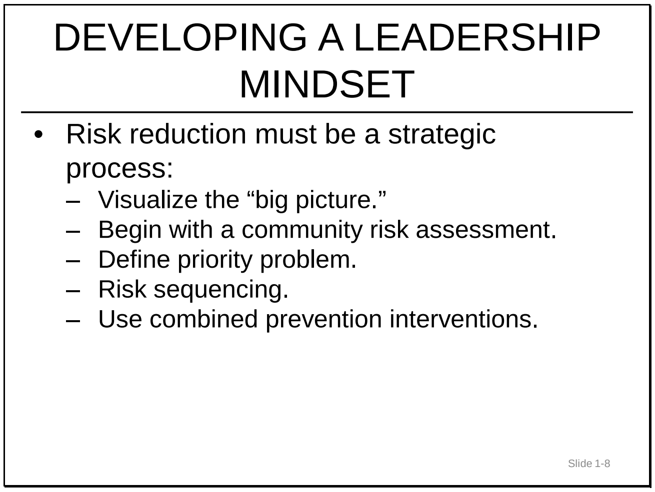
E. The bureau leader is part of the department leadership team. He or she must strive to attain competencies to be an integral component of the department for the at large leadership structure.

F. At the same time, the bureau leader must be cognizant of the department's senior leadership and responsible for balancing response capacity with prevention.



What leadership mindset (or attitude, per se) should a person who is about to lead a fire prevention/risk-reduction bureau possess?

G. The mindset/attitude of an effective and efficient prevention bureau leader should include:



DEVELOPING A LEADERSHIP MINDSET

- Risk reduction must be a strategic process:
  - Visualize the “big picture.”
  - Begin with a community risk assessment.
  - Define priority problem.
  - Risk sequencing.
  - Use combined prevention interventions.

1. Effective and efficient risk reduction must follow a strategic process.

    a. The leader of the prevention unit must visualize the big picture of community risk reduction.

    b. The process begins with a comprehensive community risk assessment to identify and prioritize local risks.

    c. It continues as a risk-reduction planning team defines the highest priority problem. A well-defined problem is a problem half-solved.

    d. Planning team members should be from a diverse group of department members (and perhaps outside of the department stakeholders) who bring various experiences and perspectives to the process.

    e. Once specific risks have been identified and targeted, risk sequencing is utilized to study how the risk develops and occurs. At this point, discussion of what combination of prevention interventions to employ occurs.

    f. The most effective and efficient strategy entails the use of combined prevention interventions that have been suggested and are supported by the department at large.

    g. Public education builds the foundation for use of integrated prevention strategies.

    h. However, if it is utilized as a stand-alone intervention, education can be a weak strategy. Education is designed to work in tandem with the other types of intervention.

i. Engineering and technology can be utilized to help create passive protection that requires no action on the part of people.

  - Sprinkler systems, fire-resistive building construction and automatic seatbelts/air bags are examples of passive equipment.
  - Adopting and enacting public policy can mandate the use of engineering and technology so that prescribed preventive standards are met.
  - Policy can also require ongoing maintenance/servicing of equipment to ensure its effectiveness.

j. Enactment of public policy and its application/enforcement can be very powerful prevention components because specific actions on behalf of citizens can be mandated or prohibited.

  - Those who apply/enforce policy should be trained to be public educators first, enforcers second.
  - Voluntary compliance of a policy or code should be the ultimate aim of an enforcement agency.
  - Voluntary compliance is the most effective proof that the community bought into a policy because it demonstrates that people understand and approve its existence.
  - In contrast, there is a definite place for enforcement when addressing blatant noncompliance with codes or when tackling criminal law violations, such as arson.
  - The bureau leader’s mindset toward how his or her bureau applies/enforces public policy can set the tone (positively or negatively) for community trust and future successes in prevention/mitigation of local risks.

k. Good prevention leaders will find creative incentives to help their communities achieve desired levels of public safety.

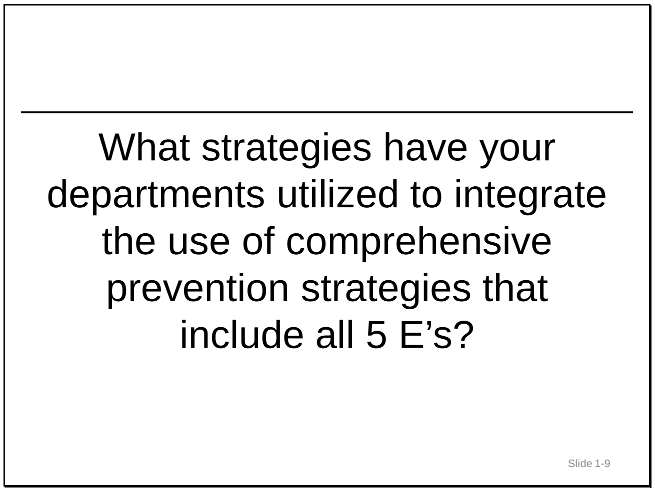
  - Positive incentives reward people for compliance with safety initiatives. Many can offer free or low-cost support services to help constituents meet safety requirements.
  - Negative incentives, in the form of sanctions, penalize people for acts of noncompliance.

l. A prevention leader must recognize that emergency response is a critical component of an integrated prevention strategy.

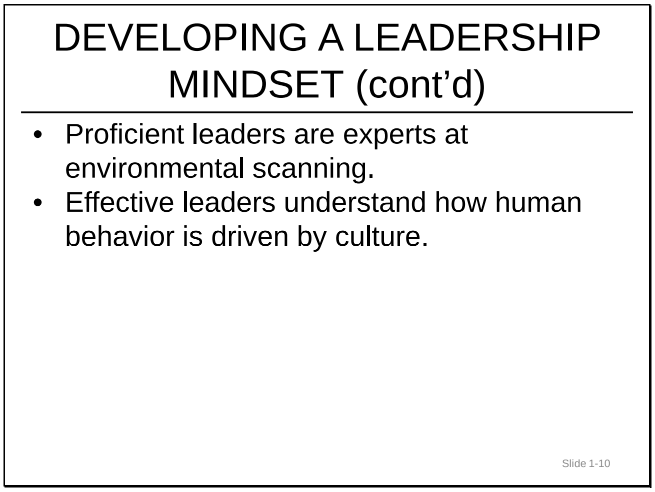
m. No matter how hard prevention advocates strive to keep incidents from occurring, there will always be a need for an adequately staffed, equipped and trained cadre of responders.

n. The astute prevention leader will consider ways to collaborate and integrate with suppression forces so the overall mission of comprehensive prevention services is delivered.

o. This integration can provide enhanced credibility as the organization is viewed as a trusted and positive force within the community.



What strategies have your departments utilized to integrate the use of comprehensive prevention strategies that include all 5 E's?



DEVELOPING A LEADERSHIP MINDSET (cont'd)

- Proficient leaders are experts at environmental scanning.
- Effective leaders understand how human behavior is driven by culture.

2. Proficient leaders are experts at environmental scanning.

a. Environmental scanning is the process of studying the environment of the organization and community to identify both strengths and potential threats that could impact forward progress of the unit.

b. Leaders proficient in environmental scanning are able to identify the following:

- People/Groups that may be supportive or opposed to risk reduction.
- Interpersonal dynamics between people.
- Strengths and attributes of people.
- Organizational and group dynamics.
- The culture of an organization or group of people.
- Political climate within an organization or community.
- The need to recognize contractual agreements with a labor organization (where applicable and as applied to the state/ community/department).
- Emerging issues and future trends that may affect risk.

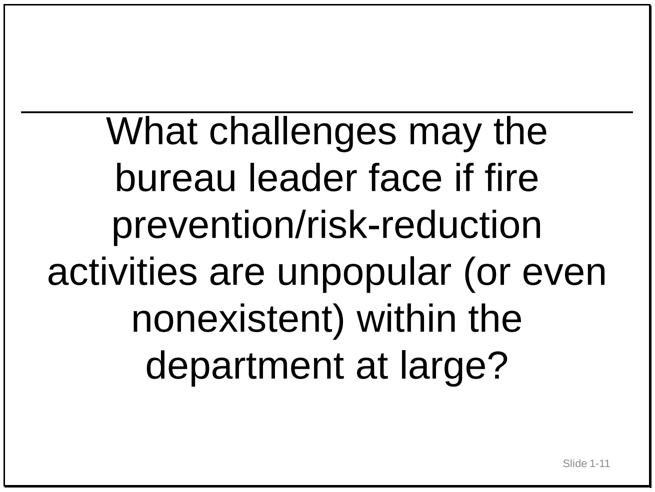
c. Good leaders will carefully analyze situations and develop an action plan that capitalizes on strengths and efficiently addresses challenges.

3. Effective leaders understand how human behavior is driven by culture.

a. The culture of an organization influences how its members behave.

b. The leadership of an organization is ultimately responsible for facilitating its culture.

c. Leaders must be willing to champion the prevention mission, particularly when it is unpopular in the remainder of the organization.



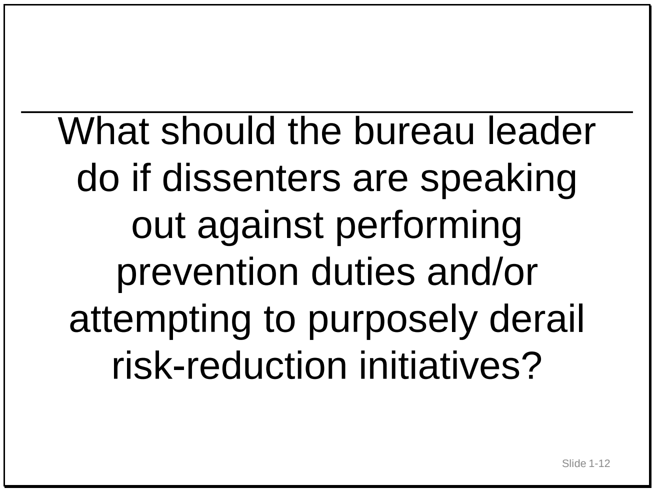
What challenges may the bureau leader face if fire prevention/risk-reduction activities are unpopular (or even nonexistent) within the department at large?

d. If an organization has institutionalized risk reduction as a core value, most of its members will embrace prevention activities and provide support with a professional, enthusiastic attitude.

e. Even in an organization that supports prevention, some members may not necessarily embrace the activities they are expected to perform. However, most will do what needs to be done in a professional manner and without complaint.

f. Factors that contribute to institutional support of risk reduction include resources dedicated to prevention, staff training on why and how to deliver services, and continuous feedback on the impact of efforts.

g. In departments where a culture supportive of prevention has not been built, there may be dissenters who speak out against performing prevention duties and/or attempt to purposely derail risk-reduction initiatives.

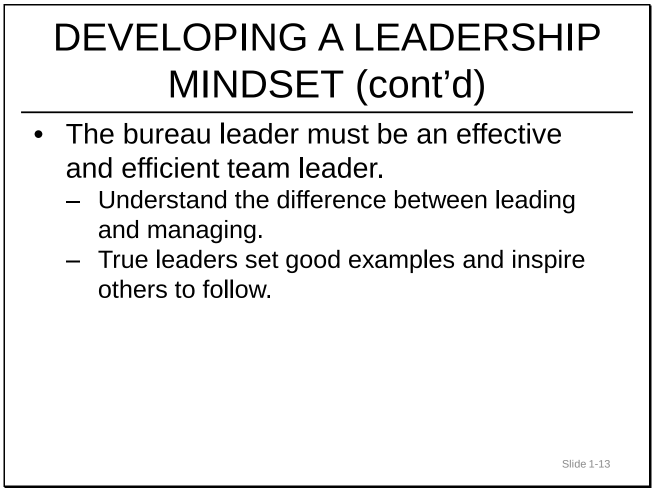


What should the bureau leader do if dissenters are speaking out against performing prevention duties and/or attempting to purposely derail risk-reduction initiatives?

h. The prevention leader must create an environment that portrays the prevention bureau as an elite unit that is selective about who it chooses as members. Resist the “dumping ground” phenomenon that can undermine the perception of prevention as a valued service.

i. One of the main reasons why people may oppose assisting with prevention is their failure to understand the potential value of the service.

j. The wise leader will prepare for all situations and prepare to address them accordingly.



DEVELOPING A LEADERSHIP MINDSET (cont’d)

- The bureau leader must be an effective and efficient team leader.
  - Understand the difference between leading and managing.
  - True leaders set good examples and inspire others to follow.

4. The bureau leader must be an effective and efficient team leader.

a. It is important to understand the difference between leading and managing.

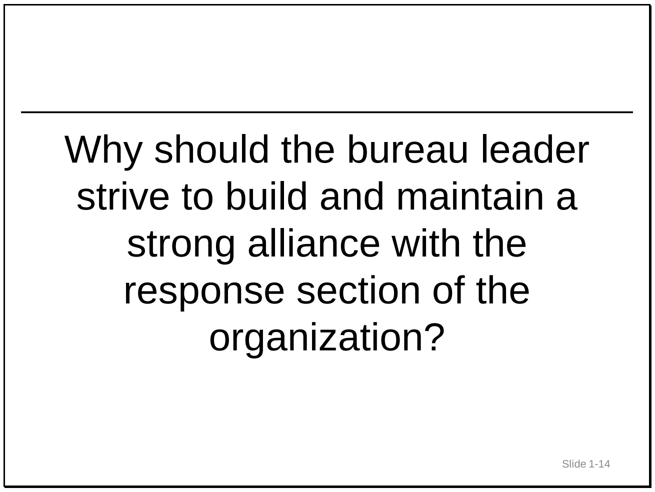
- Leadership is a dynamic process. Good leaders are visionaries who are always looking to the future of where the organization could/should be. Leaders take calculated risks and empower others with responsibility so they grow professionally. True leaders set good examples and inspire others to follow.

- Management is the task of ensuring that a job is performed in a safe and efficient manner in accordance with prescribed operating guidelines.

- The person responsible for a fire prevention/risk-reduction bureau must be both a leader and a manager.

b. It is a very unwise and unhealthy practice for a leader to assume that he or she can operate a fire prevention/risk-reduction unit single-handedly.

c. Regardless of the size of a prevention bureau, it is a wise strategy to build and maintain a strong alliance with the response section of the organization.



Why should the bureau leader strive to build and maintain a strong alliance with the response section of the organization?

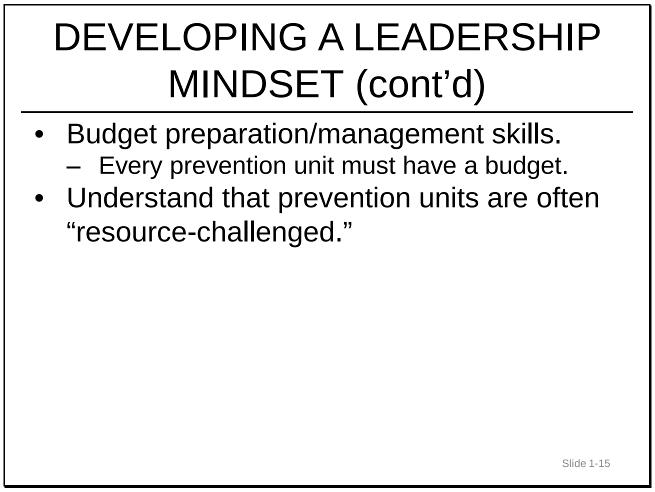
d. This alliance serves several purposes:

- Responders learn and understand the mission of the prevention bureau.
- Responders provide additional eyes to identify potential problems for referral to the prevention bureau.
- Responders see firsthand how prevention can enhance their personal safety.
- Prevention bureau members remain in touch with the response component of the organization.
- Prevention bureau members can help reduce needless responses (like false activations of alarms), thus improving the availability of responders.
- Resource sharing will increase overall effectiveness of the department at large.

e. The most effective prevention bureau leaders are those who understand the strengths and challenges of their units/staffs.

f. Dynamic leaders will invest time to learn the interests and attributes of team members. They will help team members grow by facilitating continuing education and skill-building opportunities.

g. Finally, the bureau leader must be prepared to address interpersonal relationships among department members. Personnel issues are bound to arise, and effective management will help reinforce team cohesiveness.



DEVELOPING A LEADERSHIP MINDSET (cont'd)

- Budget preparation/management skills.
  - Every prevention unit must have a budget.
- Understand that prevention units are often "resource-challenged."

5. Budget preparation and management skills are essential for building, sustaining and advancing a prevention unit.

a. Every prevention unit must have a budget.

b. The prevention bureau leader/manager is responsible for developing and managing a budget that supports the goals and objectives of the unit.

c. Risk-reduction practitioners must have the basic tools that are needed to perform their duties safely, effectively and efficiently.

d. The organization and community's budget cycle and spending procedures must be understood.

e. The leader/manager must understand the type of budget utilized by the department.

- Most departments utilize either line-item or service-based budgets.

- Staffing costs (including employee benefits) must be considered in addition to the costs of specific programs.

- The sum of employee costs, specific program costs and the tools needed by practitioners to perform their duties can be considered the total net worth (per se) of the bureau.

f. More information on budgeting will be provided in Unit 5: Organizational Finances.

6. Understand that prevention units are often “resource-challenged.”

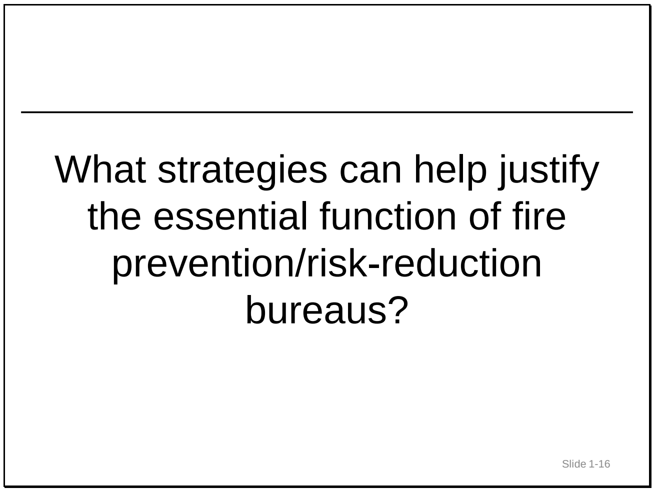
a. The recent economic recession (crisis) proved that fire departments are not immune to staffing cuts and layoffs.

b. Citizens demand basic services from their local government such as working public utilities, trash collection and police protection.

c. In an era of economic challenges, when pressed to prioritize funding of local government services, many decision-makers have had to make tough choices on spending priorities.

d. Recent history proves that not only can firefighters get laid off, but departments can lose a portion (or in some cases all) of their prevention bureau.

e. Aspiring leaders of prevention units must embrace the mindset that we must do a better job of justifying the essential function of bureaus.



What strategies can help justify the essential function of fire prevention/risk-reduction bureaus?

- The bureau leader must commit to developing a strategic evaluation plan so that every function of the unit is measured for both impact and efficiency.

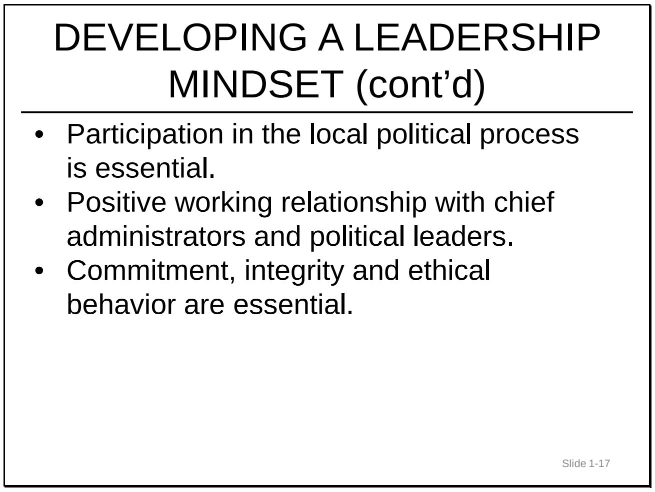
- The worth of prevention must be proven, not just stated. This is best accomplished through a comprehensive program evaluation that begins the minute an idea for a prevention program is conceived and continues throughout its life cycle.

- It is important for key stakeholders in the community to be engaged in the prevention program evaluation process. They are the clients who will influence the political decision of worth.

- The leader must understand the importance of investigating and pursuing creative methods of revenue generation to support his or her unit.

- The leader must also realize that fire departments are often looked upon as an expense and not as a revenue-generating source.

- Once again, this is the mindset: Fire departments must prove how much they are saving the community in property tax revenues through a reduction of incidents or events that occur with less severity because of proactive prevention/ mitigation strategies.



DEVELOPING A LEADERSHIP MINDSET (cont'd)

- Participation in the local political process is essential.
- Positive working relationship with chief administrators and political leaders.
- Commitment, integrity and ethical behavior are essential.

7. Participation in the local political process is essential.

   a. If a bureau is responsible for proposing public policy or applying code, its leader must understand and be adept at participating in the local political process.

  b. This requires understanding the local process of proposing policy and resolving issue.

  c. It also requires a keen analysis of the local political environment and how to participate in an effective manner.

  d. Political environments are dynamic and constantly changing/ evolving. The bureau leader must be able to forecast, recognize and adapt to a changing environment.

8. The bureau leader must have a positive working relationship with the chief administrators of the department and political leaders, as well as administrators from other government agencies and community groups.

  a. The ability to communicate, collaborate, negotiate and compromise are traits that have been mastered by those who lead effective prevention/risk-reduction units.

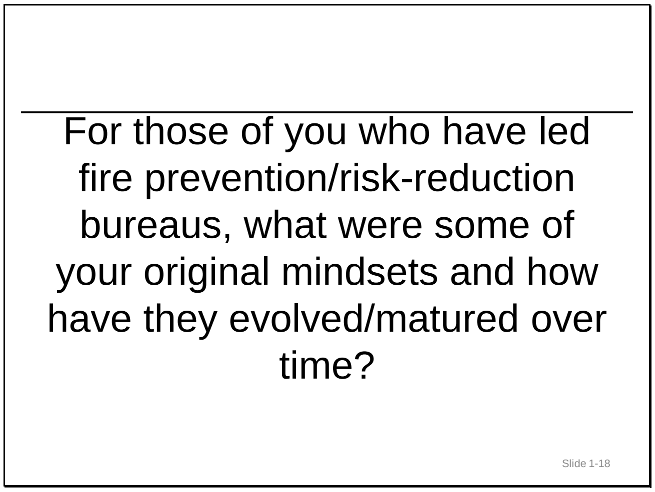
  b. It is important to remember that there are internal and external partners whose missions may conflict with the goals and objectives of the prevention/risk-reduction bureau.

9. Commitment, integrity and ethical behavior are essential.

  a. The position of bureau leader/manager often carries with it the responsibility of code/law enforcement.

  b. This responsibility brings with it the reality of liability in case ethics violations or acts of gross negligence take place. Failure to accept this responsibility and act accordingly may result in career derailment.

  c. Professional development provides opportunities to enhance knowledge and skills so the bureau leader is adequately prepared to address his or her job performance requirements (JPRs).



For those of you who have led fire prevention/risk-reduction bureaus, what were some of your original mindsets and how have they evolved/matured over time?

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ACTIVITY 1.2

The Challenges of Leadership

Purpose

To compile the top three leadership challenges faced by leaders of fire prevention/risk-reduction bureaus.

Directions

1. **Individually,** please compile a list on a sheet of paper the top three leadership challenges you currently (or will) face as leader of a fire prevention/risk-reduction bureau. You will be allowed five minutes for this individual task.

2. Next, share your list with the members of your table group. You will be allowed 10 minutes for this small group task.

3. At the culmination of the discussion, your group should reach a consensus on what you believe to be the top three leadership challenges faced by the leaders of fire prevention/risk-reduction bureaus. You will be allowed 10 minutes for this small group task.

4. To conclude the activity, each group will select the top three leadership challenges.

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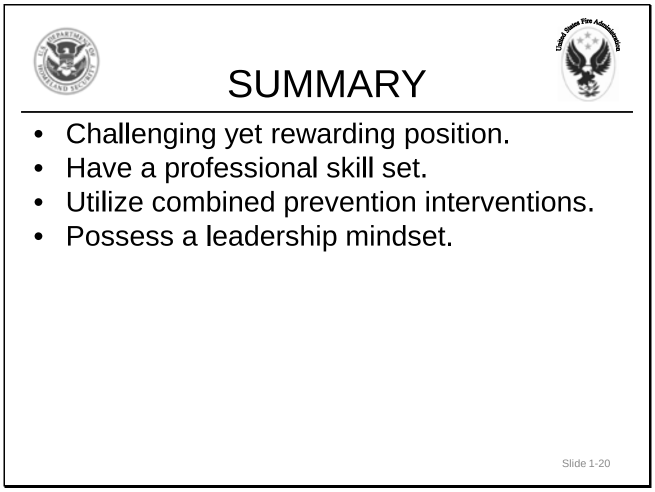
III. SUMMARY



SUMMARY

- Challenging yet rewarding position.
- Have a professional skill set.
- Utilize combined prevention interventions.
- Possess a leadership mindset.

UNIT 2:
FOSTERING CULTURAL CHANGE

TERMINAL OBJECTIVE

The students will be able to:

2.1 Facilitate a cultural change process that increases the fire prevention/risk-reduction focus within the organization at large.

ENABLING OBJECTIVES

The students will be able to:

2.1 Identify impediments to creating an increased fire prevention/risk-reduction focus within an organization's culture.

2.2 Explain how to reconcile personal and organizational values and identify the repercussions of differences.

2.3 Propose how to lead adaptive change to strengthen the risk-reduction focus within the organization's mission, goals and objectives.

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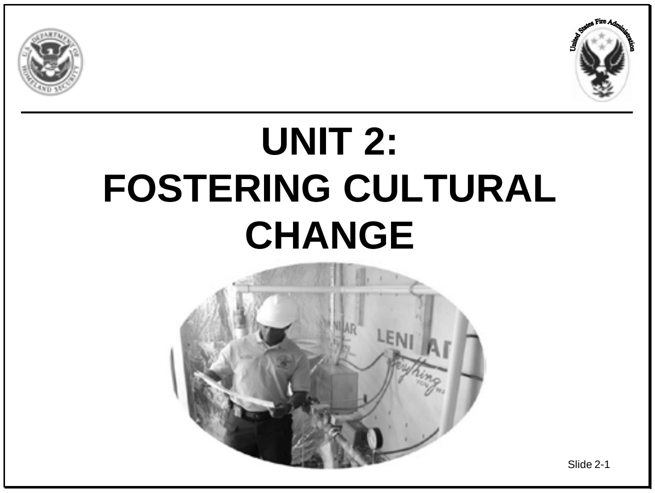
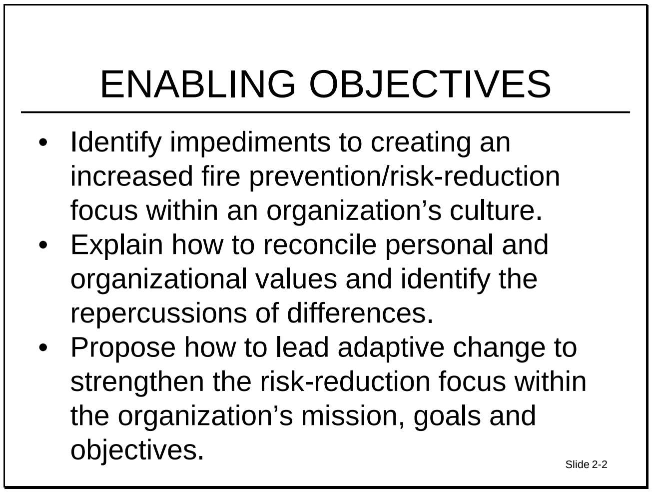


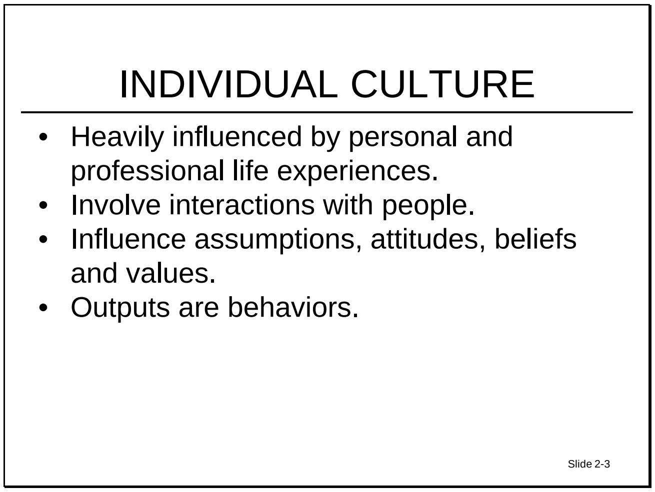
UNIT 2:
FOSTERING CULTURAL CHANGE



ENABLING OBJECTIVES

- Identify impediments to creating an increased fire prevention/risk-reduction focus within an organization’s culture.
- Explain how to reconcile personal and organizational values and identify the repercussions of differences.
- Propose how to lead adaptive change to strengthen the risk-reduction focus within the organization’s mission, goals and objectives.

I. INDIVIDUAL CULTURE



INDIVIDUAL CULTURE

- Heavily influenced by personal and professional life experiences.
- Involve interactions with people.
- Influence assumptions, attitudes, beliefs and values.
- Outputs are behaviors.

A. Every person develops his or her own unique culture.

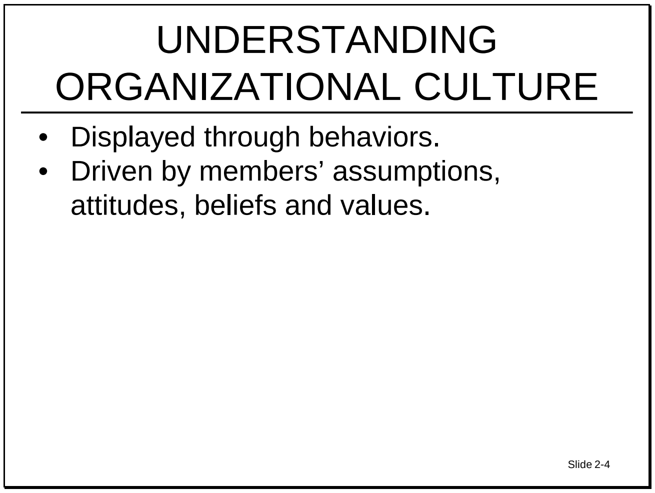
1. A person's individual culture is heavily influenced by personal and professional life experiences.

2. These experiences often involve interactions with people.

3. The interactions influence the person's assumptions, attitudes, beliefs and ultimately their values.

B. The outputs of a person's values are the behaviors they display.

II. UNDERSTANDING ORGANIZATIONAL CULTURE

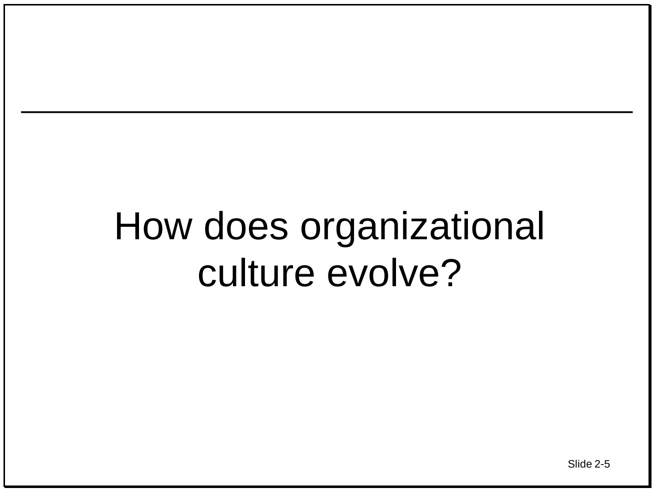


UNDERSTANDING ORGANIZATIONAL CULTURE

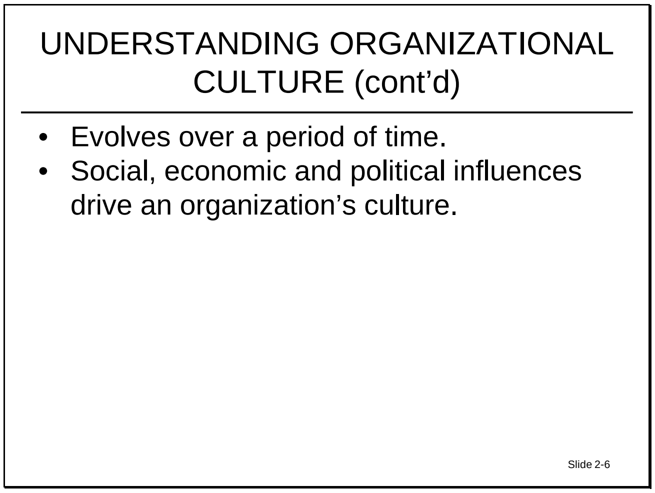
- Displayed through behaviors.
- Driven by members' assumptions, attitudes, beliefs and values.

A. Organizational culture is displayed through the behaviors exhibited by its members at large.

B. As with individual culture, the behaviors displayed by an organization are driven by its members' assumptions, attitudes, beliefs and values.



How does organizational culture evolve?



UNDERSTANDING ORGANIZATIONAL CULTURE (cont’d)

- Evolves over a period of time.
- Social, economic and political influences drive an organization’s culture.

C. Organizational culture evolves over a period of time.

1. The culture’s foundation is built by individuals who lead its development by influencing people to adopt the leader’s system of values.

2. Social, economic and political influences can help drive the development of an organization’s culture.

D. Social factors may include:

1. Peer influences/pressure and experiences.

2. Group norms.

3. Stereotypes built about people and groups.

4. Agreement/Disagreement between groups.

5. Interest in the bureau’s mission.

E. Economic factors may include:

1. Community and organizational economic conditions.

2. Salary and wage agreements/disputes.

3. Economic support (budget) for fire prevention/risk reduction.

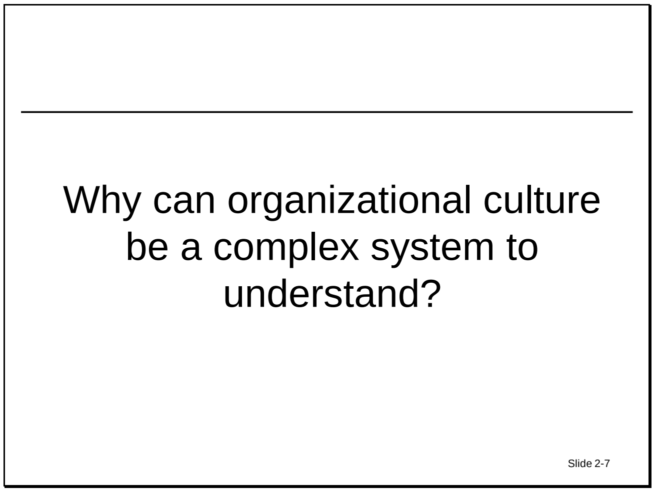
F. Political factors may include influences from:

1. Labor organizations or group associations.

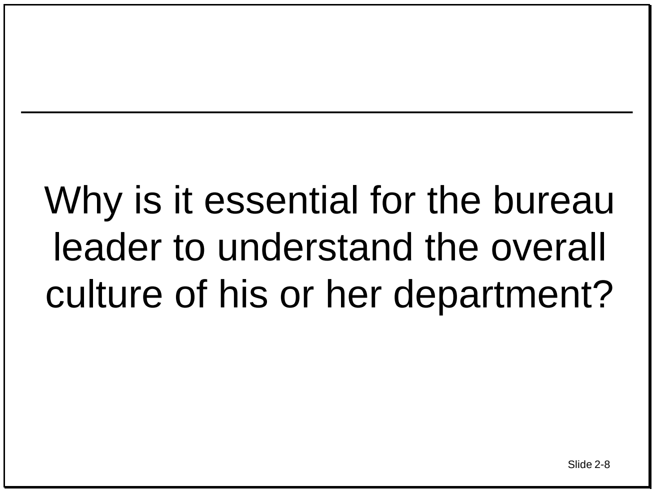
2. Fire department administration.

3. City/County administration.

4. Community groups/associations.



Why can organizational culture be a complex system to understand?



Why is it essential for the bureau leader to understand the overall culture of his or her department?

ACTIVITY 2.1

Your Organization's Culture

Purpose

Describe your department's core values that are displayed through behaviors of its members.

Directions

1. This is an individual activity that culminates with discussion by each small group and the class at large.
2. The activity has two parts.

Part 1

1. Produce your organization's mission statement, which was identified as part of the pre-course assignment.
2. Identify if your mission statement includes language on fire prevention/risk reduction. If so, identify if your organization **truly** supports fire prevention/risk reduction by providing support in the form of people, organizational focus, budget, programs, etc. Five minutes are allotted for this task.

   Note: If your organization does not have a mission statement, please partner with a peer who does to perform this portion of the activity.
3. If you believe your department does **not** provide substantive support for fire prevention/risk reduction, please identify the root factors contributing to this situation.
4. You are allotted 10 minutes for this section.

Part 2

1. Respond individually to the following questions:
   a. What does your organization at large value as being important?
   b. What behaviors are displayed by members that prove these values are important?
   c. What are the values held by your organization at large toward fire prevention and risk reduction?

    d. What behaviors are displayed by members that prove what you identified is true?

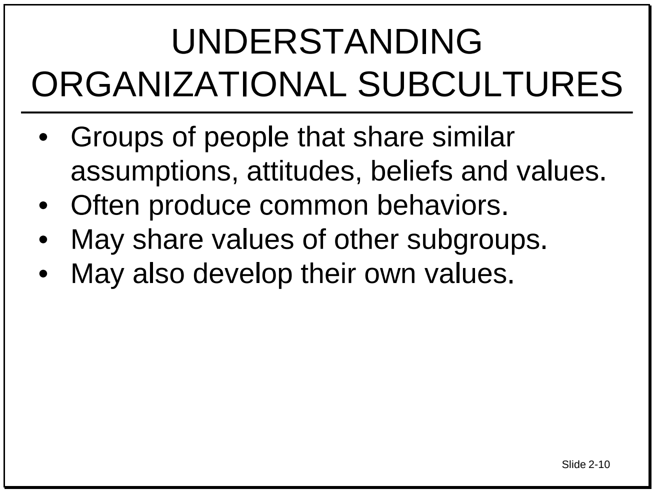
    e. What is the unofficial culture and mission of your department?

2. You are allotted 10 minutes for individual processing.

3. In your table group, discuss what similarities in responses were found among the team members. Similarities should be posted on an easel pad. Five minutes are allotted for small group processing.

4. Share your group’s responses with the class at large. Five minutes are allotted for this task.

III. UNDERSTANDING ORGANIZATIONAL SUBCULTURES



UNDERSTANDING ORGANIZATIONAL SUBCULTURES

- Groups of people that share similar assumptions, attitudes, beliefs and values.
- Often produce common behaviors.
- May share values of other subgroups.
- May also develop their own values.

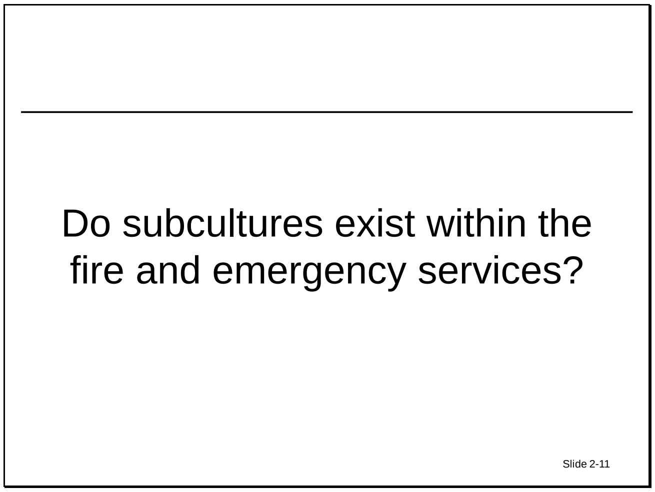
A. Subcultures are groups of people within an organization that share similar assumptions, attitudes, beliefs and values.

B. The sharing of these values often results in common behaviors displayed by the subgroup.

C. Subcultures may share the values of other subgroups or the organization at large.

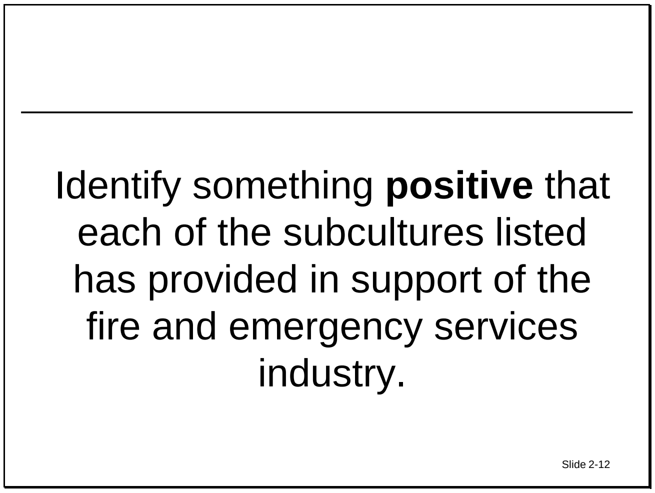
D. Subcultures may also develop their own set of values that are either somewhat similar or perhaps totally different from other groups or the organization at large.

E. Subcultures often adopt the assumptions, attitudes, beliefs and values of leaders they respect (either formal or informal leaders).

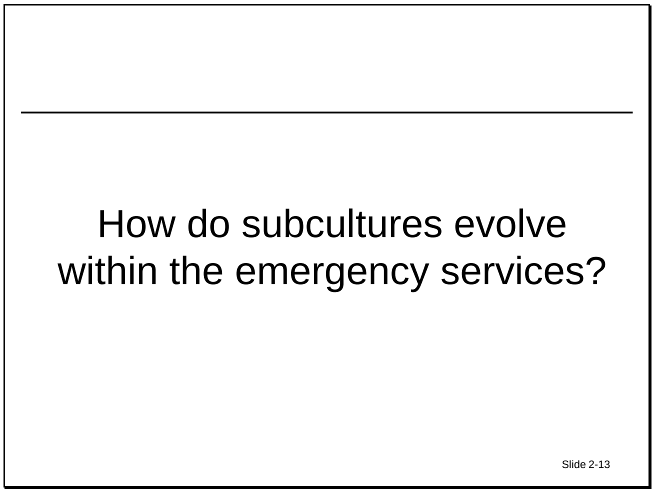


Do subcultures exist within the fire and emergency services?

F. There are many subcultures that may exist within the fire and emergency services.



Identify something **positive** that each of the subcultures listed has provided in support of the fire and emergency services industry.



How do subcultures evolve within the emergency services?

G. Organizational subcultures are similar to special interest groups that work to influence public policy decision-makers.

   1. Special interest groups form because of their common beliefs, concerns and values about a specific topic.

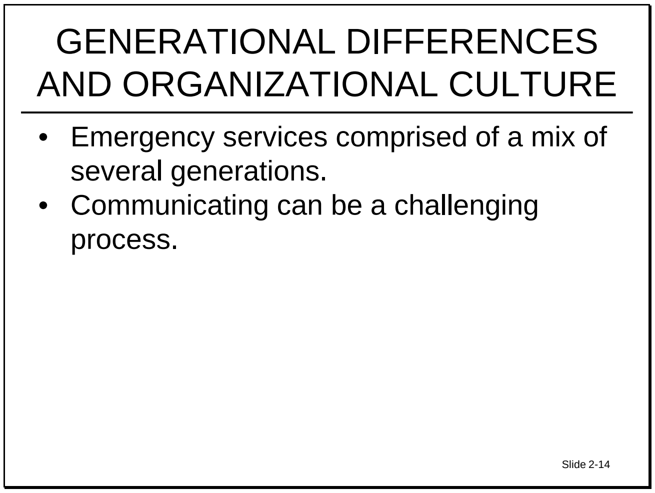
   2. The group members then work to advance issues that benefit **their** specific group.

H. Each subculture within an organization has its own set of assumptions, attitudes, beliefs and values that ultimately drive its behavior.

I. An important goal of fire and emergency services leadership is to facilitate a cooperative synergy between all subgroups/cultures within the organization at large so that the agency’s mission is achieved.

   Obviously, this is a high-order goal. Additional complications can occur when the groups are composed of different generations.

IV. GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE



GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE

- Emergency services comprised of a mix of several generations.
- Communicating can be a challenging process.

Slide 2-14

A. Current emergency services are comprised of a mix of several generations.

B. The mission of a department can be defined through mission statements, policies and procedures. However, how the mission is applied can be influenced by how the directives are communicated through leadership and interpreted by personnel.

C. Communicating across multiple generations can be a challenging process.

  1. Not everyone prefers (or in some cases, accepts) receiving information in the same way.

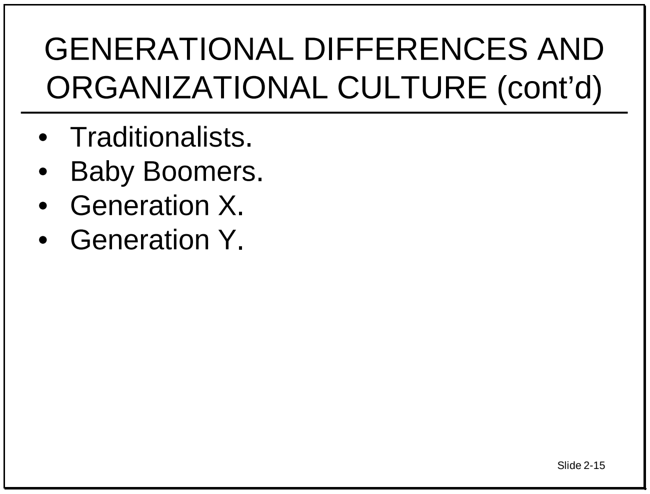
  2. This is an important factor to consider when studying organizational culture.

D. One of the main goals for the leader of a fire prevention/risk-reduction bureau is to facilitate cooperative department and communitywide support for prevention/risk reduction.

E. Knowing the best way to communicate and facilitate cooperation among the various generations is an important part of that process.

F. The following information is provided to help you build a base of knowledge about the preferred communication mediums of various generational age groups.

  1. It should be noted that not all people fit into a specific category.



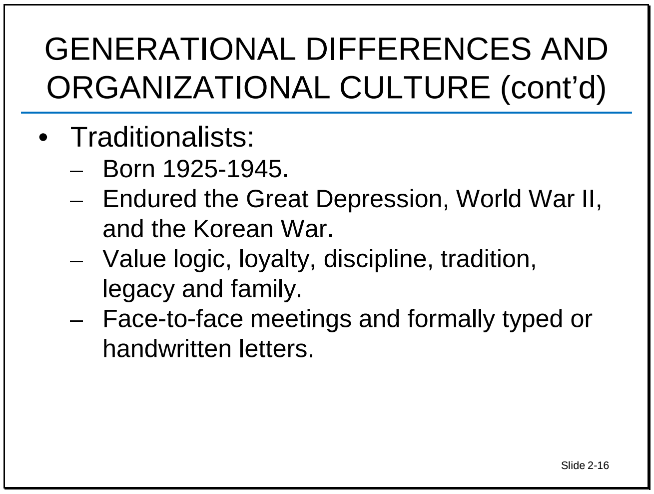
GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE (cont'd)

- Traditionalists.
- Baby Boomers.
- Generation X.
- Generation Y.

Slide 2-15

2. Four generations are explored: Traditionalists, Baby Boomers, and Generation X and Y.

G. Generationally speaking, the following section details common characteristics and modes of communication for each group.



GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE (cont'd)

- Traditionalists:
  - Born 1925-1945.
  - Endured the Great Depression, World War II, and the Korean War.
  - Value logic, loyalty, discipline, tradition, legacy and family.
  - Face-to-face meetings and formally typed or handwritten letters.

Slide 2-16

H. Traditionalists.

1. Born between the years of 1925-1945.

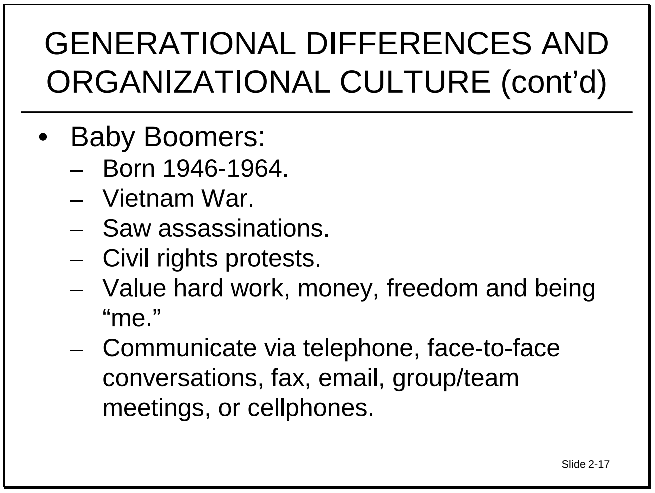
2. Endured the Great Depression, the affluence of the end of the Roaring '20s, World War II, and the Korean War. Received the GI Bill of Rights and saw teletypewriter services begin.

3. Characterized by the "waste not; want not" mentality. They are loyal, patriotic and faithful in their institutions.

4. They value logic, loyalty, discipline, tradition, legacy and family.

5. Communication preferences are face-to-face meetings and formally typed or handwritten letters.

6. To “sell” a Traditionalist on an idea, they prefer to make decisions on what has worked well in the past.



GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE (cont’d)

- Baby Boomers:
  - Born 1946-1964.
  - Vietnam War.
  - Saw assassinations.
  - Civil rights protests.
  - Value hard work, money, freedom and being “me.”
  - Communicate via telephone, face-to-face conversations, fax, email, group/team meetings, or cellphones.

Slide 2-17

I. Baby Boomers.

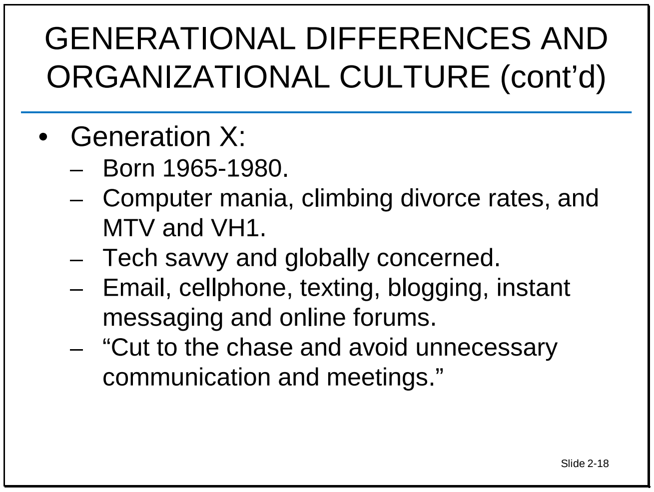
1. Born between the years of 1946-1964.

2. Boomers endured the Vietnam War and experienced the “suburbia” movement. They bought color televisions, witnessed the rise in use of street drugs, and saw the assassinations of John F. Kennedy and Martin Luther King, Jr. Experienced civil rights protests, Woodstock, invention of the touch telephone and the first video phone.

3. They are characterized by being hardworking, idealistic and highly competitive; keeping up with the Joneses; questioning authority; and climbing the corporate ladder. They represent the first “me” generation.

4. Boomers value hard work. A work week of 70 hours is not abnormal. They like getting ahead, being noticed, or becoming famous. They value money, freedom and being “me.”

5. They prefer to communicate via telephone, face-to-face conversations, fax, email, group/team meetings or cellphones (for talking, not texting).



GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE (cont'd)

- Generation X:
  - Born 1965-1980.
  - Computer mania, climbing divorce rates, and MTV and VH1.
  - Tech savvy and globally concerned.
  - Email, cellphone, texting, blogging, instant messaging and online forums.
  - "Cut to the chase and avoid unnecessary communication and meetings."

J. Generation X.

1. Born between the years of 1965-1980.

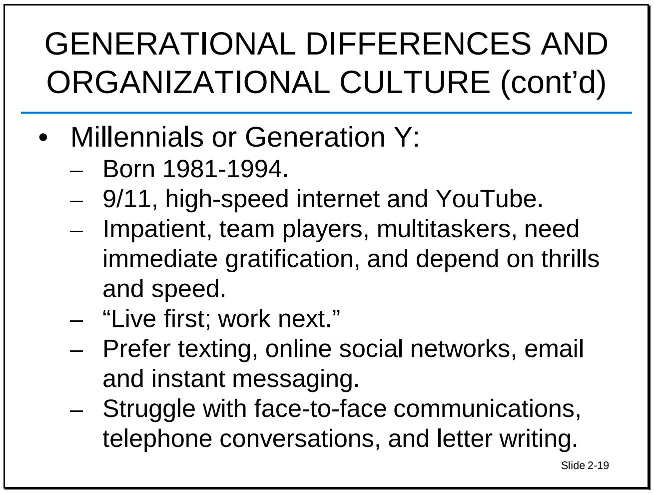
2. This group has experienced the dot-com boom/bust, computer mania, Sesame Street, AIDS epidemic, climbing divorce rates, latchkey syndrome kids, and MTV and VH1. They witnessed the invention of the first cellphone, but it was not widely used. They also saw Apple/Microsoft become technology giants.

3. X'ers are characterized by "Reality Bites", being skeptical of higher institutions, remaining cynical about marriage and life, and questioning everything because nothing makes sense anymore. They are tech savvy and globally concerned.

4. This group values independence, freedom, friends, mobility and security.

5. Communications do not get dictated to this group. They want to choose which way to communicate and how often they do it. Their preferred modes of communication are email, cellphone, texting, blogging, instant messaging and online forums.

6. Prefer to be sold on ideas by listening to people with experience. They don't want to be sold but would rather someone simply "cut to the chase and avoid unnecessary communication and meetings."



GENERATIONAL DIFFERENCES AND ORGANIZATIONAL CULTURE (cont'd)

- Millennials or Generation Y:
  - Born 1981-1994.
  - 9/11, high-speed internet and YouTube.
  - Impatient, team players, multitaskers, need immediate gratification, and depend on thrills and speed.
  - "Live first; work next."
  - Prefer texting, online social networks, email and instant messaging.
  - Struggle with face-to-face communications, telephone conversations, and letter writing.

K. Millennials or Generation Y.

1. Born during the years of 1981-1994.

2. Significant events that rocked their world included 9/11, high-speed internet, YouTube, helicopter parents and birth of the self-esteem movement. They witnessed the Columbine/Virginia Tech shootings, cellphone mania and the rise of online social networks (Facebook and MySpace).

3. This group is characterized by their willingness to embrace diverse backgrounds. They are very eco-friendly and worry about social and global issues. They are impatient team players and multitaskers who need immediate gratification and depend on thrills and speed.

4. Y'ers value fun, friends, simplicity, balance, saving the world and information/knowledge. They support a "live first; work next" culture.

5. While communication modes are vast among this group, they prefer texting, online social networks, email (only for work or school) and instant messaging. They struggle with face-to-face communications, telephone conversations and letter writing.

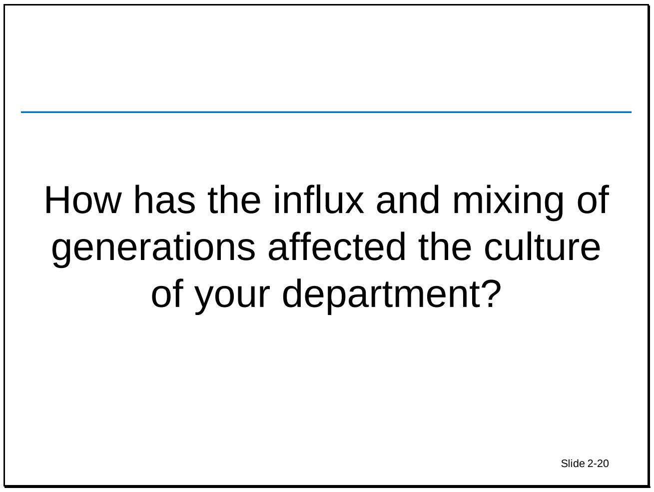
L. When communicating with members of various age groups, be aware that a combination of communication strategies may be necessary.

1. "Great communication skills" to a Traditionalist may mean they are superb letter-writers.

2. To a millennial, it may mean that they are "savvy at texting."

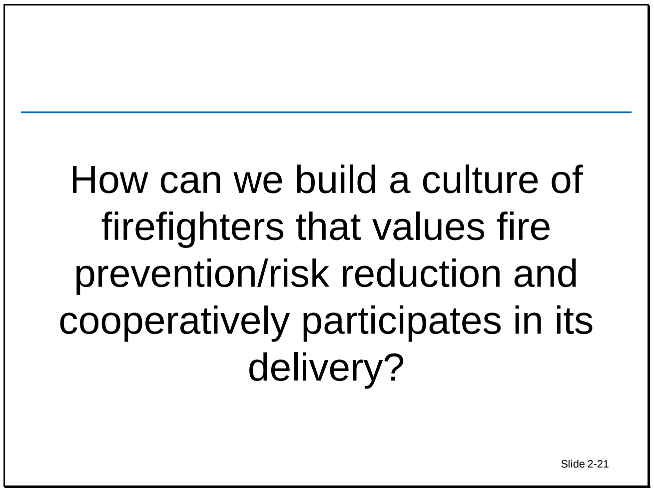
M. There are crossover generations, and there are those who don't fit the typical mold at all.

N. As a catalyst for group cooperation, the bureau leader has the responsibility to convey his or her message so that everyone gets the intended output.



How has the influx and mixing of generations affected the culture of your department?

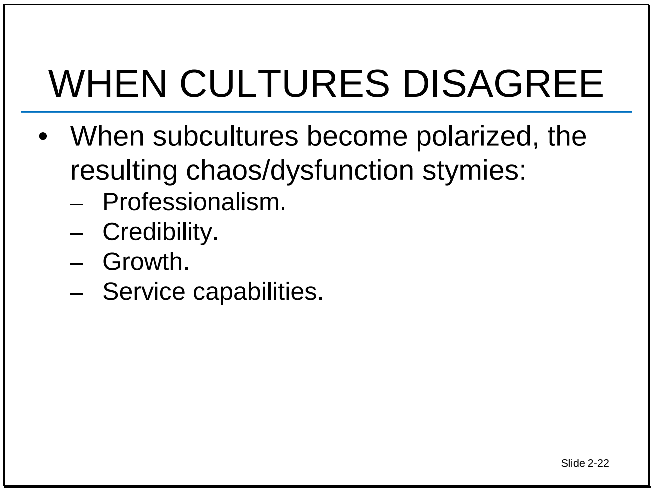
Slide 2-20



How can we build a culture of firefighters that values fire prevention/risk reduction and cooperatively participates in its delivery?

Slide 2-21

V. WHEN SUBCULTURES DISAGREE



WHEN CULTURES DISAGREE

- When subcultures become polarized, the resulting chaos/dysfunction stymies:
  - Professionalism.
  - Credibility.
  - Growth.
  - Service capabilities.

A. In a perfect world, cultures would live and work in harmony.

B. In reality, people around the world sometimes kill or give their lives out of loyalty for group culture and its shared values.

C. While our industry's people are not at war with each other, the emergency services can experience organizational strife and dysfunction when disagreements among subcultures regress into unprofessional behavior.

D. Sociology experts refer to the behavior of "protecting our tribe." This type of behavior can occur in the fire service when shifts of firefighters or members of divisions "protect their tribes."

E. When subcultures become polarized and openly (or covertly) oppose one another in ways that negatively impact the organization, the resulting chaos/dysfunction stymies professionalism, credibility, growth and service capabilities.

F. Examples of group polarization may include:

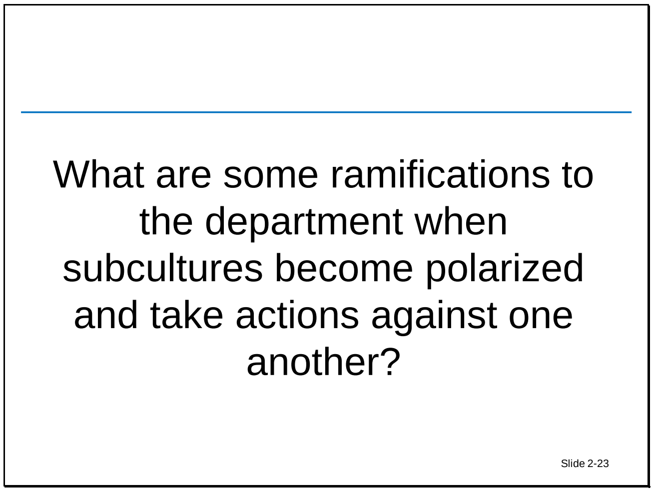
1. Department leadership versus city/county administration.

2. Department leadership versus labor organization.

3. Career versus volunteer.

4. Fire versus EMS.

5. Response versus prevention.



What are some ramifications to the department when subcultures become polarized and take actions against one another?

ACTIVITY 2.2

Polarization Among Subcultures

Purpose

Discuss examples where subcultures became polarized and exhibited behaviors that impacted their organization in a negative manner.

Directions

1. Please locate a peer to engage in discussion.

2. Each person should share an example of dysfunction between two or more subcultures within their organization that impacted the department in a negative manner.

3. Please exchange information on the following questions:

    a. Describe the subcultures that were opposed to each other.

    b. Why did the conflict and polarization occur?

    c. Were there specific people who led each group's direction?

    d. What actions were required to resolve the situation?

    e. What impact did the situation have on the organization?

    f. How could the situation have been prevented?

4. You have 10 minutes to complete the activity.

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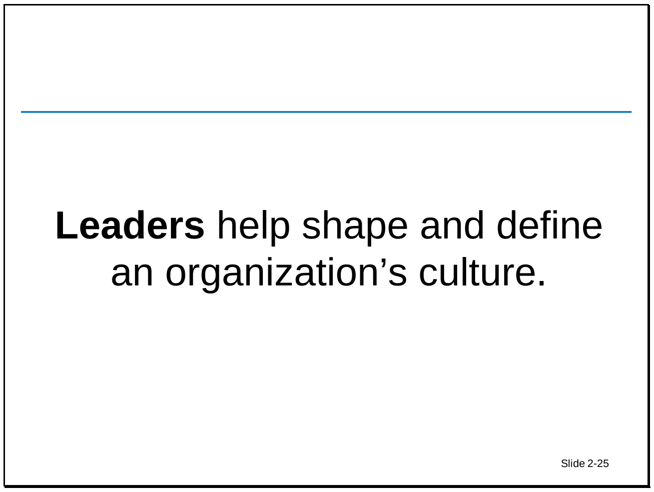
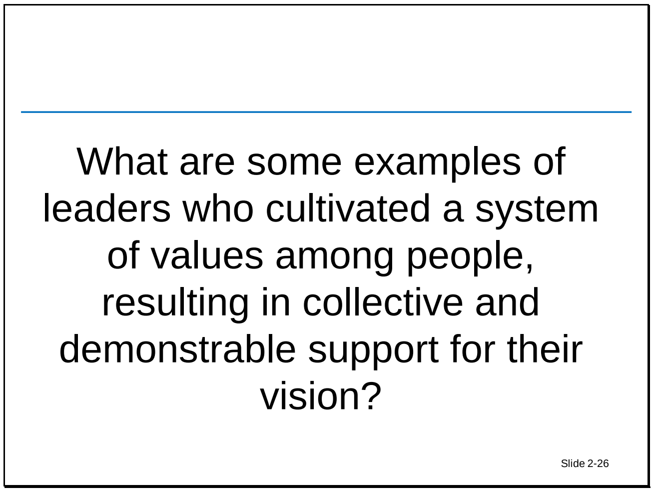
VI. LEADERS CREATE ORGANIZATIONAL CULTURE



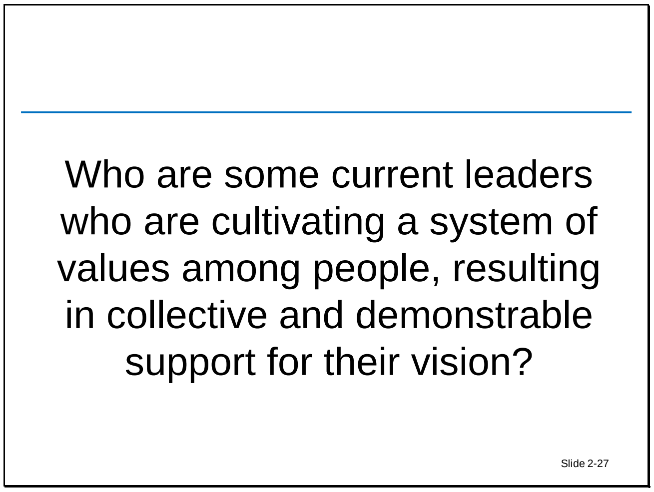
Leaders help shape and define an organization's culture.

A. **Leaders** help shape and define an organization's culture.

B. Leaders set the tone for what they expect the value system to be that will help attain their vision.



What are some examples of leaders who cultivated a system of values among people, resulting in collective and demonstrable support for their vision?



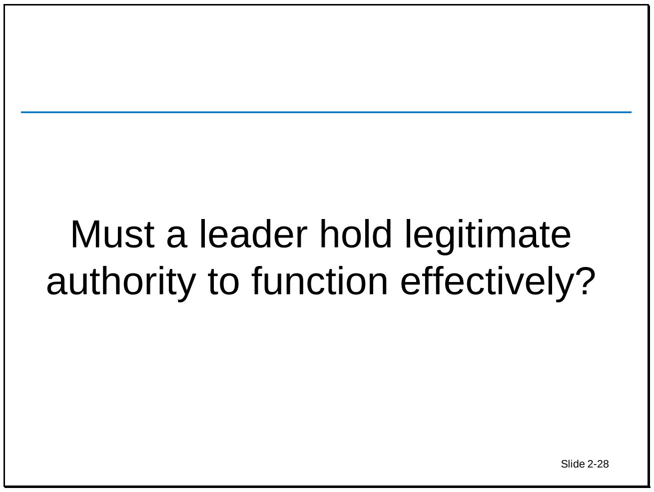
Who are some current leaders who are cultivating a system of values among people, resulting in collective and demonstrable support for their vision?

C. The various subcultures within an organization are facilitated by formal and informal leaders.

D. Leaders come from two sources:

    1. Formal leaders who hold official legitimate authority such as chief or organizational president.

    2. Informal leaders such as tenured employees/members, respected peers, etc.



Must a leader hold legitimate authority to function effectively?

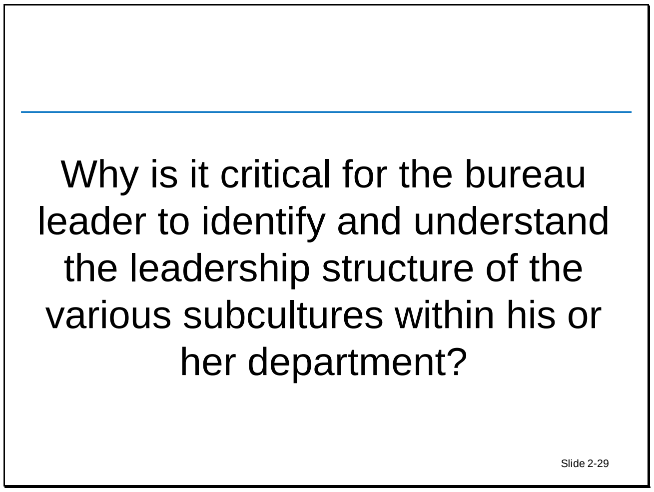
E. Whatever the leader’s platform, supportive followers can make his or her vision/goals often become reality.

F. As goals are realized, this positive reinforcement supports and encourages the behaviors being exhibited by the group at large.

G. This synergy perpetuates the development of additional leaders who step forward to advance the mission of the group.

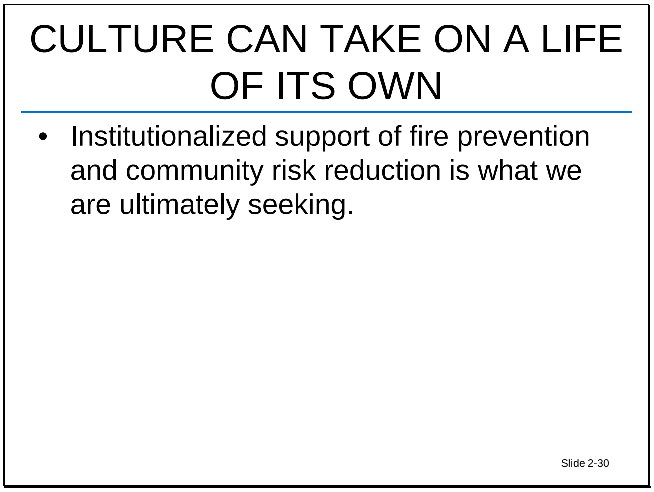
H. Ultimately, a leadership structure is created that supports the culture that has been built.

I. Understanding this structure is an important starting point prior to developing a strategy that seeks support for fire prevention/risk reduction.



Why is it critical for the bureau leader to identify and understand the leadership structure of the various subcultures within his or her department?

VII. CULTURE CAN TAKE ON A LIFE OF ITS OWN



CULTURE CAN TAKE ON A LIFE OF ITS OWN

- Institutionalized support of fire prevention and community risk reduction is what we are ultimately seeking.

A. Hopefully, everyone will enjoy the experience of facilitating an organizational culture that institutionalizes fire prevention/risk reduction as a core value.

B. Organizations that have achieved this milestone will display behaviors that openly support fire prevention/risk reduction.

C. Institutionalized behaviors will include:

   1. Treating fire prevention/risk reduction as equally important to suppression/response.

   2. Performing on-going community risk assessment to identify and prioritize local risks.

   3. Strategically planning how the prioritized risks will be addressed through the use of combined prevention interventions (the 5 E's).

   4. Dedicating resources in the form of time, people, and money to fire prevention/risk-reduction activities.

   5. Evaluating the planning, outreach, impact, and outcome of all fire prevention/risk reduction efforts.

D. The above list of behaviors is easy to write in a book. However, it is exponentially more challenging to facilitate in real-world application.

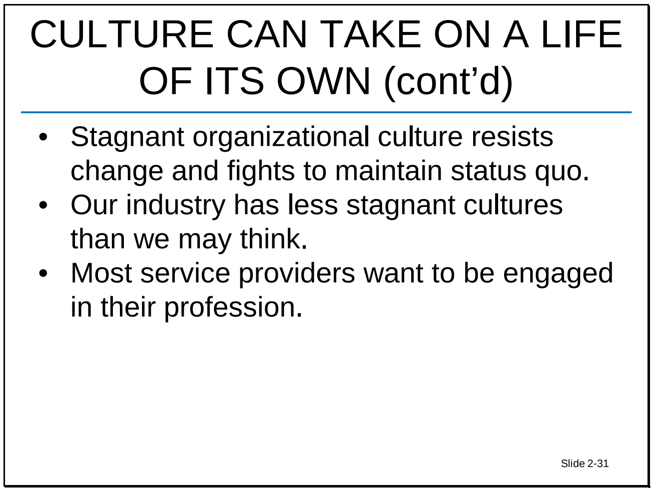
E. As advocates for fire prevention/risk reduction, we know that investing resources into fire prevention/risk reduction makes good sense in terms of cost versus benefit over the long term.

F. While having adequate resources to perform prevention/risk-reduction services is a critical component, true long-term sustainable success will only come when the organization as a whole engages in the operation.

G. Having a supportive organizational culture sets the stage for a successful outcome. In the case of the MEFPP course, the outcome is institutionalized support for fire prevention/risk reduction.

H. Organizational cultures can take on a life of their own; ultimately they may support or resist fire prevention/risk reduction or, in some cases, have no opinion at all.

I. Bureau leaders should monitor and adjust to constantly changing cultures.



CULTURE CAN TAKE ON A LIFE OF ITS OWN (cont'd)

- Stagnant organizational culture resists change and fights to maintain status quo.
- Our industry has less stagnant cultures than we may think.
- Most service providers want to be engaged in their profession.

J. A stagnant organizational culture often resists change and fights hard to maintain the status quo. Reasons for fighting change may include beliefs such as:

    1. We've always done it this way.

    2. This might result in more work for us to do.

    3. They (other subcultures) support it, so we're against it.

    4. If we do more prevention, we'll put ourselves out of work.

K. Fortunately, our industry has less stagnant cultures than we may think.

L. Most firefighters and emergency service providers want to be engaged in their profession (or volunteer activity) and are eager to advance their abilities (often within their area of specialized interest).

M. This is where fire prevention/risk reduction often becomes forgotten in lieu of the more exciting or enticing components of the emergency services such as response.

N. Historically, the emergency response component of our industry has received the greatest amount of attention, recognition and resources.

O. The dangers and heroics associated with our industry are widely respected by the public.

    1. Firefighting remains one of the most respected jobs in the world.

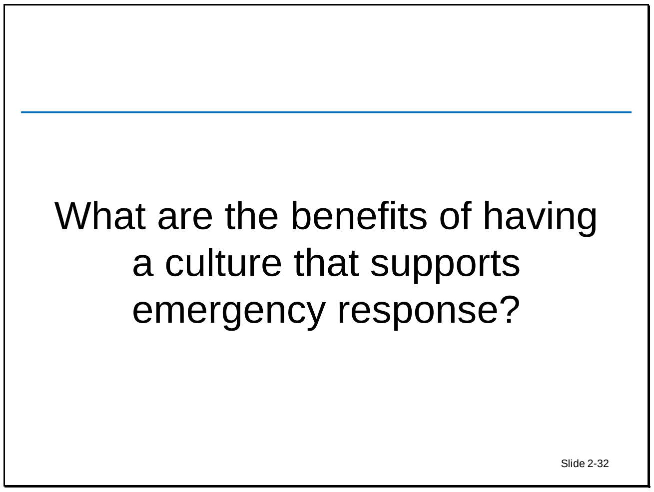
    2. Firefighters also are one of the most trusted groups of people in society.

P. Our industry recognizes its brave brothers and sisters when they act courageously in dangerous situations.

Q. In some organizations, the synergy of excitement surrounding emergency response (particularly firefighting) has created a culture that has taken on a life of its own.

1. Often, this response-oriented culture does not actively oppose fire prevention/risk reduction; they just don't place value on it because a leader has not stepped up to champion the cause.

2. This lack of value for fire prevention/risk-reduction results in inaction.



What are the benefits of having a culture that supports emergency response?

R. Having a culture that supports emergency response is **not** a bad thing.

1. Most fire chiefs would be elated if every subculture within their organization exhibited behaviors that positively supported important components of the agency's mission.

2. In the case of a culture that embraces and supports emergency response, it is likely that its members:

    a. Have detailed SOPs/SOGs.

    b. Are well trained.

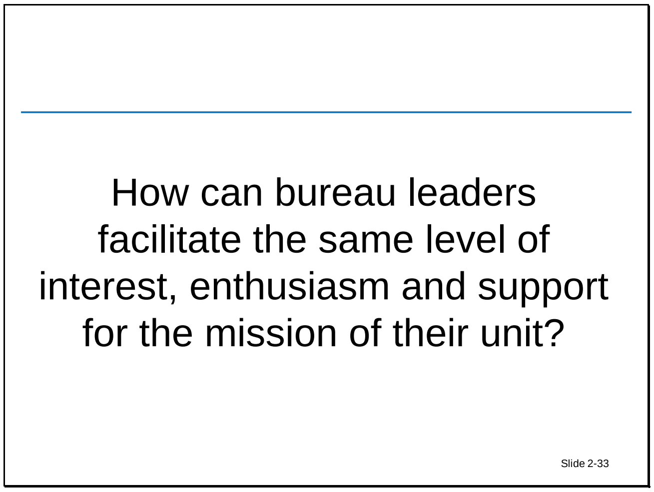
    c. Have adequate equipment.

    d. Strive to advance their personal and professional abilities.

    e. Want to use their knowledge, skills and equipment.

    f. Exhibit excellent morale.

    g. Often attract members from other groups.



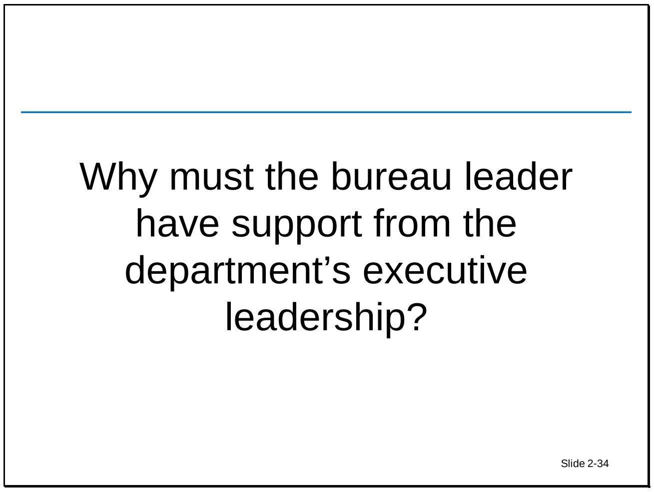
How can bureau leaders facilitate the same level of interest, enthusiasm and support for the mission of their unit?

S. It is easy for people to become focused on a specialty area (or job title) and develop the mindset that anything beyond that scope of work is not their responsibility.

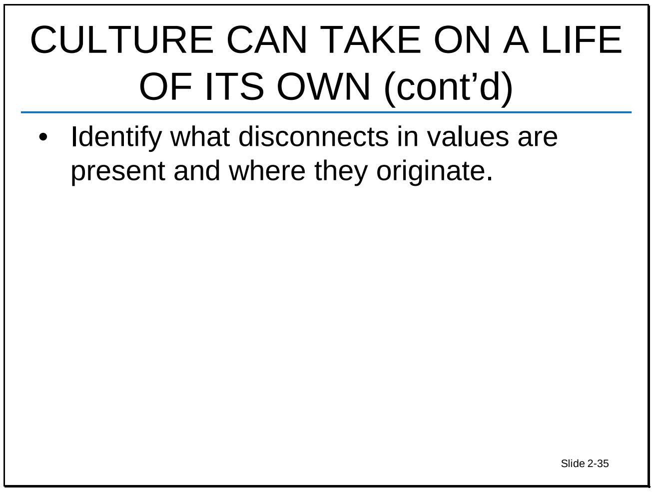
   1. Many who aspired to champion the advancement of fire prevention/risk reduction have been stymied by organizational subcultures proclaiming that risk reduction is not their job.

   2. Many of our brother and sister National Fire Academy (NFA) alumni learned how to facilitate the process of institutionalizing prevention as an organizational core value and succeeded in advancing prevention/risk-reduction initiatives at the local level.

T. It is the responsibility of the chief of a department and fire prevention/risk-reduction bureau leader to work collaboratively with all facets of the organization to integrate fire prevention/risk reduction into the overall core mission of the agency.



Why must the bureau leader have support from the department’s executive leadership?

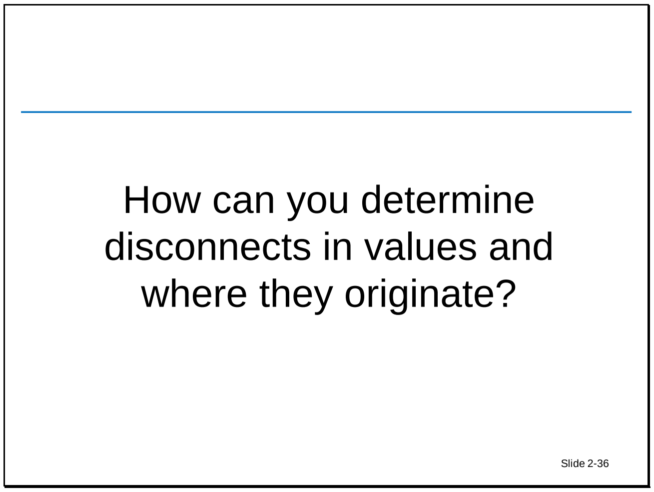


CULTURE CAN TAKE ON A LIFE OF ITS OWN (cont'd)

- Identify what disconnects in values are present and where they originate.

U. In departments where a lack of support for fire prevention/risk reduction is present (either from above or below), it is paramount to identify what disconnects in values are present and where they originate.

Identifying disconnects and where they are located allows for a strategic analysis of how to build support or rectify dysfunction.



How can you determine disconnects in values and where they originate?

V. While historically the overall culture of the fire service has been primarily reactive in nature, it has improved in many organizations.

W. Credit for this rejuvenation goes to the men and women of our industry who aspire to increase the value of prevention and work to institutionalize it into their department's culture.

X. Much progress has been made by graduates from the NFA Executive Fire Officer (EFO) Program. This four-year program is comprised of a series of four two-week courses on leadership. The second year EFO course is entitled "Executive Analysis of Community Risk Reduction" (EACRR).

ACTIVITY 2.3

Your Organization's Subcultures

Purpose

Identify the subcultures that exist within your organization, explain their structures of leadership, and define the values/behaviors exhibited toward fire prevention/risk reduction by these identified groups.

Directions

1. This is an individual activity that culminates with discussion by each small group and the class at large.

2. Individually, answer the following questions:

    a. Identify the subcultures that exist within your organization.

    b. Explain each culture's structure of leadership.

    c. Describe the values/behaviors exhibited toward fire prevention/risk reduction by these groups.

    d. You are allowed 10 minutes for individual processing.

3. In your table group, discuss what similarities in responses were found among team members. Similarities should be posted on an easel pad. You are allowed 10 minutes for small group processing.

4. Each group will share their responses with the class at large.

5. As a debriefing to the activity, a short discussion will be facilitated that identifies those who believe they have support for fire prevention/risk reduction from all of their organizational subcultures. Strategies that were utilized in those departments to facilitate such support should be explored.

6. Next, the instructor will identify those of you who believe you do not have support for fire prevention/risk reduction from all of your organizational subcultures. Responses from the class at large will be sought as to strategies that could be utilized to gain support from the subcultures.

    Allow 10 minutes for steps four through six of this activity.

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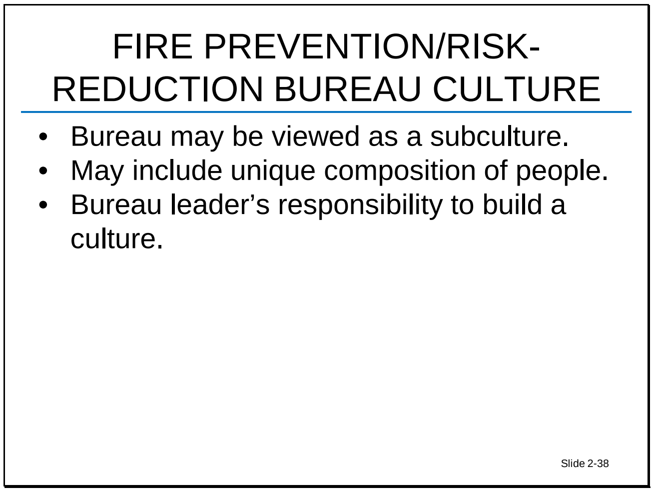
VIII. FIRE PREVENTION/RISK-REDUCTION BUREAU CULTURE



FIRE PREVENTION/RISK-REDUCTION BUREAU CULTURE

- Bureau may be viewed as a subculture.
- May include unique composition of people.
- Bureau leader's responsibility to build a culture.

A. Because its members share a vision for prevention, the fire prevention/risk-reduction bureau may be viewed as a subculture of the department at large.

B. Recall that larger departments may have multiple people assigned to a fire prevention/risk-reduction bureau. These members may perform very specialized roles that support the overarching goal of prevention and mitigation.

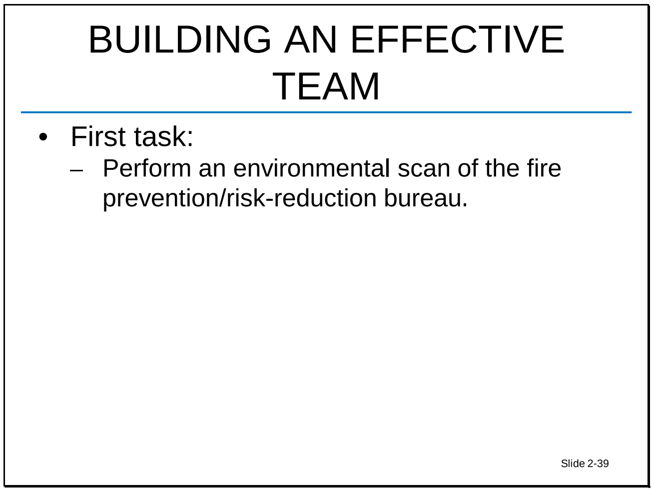
C. The inherent composition of a larger prevention bureau can bring together public educators, plans reviewers/inspectors and investigators.

D. As previously discussed, it is common for people who perform a very specialized or select function to develop a mindset that isolates them to their specific duty and requires certain behaviors — sometimes with just cause.

For example, fire investigators are often not permitted to share certain levels of information about an incident with nonlaw enforcement personnel.

E. A fire prevention/risk-reduction unit may include a unique composition of people who each possess differing skill sets and personalities.

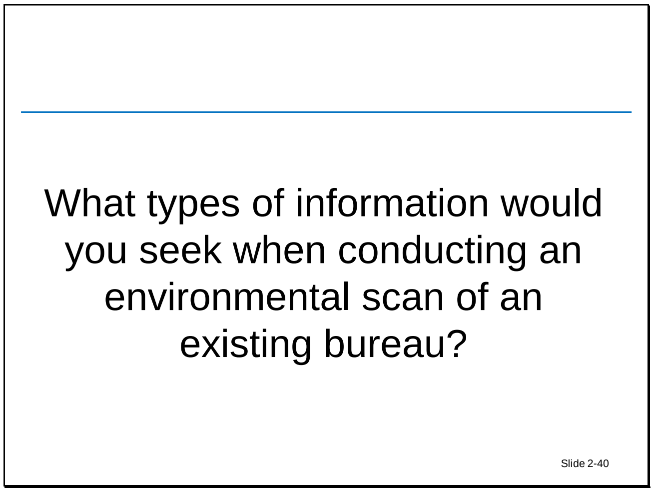
F. It is the fire prevention/risk-reduction bureau leader's responsibility to build a culture within his or her team that supports the overall mission of the bureau and department at large.



BUILDING AN EFFECTIVE TEAM

- First task:
  - Perform an environmental scan of the fire prevention/risk-reduction bureau.

G. One of the first tasks the new leader must perform is an environmental scan of the fire prevention/risk-reduction bureau.



What types of information would you seek when conducting an environmental scan of an existing bureau?

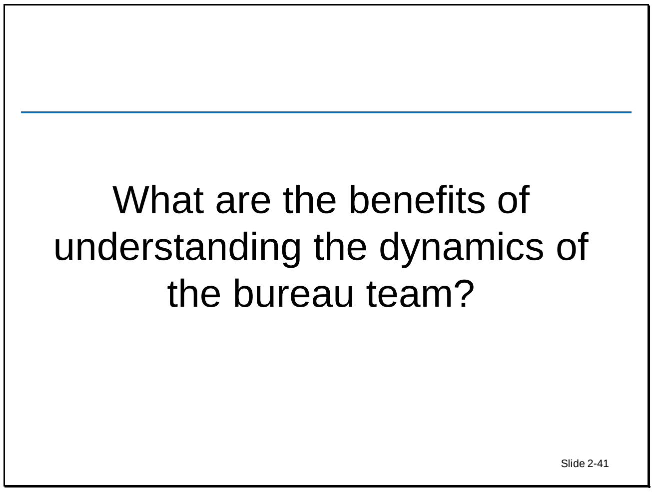
H. A thorough environmental scan can provide the leader of the fire prevention/risk-reduction bureau with vital background information such as:

1. Profile of both the department at large and the prevention unit's culture.

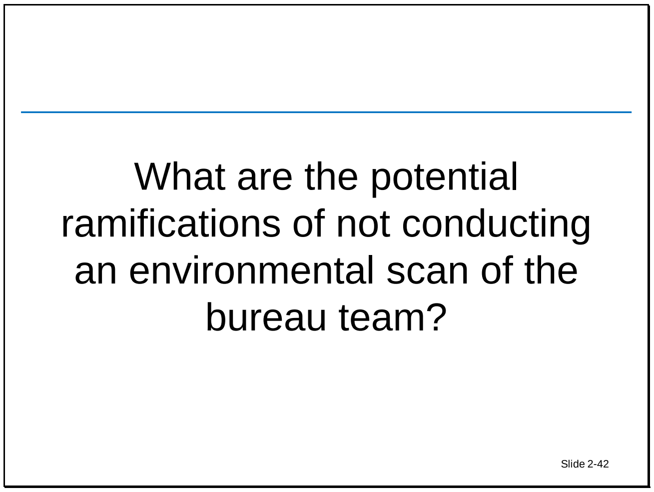
2. History of relationships between prevention and suppression personnel.

3. Composition of the prevention bureau's staff to include tenure, duties, skills, needs and opinions.

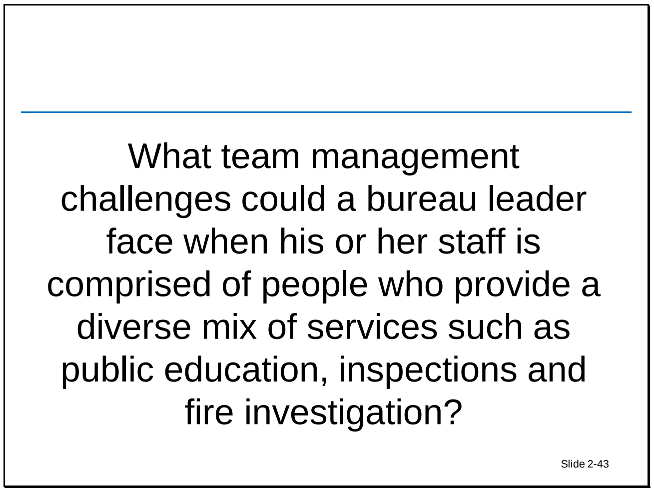
4. Understanding of the dynamics of the prevention bureau team.



What are the benefits of understanding the dynamics of the bureau team?



What are the potential ramifications of not conducting an environmental scan of the bureau team?



What team management challenges could a bureau leader face when his or her staff is comprised of people who provide a diverse mix of services such as public education, inspections and fire investigation?

I. In a unit comprised of educators, inspectors and investigators, the bureau leader must recognize the diversity of services being performed and facilitate support for each component in an equitable manner.

1. JPRs for public educators outline a mission to facilitate knowledge/skill building that ultimately results in changes in behavior among target groups that are receiving services.

2. Plans reviewers and inspectors help ensure that local ordinances and codes are applied according to the prescriptive and performance guidelines set by the local authority having jurisdiction (AHJ).

3. Fire investigators have the responsibility of determining the origin and cause of incidents. In jurisdictions where investigators have police powers, they are often responsible for enforcing criminal laws related to intentional incendiary events or threats.

4. Prevention bureau staff members, most especially those who apply any level of enforcement action, can be subject to liabilities specifically related to the duties they perform.

5. Continuing professional development opportunities should be provided for all staff members so each member’s knowledge, skills and ability levels are enhanced.

6. The dynamic knowledge environment of prevention requires ongoing training and skill reinforcement not normally found at the local/jurisdictional training academy.

7. The bureau leader should strive to obtain further education and overall professional development for his or her staff.

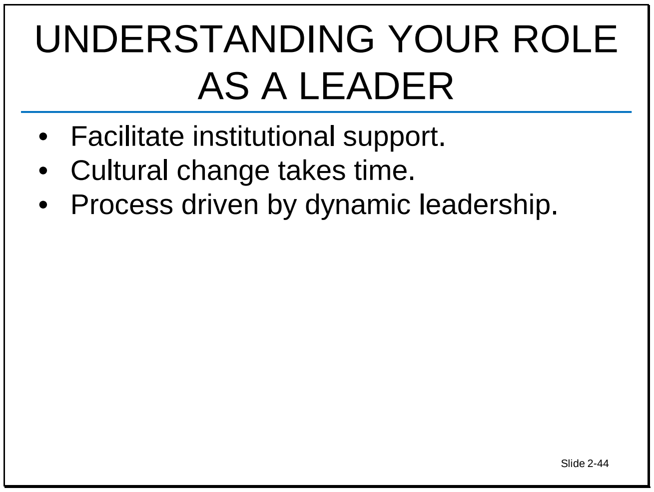
8. Involvement with and networking among state and national organizations will assist the leader in advancing his or her unit’s effectiveness.

J. As types and levels of service increase, so does the level of responsibility for the fire prevention/community risk-reduction bureau leader.

   1. When bureaus have enforcement authority, the unit leader (and chief of department) must understand the potential civil and legal ramifications associated with substandard, negligent or illegal actions performed by their staff.

   2. In addition, the interpersonal dynamics among the people who constitute a risk-reduction bureau can be complex due to the diversity of services provided and the personalities drawn to those services.

IX. UNDERSTANDING YOUR ROLE AS A LEADER



UNDERSTANDING YOUR ROLE AS A LEADER

- Facilitate institutional support.
- Cultural change takes time.
- Process driven by dynamic leadership.

Slide 2-44

A. Obviously, a primary goal for a bureau leader is to facilitate institutional support for fire prevention/risk reduction.

B. Reaching this goal requires patience, tenacity, vision, planning and communication skills.

C. The road to institutionalizing fire prevention/risk reduction as a core value should be viewed as a journey.

1. The journey follows a process that will surely include its share of challenges.

2. Those who are unprepared or lack insight into how to lead the process may face a frustrating and painful experience.

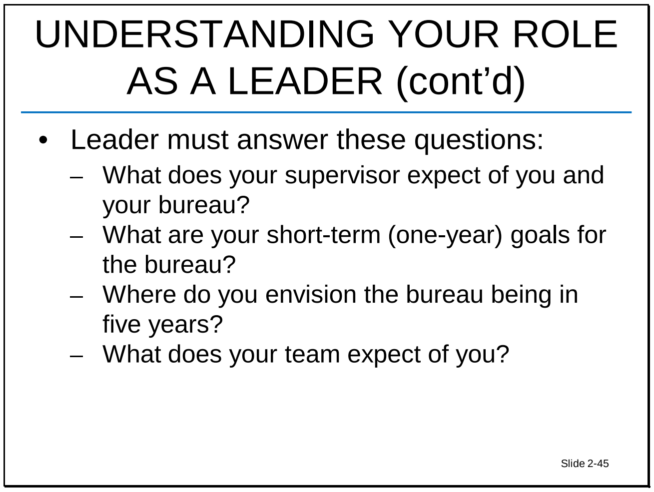
D. If the new leader of a fire prevention/risk-reduction bureau identifies that cultural changes are in order, he or she should consider these facts:

1. Cultural change takes time.

2. The larger the organization, the longer the journey may take.

3. The process is driven by dynamic leadership.

4. It begins with a vision, ascends incrementally as short-term goals of cooperation are reached, and culminates when behaviors are displayed, proving that personnel value fire prevention/risk reduction.



UNDERSTANDING YOUR ROLE AS A LEADER (cont'd)

- Leader must answer these questions:
  - What does your supervisor expect of you and your bureau?
  - What are your short-term (one-year) goals for the bureau?
  - Where do you envision the bureau being in five years?
  - What does your team expect of you?

Slide 2-45

E. The new leader of a fire prevention/risk-reduction bureau must learn the answers to the following questions prior to creating a strategy for gaining institutionalized support.

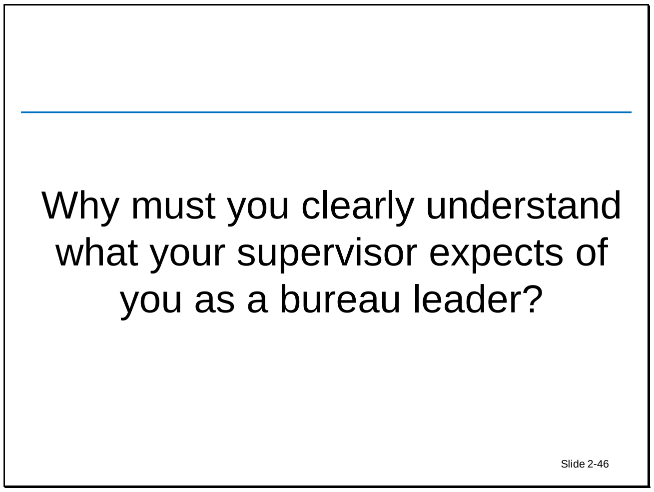
1. What does your supervisor expect of you and your bureau?

2. What are your short-term (one-year) goals for the bureau?

3. Where do you envision your bureau being in five years?

4. What does your team expect of you?

F. While determining what is expected of the bureau leader by the department's executive leadership seems like a logical starting point, it is one that can be easily overlooked or mishandled.



Why must you clearly understand what your supervisor expects of you as a bureau leader?

Slide 2-46

G. Having a productive relationship with your supervisor is essential to those who lead a fire prevention/risk-reduction bureau.

H. A productive relationship with superiors can help build the following:

   1. Understanding of department priorities/goals.

   2. Understanding of performance expectations for the leader and his or her bureau.

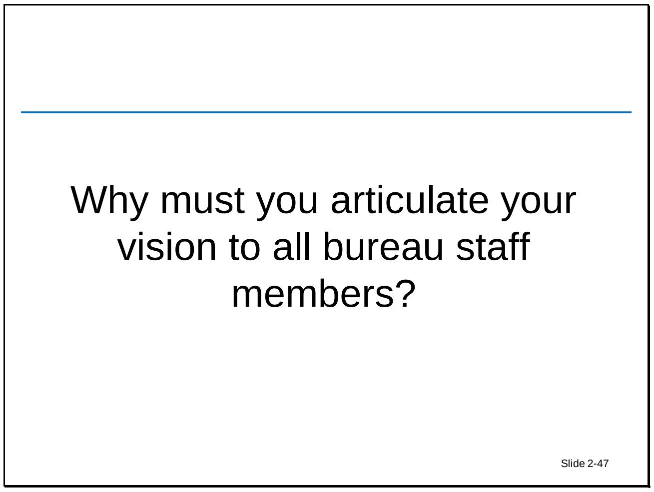
   3. Establishment of performance benchmarks.

   4. Open lines of communication.

   5. Building of trust.

I. Equally important to the relationship with his or her superiors, the fire prevention/risk-reduction bureau leader needs a productive relationship with members of the bureau.

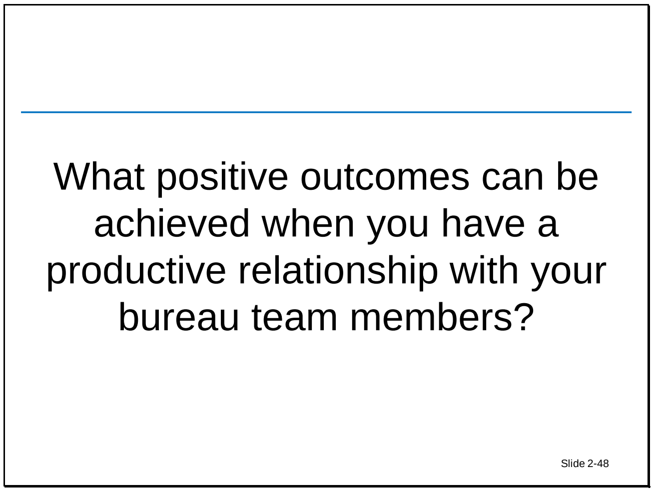
J. This relationship must begin with the leader of the bureau clearly articulating his or her vision of the mission for the bureau.



Why must you articulate your vision to all bureau staff members?

K. As with the need to communicate with superiors, this task may sound elementary; yet any dysfunctional prevention bureau with a root cause of chaos is likely due to a breakdown in (or lack of) communication.

L. Identifying what the staff expects from him or her is equally as important for the new leader.

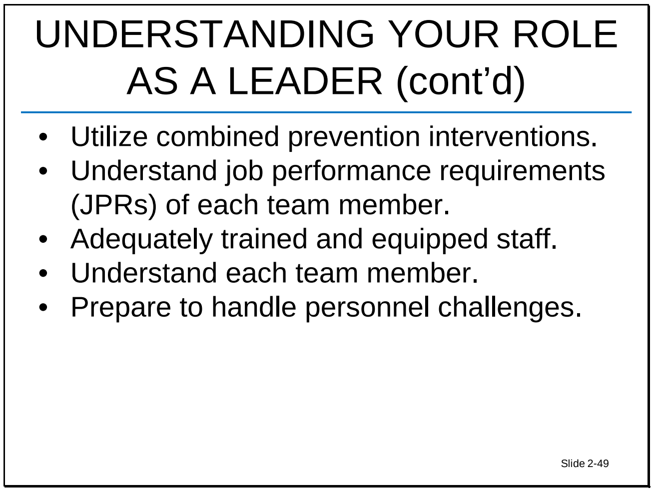


What positive outcomes can be achieved when you have a productive relationship with your bureau team members?

M. A productive relationship with bureau team members can help build the following:

  1. Communication of the department at large priorities/goals.
  2. Cooperative establishment of bureau priorities and goals.
  3. Cooperative establishment of performance expectations for the leader and his or her bureau members.
  4. Establishment of performance benchmarks.
  5. Open lines of communication.
  6. Building of trust.
  7. Increased morale and bureau productivity.

N. Recall that the new bureau leader has many responsibilities that, if accomplished, will serve to build a strong foundation of support among team members. These responsibilities include but are not limited to:



UNDERSTANDING YOUR ROLE AS A LEADER (cont'd)

- Utilize combined prevention interventions.
- Understand job performance requirements (JPRs) of each team member.
- Adequately trained and equipped staff.
- Understand each team member.
- Prepare to handle personnel challenges.

Slide 2-49

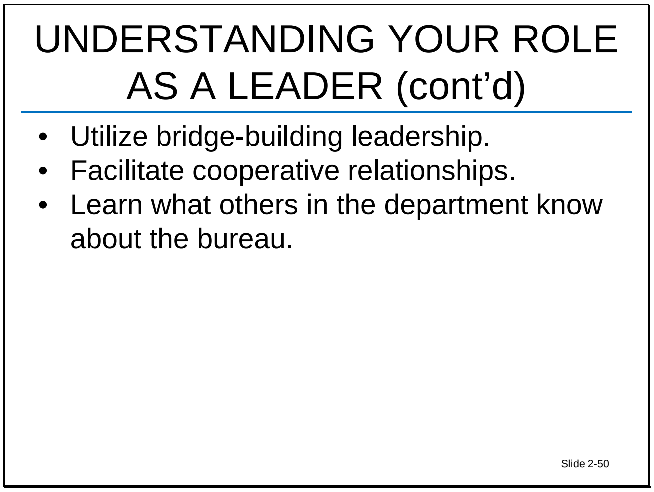
1. Possess mastery understanding of how to utilize combined prevention interventions (5 E's) in synergy to accomplish the mission of the fire prevention/risk-reduction bureau.

2. Understanding the JPRs of each team member.

3. Ensure that each team member is adequately trained and equipped to perform his or her JPRs in a safe, efficient and effective manner.

4. Understanding the personality, interests, accomplishments, strengths and challenges of each respective team member.

5. Preparing himself or herself to handle personnel challenges (whether interpersonal or skill-related) in a fair, ethical, legal and consistent manner.



UNDERSTANDING YOUR ROLE AS A LEADER (cont'd)

- Utilize bridge-building leadership.
- Facilitate cooperative relationships.
- Learn what others in the department know about the bureau.

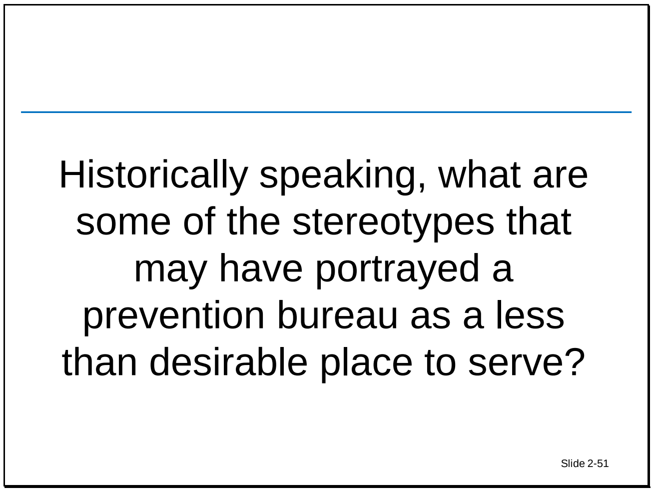
Slide 2-50

6. Utilize bridge-building leadership techniques that facilitate positive growth/capabilities of the bureau.

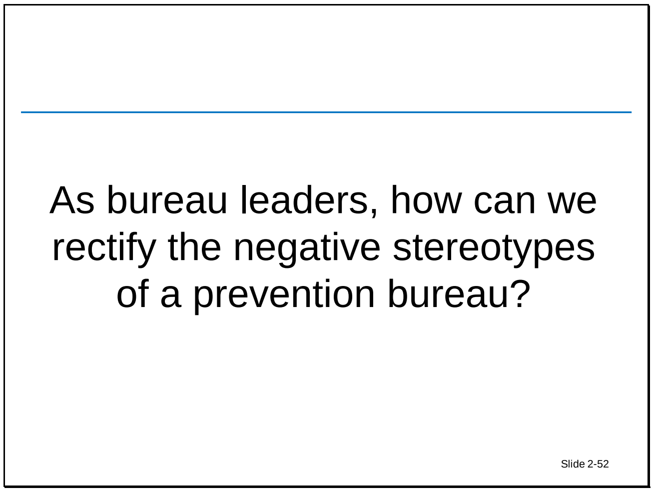
O. Another key responsibility of the new bureau leader is to attempt the facilitation of cooperative relationships between all groups (subcultures, per se) that comprise the organization.

P. An integral component needed to facilitate this task is finding out what the other groups know about the composition, goals, duties, actions and impact made by the fire prevention/risk-reduction bureau.

Q. Unfortunately, in some departments there remain some long-standing stigmas or stereotypes about the composition of a prevention bureau and its function.

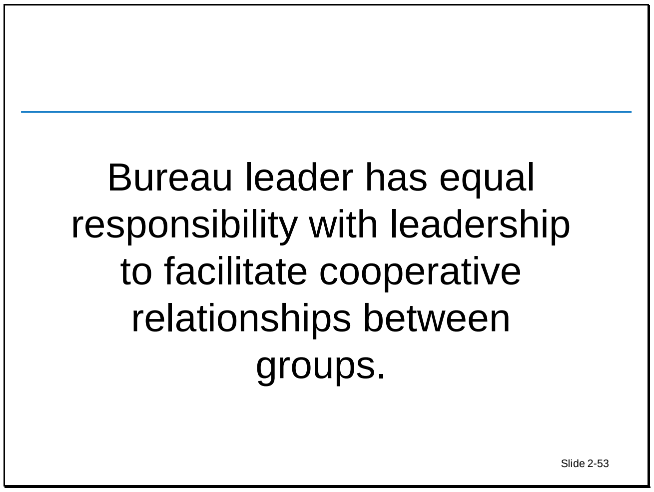


Historically speaking, what are some of the stereotypes that may have portrayed a prevention bureau as a less than desirable place to serve?



As bureau leaders, how can we rectify the negative stereotypes of a prevention bureau?

X. FACILITATING COOPERATIVE RELATIONSHIPS

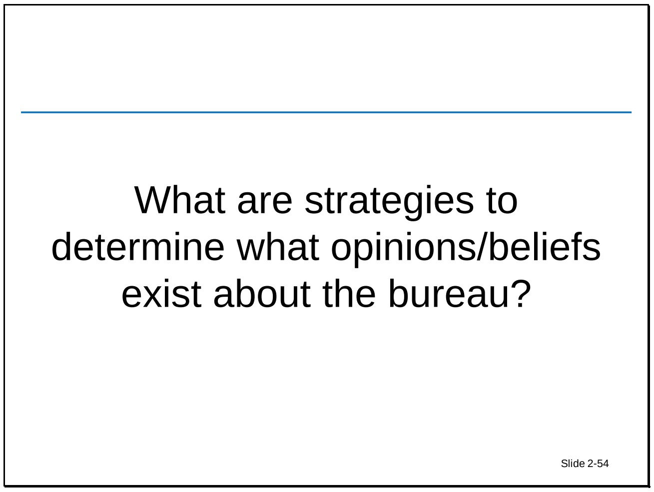


Bureau leader has equal responsibility with leadership to facilitate cooperative relationships between groups.

Slide 2-53

A. The leader of a fire prevention/risk-reduction bureau has an equal responsibility with executive leadership to facilitate cooperative relationships between the groups that comprise the department at large.

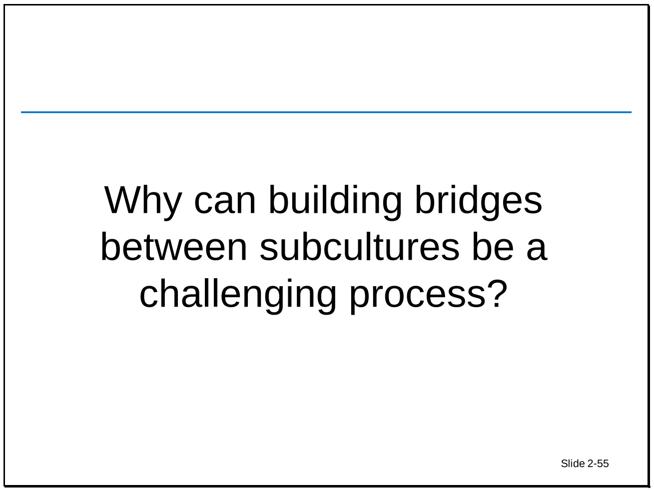
B. Once empowered with an understanding of what the department knows and/or believes about the prevention bureau, a strategy can be built for enhancing relationships.



What are strategies to determine what opinions/beliefs exist about the bureau?

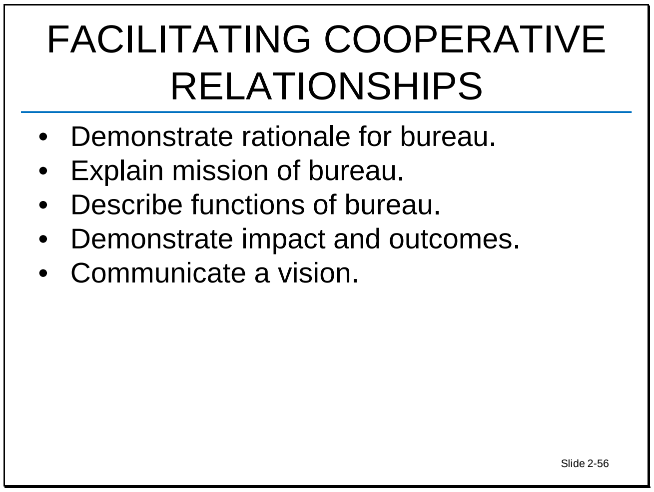
Slide 2-54

C. In some cases, the bureau leader may need to build a bridge of support between his or her unit and other groups.



Why can building bridges between subcultures be a challenging process?

D. An important starting point for building support between groups is the bureau leader's ability to articulate the following information to others:



FACILITATING COOPERATIVE RELATIONSHIPS

- Demonstrate rationale for bureau.
- Explain mission of bureau.
- Describe functions of bureau.
- Demonstrate impact and outcomes.
- Communicate a vision.

1. Demonstrate the rationale for the bureau.

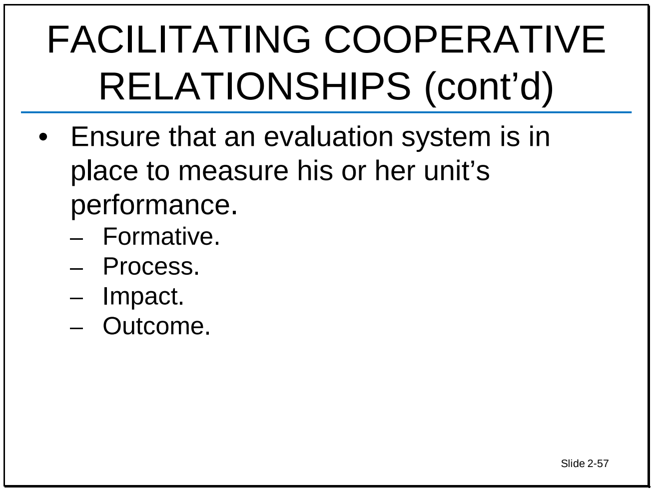
2. Explain the mission of the bureau.

3. Describe all functions of the bureau.

4. Demonstrate the impact and outcomes created by the bureau that support the overall mission of the department at large.

5. Communicate a vision of what outcomes could be facilitated by departmentwide synergy in support of fire prevention/risk reduction.

E. A fallacy often heard from those who have not yet embraced fire prevention/risk reduction is that it cannot be measured in tangible increments. That stereotype is an absolute myth.



FACILITATING COOPERATIVE RELATIONSHIPS (cont'd)

- Ensure that an evaluation system is in place to measure his or her unit's performance.
  - Formative.
  - Process.
  - Impact.
  - Outcome.

Slide 2-57

F. One of the first tasks a new bureau leader must complete is ensuring that a system is in place to measure his or her unit's performance. This evaluation is performed in four stages.

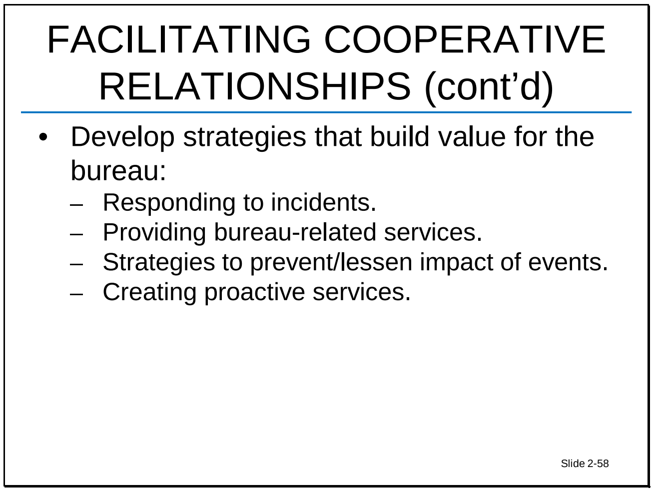
1. Formative evaluation should be utilized to measure the development of programs.

2. Process evaluation should track the outreach of bureau programs and explore the delivery performance of staff members.

3. Impact evaluation should measure changes in knowledge, human behaviors, and specific conditions brought about by prevention/risk-reduction programs.

4. Outcome evaluation should measure the long-term effects of programs by indicating if there has been a reduction of incidents, property loss, injuries and deaths due to specific (or a combination of) prevention/risk-reduction programs.

G. In addition to explaining the impact and outcomes created by the bureau, the leader and his or her staff should develop strategies that build value for their bureau among the other groups.



FACILITATING COOPERATIVE RELATIONSHIPS (cont'd)

- Develop strategies that build value for the bureau:
  - Responding to incidents.
  - Providing bureau-related services.
  - Strategies to prevent/lessen impact of events.
  - Creating proactive services.

H. Examples of strategies that build value may include but are not limited to:

1. Responding to incidents and assisting with response functions as needed.

2. Responding to incidents and providing bureau-related services (occupant support, investigations, code issue exploration).

3. Developing strategies that prevent or lessen the impact of incidents, which in turn enhances firefighter safety.

4. Creating proactive services that help lessen the frequency of nuisance responses (false alarms abatement, youth firesetting prevention/ intervention, etc.).

FACILITATING COOPERATIVE RELATIONSHIPS (cont'd)

- Identify and seek help from Bridge People.
- Strong interpersonal and communication skills.
- Promote collaboration/Build relationships.
- Understand beliefs, desires, wants and values of subgroups.

I. Identify and seek help from Bridge People.

1. Bridge People are able to span the gap between subcultures and the department at large, facilitating information exchange and dialogue.

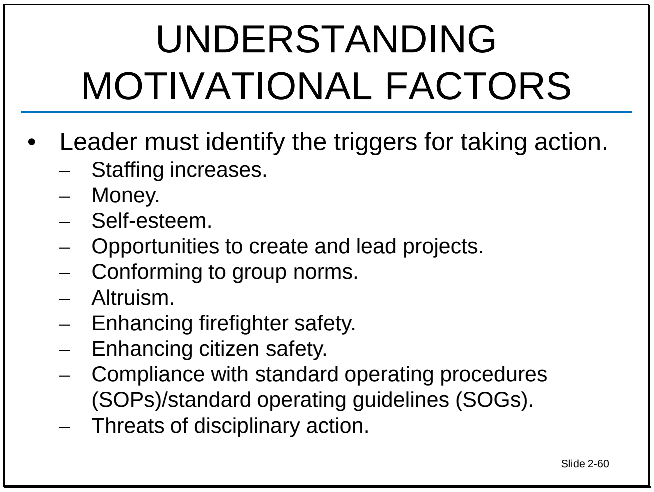
2. The traits of Bridge People include:

   a. Strong interpersonal and communication skills.

   b. Ability to promote collaboration and build relationships among diverse groups of people.

   c. Possess a good understanding of the various beliefs, desires, wants and values of subgroups.

XI. UNDERSTANDING MOTIVATIONAL FACTORS



UNDERSTANDING MOTIVATIONAL FACTORS

- Leader must identify the triggers for taking action.
  - Staffing increases.
  - Money.
  - Self-esteem.
  - Opportunities to create and lead projects.
  - Conforming to group norms.
  - Altruism.
  - Enhancing firefighter safety.
  - Enhancing citizen safety.
  - Compliance with standard operating procedures (SOPs)/standard operating guidelines (SOGs).
  - Threats of disciplinary action.

A. The bureau leader must understand how to motivate people, both within his or her bureau and the organization at large, into taking productive action in support of fire prevention/risk reduction.

B. There needs to be a sense of urgency created for people to take such action.

C. The leader must identify the triggers for taking action. These triggers may include, but are not limited to:

   1. Staffing increases.

   2. Money.

   3. Self-esteem.

   4. Opportunities to create and lead projects.

   5. Conforming to group norms.

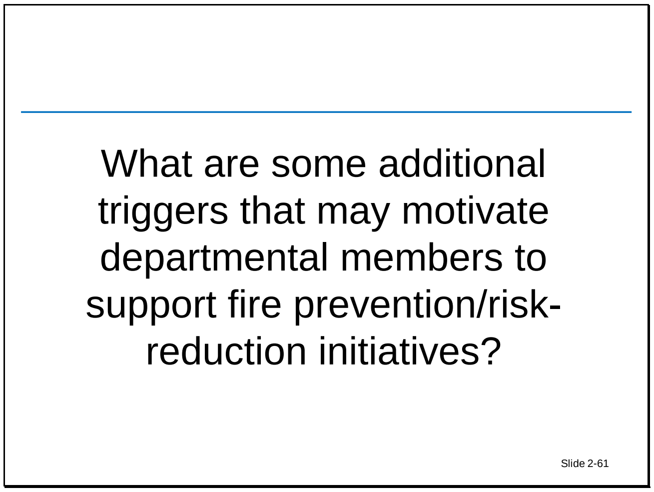
   6. Altruism.

7. Enhancing firefighter safety.

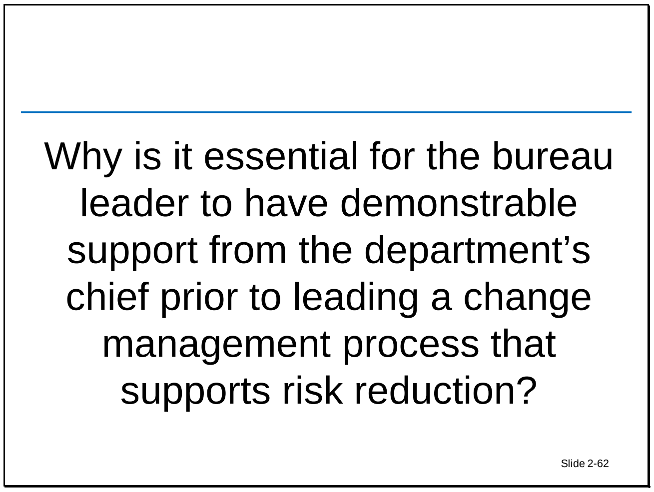
8. Enhancing citizen safety.

9. Compliance with SOPs/SOGs.

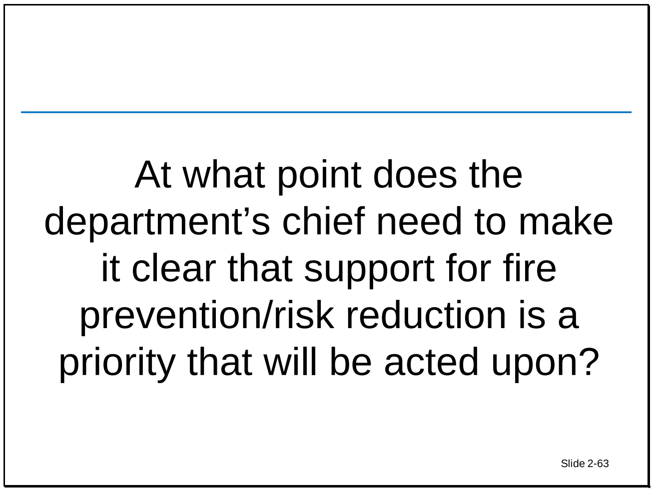
10. Threats of disciplinary action.



What are some additional triggers that may motivate departmental members to support fire prevention/risk-reduction initiatives?



Why is it essential for the bureau leader to have demonstrable support from the department's chief prior to leading a change management process that supports risk reduction?



At what point does the department's chief need to make it clear that support for fire prevention/risk reduction is a priority that will be acted upon?

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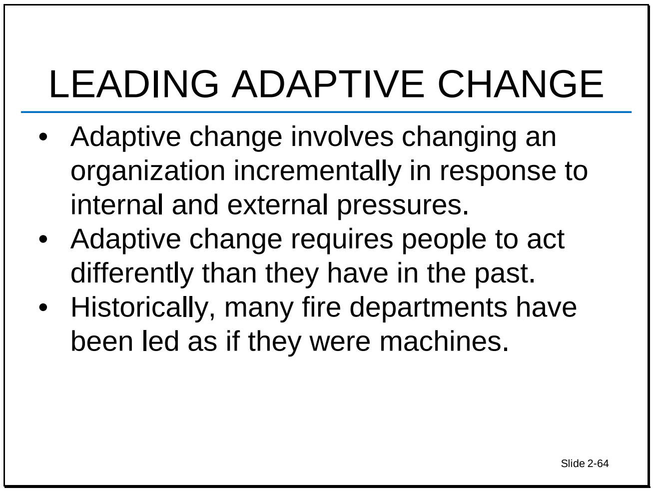
XII. LEADING ADAPTIVE CHANGE



LEADING ADAPTIVE CHANGE

- Adaptive change involves changing an organization incrementally in response to internal and external pressures.
- Adaptive change requires people to act differently than they have in the past.
- Historically, many fire departments have been led as if they were machines.

Slide 2-64

A. Adaptive change involves changing an organization incrementally in response to internal and external pressures.

B. Adaptive change requires people to act differently than they have in the past.

C. Acting differently means people need to adapt to the new behavior being suggested or mandated.

D. At present, organizations that have truly institutionalized fire prevention/risk reduction as a core value are still somewhat of a minority in our industry.

E. We learned this is changing, but there is still much work to be done.

F. Obviously, having to resort to disciplinary measures that force department personnel to support/participate in fire prevention/risk-reduction initiatives is a less than desirable strategy.

G. Having to resort to such drastic measures may, in part, be the result of lacking or dated leadership strategies.

H. Historically, many organizations (including fire departments) have been led as if they were machines.

 1. People serving the organization may have been treated by management as mindless parts of the machine.

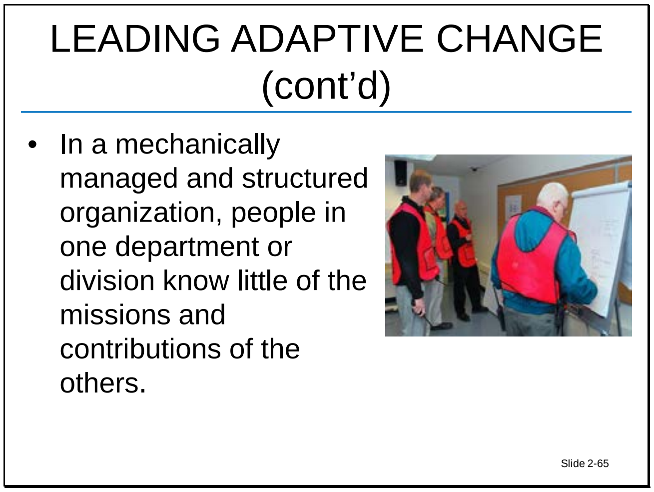
 2. This style of leadership fails to place value on its employee’s creative abilities.

 3. Failing to utilize the latent potential of its workforce, an organization may suffer from a lack of commitment from employees.

 4. When the latent potential of people is not cultivated and put to productive use by the organization’s official leaders, employee talent is left to stagnate or be utilized by another subgroup to support their special interests.

I. Leaders who treat people like mindless machines, or simply just fail to lead in the first place, often realize too late the necessity to lead their organization in a dynamic manner.

J. Sadly, many leaders only realize their mistake once a combination of subcultures have become entrenched and are effectively undermining the leader’s strategic plans and goals or creating their own.



LEADING ADAPTIVE CHANGE (cont’d)

- In a mechanically managed and structured organization, people in one department or division know little of the missions and contributions of the others.

Slide 2-65

K. In a mechanically managed and structured organization, people in one department or division know little of the missions and contributions of the others.

  1. People don’t realize the importance of understanding how one division supports the others toward achieving the overall goals of the organization at large.

  2. They see only the results of what their specialty area is responsible for.

  3. Unfortunately, things that need to be coordinated among divisions may slip through the cracks.

  4. Problems, as well as opportunities, go unnoticed.

  5. Blame is placed on others.

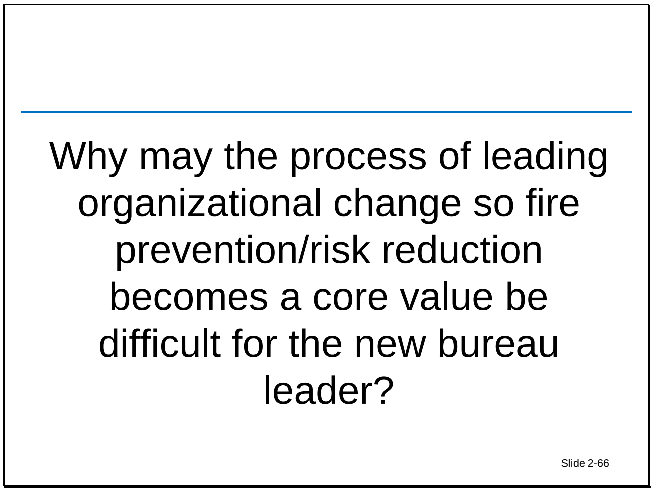
  6. We/They conflicts develop.

  7. Teamwork is likely to be poor.

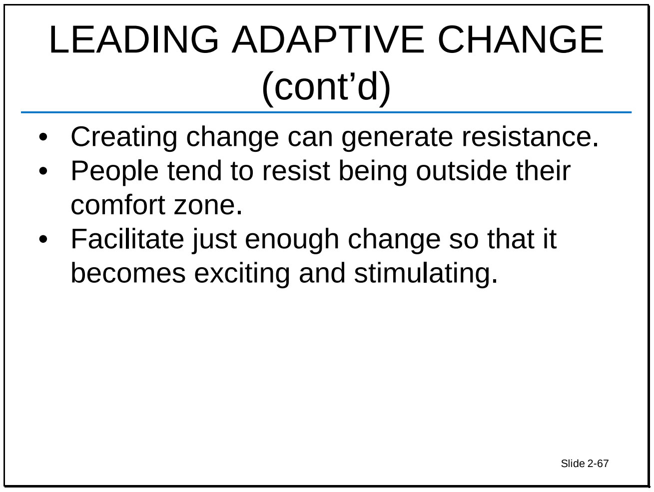
L. The concept of mechanical organizations can be likened to a fire department that has segregated itself into groups or divisions that fail to communicate and interact with one another.

M. This paradigm can be rectified through the use of contemporary leadership strategies that facilitate change among the organization’s overall culture.

N. Facilitating organizational change so fire prevention/risk reduction becomes a core value can be one of the most challenging yet rewarding tasks performed by a fire prevention/risk-reduction bureau leader.



Why may the process of leading organizational change so fire prevention/risk reduction becomes a core value be difficult for the new bureau leader?



LEADING ADAPTIVE CHANGE (cont'd)

- Creating change can generate resistance.
- People tend to resist being outside their comfort zone.
- Facilitate just enough change so that it becomes exciting and stimulating.

O. Creating change can generate resistance because it challenges the status quo and often produces fear of the unknown.

P. In general, people tend to resist being outside their comfort zone.

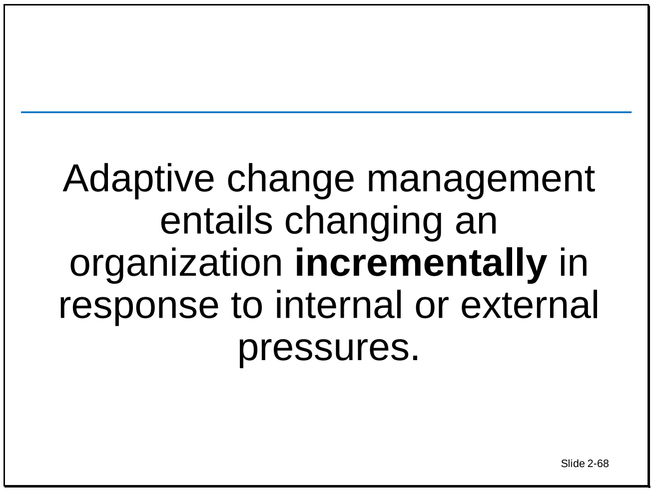
   1. For departments that have historically not utilized comprehensive fire prevention/risk-reduction strategies that involved the organization at large, launching full-force into a major initiative without careful planning may create potentially disastrous conditions.

   2. In this type of situation, the process of change management must be carefully orchestrated.

Q. The fire prevention/risk-reduction bureau, with support from executive leadership, should facilitate just enough change so that it becomes exciting and stimulating.

R. The leader needs to understand the balance that must be created (how far, how fast, how much).

S. One strategy is adaptive change management.



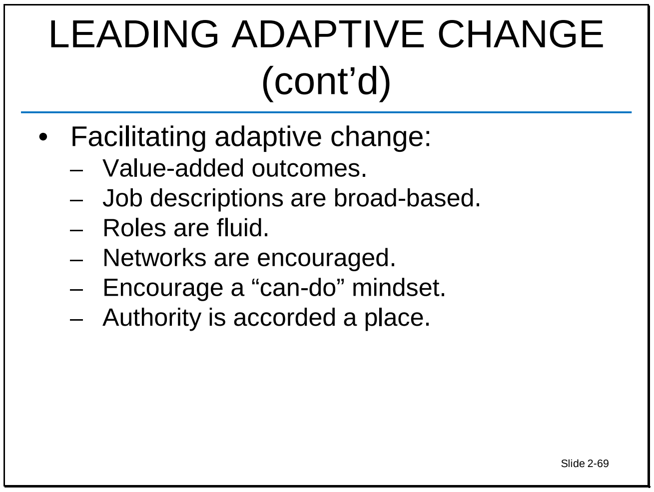
Adaptive change management entails changing an organization **incrementally** in response to internal or external pressures.

T. Adaptive change management entails changing an organization **incrementally** in response to internal or external pressures.

U. In the case of fire prevention/risk reduction, pressures for change could be created by:

1. Departmental leadership.
2. City administration.
3. Political leaders.
4. Special interest groups.
5. Community at large.

V. Adaptive change management is a proven, successful way to facilitate organizational change so the strengths of members are utilized in a productive manner.



LEADING ADAPTIVE CHANGE (cont'd)

- Facilitating adaptive change:
  - Value-added outcomes.
  - Job descriptions are broad-based.
  - Roles are fluid.
  - Networks are encouraged.
  - Encourage a "can-do" mindset.
  - Authority is accorded a place.

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W. When facilitating adaptive change, the following principles are utilized:

1. Attention is focused on value-added outcomes.

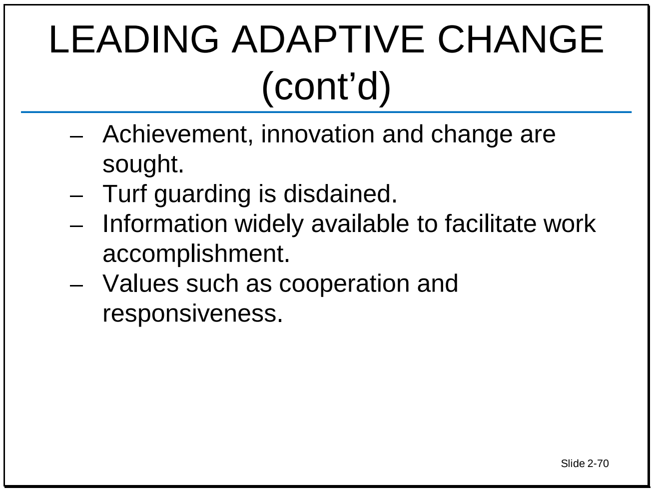
2. Job descriptions are intentionally broad-based to allow for flexibility.

3. Roles are fluid. Within limits, people are expected to substitute for one another instead of fulfill role expectations that are narrow and rigid.

4. Contacts are open and networks are encouraged to form instead of communication always being channeled by higher management.

5. Policies encourage people to take a "can-do" mindset to find solutions instead of policies that are mostly oriented toward control (what people can't do).

6. Authority is accorded a place, but reliance on it is played down. Greater influence is accorded to people who demonstrate an ability to add value.



LEADING ADAPTIVE CHANGE (cont'd)

- Achievement, innovation and change are sought.
- Turf guarding is disdained.
- Information widely available to facilitate work accomplishment.
- Values such as cooperation and responsiveness.

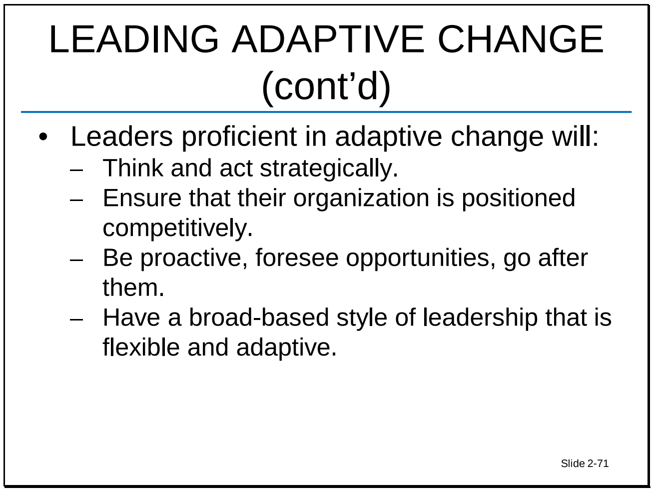
Slide 2-70

7. Achievement, innovation and change are sought and rewarded.

8. Turf guarding is disdained. Cooperation is a highly regarded value in the organization and is far more easily gained. This replaces antiquated philosophies where cooperation among departments was subject to a lot of formalization and clearances.

9. Information is widely available to facilitate work accomplishment and permit more opportunities for more people to add value to operations. There is minimal tolerance for those who withhold information to protect their turf.

10. Values such as cooperation and responsiveness, along with treating other units as internal "customers," replace traditional values such as unit loyalty and obedience, to the extent that they stifle initiative and hamper teamwork across departments.



LEADING ADAPTIVE CHANGE (cont'd)

- Leaders proficient in adaptive change will:
  - Think and act strategically.
  - Ensure that their organization is positioned competitively.
  - Be proactive, foresee opportunities, go after them.
  - Have a broad-based style of leadership that is flexible and adaptive.

Slide 2-71

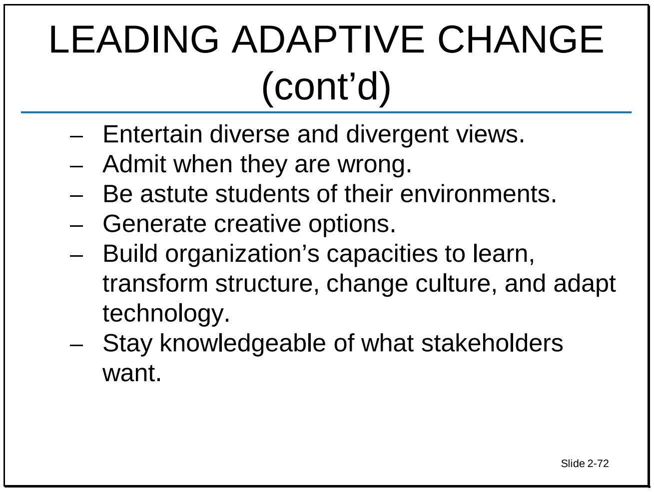
X. Leaders who are proficient in adaptive change management will exhibit some of the following traits:

1. Think and act to exert strategic influence on their environments.

2. Act to ensure that their organizations are well-positioned competitively.

3. Are proactive, foresee opportunities, and put the resources in place to go after them.

4. Employ a broad-based style of leadership that enables them to be personally more flexible and adaptive.



LEADING ADAPTIVE CHANGE (cont'd)

- Entertain diverse and divergent views.
- Admit when they are wrong.
- Be astute students of their environments.
- Generate creative options.
- Build organization's capacities to learn, transform structure, change culture, and adapt technology.
- Stay knowledgeable of what stakeholders want.

5. Entertain diverse and divergent views, when possible, before making major decisions.

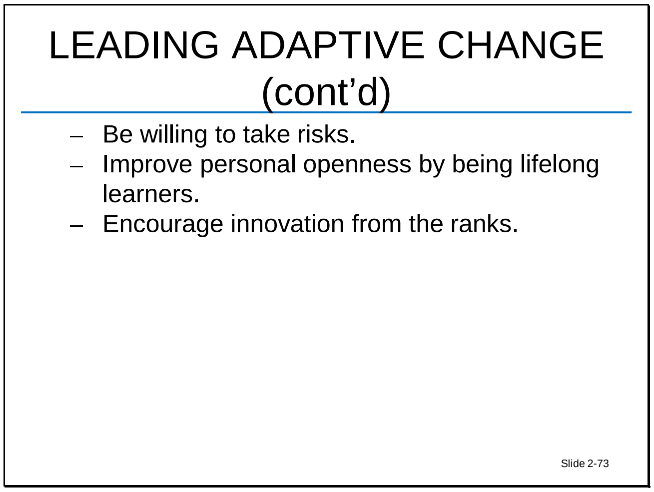
6. Can admit when they are wrong and alter or abandon a nonproductive course of action.

7. Are astute students of their environments.

8. Can generate creative options for action.

9. Build their organization's capacities to learn, transform structure, change culture, and adapt technology.

10. Stay knowledgeable of what their stakeholders want.



LEADING ADAPTIVE CHANGE (cont'd)

- Be willing to take risks.
- Improve personal openness by being lifelong learners.
- Encourage innovation from the ranks.

11. Are willing to experiment and take risks.

12. Strive to improve their personal openness to new ideas and stay abreast by being lifelong learners.

13. Encourage innovation from the ranks of their organizations.

Y. These qualities are not new in leadership. What is new is the extraordinary pressure leaders face to assist their organizations to adapt successfully at a time when the traditional (all too comfortable) models of leadership no longer work.

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ACTIVITY 2.4

Facilitating Adaptive Change

Purpose

Evaluate how organizational subcultures may influence the development of risk-reduction initiatives and propose strategies for reaching successful outcomes.

Directions

1. This is a small group activity that requires you to evaluate how organizational subcultures may influence the outcome of a meeting over a proposed home safety visitation program.

2. Read the description of the BFD and its proposed home visitation program. You are allotted 10 minutes for individual reading.

3. Next, read the brief descriptions of the staff members who are going to participate in the meeting. You are allotted 10 minutes for individual reading.

4. Within your small group, please respond to the following directives:

    a. Identify what your group believes to be the subcultures that are present within the organization. List the subcultures on an easel pad.

    b. Define what values might be promoted/defended by the leaders of each subculture. List the values on the easel pad.

    c. Describe potential behaviors that could be displayed as the leaders act on behalf of their respective subcultures. Explain the rationale for each potential behavior (i.e., “Why would they do that?”).

    d. Explain how generational differences may impact the interpersonal dynamics that could be displayed at the meeting.

    e. If the meeting goes as directed by the chief, what does your group think the outcome will be?

    f. In your group’s opinion, what actions should the fire marshal take in advance of this proposed meeting so it does not become a disaster?

    g. Evaluate the motivational factors the fire marshal should consider that may influence each subculture to willingly participate in the proposed risk-reduction initiative (i.e., How can the process of adaptive change management be utilized?).

  h. Explain how she could facilitate an appeal for each subculture to participate in the program (i.e., What's in it for them?).

5. You are allotted 45 minutes for the substeps listed above.

6. You are allotted 15 minutes for review of the summaries created by the groups.

7. You are allotted 10 minutes for activity debriefing.

ACTIVITY 2.4 (cont'd)

Case Study — Breezewood

The BFD is a combination department located in a densely populated suburban section of the Midwestern U.S. The department is comprised of 120 career staff members and 50 active volunteers. There are three 24-hour shifts, each led by a battalion chief. There is a relief battalion chief who works the Kelly shifts of the other chiefs. A captain commands each firehouse. The BFD has a fire prevention/risk-reduction bureau comprised of a fire marshal (team leader), three inspectors/investigators, a building plans reviewer and a public educator. All nonmanagement department personnel are members of a labor organization. This includes the inspectors/investigators, building plans reviewer and public educator. The volunteer cadre is led by a volunteer captain with additional oversight from an advisory board.

Breezewood, founded in 1796, is an aging community with strong ties to the manufacturing industry. Many generations have called Breezewood home and community spirit remains strong.

The economic recession was hard on Breezewood and its labor force. While no layoffs occurred, there was a hiring freeze imposed by city government, and employees went without raises for five years. The city offered a retirement incentive for Breezewood employees, and 11 members of the fire department retired. Their positions have yet to be filled. The former fire marshal was last among the group of 11 BFD staff to accept the retirement incentive.

Breezewood residents felt the effects of economic recession as well. Unemployment rates climbed to record levels and people struggled to make ends meet; some resorted to desperate, sometimes unsafe means to save money on utility costs. These conditions resulted in an unprecedented rise in the number of residential structure fires, related injuries and multiple deaths.

After a fire claimed the lives of four children and their parents, the local newspaper began seeking information on what the BFD was doing to prevent residential fires. The reporter was told by the fire chief that the department has a public educator who teaches fire safety in all the child care centers and schools, a plans reviewer who ensures that buildings are built to code, and fire inspectors/investigators who inspect buildings for code violations and investigate fires.

The newspaper next turned to the Breezewood mayor for answers about fire safety in residential properties. Of course, the mayor called the city administrator and the city administrator contacted the fire chief. Ultimately, it was suggested that the fire department begin visiting homes in Breezewood to address fire safety. This suggestion was spawned by a city council member who has a very successful business in a nearby city. The council member, in partnership with another business owner, pledged $25,000 that the BFD could utilize for this program.

Since the fire marshal had just been promoted six months ago from inspector/investigator to her current position, the chief thought this would be a good way for the fire marshal to "cut her teeth" and facilitate departmentwide participation in fire prevention/risk reduction — something the former fire marshal had vehemently resisted. The chief directed the fire marshal to create a home safety survey with a goal of visiting all 12,000 homes in Breezewood during the next year.

The fire marshal met with her staff to discuss the directive. All agreed that the bureau could not accomplish the task independently and would have to seek support from the operations division. Everyone liked the idea because it would finally get operations working with prevention — something the former fire marshal had never allowed under his command.

The public educator eagerly volunteered to develop all program materials. The plans reviewer offered to create a visitation strategy based upon demographic data obtained from the U.S. Census Bureau. Each of the inspectors/investigators said they would train a shift of firefighters on how to conduct nonbinding home surveys, evaluate the operation/condition of smoke alarms, and install alarms in appropriate locations.

The fire marshal was proud of how her bureau came together to organize the residential visitation program. This would be the first time that the operations division would be joining the fire prevention/risk-reduction bureau for a cooperative program.

The fire marshal eagerly reported to the chief that her bureau would be ready to begin working with operations within a month. While the chief was pleased, he said that the operations supervisors were concerned that their shifts might not have enough time to work this program into their busy schedules. He also advised that both the union president and leaders of the volunteer cadre had contacted him asking questions about the program. Both groups are wondering why the fire prevention/risk-reduction bureau needs help.

Historically, the union and volunteer groups have experienced the typical tensions that often arise between organized labor and volunteer groups. Both groups are very politically active. The union regularly endorses select political candidates for Council. Three of the five current council members were endorsed by the group. The volunteers are regularly praised by the Council for saving the city millions of dollars in staffing costs. Both the union and volunteer groups have an excellent base of financial resources thanks to aggressive fundraising.

The chief directed the fire marshal to call a meeting of her bureau staff, the four battalion chiefs, union representatives, and the volunteer leadership to work out the logistics for the program. He sent an email to all representatives stating his support for the program and directing them to create a plan for how the program would function. The fire prevention/risk-reduction bureau leader only attends senior staff meetings of the BFD when operations has questions pertaining to the bureau. This is the arrangement the previous fire marshal wanted. The chief expressed support for the program (in his email) and told his staff that he was confident they could work out the details of the program and get things up and running within a month. The chief also advised that he would check in with staff on the day of the meeting to review their plan of action.

Profile of Those Who Will Attend the Meeting

Fire Chief

He is 55 years old and rose through the ranks to chief (a position he has held for eight years). He has a good relationship with city administration and is planning on concluding his career with the department in five years. While his relationship with the labor organization is usually cooperative, there has been some strife throughout the economic challenges because firefighter positions have not been filled and the overtime budget was eliminated. The chief thinks the idea of doing a residential visitation program is a good one. Privately, he is somewhat embarrassed that he did not think of doing it. However, he's got his hands full trying to get staffing levels restored, fund the repair of aging apparatus, and follow the Council's directive to figure out how to generate funding through EMS. The chief hates spending time in meetings. He can sometimes be blunt when frustrated about a situation he feels should be easily solved. He expects his staff to be able to work things out cooperatively and be productive. The chief has confidence that the new fire prevention/risk-reduction bureau leader will simply follow his directive and make this project happen. While the chief has decided not to participate in the bulk of the meeting, he is considering stopping in near the end of the meeting to see how things are progressing.

Fire Marshal

The fire marshal is 37 years old, just received a bachelor's degree in fire science, and is elated to be the new fire marshal. She is ready to take the fire prevention/risk-reduction bureau to new heights. She looks upon the directive for a residential visitation program as an exciting challenge and is proud of her bureau staff for stepping up to help develop/manage the program. While she had some friction with response personnel when she was an inspector/investigator, she has had no interaction with the labor organization since becoming fire marshal. She firmly believes the department will eagerly conduct the residential surveys because it will demonstrate productivity in the wake of a hiring freeze and prove the need for restoring firefighter positions. She is technology savvy and prefers to communicate electronically because it saves time and can minimize having to spend "face time" with people. She does not like controversy and aggressive people sometimes intimidate her into questioning her decisions. She has not, nor plans, to reveal these beliefs to anyone else.

Public Educator

She is 28 years old and moved into the public educator position a year ago from a firefighter position. She replaced a civilian employee who left the department to start a family. She pursued the public educator position because she is very energetic and likes to help facilitate a good quality of life for citizens of Breezewood, where she has lived all her life. She agrees with the fire marshal's opinion that operations staff will embrace the idea of going door-to-door and visiting with Breezewood residents. She is excited about doing the right thing for people. Her personality is always upbeat and she is extremely technology savvy.

Building Plans Reviewer

He is 45 years old, has been the BFD building plans reviewer for 15 years, and is a staunch advocate of integrating technology into fire prevention/risk-reduction initiatives. He has an associate degree in planning and has attended every NFA course on inspections/building codes.

He volunteered to help organize the residential visitation program because he understands the value of contrasting demographic information with incident response data to determine where prevention interventions can be applied in the most strategic manner. He likes the new fire marshal and wants to see her succeed. He was appalled by the former fire marshal's attitude that a prevention/risk-reduction bureau should be totally isolated from the operations section of the fire department. He is eager to help this new program succeed and will offer any support he can to the effort.

Inspector/Investigator One

He is 50 years old and a 30-year veteran of the BFD. He spent 10 years as a line firefighter and has not forgotten what it was like to be in the operations division. Everyone in the operations division respects him for his knowledge as an inspector/investigator. He supports the fire chief's (and fire marshal's) directive to begin a residential visitation program. Privately, he believes it is long overdue. He was the union president for three years prior to the current leader. The opinions of the labor organization are important to him. He understands the concerns about firefighter staffing levels and has volunteered to help facilitate the residential visitation program because he believes it will be a win/win for everyone. Most importantly, he believes it is the right thing to do for the people of Breezewood. As a sidebar, he wishes people could just talk face-to-face in lieu of using technology when collaborating on fire department business.

Inspector/Investigator Two

He is 25 years old and a six-month member of the fire prevention/risk-reduction bureau. He is ecstatic about graduating from the police academy and having the authority to enforce arson laws. He views conducting building surveys as a necessary part of the job but **lives** for arson investigations and pursuing criminals so he can utilize his law enforcement training to its fullest potential. He does not oppose helping with the residential visitation program because he believes in doing what is right for the community, and he likes the fire marshal. Some of his friends in the department are totally opposed to the idea of doing residential surveys. This situation is causing him angst because he can empathize with each interest group.

Inspector/Investigator Three

He is 33 years old, an 11-year veteran of the department, and an advocate for any initiative pertinent to fire prevention/risk reduction. He grew up with the BFD because his late father was a battalion chief. His dad was very well-respected and advocated for fire prevention/risk reduction. His father told him that his passion for prevention stemmed from a fire that claimed the lives of eight people the third year he was on the job. Investigator Three was the investigator on-duty who responded to the fire that recently took the lives of four children and their parents. The fire was caused by a portable space heater placed too close to a bed. He took a dying statement from the mother of the children stating that she did not mean to start a fire with the heater and that the family was only trying to save money in heating costs. He is willing to do whatever it takes to ensure that this situation never happens again in Breezewood.

Battalion Chief One

She is 32 years old, possesses a bachelor's degree in management, and desires to be chief of the BFD in due time. She is usually supportive of the fire chief's directives and believes he is a very effective as a leader of the first battalion. She has a good relationship with the other battalion chiefs. The other two chiefs believe she will make a good chief when the current chief retires. She possesses good people skills and has a proven record of getting things done cooperatively with other people.

Battalion Chief Two

He is 45 years old and a very response-oriented leader. He has been a driving force behind the establishment of several specialized tactical units within the BFD, most notably the hazardous materials team and Urban Search and Rescue (US&R) group. Keeping these teams trained takes a lot of effort on his behalf, but he loves it. Many members of his shift help with staff training and maintaining the specialized equipment. His next priority is to create a swift-water rescue team. He already has a waiting list of department personnel eager to join this new and likely elite team. Fire prevention and risk reduction has never appeared on this chief's radar screen. He has a very aggressive personality and believes the fire prevention bureau should do their job and take care of the residential visitation program. His shift feels the same way. He believes the department could be sued if units are too far away from their stations doing prevention activities and a delay in emergency service is experienced. Privately, he grimaces at the thought of interacting with the public because he is not comfortable with such situations. Chief Two believes he and his shift solve emergencies, not social issues.

Battalion Chief Three

He is 57 years old with three years left in a 30-year career at the BFD. The thought of listening to griping from his shift staff about "having to do someone else's job again" makes what little hair he has stand up on end. He believes he has a good shift that does its job when necessary. Many of his shift members are personal friends who have worked for him during his entire 17-year tenure as a battalion chief. He hears many of them ask: "What does the fire prevention bureau do anyway?". Chief Three gets along well with the other supervisors and, in general, with everyone in the department. While he understands the value of fire prevention/risk reduction, he privately would prefer not to have to lead his staff on this project. However, his personal value system will not let him openly oppose the directive. Conversely, he is not interested in championing the effort either. His shift is very skeptical of the idea of getting out of the firehouse and working in neighborhoods. Chief Three disdains meetings and technology.

Relief Battalion Chief

He is 40 years old with a master's degree in public administration. He enjoys rotating among the three shifts because he has interaction with everyone in the department. He really doesn't have a firm opinion about the residential visitation program, but he understands that the prospect of it happening has created an absolute buzz in the department. (This relief battalion chief enjoys stirring the pot and watching what happens next.) He believes the home visitation program has the potential of dividing the subgroups in the department, and, while he does not want it to fail, he believes it will make for an exciting situation. His innate personality is to listen first, consider options, and then make a decision. He believes the fire prevention/risk-reduction bureau does not have a good reputation among the department at large. He believes the feeling stems from hard feelings over the way the former fire marshal viewed suppression forces. He routinely referred to suppression personnel as "knuckle-dragging Neanderthals" who lacked the brains or ability to work in prevention. Personally, this relief battalion chief was glad to see the former fire marshal retire and hopes the new one succeeds as a leader.

Union President

He is 46 years old, has 25 years with the department, and has been union president for 11 years. He has a bachelor's degree in business administration and operates a successful landscaping business in addition to his fire department career. He is currently an engine company operator. He is proud of the wage and benefit accomplishments he helped facilitate early on as union president. He worked collaboratively with the current chief to help save firefighter jobs during the economic recession. In turn, he has been expecting city government to allow the chief to hire additional firefighters so pre-recession staffing levels can be resumed. So far, that is yet to happen, and he is very frustrated. Fueling his frustration is a mounting effort among union members who want to "send the city a message" by not supporting any new programs because firefighter positions have not been restored or overtime opportunities resumed. The union wants the majority of the money for the program to be utilized to pay overtime for senior firefighters to perform the work. The past several years have been tough, and he is privately thinking about taking his retirement option to spend more time on his successful business and enjoy his family.

Chief Union Steward

She is 29 years old, has been employed by the BFD for eight years, and is a rising star in the labor organization. She has great aspirations to assume the presidency of the organization when the current union president decides to step down. Because of her social skills and ability to communicate well with peers, the next generation of labor is looking to her for leadership. She has received advice from the current leadership of the labor organization to be a team player with the fire department administration while serving as an advocate for members of the union. However, there is an emerging culture of peers who are encouraging her to be more assertive in representing the interests of unionized fire department employees. More specifically, they want her to resist the implementation of any new programs until staffing levels are restored to pre-recession numbers and overtime pay is reinstituted so minimum staffing levels are maintained.

Concerns that have been expressed by firefighters include: (1) Going into people's homes may pose a safety concern for firefighters. (2) What about the liability of drilling holes in people's ceilings? (3) Firefighters are not adequately trained to conduct home surveys. She likes and respects the current union president; however, she desperately wants to succeed him and will take assertive action to prove herself to peers. She is extremely technology savvy and depends on it to communicate with her constituents (which she does frequently during important meetings). Her constituency has suggested that she remind the members of the fire prevention bureau who are union members of their affiliation with the labor group and the loyalty that is required. She has also been told by influential peers that she should oppose the volunteers doing a program for free when the labor organization is trying to get staffing levels restored.

Volunteer Firefighter Captain

He is 48 years old and a 30-year veteran of the BFD cadre of volunteer responders. He has witnessed the changing of fire chiefs and fire marshals. He also experienced the effects of several multifatal fires and their long-lasting effects on the community and department. He works for the county as a building inspector and realizes the value of conducting nonbinding residential surveys to evaluate safety conditions and rectify vulnerabilities. The volunteer cadre is eager to participate in any activity that helps the people of Breezewood. Their goal is to do something productive in service to others, and they are willing to do any activity asked of them willingly and **free of charge**. Over the years, the volunteer captain has experienced the tensions that often arise between career and volunteer staff. While conditions have been stable for the past several years, the prospect of a new, younger union president concerns him. If needed, the captain can be very assertive in support of the cadre of volunteers. The volunteer cadre is urging the captain to suggest that the career staff could drive the volunteers to homes and wait in the rigs while volunteers do the residential surveys. They are also suggesting the captain propose that volunteers be allowed to operate the reserve engines and do the program themselves.

Volunteer Cadre Administrator

She is 35 years old, has been a volunteer with the BFD for 20 years, and served as the volunteer administrative coordinator for three years. She has a bachelor's degree in marketing, operates a successful communications business, and is determined to facilitate cooperation between the career and volunteer groups within the BFD. She is frustrated with the friction between the career and volunteer factions of the fire department. While she enjoys participating in fire department response operations, she realizes the value of helping citizens at the grass roots level. She is determined to assert herself in support of the residential visitation program.

Mother of Fire Victims

She lost two sons in a house fire. The fire was caused by an overloaded power strip that was connected to two portable electric space heaters. She had no idea it was a fire hazard. She wants to thank the firefighters for saving her life and the life of her young daughter. She also wants to relay how important it is for them to go out and visit all city homes so this tragedy will not happen to other people. She has asked the fire chief to take her to a meeting where all the fire supervisors can be thanked and hear her request. He has decided to bring her into the fire department staff meeting when it is near closure.

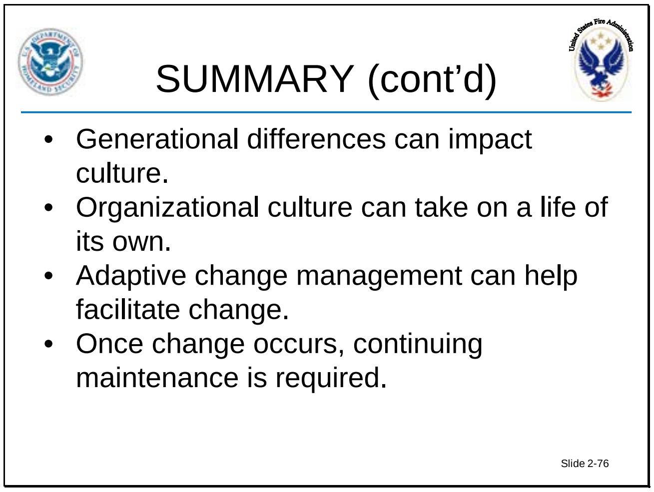
Council Member

He is 32 years old and is two years into his first term in office. He is very excited about new businesses coming to Breezewood and that the tax base is increasing. He feels very strongly that the emergency services should be given the resources they need to enhance service levels. His ultimate goal is for community vitality to improve and not backslide. He and a business colleague have pledged the $25,000 to help fund the home visitation program. He is a very vocal person and wants to know why the entire fire department is not out on the streets of Breezewood **all the time** visiting homes and businesses when they are not busy on emergency calls. He has learned that there is friction among the fire department factions over the suggested home visitation program. He wants to address the fire officers, union and volunteer leadership to relay the following messages: He supports the fire department in general; he is very concerned about the loss of life, property and community vitality in Breezewood; he will support restoring fire department staffing **if** all the factions (subcultures) of the organization can get their act together, become organized, and begin home safety surveys; if this task cannot be accomplished, he will vocally oppose restoration of staff, suggest the home visitation program be staffed by the volunteers in the interim, and explore ways to contract with a private emergency services group in a neighboring location. In sum, he wants the BFD to stop bickering and initiate proactive service to constituents. The chief has decided to bring him to the staff meeting to speak his opinion after the mother of the fire victims has spoken. The chief feels this action will help motivate all subgroups within the department to reach a collaborative decision on how the program will function.

XIII. SUMMARY

SUMMARY

- Culture is influenced by assumptions, beliefs, experiences and values.
- Outputs are behaviors.
- Evolves over time.
- Leaders facilitate culture.
- Leader must understand subcultures.



SUMMARY (cont'd)

- Generational differences can impact culture.
- Organizational culture can take on a life of its own.
- Adaptive change management can help facilitate change.
- Once change occurs, continuing maintenance is required.

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UNIT 3:
BUILDING FIRE PREVENTION AND RISK-REDUCTION BUREAU STRENGTH

TERMINAL OBJECTIVE

The students will be able to:

3.1 Assess the job performance requirements (JPRs) of the fire prevention/risk-reduction bureau and recommend technical/interpersonal development opportunities to enhance staff performance.

ENABLING OBJECTIVES

The students will be able to:

3.1 Evaluate the benefits to a bureau whose members maintain current technical proficiencies established by national consensus organizations.

3.2 Describe the JPRs of fire prevention/risk-reduction bureau members.

3.3 Identify gaps between desired and existing knowledge, skills and abilities (KSAs) of team members.

3.4 Identify sources for professional development pertinent to members of the fire prevention/risk-reduction bureau.

3.5 Facilitate methods to enhance interpersonal skills possessed by members of the fire prevention/risk-reduction bureau.

3.6 Develop an action plan for resolving gaps in the KSAs of prevention unit members.

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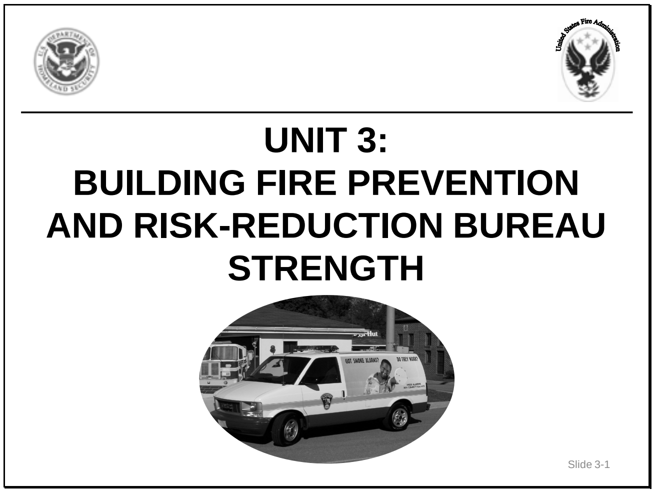
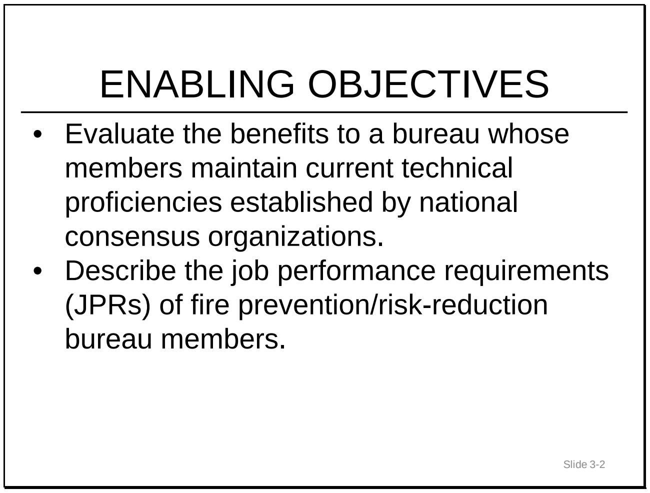
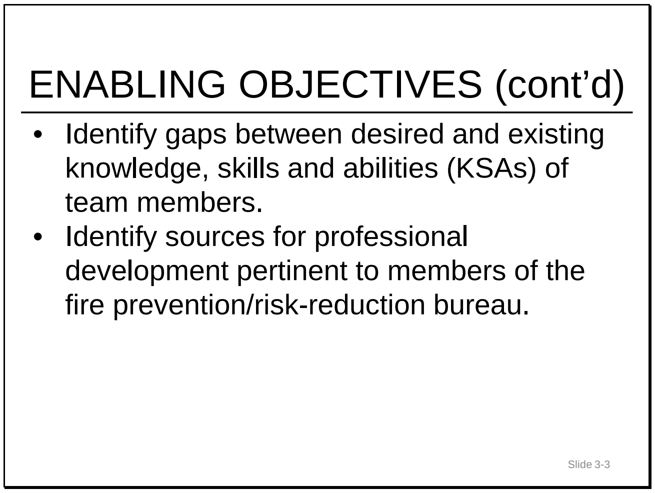


UNIT 3:
BUILDING FIRE PREVENTION AND RISK-REDUCTION BUREAU STRENGTH



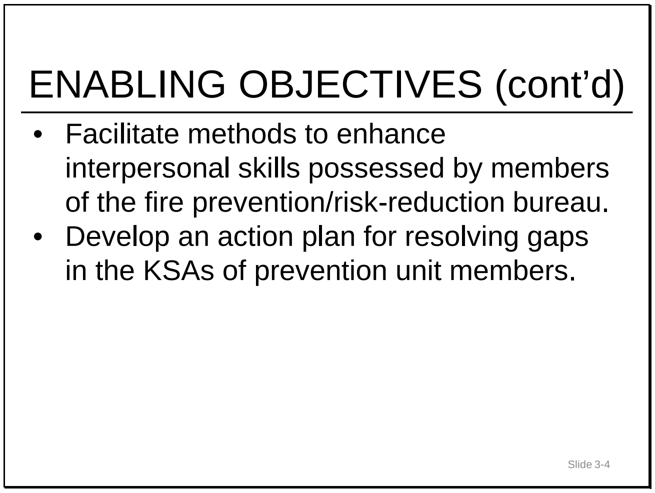
ENABLING OBJECTIVES

- Evaluate the benefits to a bureau whose members maintain current technical proficiencies established by national consensus organizations.
- Describe the job performance requirements (JPRs) of fire prevention/risk-reduction bureau members.



ENABLING OBJECTIVES (cont'd)

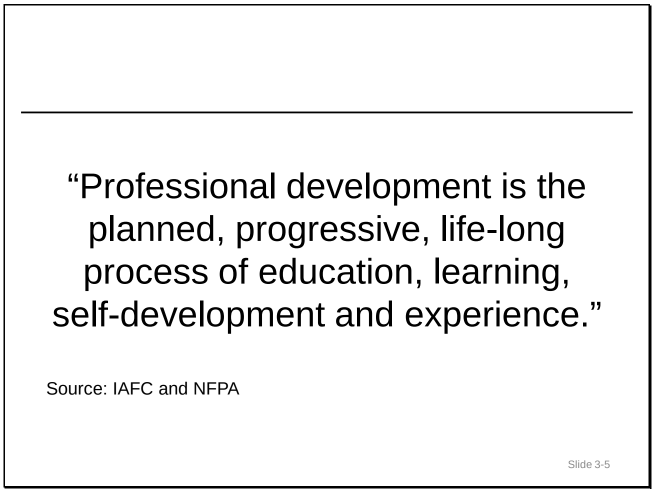
- Identify gaps between desired and existing knowledge, skills and abilities (KSAs) of team members.
- Identify sources for professional development pertinent to members of the fire prevention/risk-reduction bureau.



ENABLING OBJECTIVES (cont'd)

- Facilitate methods to enhance interpersonal skills possessed by members of the fire prevention/risk-reduction bureau.
- Develop an action plan for resolving gaps in the KSAs of prevention unit members.

I. INTRODUCTION TO PROFESSIONAL DEVELOPMENT



"Professional development is the planned, progressive, life-long process of education, learning, self-development and experience."

Source: IAFC and NFPA

A. Professional development of fire prevention/risk-reduction bureau staff is paramount in facilitating proficiency in the core skills and competencies necessary to successfully meet organizational goals.

B. The need for professional development within the officer corps of the fire service was recognized over 40 years ago and reported in the original publication of "America Burning" in 1973.

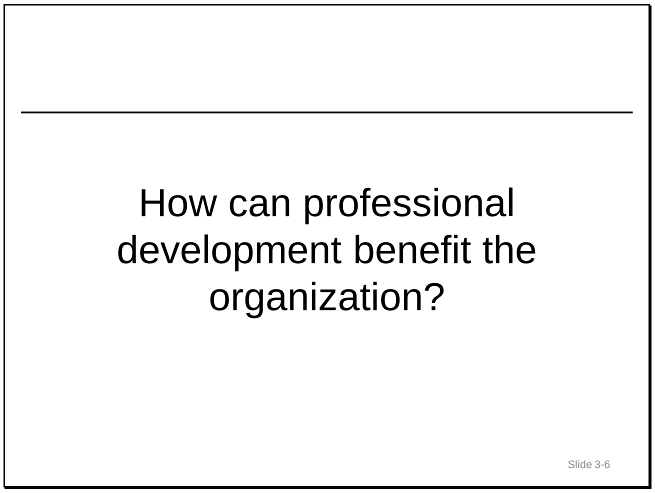
C. In 1979, the Carter Administration introduced public law that placed the U.S. Fire Administration (USFA) under the newly created Federal Emergency Management Agency (FEMA) and opened the National Fire Academy (NFA).

D. Dedication of the NFA took place in October of 1979 and its mission was "to advance the professional development of fire service personnel and of other persons engaged in fire prevention and control activities."

E. Since that time, many fire service organizations such as the International Association of Fire Chiefs (IAFC), International Association of Fire Fighters (IAFF), and the National Fire Protection Association (NFPA) have identified education and officer development as critical challenges that the fire service is facing.

These organizations underscored the need for the development of advanced level educational programs delivered on a national scale to enhance the knowledge, skills and abilities (KSAs) of the current base of staff members and help cultivate the next generation of fire service leaders.

F. “Professional development is the planned, progressive, life-long process of education, learning, self-development and experience” (IAFC and NFPA, 2010, p. 1).



How can professional development benefit the organization?

INTRODUCTION TO PROFESSIONAL DEVELOPMENT

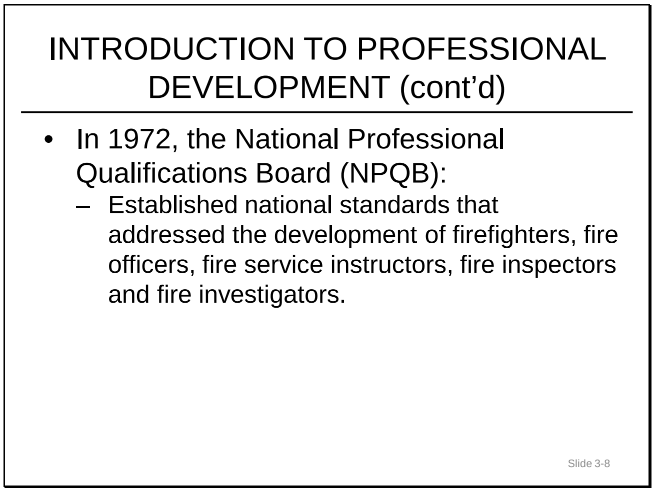
- Goal is to increase technical skills, education, leadership and interpersonal skills.
- Technical programs and certifications help staff establish a high degree of professionalism.

G. Professional development includes many dynamic elements that encompass a comprehensive and continual approach to improving or increasing technical skills, education, leadership and interpersonal skills that ultimately benefit both staff members and the organization as a whole.

H. Technical development focuses on broadening the vocational skills and abilities of staff members in their performance of specific job functions within the organization.

I. Within the contemporary fire prevention/risk-reduction bureau, obtaining and honing requisite technical skills is a key component in successfully performing job-related tasks associated with public education, fire inspections, fire investigations and other prevention-related activities.

J. Technical programs and certifications help to underscore the training and knowledge of the staff within the fire prevention bureau and establish a high degree of professionalism which has direct benefits to the entire organization.

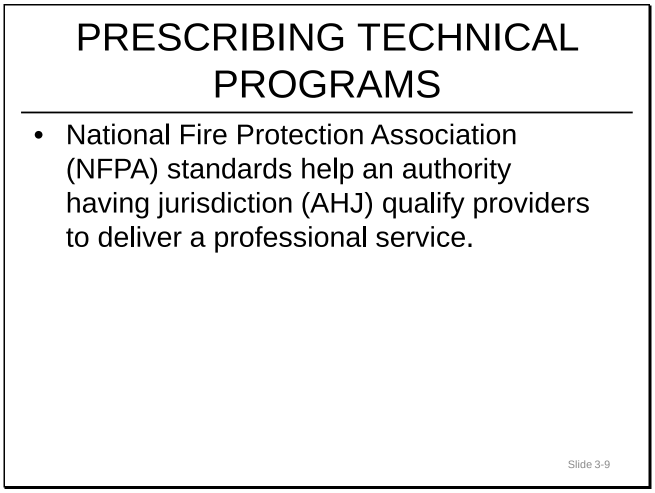


INTRODUCTION TO PROFESSIONAL DEVELOPMENT (cont'd)

- In 1972, the National Professional Qualifications Board (NPQB):
  - Established national standards that addressed the development of firefighters, fire officers, fire service instructors, fire inspectors and fire investigators.

K. In 1972, the National Professional Qualifications Board (NPQB) established five sets of national standards that addressed the development of firefighters, fire officers, fire service instructors, fire inspectors and fire investigators. These standards were precursors to the current NFPA standards in the 1000 series that set the stage for professional qualifications consistent with a national performance standard.

II. PRESCRIBING TECHNICAL PROGRAMS



PRESCRIBING TECHNICAL PROGRAMS

- National Fire Protection Association (NFPA) standards help an authority having jurisdiction (AHJ) qualify providers to deliver a professional service.

A. NFPA standards help our industry develop minimum requirements so an AHJ can qualify providers to deliver a professional service in a safe, ethical and efficient manner.

PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- NFPA Standards 1031, 1033, 1035 and 1037 set detailed criteria for technical KSAs pertinent to fire prevention bureau leaders and specialists.
  - NFPA 1031, *Standard for Professional Qualifications for Fire Inspector and Plan Examiner*.

B. NFPA Standards 1031, 1033, 1035 and 1037 set detailed criteria for technical KSAs of fire prevention bureau leaders and specialists.

1. NFPA 1031, *Standard for Professional Qualifications for Fire Inspector and Plan Examiner*.

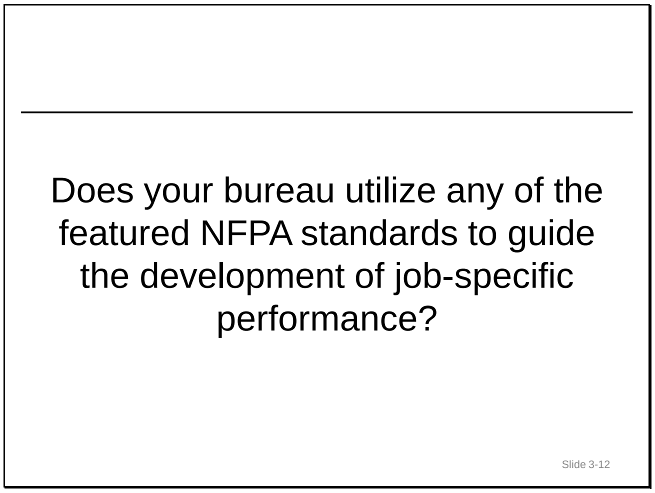
2. NFPA 1033, *Standard for Professional Qualifications for Fire Investigator*.

PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- NFPA 1033, *Standard for Professional Qualifications for Fire Investigator*.
- NFPA 1035, *Standard for Professional Qualifications for Fire and Life Safety Educator, Public Information Officer, and Juvenile Firesetter Intervention*.
- NFPA 1037, *Standard for Professional Qualifications for Fire Marshal*.

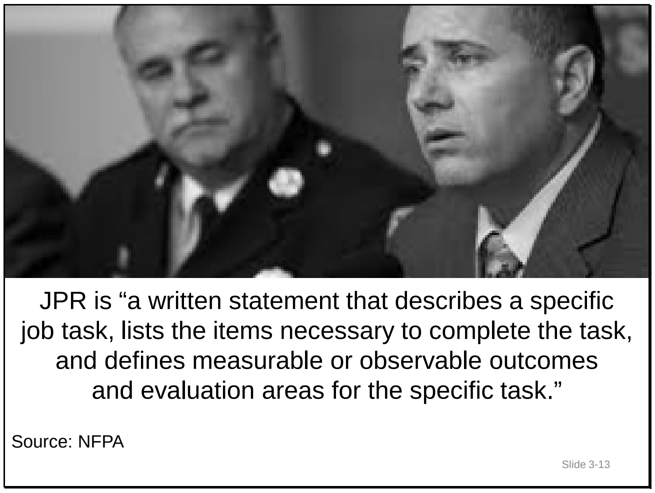
3. NFPA 1035, *Standard for Professional Qualifications for Fire and Life Safety Educator, Public Information Officer, and Juvenile Firesetter Intervention*.

4. NFPA 1037, *Standard for Professional Qualifications for Fire Marshal*.



Does your bureau utilize any of the featured NFPA standards to guide the development of job-specific performance?

C. Each standard identifies the professional level of performance required for the commensurate position or title, specifically identifying the minimum JPRs that ensure requisite subject matter knowledge and professional competence.

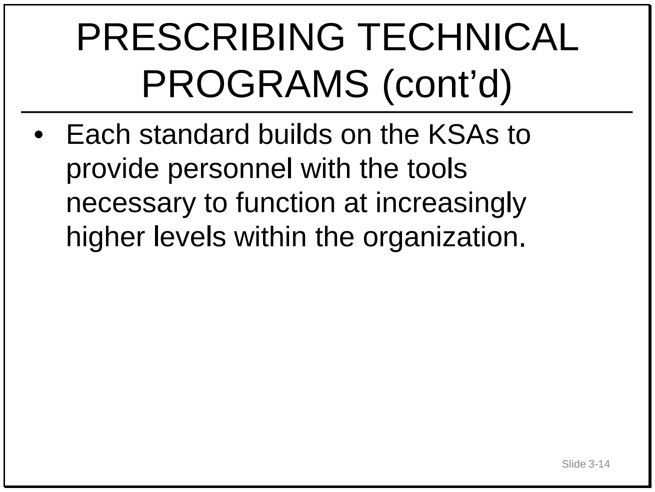


JPR is “a written statement that describes a specific job task, lists the items necessary to complete the task, and defines measurable or observable outcomes and evaluation areas for the specific task.”

Source: NFPA

1. The NFPA defines a JPR as “a written statement that describes a specific job task, lists the items necessary to complete the task, and defines measurable or observable outcomes and evaluation areas for the specific task” (NFPA, 2012, p. 6).

2. Through the promotional and development cycle, fire service personnel must meet and maintain the criteria set forth in preceding standards in the series.



PRESCRIBING TECHNICAL PROGRAMS (cont’d)

- Each standard builds on the KSAs to provide personnel with the tools necessary to function at increasingly higher levels within the organization.

3. Each standard builds on the KSAs to provide personnel with the tools necessary to function at increasingly higher levels within the organization.

PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- Certifications from the NFPA include:
  - The four disciplines of Fire Inspector I.
  - Fire Inspector II.
  - Certified Fire Prevention Specialist.
  - Certified Fire Plan Examiner I.

Slide 3-15

D. At present, certifications that can be obtained from the NFPA include:

1. The four disciplines of Fire Inspector I.

2. Fire Inspector II.

3. Certified Fire Prevention Specialist.

4. Certified Fire Plan Examiner I.

E. Other than the certifications listed above, NFPA neither tests nor certifies personnel to a particular title, leaving evaluation of the JPRs set forth in a particular standard to the AHJ.

F. There are also various certification and testing agencies that will certify personnel to corresponding NFPA standards for fire inspection, investigation and public education. Successful candidates will receive National Board on Fire Service Professional Qualifications (Pro Board) certificates.

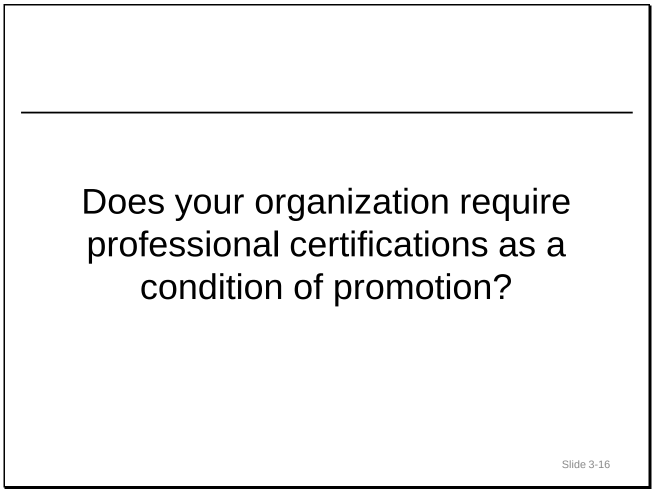
G. The NFPA is aware that fire service agencies across the nation vary in size, function and composition.

1. NFPA recognizes that job requirements of fire prevention specialists and bureau leaders often vary significantly from organization to organization.

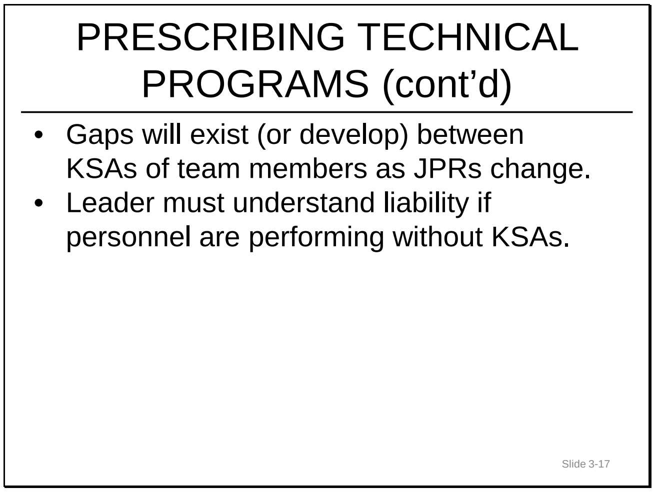
2. NFPA encourages a flexible approach to development and training program design that incorporates both formal and informal training, education and experience.

3. Due to wide variations in organizational structure and specific community needs, utilizing a **one size fits all** approach to fire prevention/risk-reduction bureau training program design is simply unrealistic on a national level.

4. For this reason, the NFPA professional development series model on fire prevention/risk-reduction outlines broad-based performance expectations.



Does your organization require professional certifications as a condition of promotion?



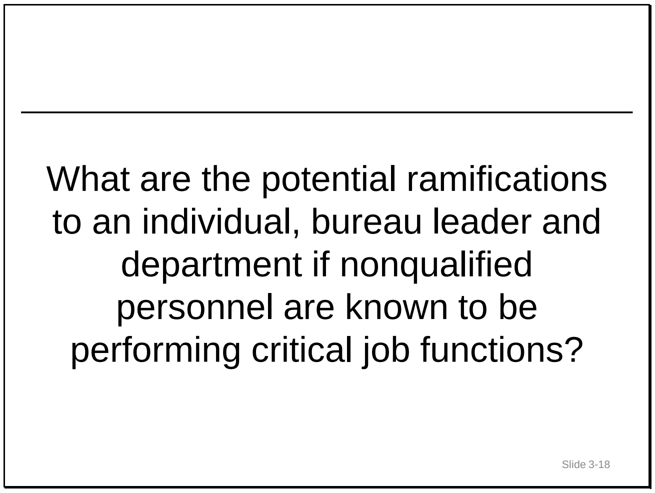
PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- Gaps will exist (or develop) between KSAs of team members as JPRs change.
- Leader must understand liability if personnel are performing without KSAs.

H. The astute fire prevention/risk-reduction bureau leader should understand that gaps will exist (or develop) between the KSAs of team members as JPRs change or as staff members move into other areas of specialization.

I. Through a consistent approach of ongoing technical training, personnel can bridge gaps in technical knowledge and continue to develop the skill set required to enhance performance.

J. The bureau leader must also understand the potential liability assumed by the department (and community) if personnel are performing specific tasks without the requisite KSAs to operate safely and proficiently.



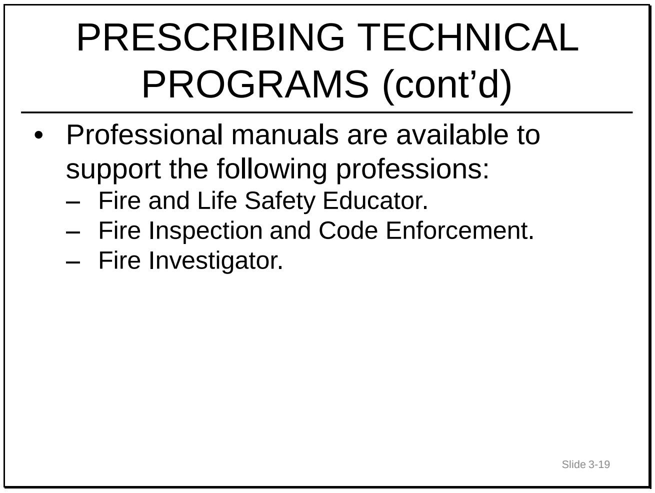
What are the potential ramifications to an individual, bureau leader and department if nonqualified personnel are known to be performing critical job functions?

K. All personnel in the fire prevention/risk-reduction bureau have a moral responsibility to conduct themselves in a professional manner with the highest levels of integrity.

1. Inspectors, plans reviewers and investigators must also have the skills to perform their job to ensure the safety of the public so that levels of trust continue.

2. This requires dedication on the part of staff members to continually update their technical skills as well as the supervisor who must be committed to providing a positive environment with opportunities to enhance personal abilities.

L. Organizations that fall short in respect to technical development are encouraged to review their efforts and focus on a comprehensive approach that implements core components of NFPA standards that are not currently included in their training and development programs.



PRESCRIBING TECHNICAL PROGRAMS (cont’d)

- Professional manuals are available to support the following professions:
  - Fire and Life Safety Educator.
  - Fire Inspection and Code Enforcement.
  - Fire Investigator.

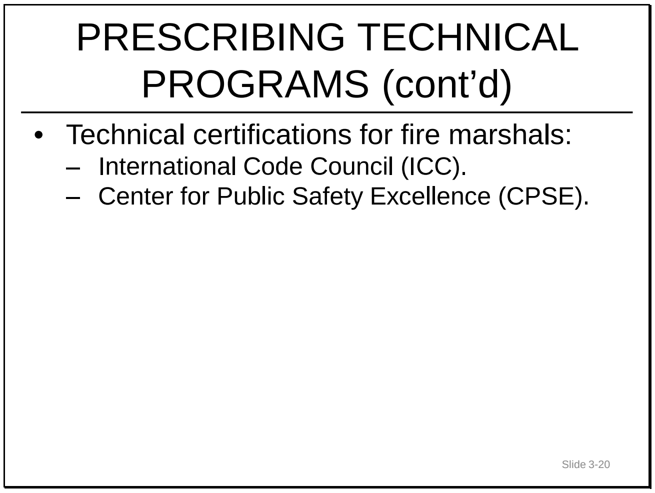
M. Training and education manuals are provided from a variety of sources that closely follow the NFPA standards for job-specific positions within the fire prevention/risk-reduction bureau. Professional manuals are available to support the following professions:

1. Fire and Life Safety Educator.

2. Fire Inspection and Code Enforcement.

3. Fire Investigator.

N. Many of the publications strive to meet Fire and Emergency Services Higher Education (FESHE) learning objectives that support performance standards and prepare candidates for NFPA certification status from the local AHJ.



PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- Technical certifications for fire marshals:
  - International Code Council (ICC).
  - Center for Public Safety Excellence (CPSE).

O. Technical certifications and credentials are available for fire marshals from certifying agencies such as the International Code Council (ICC) and the Center for Public Safety Excellence (CPSE).

1. ICC was developed in 2006 and certifies candidates through a testing process that measures competence and abilities in a variety of subject areas that include:

   a. Effective communication.

   b. Fire prevention program development.

   c. Data analysis.

   d. Best practices utilized in fire investigation.

2. Candidates for certification must exhibit competency in a wide variety of technical subject matter that includes:

    a. Ability to communicate fire and life safety information to the public.

    b. Development of education strategies.

    c. Data analysis.

    d. Identification of youth firesetting candidates.

    e. Understanding of how to assess, secure and plan a fire scene and its perimeter.

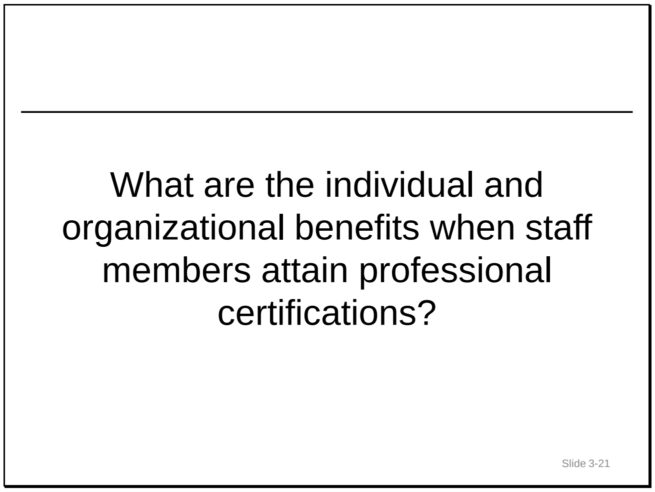
    f. Determine fire origins, document fire behavior, identify burn patterns, and reconstruct fire scenes.

3. The CPSE added Chief Fire Marshal (CFM) to their professional credentialing portfolio in 2011. CFM complements Chief Fire Officer (CFO), Chief Medical Officer (CMO), and Fire Officer.

    a. CPSE sets minimum eligibility requirements for fire marshal certification through educational achievements, practical experience and personal contributions to the fire prevention field.

    b. CPSE offers various programs including online educational platforms that apply self-development workshops, technical development and mentoring programs.

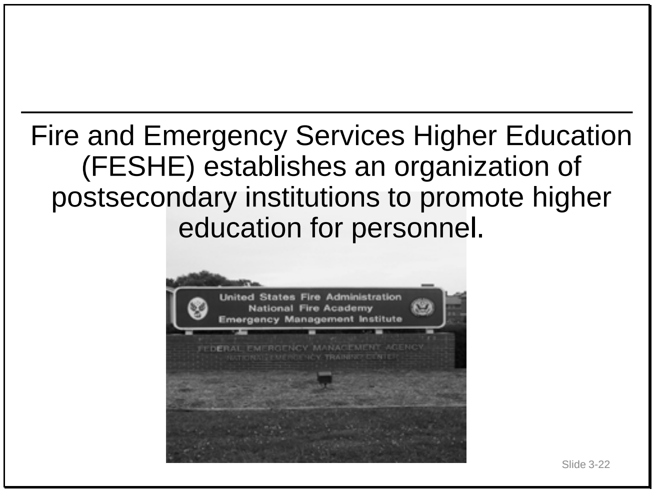
    c. Research has indicated that the benefits of mentored staff members include better job performance, rapid advancement within the organization, and higher levels of career satisfaction.



What are the individual and organizational benefits when staff members attain professional certifications?

P. Attaining professional certifications have both individual and organizational benefits.

1. Individual benefits include:
    a. Increases in knowledge and skills pertaining to job function.
    b. Increases in technical performance, job satisfaction, staff retention and peer recognition.
    c. Marketability within the emergency services industry.
2. Organizational benefits include:
    a. Increases in organizational performance.
    b. Improved customer satisfaction.
    c. Reductions in training redundancy.
    d. Building staff engagement to meet organizational goals.
    e. Savings in the form of time and money.
    f. Achievement of organizational accreditation.



Fire and Emergency Services Higher Education (FESHE) establishes an organization of postsecondary institutions to promote higher education for personnel.

Slide 3-22

Q. The increase of higher learning institutions that foster professional development models for fire and Emergency Medical Services (EMS) degree programs has led to the creation of FESHE.

1. The FESHE mission “establishes an organization of postsecondary institutions to promote higher education and to enhance the recognition of the fire and emergency services profession to reduce loss of life and property from fire and other hazards” (USFA, 2008, p. 1).

2. FESHE's model curriculum identifies coursework that recognizes core competencies at the associate, baccalaureate, and graduate levels for incorporation into fire service degree programs.

3. The curriculum incorporates specific development paths for discipline-specific concentrations.

R. Working with a model curriculum helps reduce redundancy in training that may result in excessive program costs. In addition, it also offers the potential of attaining a college degree.

S. The FESHE model curriculum recognizes the significance of prevention and risk reduction activities within the fire service and includes discipline-specific courses with concentrations in fire prevention and pre-fire protection engineering that include:

1. "Fire and Life Safety Education."

2. "Principles of Code Enforcement."

3. "Fire Plans Review."

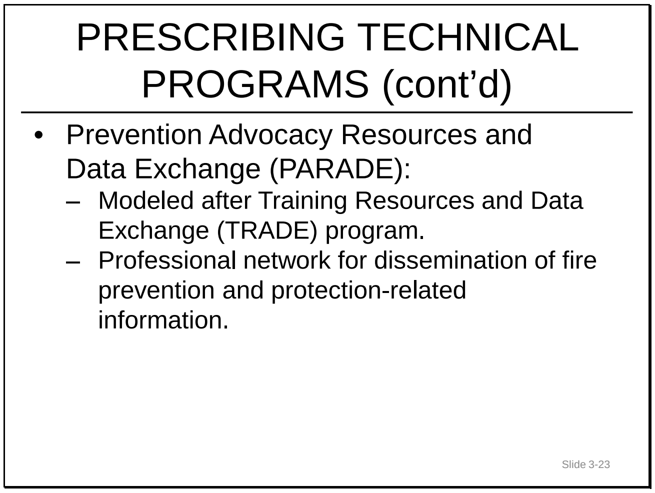
4. "Performance-Based Design Fire Protection."

5. "Advanced Concepts in Structural Fire Protection Systems."

6. "Human Behavior in Fire."

T. The current FESHE Model Fire Prevention curriculum closely mirrors NFPA Standard 1037 by clearly defining the roles and responsibilities of fire prevention/risk-reduction bureau personnel.

U. Other development opportunities for fire prevention and public education professionals include:



PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- Prevention Advocacy Resources and Data Exchange (PARADE):
  - Modeled after Training Resources and Data Exchange (TRADE) program.
  - Professional network for dissemination of fire prevention and protection-related information.

1. Prevention Advocacy Resources and Data Exchange (PARADE).

   a. The PARADE organization is modeled after the NFA's 30-year-old Training Resources and Data Exchange (TRADE) program, which has been highly successful in its efforts.

   b. PARADE was developed in 2003 as a professional network for the dissemination of fire prevention and protection-related information across a national platform that includes federal, state and local resources.

   c. The network consists of state fire marshals, fire marshals from metropolitan departments across the nation and representatives from 10 federal regions appointed by the International Fire Marshals Association (IFMA).

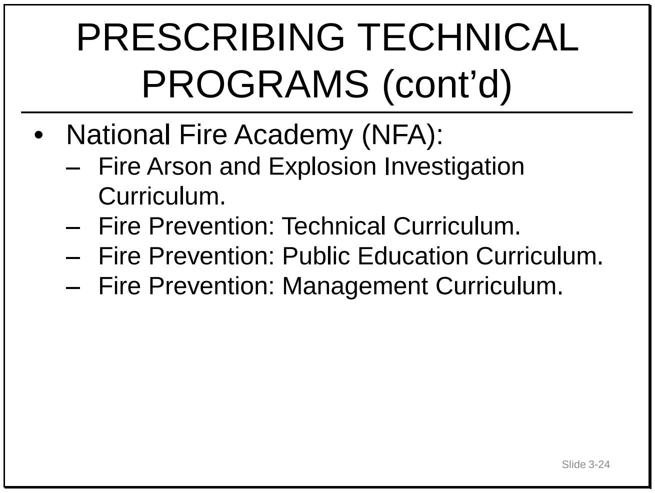
   d. The organization works closely with the USFA to address emerging issues within the realm of prevention and public education, specifically:

      - Identifying key aspects critical to life safety and protection of property from fire.

      - Pinpointing best practices and interoperability opportunities as well as assisting with resource and data exchange.

      - Meeting with the USFA and providing annual reports on how the organization can help meet federal, state and local goals in respect to fire prevention and education.

      - Identifying and developing partners and trends that impact the fire problem in the United States.



PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- National Fire Academy (NFA):
  - Fire Arson and Explosion Investigation Curriculum.
  - Fire Prevention: Technical Curriculum.
  - Fire Prevention: Public Education Curriculum.
  - Fire Prevention: Management Curriculum.

2. NFA courses.

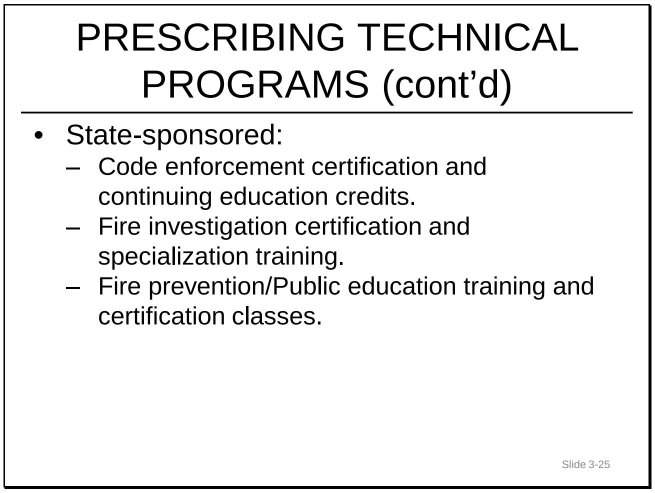
The NFA provides resident courses in Emmitsburg, regional training throughout the nation, and online offerings to enhance the technical skills of personnel working in many different job scopes within the fire prevention/risk-reduction bureau. These tracks include:

a. Fire Arson and Explosion Investigation Curriculum.

b. Fire Prevention: Technical Curriculum.

c. Fire Prevention: Public Education Curriculum.

d. Fire Prevention: Management Curriculum.



PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- State-sponsored:
  - Code enforcement certification and continuing education credits.
  - Fire investigation certification and specialization training.
  - Fire prevention/Public education training and certification classes.

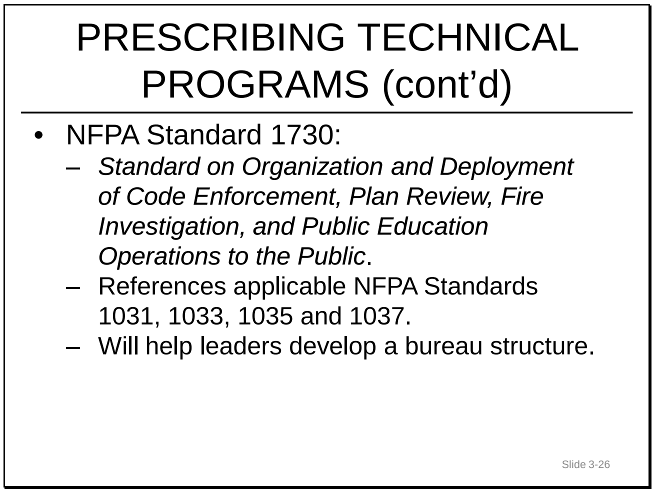
3. Specific state-sponsored offerings.

State training academies and local outreach programs also provide technical development opportunities for bureau professionals that include:

a. Code enforcement certification and continuing education credits.

b. Fire investigation certification and specialization training.

c. Fire prevention/Public education training and certification classes.



PRESCRIBING TECHNICAL PROGRAMS (cont'd)

- NFPA Standard 1730:
  - *Standard on Organization and Deployment of Code Enforcement, Plan Review, Fire Investigation, and Public Education Operations to the Public*.
  - References applicable NFPA Standards 1031, 1033, 1035 and 1037.
  - Will help leaders develop a bureau structure.

V. A new development on the horizon to bring an organizational framework to the fire prevention/risk-reduction bureau.

1. NFPA 1730, *Standard on Organization and Deployment of Code Enforcement, Plan Review, Fire Investigation, and Public Education Operations to the Public*.

2. While still in the developmental stage, but close to release for public comments, NFPA 1730 is a natural progression of:

a. NFPA 1710, *Standard for the Organization and Deployment of Fire Suppression Operations, Emergency Medical Operations, and Special Operations to the Public by Career Fire Departments*.

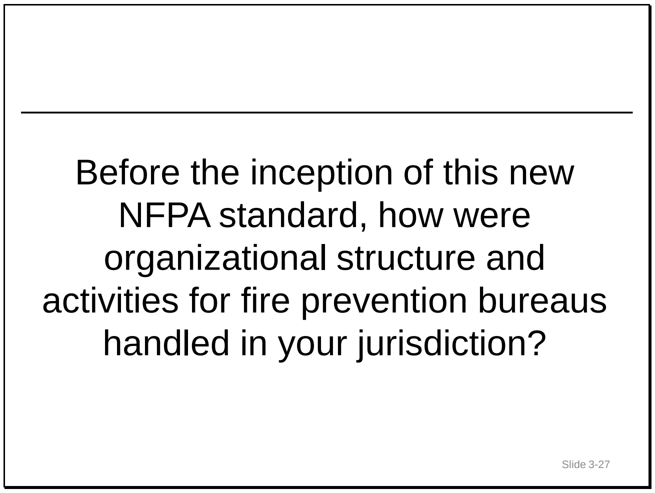
b. NFPA 1720, *Standard for the Organization and Deployment of Fire Suppression Operations, Emergency Medical Operations, and Special Operations to the Public by Volunteer Fire Departments*.

3. The NFPA Standards 1710 and 1720 focus on the organizational structure and deployment of resources for fire and rescue operations in the career and volunteer sectors.

4. Standard 1730 references applicable developmental standards 1031, 1033, 1035 and 1037 to ensure the technical qualifications of job-specific functions within the fire prevention/risk-reduction bureau.

5. The standard will help leaders develop a bureau structure through the use of a detailed organizational statement focusing on providing efficient and effective management of resources for fire prevention, inspection, plans review and public education services.

W. Standard 1730 will incorporate risk reduction through a community risk assessment and also provide input into staffing requirements for division activities based on workload analysis.



Before the inception of this new NFPA standard, how were organizational structure and activities for fire prevention bureaus handled in your jurisdiction?

ACTIVITY 3.1

Knowledge, Skills and Abilities of the Fire Prevention/Risk-reduction Bureau Leader

Purpose

To evaluate the benefits to a bureau leader who maintains current technical proficiencies established by national consensus organizations.

Directions

1. This activity begins as an individual exercise and culminates with small group discussion.

2. You will be asked to relate your own professional training to the skills required to lead a fire prevention/risk-reduction bureau.

3. This is a nongraded assignment that is a nonjudgmental self-assessment.

4. Please respond to the following:

   a. Please review your current job description that you were asked to bring as part of the pre-course assignment.

      Note: If you do not have a written job description, continue with the assignment anyway. However, as part of the MEFPP course you should (at some point during the six-day period) network with peers who have brought job descriptions.

   b. List the professional certifications/qualifications you have attained that are pertinent to the job(s) performed as a fire prevention/risk-reduction bureau leader.

   c. Describe how the KSAs you have attained support leading your fire prevention/risk-reduction bureau.

   d. Define areas of professional development that you would like to pursue which may enhance your ability to lead the fire prevention/risk-reduction bureau.

   e. Describe how you will seek/attain the additional professional development.

5. You will be allowed 20 minutes for individual processing.

6. Within your small group, please share your goals for professional development.

7. You will be allowed 10 minutes for small group discussion.

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III. PROFESSIONAL DEVELOPMENT/LEADERSHIP

A. Professional development of fire prevention/risk-reduction bureau personnel provides distinct benefits to staff members by increasing levels of competency, confidence and self-actualization.

B. Staff members engaged in professional development programs benefit the organization through increased motivation, productivity, loyalty and performance.

C. Historical documents from the IAFC Wingspread conferences held every decade dating back to 1966 show a continued need for professional development with the fire service profession that is firmly grounded in a nationally recognized training and education system.

Fire service leaders from two generations ago understood that “success is largely dependent upon the caliber of leadership of the individual fire chiefs, and there is no assurance that this progress will continue…when there is a change in leadership…” (IAFC, 2010, p. 2).

PROFESSIONAL DEVELOPMENT/LEADERSHIP

- Changing fire service landscape:
  - Budget cuts and staff reductions.
  - Labor/Management disputes.
  - Lawsuits.
  - Legal challenges — codes and ordinances.
  - Social fabric and cultural norms.
  - Public scrutiny.

D. The changing landscape in the fire service has created numerous adaptive challenges for fire service leaders including:

1. Financial issues that have forced budget cuts and staff reductions.

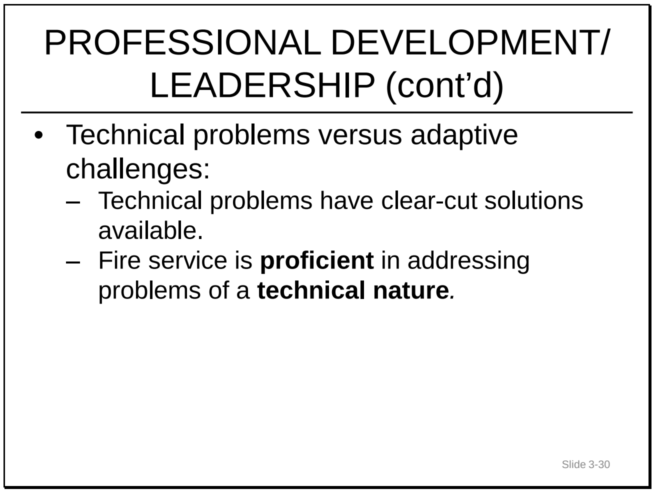
2. Labor/Management disputes.

3. Increased pressures from lawsuits.

4. Legal challenges to proposed codes and ordinances.

5. Changes in the social fabric and cultural norms within the work environment.

6. Increased scrutiny by the public.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Technical problems versus adaptive challenges:
  - Technical problems have clear-cut solutions available.
  - Fire service is **proficient** in addressing problems of a **technical nature**.

Slide 3-30

E. Technical problems versus adaptive challenges.

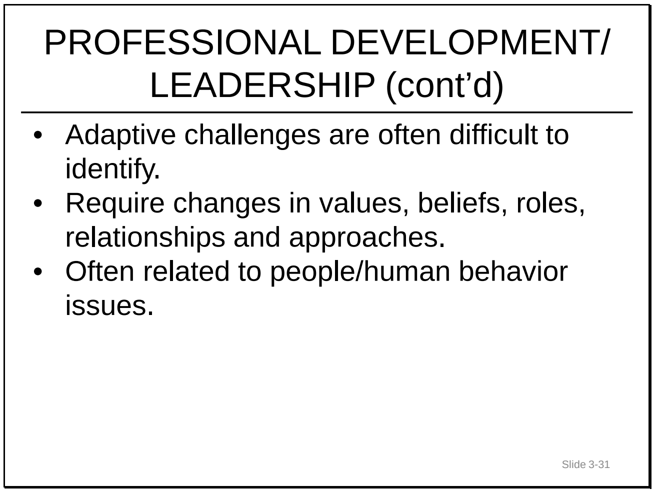
1. Extreme differences exist between technical problems and adaptive challenges.

2. These extremes require a vastly different approach in finding and implementing viable solutions.

3. Technical problems are generally easy to identify because there are often clear-cut solutions available that can be readily implemented within the scope of organizational boundaries.

4. The fire service has traditionally been **proficient** in addressing problems of a **technical nature** and implementing viable solutions from within the ranks.

5. **Conversely,** adaptive challenges are often difficult to identify and require changes in values, beliefs, roles, relationships and approaches to the task or work.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Adaptive challenges are often difficult to identify.
- Require changes in values, beliefs, roles, relationships and approaches.
- Often related to people/human behavior issues.

6. Adaptive challenges are most often related to people/human behavior issues.

7. Problems associated with adaptive change are sometimes met with resistance from within the organization.

8. These types of challenges are ultimately solved from within through sweeping change.

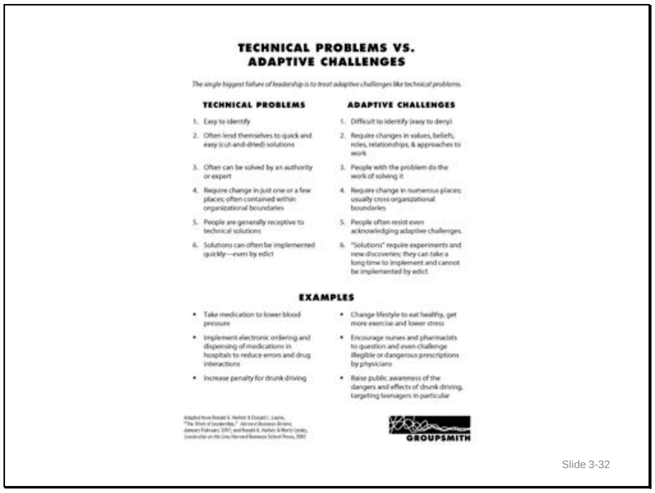
9. Solutions typically occur over a long period of time and may involve many variations before being successful.

10. It is important to understand that changes or modifications to an applied solution should not be viewed as a sign of failure but rather as helpful in identifying the complexity of the problem.

11. Leaders who incorporate technical solutions to adaptive challenges are destined for failure as this approach often falls far short of addressing the true issues that plague an organization.

12. Adaptive challenges have forced sharp changes in the approach to problem-solving and decision-making while creating the need for new skill sets, extensive critical thinking skills and higher levels of expertise among the fire service leaders.

13. For these reasons, an increased focus on development which provides training, education and experience to develop critical thinking, decision-making and different approaches to problem-solving is paramount for fire service professionals.



TECHNICAL PROBLEMS VS. ADAPTIVE CHALLENGES

The single biggest failure of leadership is to treat adaptive challenges like technical problems.

TECHNICAL PROBLEMS	ADAPTIVE CHALLENGES
1. Easy to identify	1. Difficult to identify (easy to deny)
2. Often lend themselves to quick and easy (cut-and-dried) solutions	2. Require changes in values, beliefs, roles, relationships, & approaches to work
3. Often can be solved by an authority or expert	3. People with the problem do the work of solving it
4. Require change in just one or a few places; often contained within organizational boundaries	4. Require change in numerous places; usually cross organizational boundaries
5. People are generally receptive to technical solutions	5. People often resist even acknowledging adaptive challenges.
6. Solutions can often be implemented quickly—even by edict	6. "Solutions" require experiments and new discoveries; they can take a long time to implement and cannot be implemented by edict

EXAMPLES

• Take medication to lower blood pressure	• Change lifestyle to eat healthy, get more exercise and lower stress
• Implement electronic ordering and dispensing of medications in hospitals to reduce errors and drug interactions	• Encourage nurses and pharmacists to question and even challenge illegible or dangerous prescriptions by physicians
• Increase penalty for drunk driving	• Raise public awareness of the dangers and effects of drunk driving, targeting teenagers in particular

GROUPSMITH

What adaptive challenges are you facing in your fire prevention bureau or fire department?

Have you or someone in your organization been successful in bringing about the change necessary to address these issues?

F. Commitment to lifelong learning is the cornerstone of professional development and should be considered a journey in lieu of a defined destination.

G. Professional development is a dynamic process that requires detailed preparation, planning, management and especially commitment on behalf of the organization and individual.

PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Individual success is measured through:
  - Academic achievement.
  - Technical and interpersonal skills.
  - Procuring quality experience.

Slide 3-34

1. A comprehensive and sustained approach to learning should align individual and organizational goals with the training, education and experience needed to achieve desired outcomes.

2. Individual success is measured through:

   a. Academic achievement.

   b. Increased technical and interpersonal skills.

   c. Procuring quality experience which produces transferrable skills that add strength and depth to the organization.

PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Positive effects on an organization include:
  - Succession planning.
  - Effective promotional process.
  - Staff retention.
  - Personnel motivated and focused on goals.

Slide 3-35

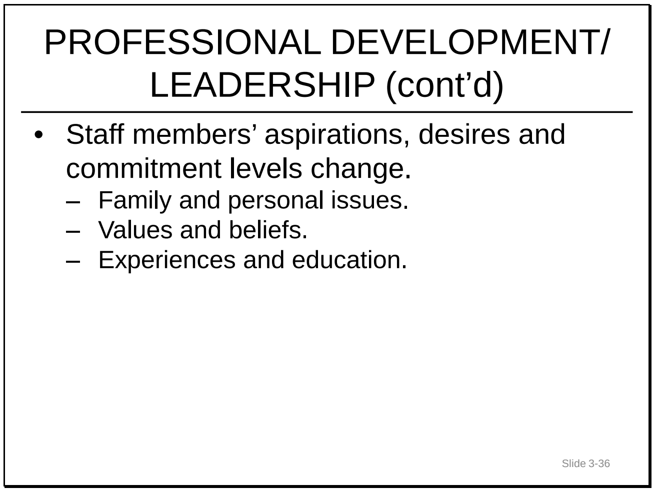
H. Professional development programs have numerous positive effects on an organization that include:

   1. Succession planning.

2. Facilitating an effective promotional process.

3. Staff member retention.

4. Keeping personnel motivated and focused on organizational goals.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

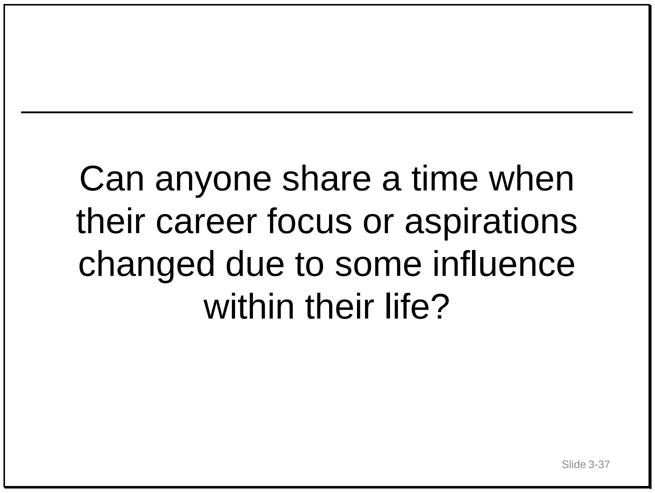
- Staff members' aspirations, desires and commitment levels change.
  - Family and personal issues.
  - Values and beliefs.
  - Experiences and education.

I. It is important to understand that staff members' aspirations, desires and commitment levels change at various times during their career for a number of reasons that include:

1. Family and personal issues.

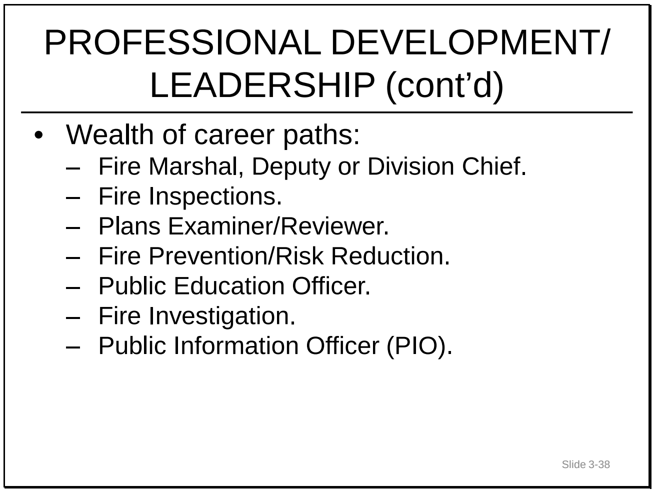
2. Values and beliefs.

3. Experiences and education.



Can anyone share a time when their career focus or aspirations changed due to some influence within their life?

J. Organizations are best served when they provide a high degree of development paths and career options that keep staff members engaged and productive.



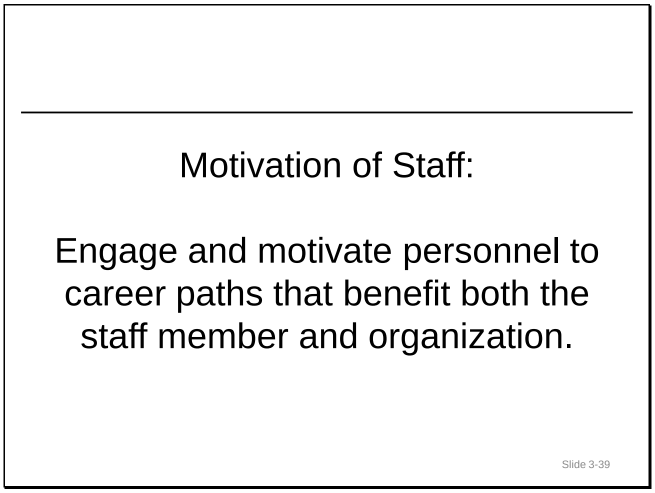
PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Wealth of career paths:
  - Fire Marshal, Deputy or Division Chief.
  - Fire Inspections.
  - Plans Examiner/Reviewer.
  - Fire Prevention/Risk Reduction.
  - Public Education Officer.
  - Fire Investigation.
  - Public Information Officer (PIO).

K. The fire prevention/risk-reduction bureau provides a wealth of development opportunities and career paths that include:

1. Fire Marshal, Deputy or Division Chief.
2. Fire Inspections.
3. Plans Examiner/Reviewer.
4. Fire Prevention/Risk Reduction.
5. Public Education Officer.
6. Fire Investigation.
7. Public Information Officer (PIO).

L. As the leader of a fire prevention/risk-reduction bureau, you need to seek and find people that are the right fit for your unit.



Motivation of Staff:

Engage and motivate personnel to career paths that benefit both the staff member and organization.

M. Motivation of staff.

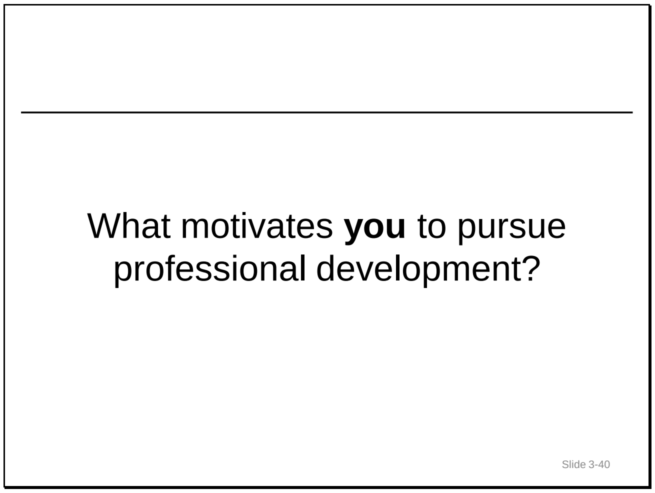
1. The fire prevention/risk-reduction bureau leader should engage and motivate his or her personnel to develop into career paths that benefit both the staff member and organization.

2. The bureau leader is responsible for motivating and leading a team focused on a variety of different job scopes needing diverse skills and abilities to perform their jobs safely, effectively and efficiently.

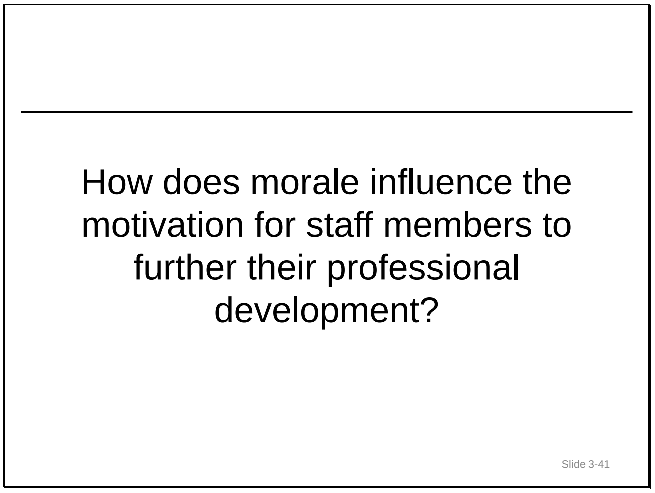
3. Motivation comes in many forms for staff members, and these factors often change during the course of one's career. It is also likely that a bureau leader will supervise a diverse workforce that spans multiple generations of seasoned veterans and spry, young newcomers at the beginning stages of their career.

4. Recall from Unit 2: Fostering Cultural Change that age, gender and cultural diversity play an important role in determining different values, behaviors and factors that motivate staff members in the workplace.

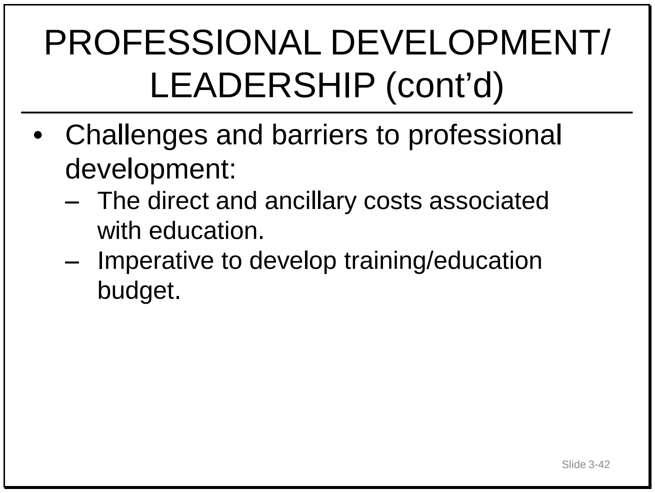
5. The skilled fire prevention/risk-reduction leader will understand the importance of engaging his or her personnel in a discussion to learn more about them and understand their personalities and motivations for success.



What motivates **you** to pursue professional development?



How does morale influence the motivation for staff members to further their professional development?



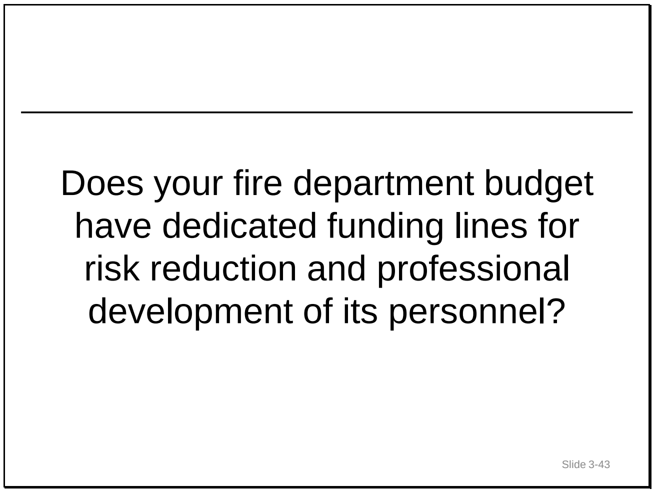
PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Challenges and barriers to professional development:
  - The direct and ancillary costs associated with education.
  - Imperative to develop training/education budget.

N. Challenges and barriers to professional development may come from a variety of sources, including funding; the direct and ancillary costs associated with education such as tuition costs, textbooks, stipends and overtime hours can become a challenge to fund in the economy.

1. Although funding is widely recognized to be a strong barrier to professional development, agencies continue the arduous task of justifying and fighting for funding for training and development of their personnel.

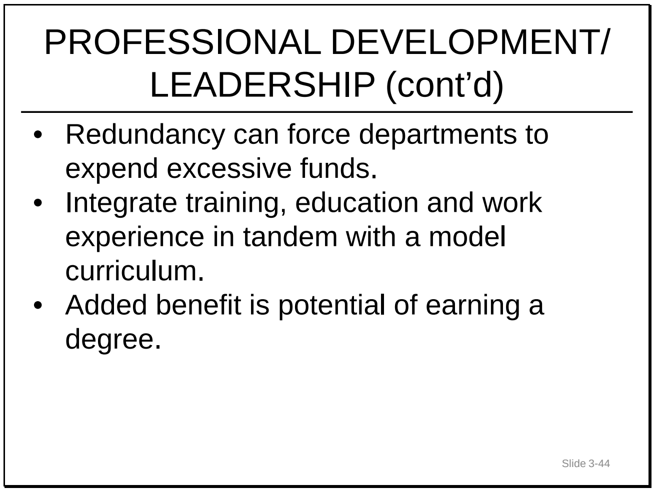
2. It is imperative that a formal training/education line item be developed during the budgeting process to enable the fire prevention bureau leader to fund initial and ongoing technical training as well as professional development growth of personnel.



Does your fire department budget have dedicated funding lines for risk reduction and professional development of its personnel?

3. During tough economic times, budget cuts to prevention and training/professional development are consistent targets for city managers and district budget committees.

4. The fire prevention/risk-reduction bureau leader should be prepared for some difficult discussions on the need to fund these activities as well as the benefits that they provide to the staff members, division, fire department and the community.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

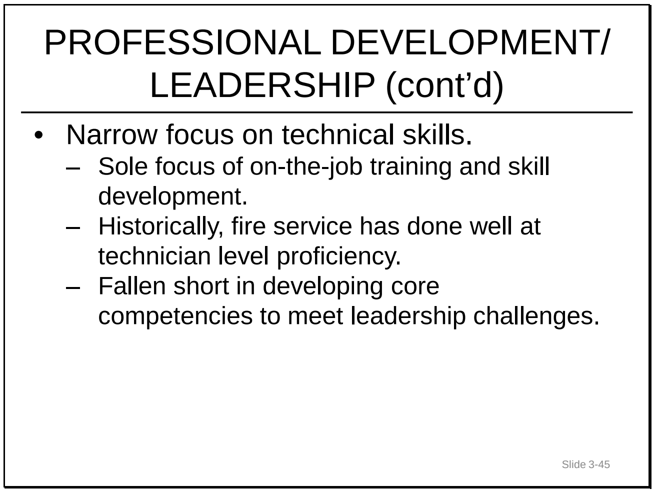
- Redundancy can force departments to expend excessive funds.
- Integrate training, education and work experience in tandem with a model curriculum.
- Added benefit is potential of earning a degree.

5. Redundancy within training programs can force departments to expend excessive funds that could be utilized more effectively if following a national model or standard.

6. Integrating training, education and work experience in tandem with a model curriculum such as FESHE could help to reduce coursework redundancy and overall costs for fire departments.

7. An added benefit to working in tandem with a model curriculum is the potential of earning a formal degree.

8. Lack of access to quality training and availability of certifications.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

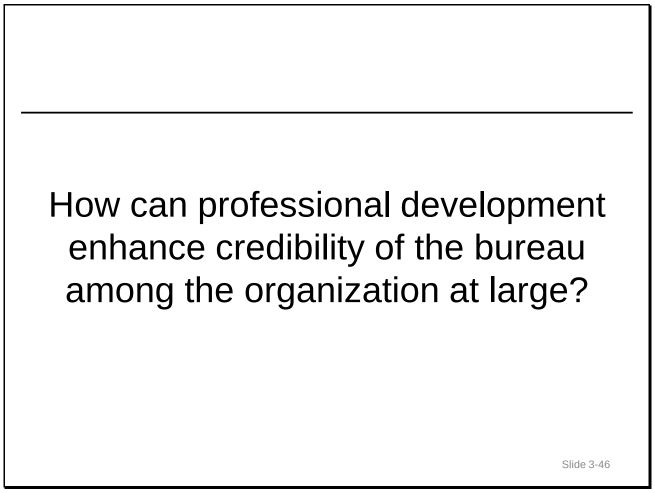
- Narrow focus on technical skills.
  - Sole focus of on-the-job training and skill development.
  - Historically, fire service has done well at technician level proficiency.
  - Fallen short in developing core competencies to meet leadership challenges.

O. Narrow focus on technical skills.

1. Some fire departments have training programs that place sole focus in on-the-job training and skill development rather than an all-encompassing approach that builds on training, education and experience.

2. Historically, the fire service has done well at fostering technician level proficiency.

3. As an industry, we have often fallen short in developing the core competencies needed to meet the leadership challenges of the future.

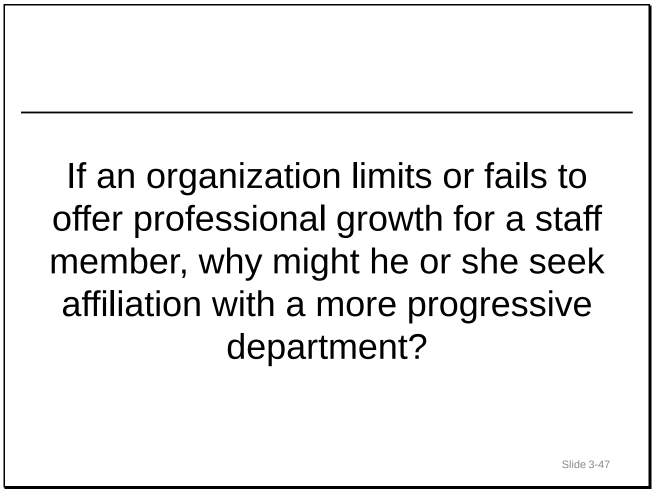


How can professional development enhance credibility of the bureau among the organization at large?

P. Adaptive change management can assist an organization in developing a high quality professional development program that sets clear organizational objectives and expectations.

Q. Professional development of bureau personnel, especially technical skill development, is rarely met with resistance from within the ranks. This is because staff members can directly connect the benefit of training to job performance enhancements.

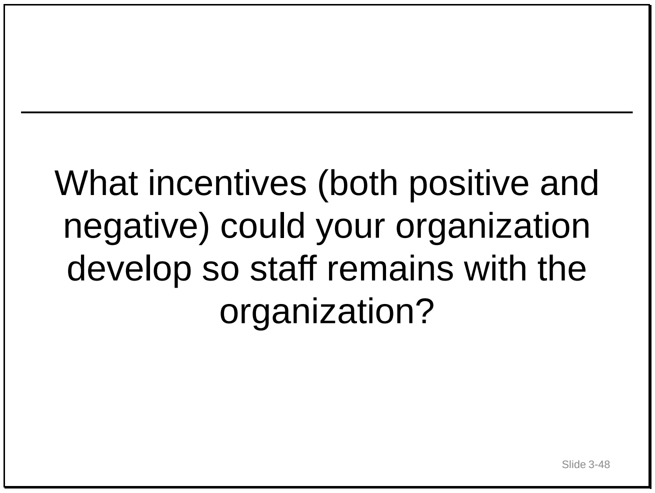
R. Cultural views within the profession also support the need for technically competent personnel as part of the team that supports the organizational mission.



If an organization limits or fails to offer professional growth for a staff member, why might he or she seek affiliation with a more progressive department?

S. Organizations risk losing personnel for a variety of reasons that include:

1. Lack of motivation.
2. Boredom.
3. Inability to achieve personal goals.
4. Lack of career growth and advancement opportunities.



What incentives (both positive and negative) could your organization develop so staff remains with the organization?

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PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Facilitating growth within the organization:
  - Coaching.
  - Mentoring.
  - Counseling.
  - Performance evaluations.

Slide 3-49

T. Facilitating growth within the organization.

1. Four key tools have been identified to promote professional development and growth of staff members within the organization.

   a. Coaching.

   b. Mentoring.

   c. Counseling.

   d. Performance evaluations.

2. Using these tools can help:

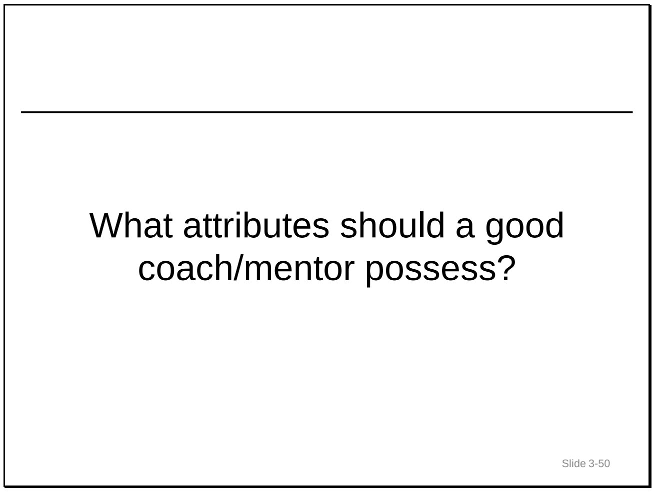
   a. Benchmark progress.

   b. Foster a positive learning environment.

c. Transfer knowledge across the bureau or organization.

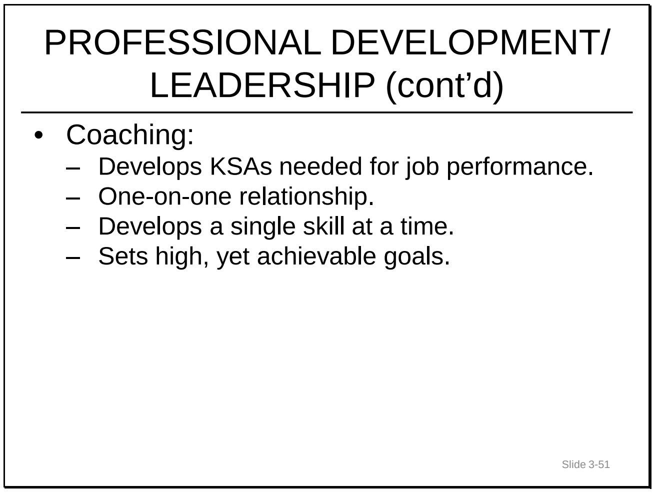
3. Each tool has a distinct application and unique benefits.

4. A common element in ensuring success is the leader's ability to truly communicate and use effective listening skills to build trust and a supportive professional development process.



What attributes should a good coach/mentor possess?

Slide 3-50



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Coaching:
  - Develops KSAs needed for job performance.
  - One-on-one relationship.
  - Develops a single skill at a time.
  - Sets high, yet achievable goals.

Slide 3-51

5. Coaching.

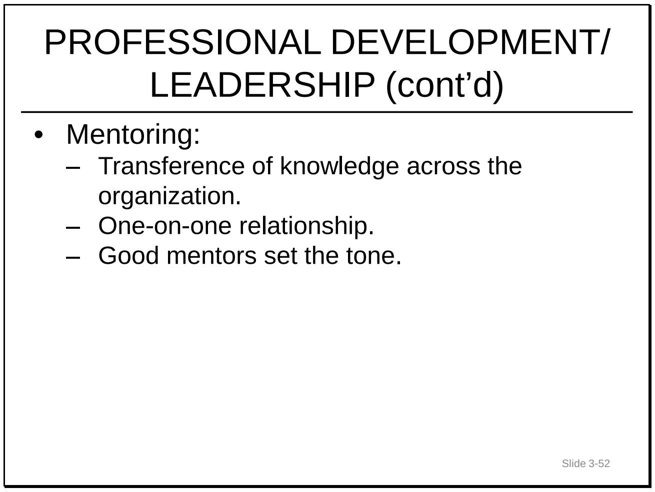
a. Utilized to develop KSAs needed for job performance.

b. Utilizes a one-on-one relationship between the coach and staff member centering on trust, communication and sometimes compromise.

c. Develops a single skill at a time and, once mastery is demonstrated, moves on to another.

d. Sets high, yet achievable goals and standards for developing personnel.

e. Assists in developing a strong organizational vision for growth and potential.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Mentoring:
  - Transference of knowledge across the organization.
  - One-on-one relationship.
  - Good mentors set the tone.

Slide 3-52

6. Mentoring.

a. Assists with the transference of knowledge across the organization.

b. Uses a one-on-one, mentor/mentee relationship.

c. Good mentors set the tone for what is expected of the mentee.

d. Mentors within the organization should be carefully vetted to ensure they possess desire, integrity, character, commitment, professionalism, emotional intelligence and a positive attitude.

e. A thoughtful mentor selection process can help to ensure that poor qualities, traits, habits or cultural baggage is not transferred throughout the organization as a byproduct of the mentoring process.

f. Understandably, not all personnel in the higher ranks within the organization will be suitable candidates as a mentor.

g. Formal program adoption by an organization underscores its commitment to the mentoring program, development process and staff member growth.

h. Incorporating well-developed organizational goals, objectives, subject matter and evaluation tools are paramount to the success of any mentoring program.

i. A mentor provides influence or direction in six core areas that include:

  - Critical assessment.
  - Application versus theory.
  - Work environment.
  - Decision-making.
  - Community involvement.
  - Reassurance and encouragement.

j. Evaluation of the mentees helps to assess their strengths and areas where opportunities exist for their development.

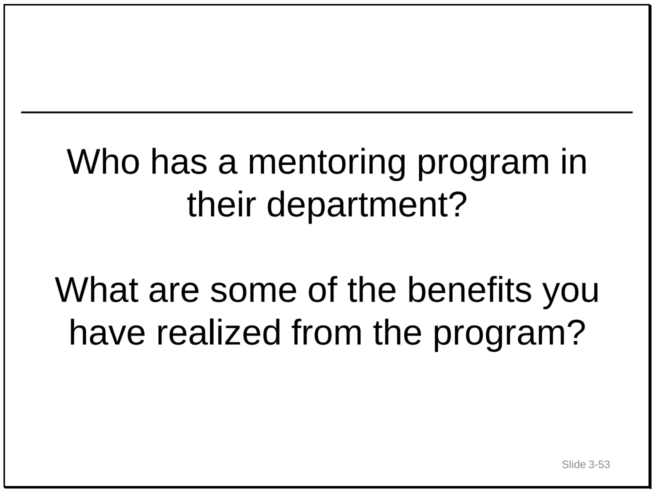
k. Each program should allow flexibility of formal program components to meet the individual needs of the mentee and be progressively dynamic to adapt to higher levels of competence.

l. It is critical that mentors understand the concept of emotional intelligence so they are acutely aware of their personal emotions and are sensitive to the emotions of the mentee.

m. Successful mentors help engage the mentee to understand the importance of organizational goals while building strong levels of commitment and have the ability to articulate and communicate the nuances of organizational culture.

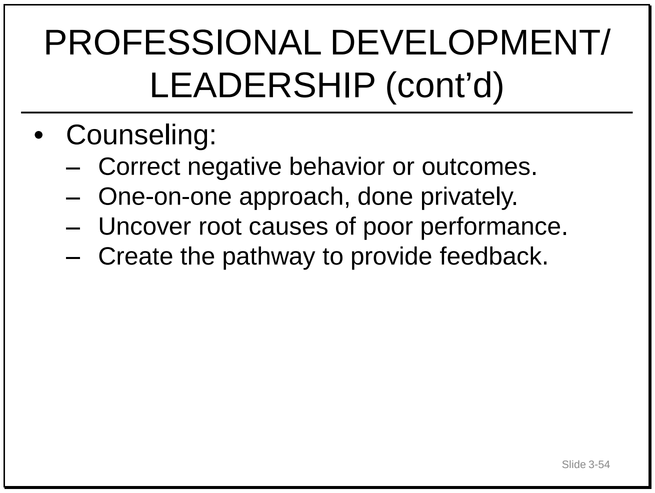
n. Research has indicated that mentored staff have higher performance levels, advance within the organization more rapidly, and report more job and career satisfaction.

o. Mentoring also helps to build a succession pipeline for promotions and future leaders within the organization.



Who has a mentoring program in their department?

What are some of the benefits you have realized from the program?



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Counseling:
  - Correct negative behavior or outcomes.
  - One-on-one approach, done privately.
  - Uncover root causes of poor performance.
  - Create the pathway to provide feedback.

7. Counseling.

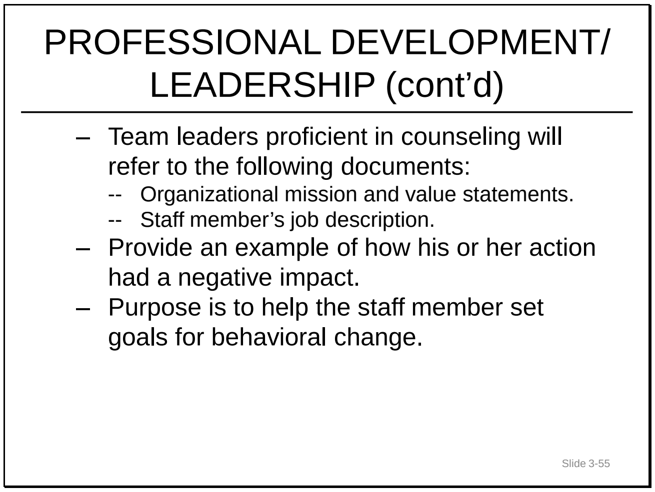
   a. Counseling focuses on correcting negative behavior or outcomes with a staff member.

   b. Always done privately, counseling is a time-sensitive, one-on-one approach that seeks to uncover the root causes of poor performance and modify attitudes or behavioral issues through positive reinforcement.

   c. Counseling has the ability to correct negative consequences and channel effort and energy back toward positive outcomes.

   d. Sometimes, there will be moments when a staff member lacks the knowledge and understanding of his or her performance-related work issues or personal behavior.

e. Counseling creates the pathway to provide feedback and to jointly develop a plan to address these situations.



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Team leaders proficient in counseling will refer to the following documents:
  - Organizational mission and value statements.
  - Staff member's job description.
- Provide an example of how his or her action had a negative impact.
- Purpose is to help the staff member set goals for behavioral change.

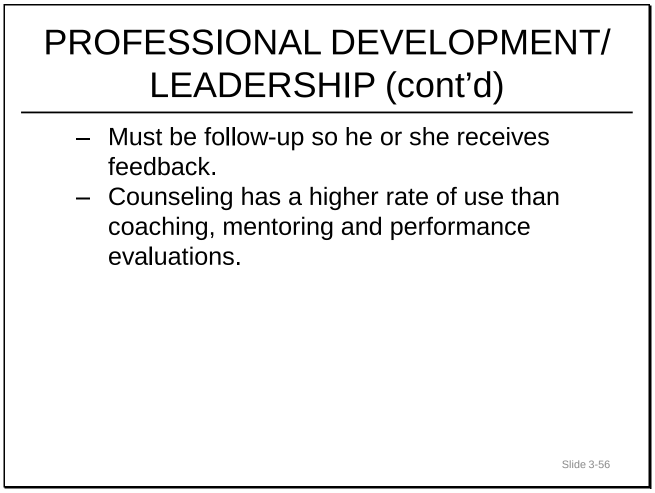
f. Team leaders who are proficient in counseling will refer to the following documents as a baseline to help a staff member understand why a change in behavior is in order:

- Organizational mission and value statements.

- Staff member's job description.

g. In addition, they will provide (or ask the person being counseled for) an example of how his or her action had a negative impact on the organization.

h. The primary purpose of the strategies listed above is to help the staff member being counseled set goals for behavioral change.

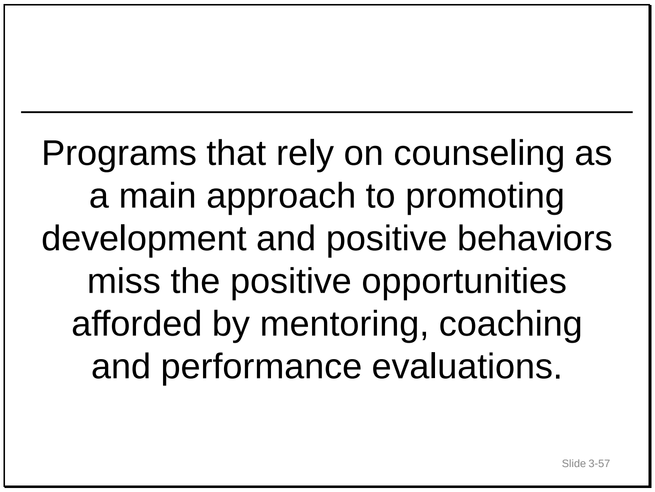


PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Must be follow-up so he or she receives feedback.
- Counseling has a higher rate of use than coaching, mentoring and performance evaluations.

i. Once a staff member has been counseled, there must be follow-up so he or she receives feedback on progress toward changing behavior.

j. Unfortunately, of the four key tools identified to assist in the development and growth of personnel, counseling has a higher rate of use than coaching, mentoring and performance evaluations.



Programs that rely on counseling as a main approach to promoting development and positive behaviors miss the positive opportunities afforded by mentoring, coaching and performance evaluations.

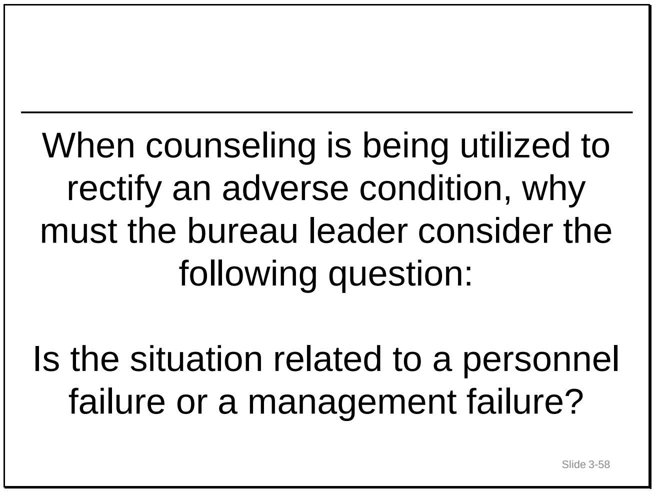
Slide 3-57

k. Programs that rely on counseling as a main approach to promoting development and positive behaviors miss the positive opportunities afforded by mentoring, coaching and performance evaluations.

l. Often perceived as having negative overtones, supervisors must make an extra effort to have the staff member understand the value of using counseling as a professional development tool.

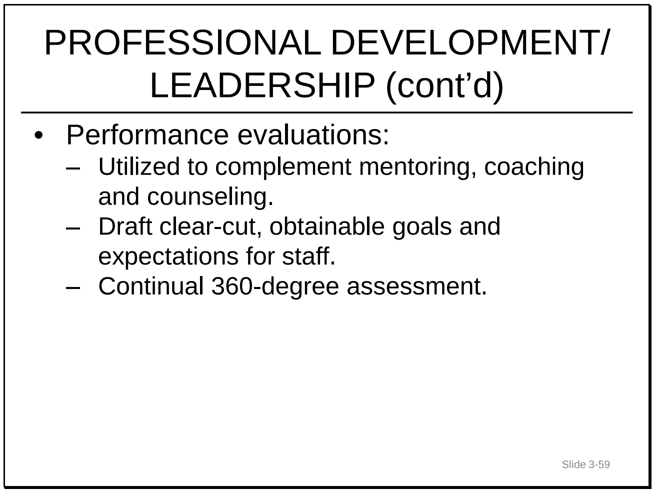
m. This is accomplished through the staff member clearly understanding the expectations of the job or task and discussing where there is a development opportunity where expectations are not being met.

n. Supervisors who counsel staff members must remain objective and understand that their focus must always be on the behavior, not the person.



When counseling is being utilized to rectify an adverse condition, why must the bureau leader consider the following question:

Is the situation related to a personnel failure or a management failure?



PROFESSIONAL DEVELOPMENT/ LEADERSHIP (cont'd)

- Performance evaluations:
  - Utilized to complement mentoring, coaching and counseling.
  - Draft clear-cut, obtainable goals and expectations for staff.
  - Continual 360-degree assessment.

8. Performance evaluations.

   a. Performance evaluations should always be utilized to complement mentoring, coaching and counseling.

   b. The goal of performance evaluations should be to draft clear-cut, obtainable goals and expectations for staff.

   c. Evaluations are a supervisory tool to evaluate performance and behaviors against a defined set of organizational standards so that useful feedback outlining future development opportunities is provided to the staff member.

   d. While evaluation formats vary, most organizations utilize some form of biannual performance assessment.

e. This approach provides a continual 360-degree assessment with clear goals and objectives for the staff member to focus on for the next six-month period.

f. Evaluations or assessments provide benefits to the staff member by communicating:

- Work behaviors.
- Work quality.
- Supervisor’s perceptions of performance and areas of concern.
- How to improve and develop performance.

g. Supervisors also receive the ability to provide feedback on a staff member’s positive contributions, measurable improvements and accomplishments.

h. Performance evaluations benefit the organization by communicating strategic plans and linking them back to the staff member’s performance.

i. Ancillary benefits to the organization include:

- Strategic planning and planning for the future.
- Encouraging staff member retention through development, recognition and feedback.
- Increasing staff member and workforce morale.
- Increasing quality of work and staff member relations.

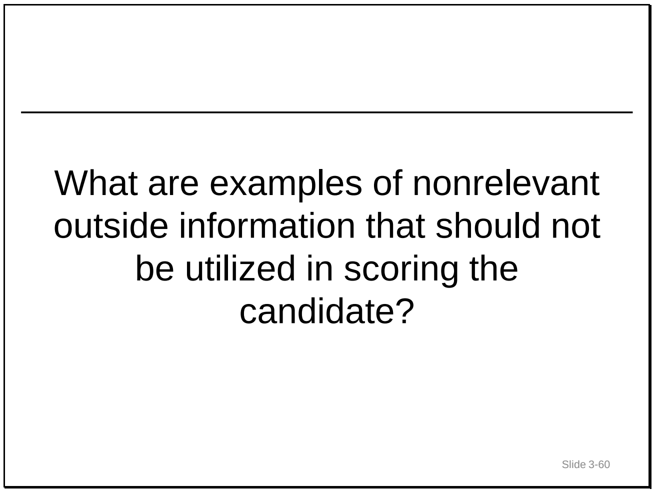
j. Performance evaluations may have inherent drawbacks that are based on human emotion and interaction that can cause unintended consequences in the evaluation process.

- Both supervisors and staff members can experience anxiety toward the evaluation interaction process that can be uncomfortable.
- Other common errors revolve around the rater’s approach to scoring the evaluation and fit into one of the following categories:

- -- Halo effect — judging or rating all aspects of a candidate on a single characteristic.

- -- Central tendency — tendency to rate candidates as average.

- -- Contamination — nonrelevant outside information is used in scoring the candidate.



What are examples of nonrelevant outside information that should not be utilized in scoring the candidate?

ACTIVITY 3.2

Exploring Tools for Evaluating Staff Performance

Purpose

To exchange information on how you evaluate staff performance within your bureau.

Directions

1. Please locate the performance evaluation you were directed to bring as part of your pre-course assignment.

2. In your table group, please discuss the following information:

   a. What type of performance evaluations are you using?

   b. How are they working for you?

   c. What are their specific strengths and challenges?

3. Students will be allowed 30 minutes for the sharing process.

   Note: If your bureau does have a performance evaluation tool, please observe and participate in the table discussion. As part of the MEFPP course please (at some point during the six-day period) network with peers who have brought evaluation tools.

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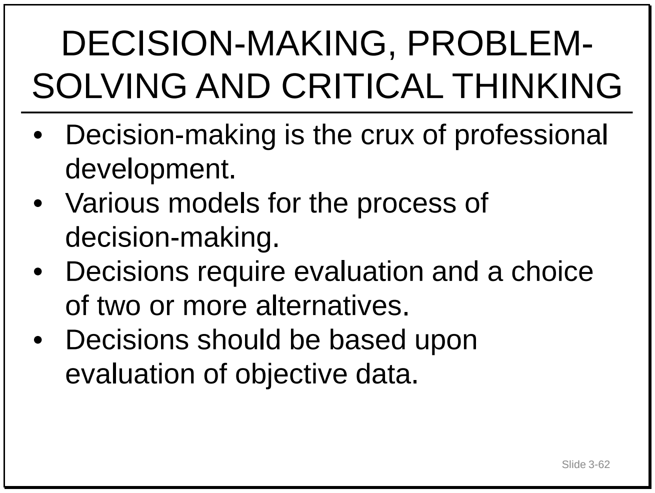
IV. DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING



DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING

- Decision-making is the crux of professional development.
- Various models for the process of decision-making.
- Decisions require evaluation and a choice of two or more alternatives.
- Decisions should be based upon evaluation of objective data.

A. Decision-making is the crux of professional development for supervisory personnel leading an organization.

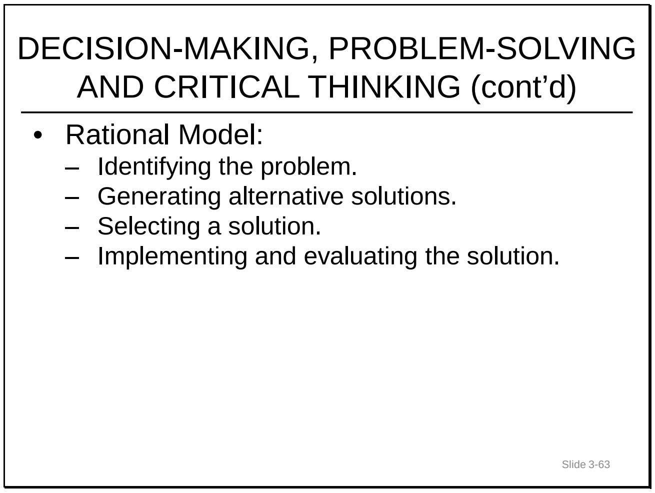
B. While there are various models for the process of decision-making, there are core principles that are central to the process regardless of the model used.

C. In simple terms, decisions require evaluation and a choice of two or more alternatives.

D. Decisions should be based upon evaluation of objective data.

E. While we all make decisions in the course of our everyday lives, the focus here is on great leaders who consistently make high-quality decisions resulting in positive impacts on their staff members and the organization at large.

F. Essential to the process is the knowledge and desire to proactively step up and effectively meet the challenges presented. Successful leaders have the ability to “combine the presence of mind with knowledge, understanding and educated and prepared instinct to correctly analyze the situation of the moment” (Lindner, 2005, p. 12).



DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING (cont'd)

- Rational Model:
  - Identifying the problem.
  - Generating alternative solutions.
  - Selecting a solution.
  - Implementing and evaluating the solution.

G. The Rational Model is considered the abridged model for decision-making and includes four steps:

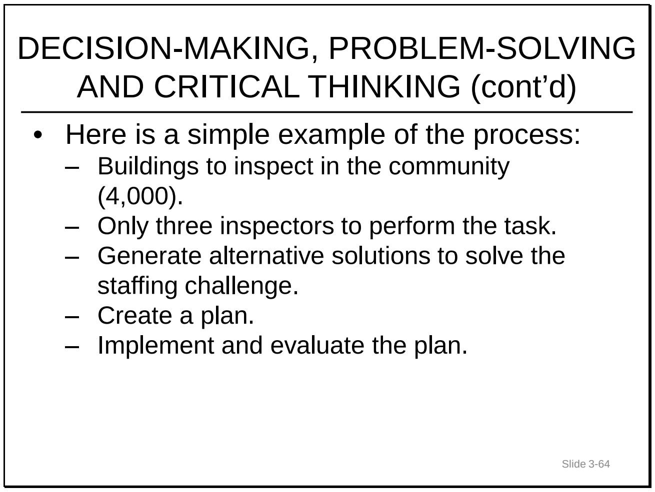
1. Identifying the problem.

2. Generating alternative solutions.

3. Selecting a solution.

4. Implementing and evaluating the solution.

H. In a perfect world, this simplified approach typically works well for technical problems that have two or more viable solutions.



DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING (cont'd)

- Here is a simple example of the process:
  - Buildings to inspect in the community (4,000).
  - Only three inspectors to perform the task.
  - Generate alternative solutions to solve the staffing challenge.
  - Create a plan.
  - Implement and evaluate the plan.

I. Here is a simple example of the process:

1. There are 4,000 buildings to inspect in the community.

2. There are only three inspectors to perform the task.

3. Generate alternative solutions to solve the staffing challenge:

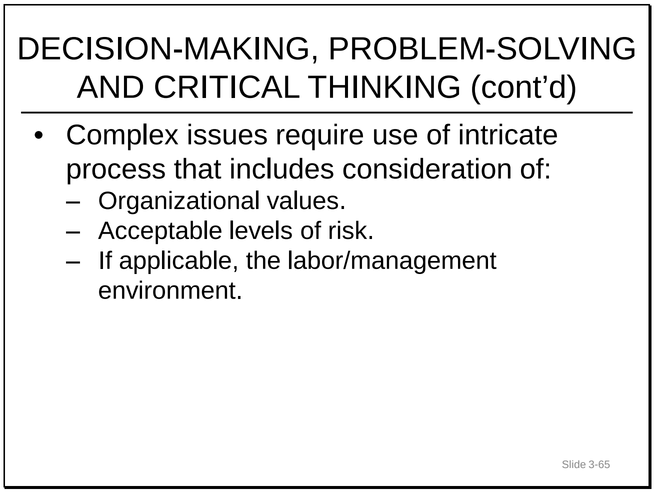
    a. Prioritize the order of inspections.

    b. Create a self-inspection process for low hazard occupancies.

    c. Enlist help from the response section or use outside support.

4. Create a plan.

5. Implement and evaluate the plan.



DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING (cont'd)

- Complex issues require use of intricate process that includes consideration of:
    - Organizational values.
    - Acceptable levels of risk.
    - If applicable, the labor/management environment.

J. However, the realities of complex emerging issues within the fire service require a much more intricate process that includes consideration of:

1. Organizational values.

2. Acceptable levels of risk.

3. If applicable, the labor/management environment.

K. All decisions involve an element of risk.

L. A successful leader evaluates an environment, takes calculated risks and moves a problem toward resolution.

M. Great leaders understand that good decisions are made after having a clear understanding of a problem, evaluating alternatives and knowing the limits of one's knowledge.

N. Organizational leaders should be focused on the professional development of their personnel so they can lay the framework that creates the structure and process for generating consistency in making high-quality decisions.

O. The professional development process lends itself to effectively developing creative problem-solvers throughout the organization.

P. Problem-solving skills are considered key for many occupations, especially within the fire and emergency services sector.

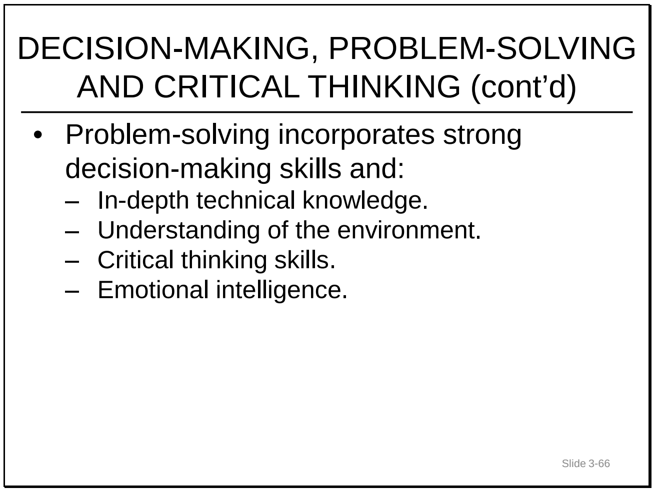
Q. Many individuals’ jobs focus around solving a problem, supporting those who are solving a problem or finding problems to solve.

R. This is especially important within the fire prevention/risk-reduction bureau, as much of the work done by personnel is performed independently in the field without the immediate input from a supervisor.

S. While not undervaluing the decision-making or problem-solving skills of suppression forces, it is important to understand the difference in their application in the field.

1. Response personnel normally work under the close supervision of a Company Officer (CO).

2. COs often receive direct orders from a battalion or Division Chief when operating at an incident.



DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING (cont’d)

- Problem-solving incorporates strong decision-making skills and:
  - In-depth technical knowledge.
  - Understanding of the environment.
  - Critical thinking skills.
  - Emotional intelligence.

T. Successful problem-solving incorporates strong decision-making skills along with core competencies such as:

1. In-depth technical knowledge.

2. Understanding of the environment.

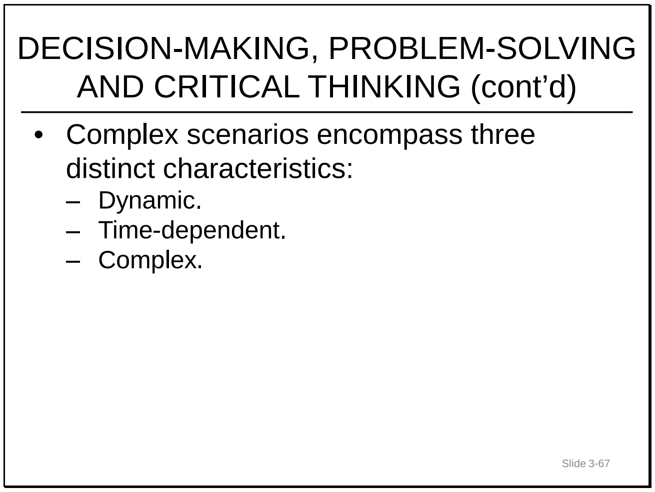
3. Critical thinking skills.

4. Emotional intelligence.

   Emotional intelligence is the ability to identify, manage and use one's emotions to communicate effectively and have a positive impact on the relationships in life.

U. Complex problem-solving takes decision-making to another dimension as it incorporates deeper levels of thought while having a thorough understanding of the complexity of the reaction to the solution applied.

1. Differences between simple decision-making and complex problem-solving lie in the intricacy of the interrelated issues that are at the root of the problem and how those issues impact all parties involved.



DECISION-MAKING, PROBLEM-SOLVING AND CRITICAL THINKING (cont'd)

- Complex scenarios encompass three distinct characteristics:
  - Dynamic.
  - Time-dependent.
  - Complex.

2. Complex problem-solving scenarios encompass three distinct characteristics in that they are:

   a. Dynamic — The environment has the ability to consistently change, forcing subsequent decisions.

   b. Time-dependent — Decisions must be made in relation to environmental variables and demands.

   c. Complex — The decision-making process is protracted or early decisions condition later ones.

V. Theorists agree that much research is needed to further define the intricacies surrounding complex problem-solving and the implications of sound decision-making within the process.

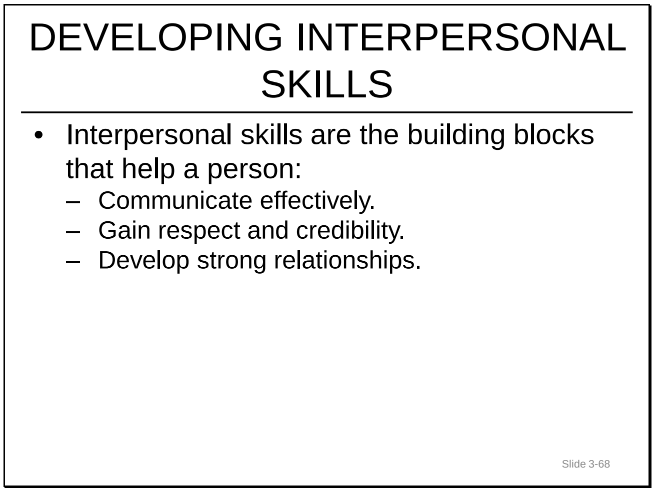
W. Professional development of personnel in the organization helps to build the core competencies that support strong decision-making and complex problem-solving skills within the organization.

X. When these skills are applied proficiently, organizations can develop great focus and clarity to define a critical path to success.

Y. With the complex issues that the fire service is facing, a critical path to success is the most direct route to a viable solution which eliminates wasted time, energy, money and emotional toil.

V. DEVELOPING INTERPERSONAL SKILLS FOR PERSONNEL WITHIN THE FIRE PREVENTION/ RISK-REDUCTION BUREAU

A. Interpersonal skills are utilized by departmental personnel to successfully interact with internal and external customers in the work environment.



DEVELOPING INTERPERSONAL SKILLS

- Interpersonal skills are the building blocks that help a person:
  - Communicate effectively.
  - Gain respect and credibility.
  - Develop strong relationships.

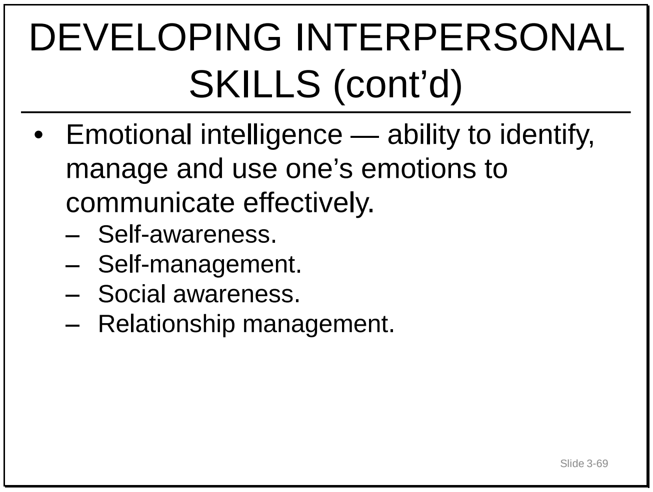
Slide 3-68

B. Commonly referred to as “soft” or “social” skills, interpersonal skills are the building blocks that help a person:

1. Communicate effectively.

2. Gain respect and credibility.

3. Develop strong relationships that are conducive to high levels of performance in the workplace.



DEVELOPING INTERPERSONAL SKILLS (cont'd)

- Emotional intelligence — ability to identify, manage and use one's emotions to communicate effectively.
  - Self-awareness.
  - Self-management.
  - Social awareness.
  - Relationship management.

C. At the top of the list of interpersonal skills is emotional intelligence.

1. Emotional intelligence is the ability to identify, manage and use one's emotions to communicate effectively and have a positive impact on the relationships in life.

2. Emotional intelligence is founded under four principles that include:

   a. Self-awareness — understanding how values, beliefs and emotions impact one's own behavior.

   b. Self-management — the ability to keep emotions in check and react appropriately even under difficult situations.

   c. Social awareness — a genuine concern for the feelings of others that involves understanding a person's needs and desires.

   d. Relationship management — the importance of building strong relationships that are centered on mutual respect and trust.

DEVELOPING INTERPERSONAL SKILLS (cont'd)

- Skills necessary for working effectively with others:
  - Emotional intelligence.
  - Conflict management.
  - Problem-solving.
  - Communication.
  - Listening.
  - Demonstrating responsibility.
  - Being accountable.
  - Showing appreciation.
  - Flexibility.

D. The following interpersonal skills have been identified as necessary for working effectively with others in the workplace:

1. Emotional intelligence.

2. The ability to manage conflict.

3. Problem-solving.

4. Communication.

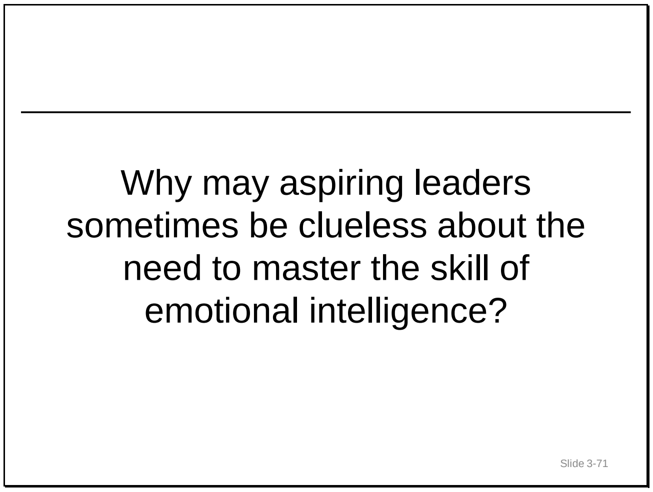
5. Listening.

6. Demonstrating responsibility.

7. Being accountable for one's actions.

8. Showing appreciation.

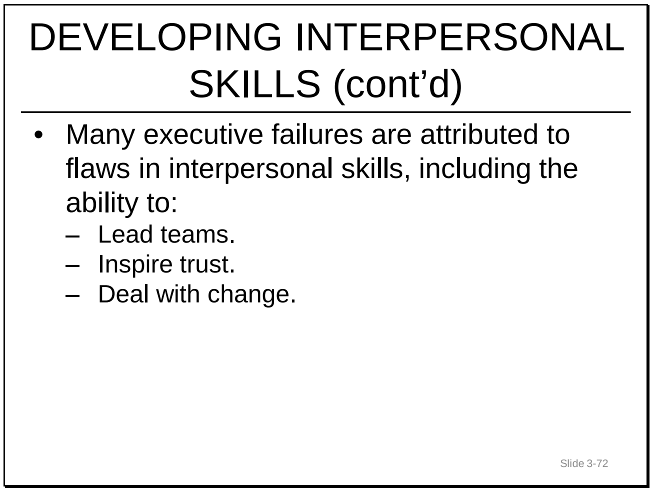
9. Flexibility.



Why may aspiring leaders sometimes be clueless about the need to master the skill of emotional intelligence?

E. Due to the overarching benefits of good interpersonal skills, the department should offer professional development on the topic through practical experience opportunities, mentoring, coaching and counseling. It should also be assessed during performance evaluations.

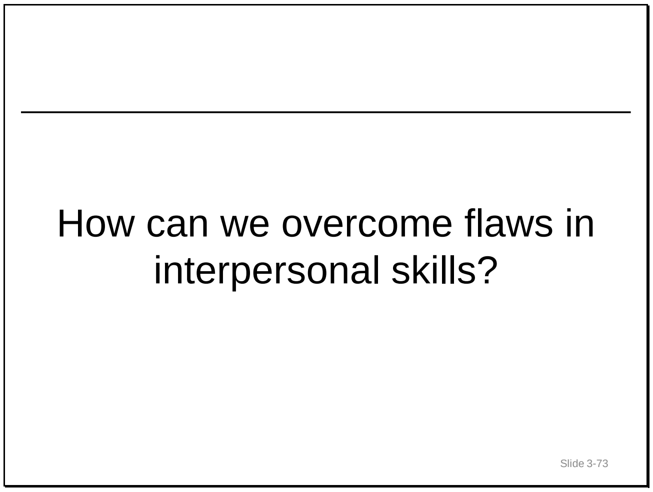
F. The benefits of strong interpersonal skills to personnel within the bureau are far-reaching and help an individual connect with the environment and other staff members to meet organizational goals and drive success.



DEVELOPING INTERPERSONAL SKILLS (cont'd)

- Many executive failures are attributed to flaws in interpersonal skills, including the ability to:
  - Lead teams.
  - Inspire trust.
  - Deal with change.

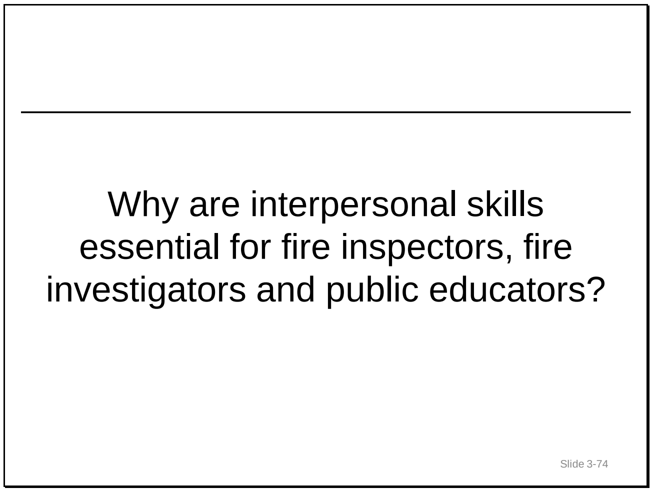
G. Research has found that many executive failures are directly attributed to flaws in interpersonal skills that include the ability to lead teams, inspire trust and deal with change within the organization.



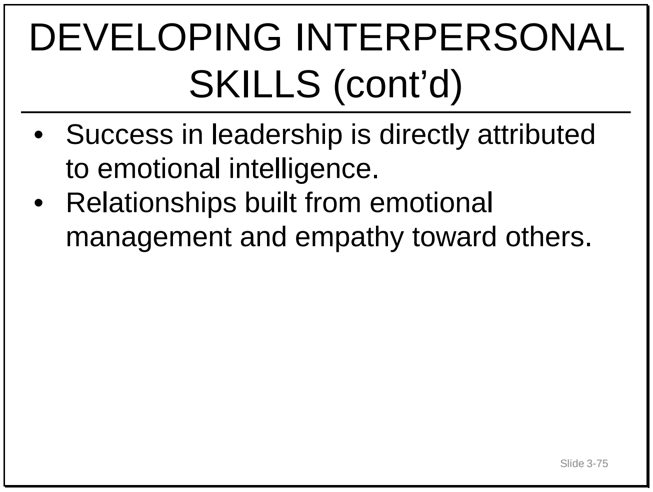
How can we overcome flaws in interpersonal skills?

H. Interpersonal skills such as communication, listening and problem-solving are critical to the success of the organization.

Bureau staff members have extensive contact with workers within the department, other governmental entities, complementing organizations, and with citizens.



Why are interpersonal skills essential for fire inspectors, fire investigators and public educators?

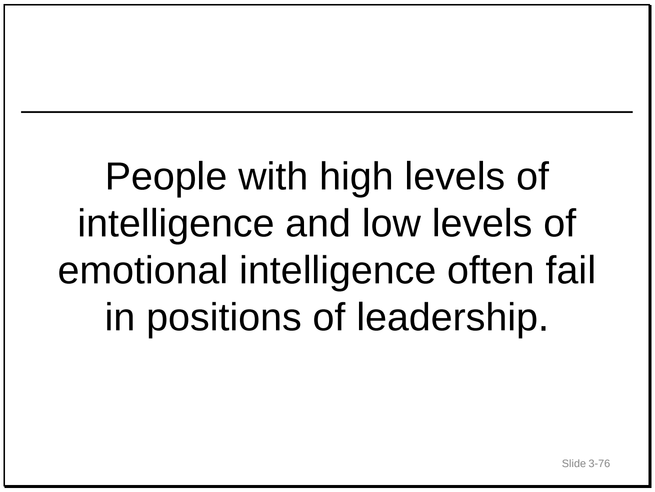


DEVELOPING INTERPERSONAL SKILLS (cont'd)

- Success in leadership is directly attributed to emotional intelligence.
- Relationships built from emotional management and empathy toward others.

I. A particularly high degree of success in leadership is directly attributed to emotional intelligence.

   1. This correlation comes from the strong relationships that are built from emotional management and empathy toward others.



People with high levels of intelligence and low levels of emotional intelligence often fail in positions of leadership.

   2. People with high levels of intelligence and low levels of emotional intelligence often fail in positions of leadership.

   3. This failure can be attributed to the leader's lack of understanding of what creates:

      a. Strong bonds and relationships.

      b. Trust.

      c. Good morale.

d. The desire of staff to perform for the organization.

J. Proficiency in a diverse set of interpersonal skills complement the organizational mission of providing quality service and public education with a strong customer focus.

DEVELOPING INTERPERSONAL SKILLS (cont'd)

- Employers can train staff on technical skills.
- More difficult to find staff members who possess:
  - Interpersonal skills to communicate effectively.
  - Highly developed problem-solving skills.
  - Emotional intelligence to operate successfully in a team environment.

K. Employers have found that they can train staff members the technical skills to perform effectively, but it is much more difficult to find staff members who possess:

1. Interpersonal skills to communicate effectively.

2. Highly developed problem-solving skills.

3. Emotional intelligence to operate successfully in a team environment.

L. Many employers believe interpersonal skills are considered the most important factor in career advancement and are a strong predictor of career success.

M. The successful bureau leader will create opportunities for all staff members to enhance their interpersonal communication abilities.

ACTIVITY 3.3

Professional Development Action Plan

Purpose

To develop an action plan for enhancing professional development skills within a fire prevention/risk-reduction bureau.

Directions

1. Your table group will be assigned a scenario to read.
2. Upon completion of the reading, your group should respond to the following directives:
    a. Identify the problem.
    b. Is the problem primarily related to a technical skill or interpersonal issue?
    c. Recommend a strategy the bureau leader could utilize to improve staff performance. (Training, coaching, mentoring, counseling, etc.)

       Note: The strategy must include recommendations for professional development, define distinct areas of focus, and determine the vehicle for development.
    d. Identify the benefits that the strategic implementation will provide to the individual as well as the organization.
3. Your group will choose a scribe to capture your discussion and record answers using the easel pad. Your group should select a member to report out to the class.
4. You will be allowed 30 minutes for small group processing.
5. You will be allowed 20 minutes for group reporting.
6. You will be allowed 10 minutes for debriefing.

Scenario One

The fire chief is receiving complaints from council members that business owners are upset with the treatment received from inspectors. Business owners claim the inspectors are displaying a rude, condescending demeanor when conducting inspections. Inspectors are not explaining the rationale behind use of enforcement, and in some cases they have displayed a very militant enforcement-only attitude. The fire marshal has noticed the aggressive behavior and negative rhetoric of his inspectors and has even overheard statements when they come to work proclaiming, “Who can we fine today?”

Scenario Two

You (the bureau leader) are conducting a semiannual review of the public education programs offered by your educators. You discover that most work has been performed on weekends and entails staffing of static displays at various public gathering places. Your educators have logged that they have handed out hundreds of brochures about public safety. Through quantitative and qualitative analysis of fire data reporting and program quality, you have determined that your current program offerings are having little effect on the fire and safety problems that exist in your community.

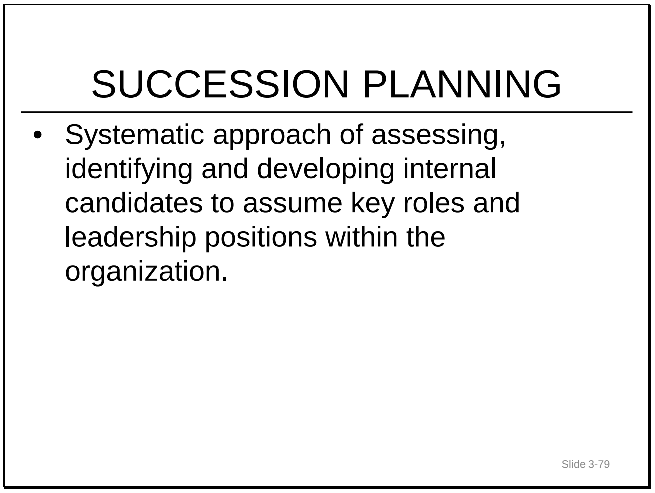
Scenario Three

You are the leader of a fire prevention bureau that includes a cadre of seasoned and newly promoted fire investigators. While preparing annual reports for the fire chief on division activities, you have noticed that 85 percent of the investigators’ origin and cause reports have come back as “undetermined.” While you have had some attrition out of the unit over the past couple of years, you have replaced those members with people who have expressed interest through internal postings in each fire station. As of late, your budget has been cut considerably; however, you still try to send your investigators to annual training that is required to maintain their certification.

Scenario Four

You have recently received a promotion to fire prevention/risk-reduction bureau leader, and over the first few weeks you have noticed there is great discontent within the unit. Your assessment finds that there is a blatant lack of communication, trust and cooperation between the members of the prevention unit, including groups of public educators, inspectors, plans reviewers and investigators. Initially, you believe that this was caused by the lack of leadership, vision and organizational focus of having an interim supervisor for an extended period. However, after discussing the issue with some members of the unit, you find that this has been going on for much longer than you anticipated. Members have even commented on the fact that each group views the other groups’ work as unimportant and menial to the overall mission of the division.

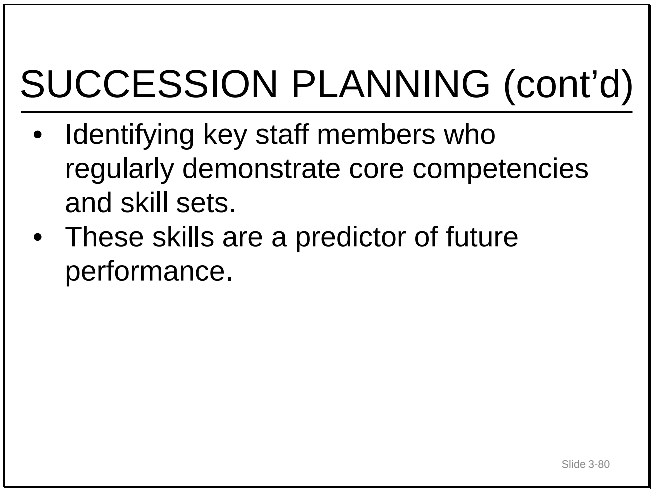
VI. SUCCESSION PLANNING



SUCCESSION PLANNING

- Systematic approach of assessing, identifying and developing internal candidates to assume key roles and leadership positions within the organization.

A. Succession planning is a systematic approach of assessing, identifying, and developing internal candidates to assume key roles and leadership positions within the organization.

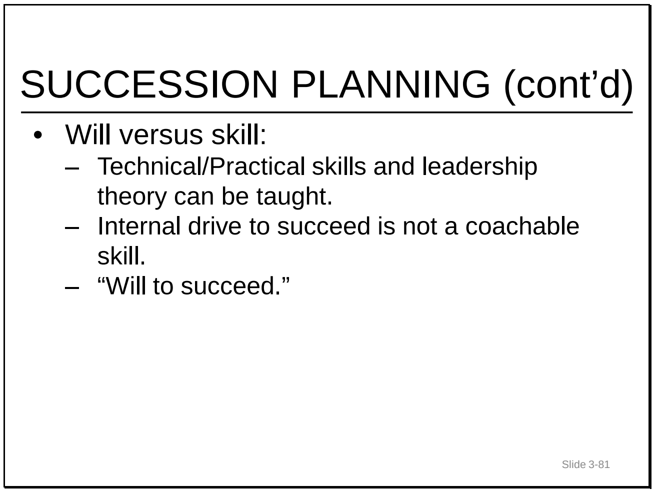


SUCCESSION PLANNING (cont'd)

- Identifying key staff members who regularly demonstrate core competencies and skill sets.
- These skills are a predictor of future performance.

B. Critical to succession planning is identifying key staff members who regularly demonstrate core competencies and skill sets that are above and beyond comparable levels of others within the organization.

C. These transferrable skills are a predictor of future performance in levels of higher responsibility.



SUCCESSION PLANNING (cont'd)

- Will versus skill:
  - – Technical/Practical skills and leadership theory can be taught.
  - – Internal drive to succeed is not a coachable skill.
  - – "Will to succeed."

D. Will versus skill.

1. Technical/Practical skills and leadership theory can be taught.

2. Inherent to the individual is the internal drive to succeed. This is not a coachable skill.

3. Coined the "will to succeed," highly motivated individuals have the internal passion to:

   a. Embrace new challenges.

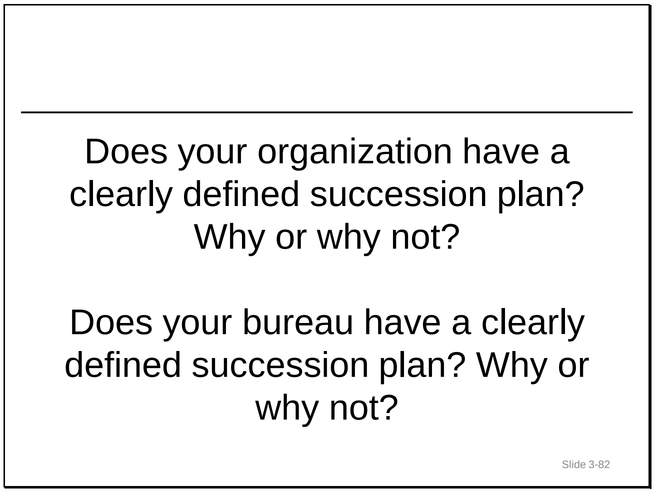
   b. Welcome new tasks, roles and responsibilities that are outside of their comfort zone.

E. Considered one of the key components of true leadership, individuals with high levels of internal drive see each new challenge as a learning opportunity to grow professionally.

F. A direct connection exists between building the succession pipeline of an organization and professional development of staff.

G. The commitment to professional development by organizational leaders is critical to the success of succession planning.

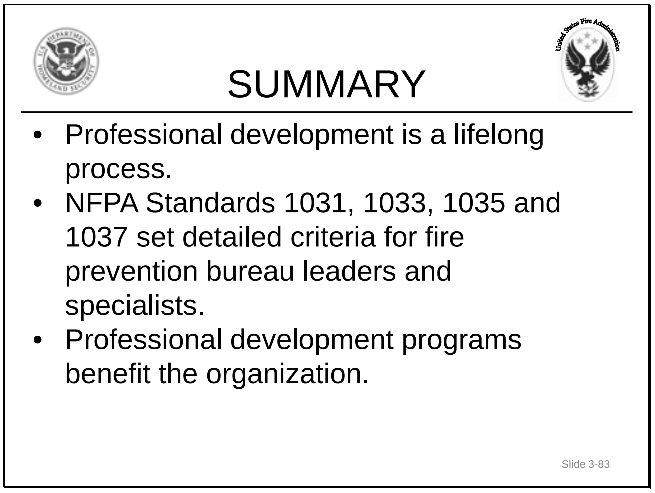
H. Professional development can help nurture staff members by setting high, yet attainable goals and standards.



Does your organization have a clearly defined succession plan? Why or why not?

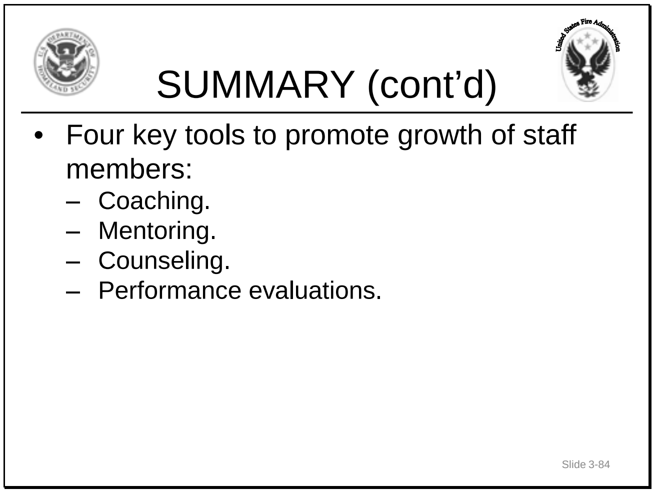
Does your bureau have a clearly defined succession plan? Why or why not?

VII. SUMMARY



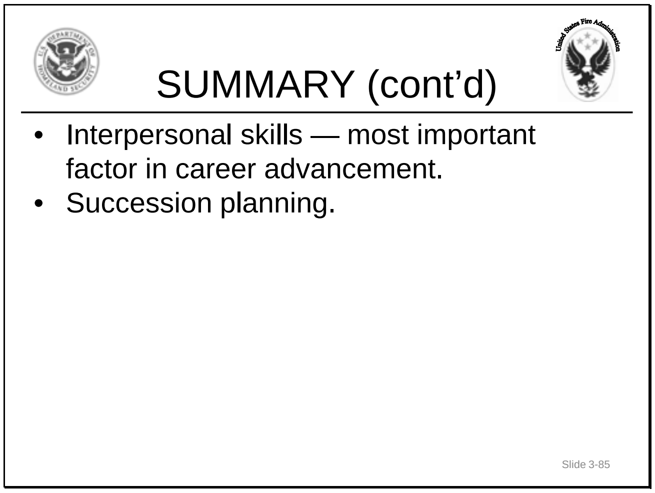
SUMMARY

- Professional development is a lifelong process.
- NFPA Standards 1031, 1033, 1035 and 1037 set detailed criteria for fire prevention bureau leaders and specialists.
- Professional development programs benefit the organization.



SUMMARY (cont'd)

- Four key tools to promote growth of staff members:
  - Coaching.
  - Mentoring.
  - Counseling.
  - Performance evaluations.



SUMMARY (cont'd)

- Interpersonal skills — most important factor in career advancement.
- Succession planning.

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APPENDIX A

FESHE MATRIX

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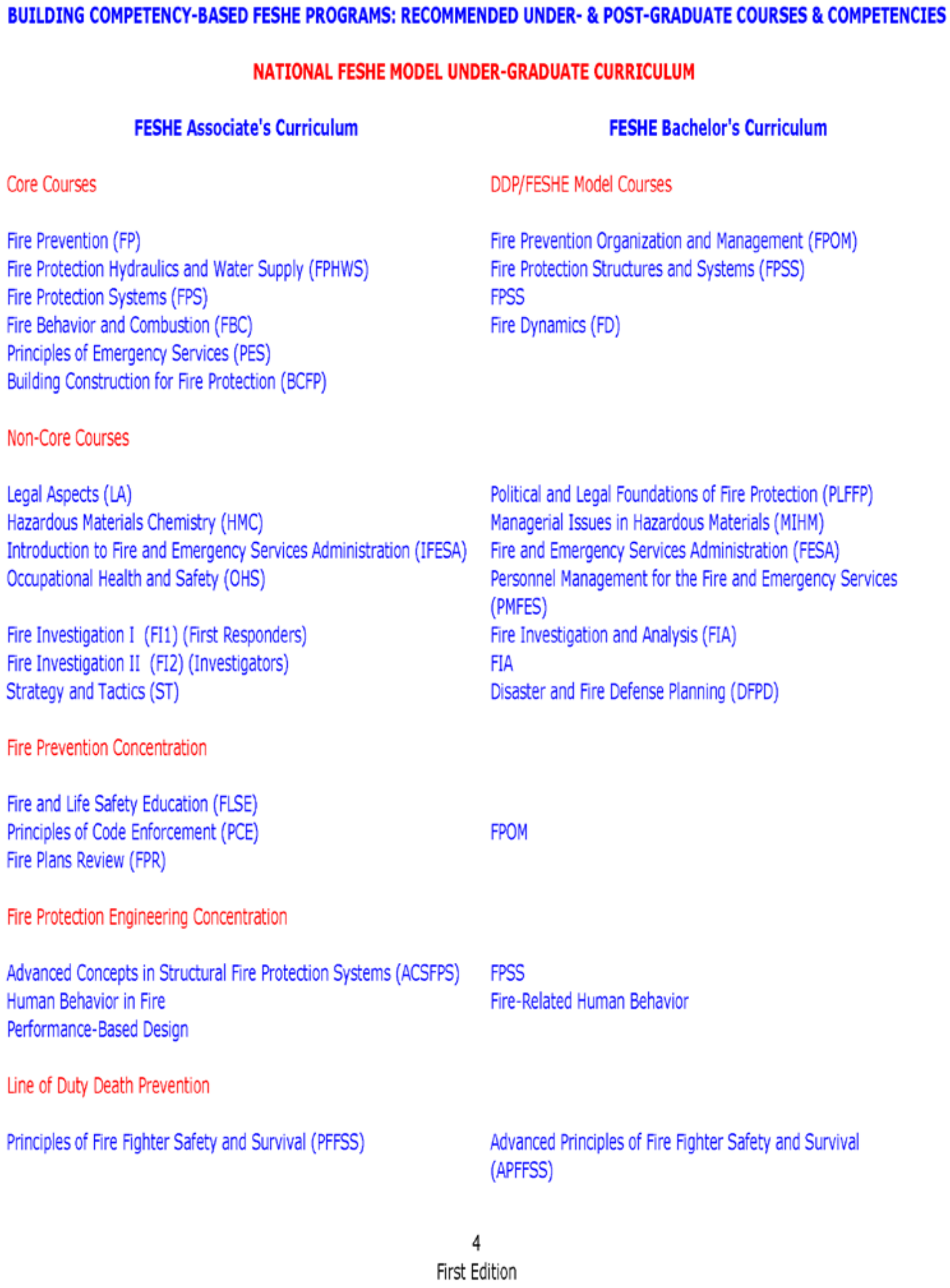
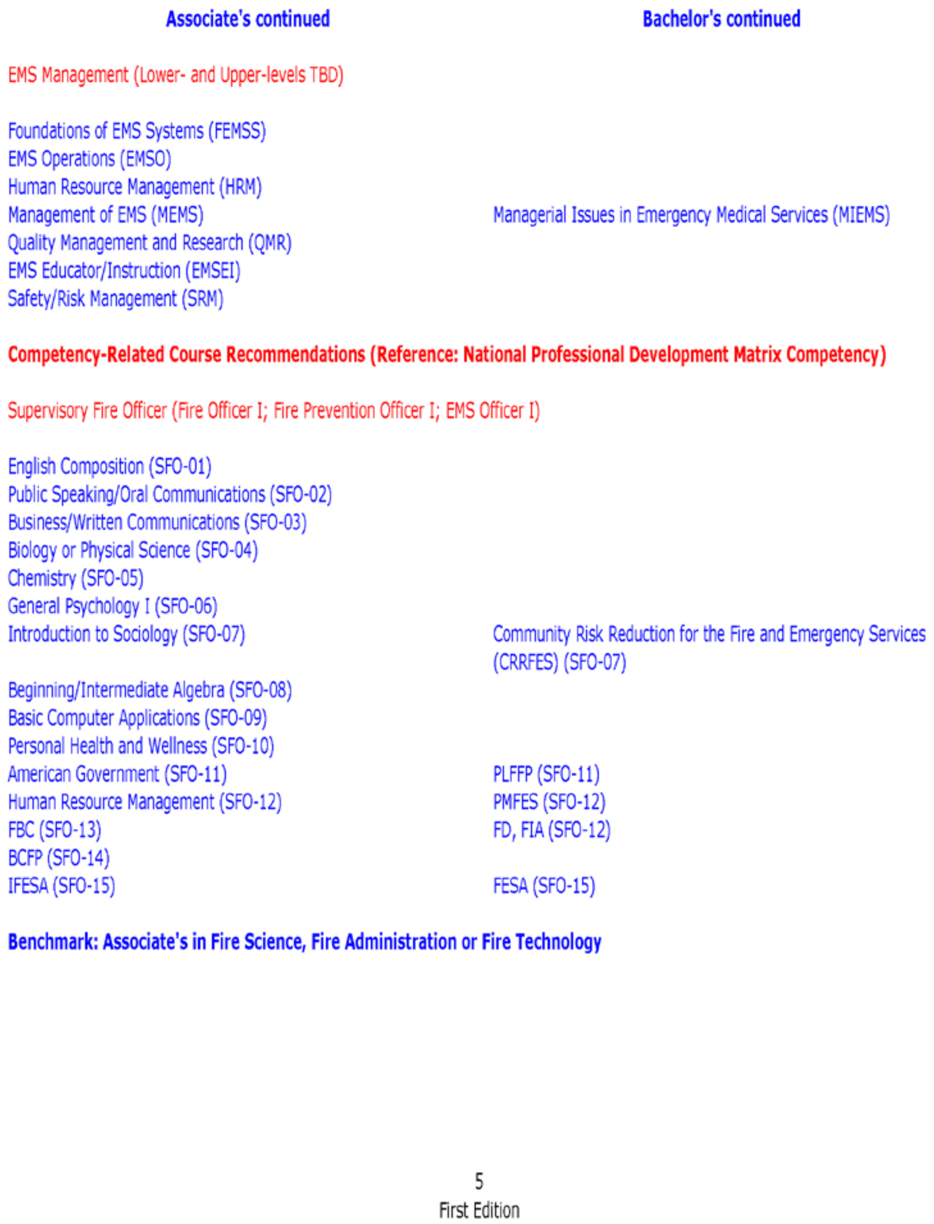


BUILDING COMPETENCY-BASED FESHE PROGRAMS: RECOMMENDED UNDER- & POST-GRADUATE COURSES & COMPETENCIES

NATIONAL FESHE MODEL UNDER-GRADUATE CURRICULUM

FESHE Associate's Curriculum	FESHE Bachelor's Curriculum
Core Courses	DDP/FESHE Model Courses
Fire Prevention (FP)	Fire Prevention Organization and Management (FPOM)
Fire Protection Hydraulics and Water Supply (FPHWS)	Fire Protection Structures and Systems (FPSS)
Fire Protection Systems (FPS)	FPSS
Fire Behavior and Combustion (FBC)	Fire Dynamics (FD)
Principles of Emergency Services (PES)	
Building Construction for Fire Protection (BCFP)	
Non-Core Courses	
Legal Aspects (LA)	Political and Legal Foundations of Fire Protection (PLFFP)
Hazardous Materials Chemistry (HMC)	Managerial Issues in Hazardous Materials (MIHM)
Introduction to Fire and Emergency Services Administration (IFESA)	Fire and Emergency Services Administration (FESA)
Occupational Health and Safety (OHS)	Personnel Management for the Fire and Emergency Services (PMFES)
Fire Investigation I (FI1) (First Responders)	Fire Investigation and Analysis (FIA)
Fire Investigation II (FI2) (Investigators)	FIA
Strategy and Tactics (ST)	Disaster and Fire Defense Planning (DFPD)
Fire Prevention Concentration	
Fire and Life Safety Education (FLSE)	
Principles of Code Enforcement (PCE)	FPOM
Fire Plans Review (FPR)	
Fire Protection Engineering Concentration	
Advanced Concepts in Structural Fire Protection Systems (ACSFPS)	FPSS
Human Behavior in Fire	Fire-Related Human Behavior
Performance-Based Design	
Line of Duty Death Prevention	
Principles of Fire Fighter Safety and Survival (PFFSS)	Advanced Principles of Fire Fighter Safety and Survival (APFFSS)

4
First Edition



Associate's continued	**Bachelor's continued**
EMS Management (Lower- and Upper-levels TBD)	
Foundations of EMS Systems (FEMSS)	
EMS Operations (EMSO)	
Human Resource Management (HRM)	
Management of EMS (MEMS)	Managerial Issues in Emergency Medical Services (MIEMS)
Quality Management and Research (QMR)	
EMS Educator/Instruction (EMSEI)	
Safety/Risk Management (SRM)	
Competency-Related Course Recommendations (Reference: National Professional Development Matrix Competency)	
Supervisory Fire Officer (Fire Officer I; Fire Prevention Officer I; EMS Officer I)	
English Composition (SFO-01)	
Public Speaking/Oral Communications (SFO-02)	
Business/Written Communications (SFO-03)	
Biology or Physical Science (SFO-04)	
Chemistry (SFO-05)	
General Psychology I (SFO-06)	
Introduction to Sociology (SFO-07)	Community Risk Reduction for the Fire and Emergency Services (CRRFES) (SFO-07)
Beginning/Intermediate Algebra (SFO-08)	
Basic Computer Applications (SFO-09)	
Personal Health and Wellness (SFO-10)	
American Government (SFO-11)	PLFFP (SFO-11)
Human Resource Management (SFO-12)	PMFES (SFO-12)
FBC (SFO-13)	FD, FIA (SFO-12)
BCFP (SFO-14)	
IFESA (SFO-15)	FESA (SFO-15)
Benchmark: Associate's in Fire Science, Fire Administration or Fire Technology	

5

First Edition

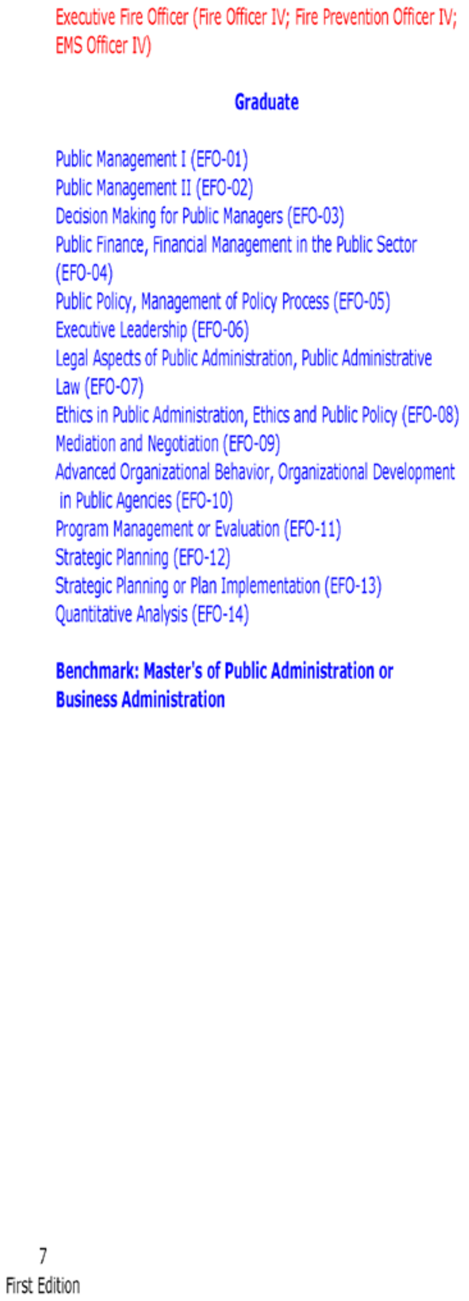
Managing Fire Officer (Fire Officer II; Fire Prevention Officer II; EMS Officer II)

Associate's	**Bachelor's**
Statistics (MFO-01)	Analytical Approaches to Public Fire Protection (AAPFP) (MFO-01)
Public Speaking/Oral Communications (MFO-02, SFO-02)	
American Government (MFO-03, SFO-11)	
Research, Critical Reasoning (MFO-04)	Applications of Fire Research (AFR), AAPFP (MFO-04)
Ethics and Values in the Workplace (MFO-05)	PMFES (MFO-05)
Report Writing (MFO-06)	
Public Finance, Budgeting (MFO-07)	
Fire Service Management (MFO-08)	PMFES, FESA, PLFFP (MFO-08)
Law (MFO-09)	PLFFP (MFO-09)
Planning (MFO-10)	FESA (MFO-10)
Prevention and Education (MFO-11)	FPOM, CRRFES (MFO-11)
FPS (MFO-12)	FPSS (MFO-12)
FPHWS (MFO-13)	

Administrative Fire Officer (Fire Officer III; Fire Prevention Officer III; EMS Officer III)

Economics (AFO-01)
Principles of Management, FESA (AFO-02)
Management in the Public Sector, Political Science, Public
continued--Administration, PLFFP, FPOM (AFO-03)
History, Leadership (AFO-04)
Human Resource Management, PMFES (AFO-05)
Risk Management, FPOM, CRRFES (AFO-06)
Organizational Behavior, FES (AFO-07)
Statistics, AAPFP (AFO-08)
PLFPP (AFO-09)
Managerial Budgeting and Accounting, FESA (AFO-10)
Organizational Development or Behavior, Industrial Psychology,
continued--PMFES (AFO-11)
Professional Ethics, Decision Making (AFO-12)

Benchmark: Bachelor's in Fire Scienc, Fire Administration, Fire Technology or Social Sciences



Executive Fire Officer (Fire Officer IV; Fire Prevention Officer IV; EMS Officer IV)

Graduate

Public Management I (EFO-01)
Public Management II (EFO-02)
Decision Making for Public Managers (EFO-03)
Public Finance, Financial Management in the Public Sector (EFO-04)
Public Policy, Management of Policy Process (EFO-05)
Executive Leadership (EFO-06)
Legal Aspects of Public Administration, Public Administrative Law (EFO-07)
Ethics in Public Administration, Ethics and Public Policy (EFO-08)
Mediation and Negotiation (EFO-09)
Advanced Organizational Behavior, Organizational Development in Public Agencies (EFO-10)
Program Management or Evaluation (EFO-11)
Strategic Planning (EFO-12)
Strategic Planning or Plan Implementation (EFO-13)
Quantitative Analysis (EFO-14)

Benchmark: Master's of Public Administration or Business Administration

7
First Edition

APPENDIX B

FESHE MODEL CURRICULUM FOR FIRE PREVENTION

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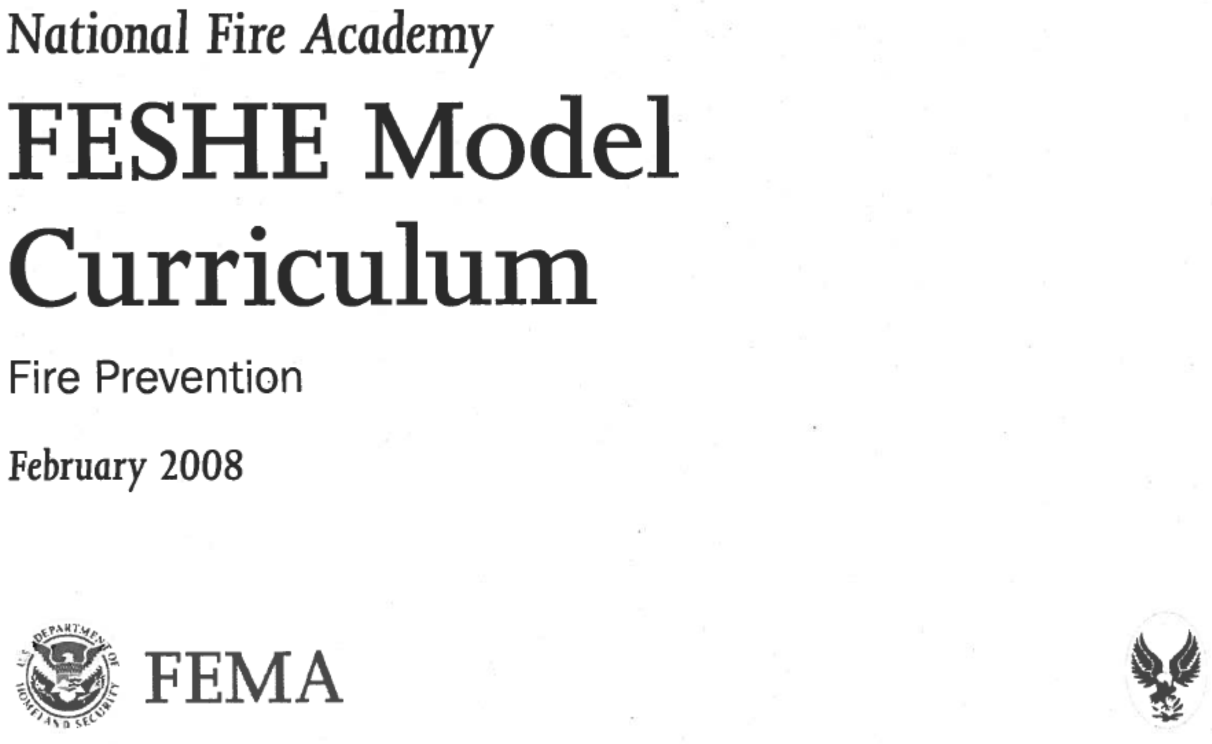


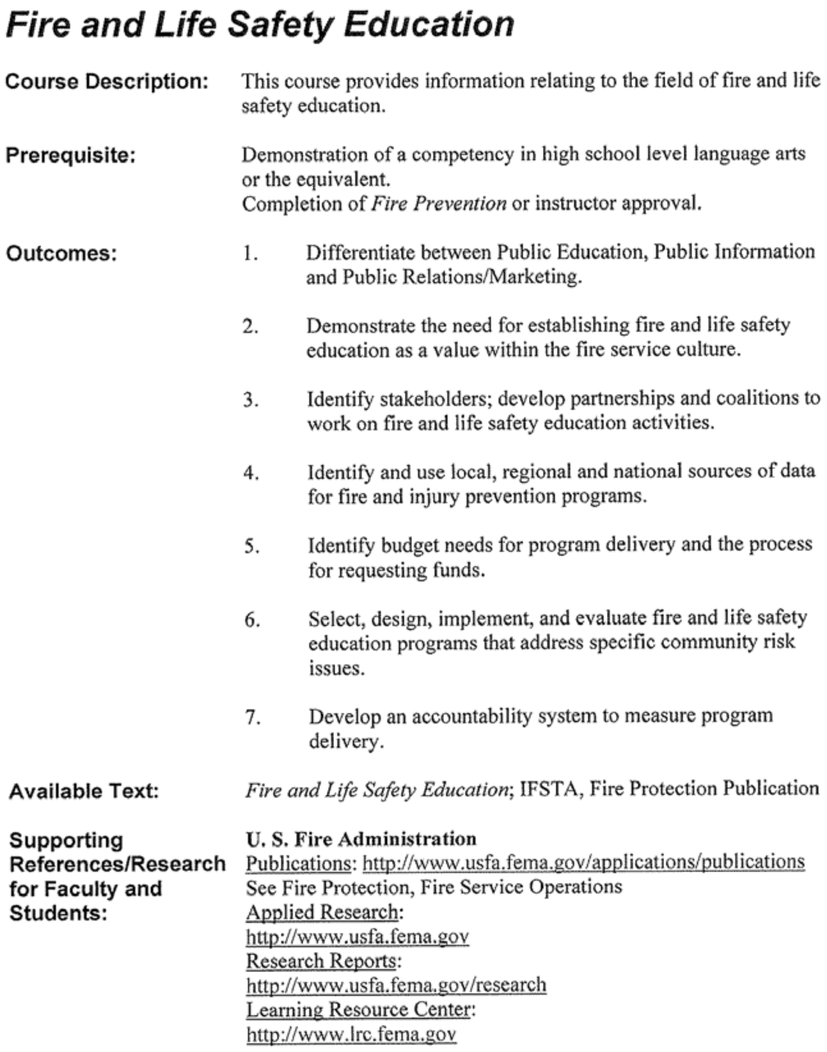
National Fire Academy

FESHE Model Curriculum

Fire Prevention

February 2008

FEMA



Fire and Life Safety Education

Course Description: This course provides information relating to the field of fire and life safety education.

Prerequisite: Demonstration of a competency in high school level language arts or the equivalent.
Completion of *Fire Prevention* or instructor approval.

Outcomes:

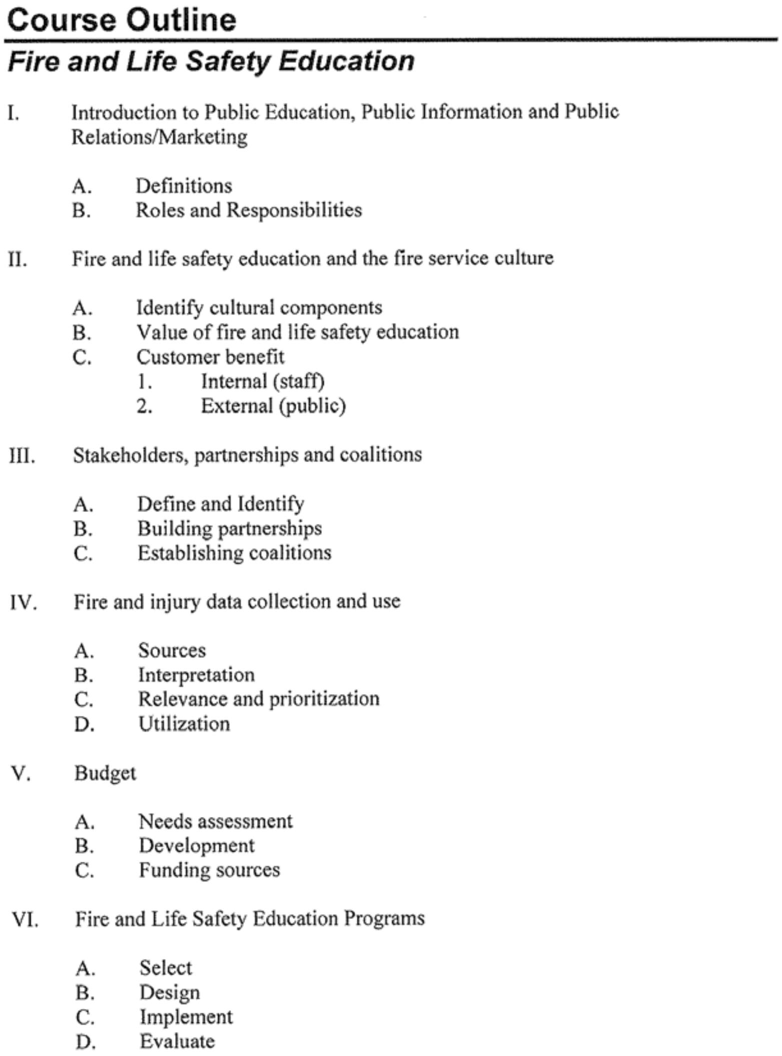
1. Differentiate between Public Education, Public Information and Public Relations/Marketing.
2. Demonstrate the need for establishing fire and life safety education as a value within the fire service culture.
3. Identify stakeholders; develop partnerships and coalitions to work on fire and life safety education activities.
4. Identify and use local, regional and national sources of data for fire and injury prevention programs.
5. Identify budget needs for program delivery and the process for requesting funds.
6. Select, design, implement, and evaluate fire and life safety education programs that address specific community risk issues.
7. Develop an accountability system to measure program delivery.

Available Text: *Fire and Life Safety Education*; IFSTA, Fire Protection Publication

Supporting References/Research for Faculty and Students:

U. S. Fire Administration
Publications: http://www.usfa.fema.gov/applications/publications
See Fire Protection, Fire Service Operations
Applied Research:
http://www.usfa.fema.gov
Research Reports:
http://www.usfa.fema.gov/research
Learning Resource Center:
http://www.lrc.fema.gov

Supporting References/Research for Faculty and Students:	**References** Lessons Learned Information Sharing: http://www.llis.dhs.gov/member/secure/index.cfm http://www.homefiresprinkler.org Society of Fire Protection Engineers: http://www.pentoncmg.com/sfpe/index.html **Current Events/News** http://www.firehouse.com http://www.fireengineering.com http://www.withthecommand.com
Assessment:	Students will be evaluated for mastery of learning objectives by methods of evaluation to be determined by the instructor.
Points of Contact:	Gerri Penney, M.Ed., Palm Beach County Fire Rescue (561) 616-7024, gpenney@co.palm-beach.fl.us



Course Outline

Fire and Life Safety Education

I. Introduction to Public Education, Public Information and Public Relations/Marketing

  A. Definitions
  B. Roles and Responsibilities

II. Fire and life safety education and the fire service culture

  A. Identify cultural components
  B. Value of fire and life safety education
  C. Customer benefit
    1. Internal (staff)
    2. External (public)

III. Stakeholders, partnerships and coalitions

  A. Define and Identify
  B. Building partnerships
  C. Establishing coalitions

IV. Fire and injury data collection and use

  A. Sources
  B. Interpretation
  C. Relevance and prioritization
  D. Utilization

V. Budget

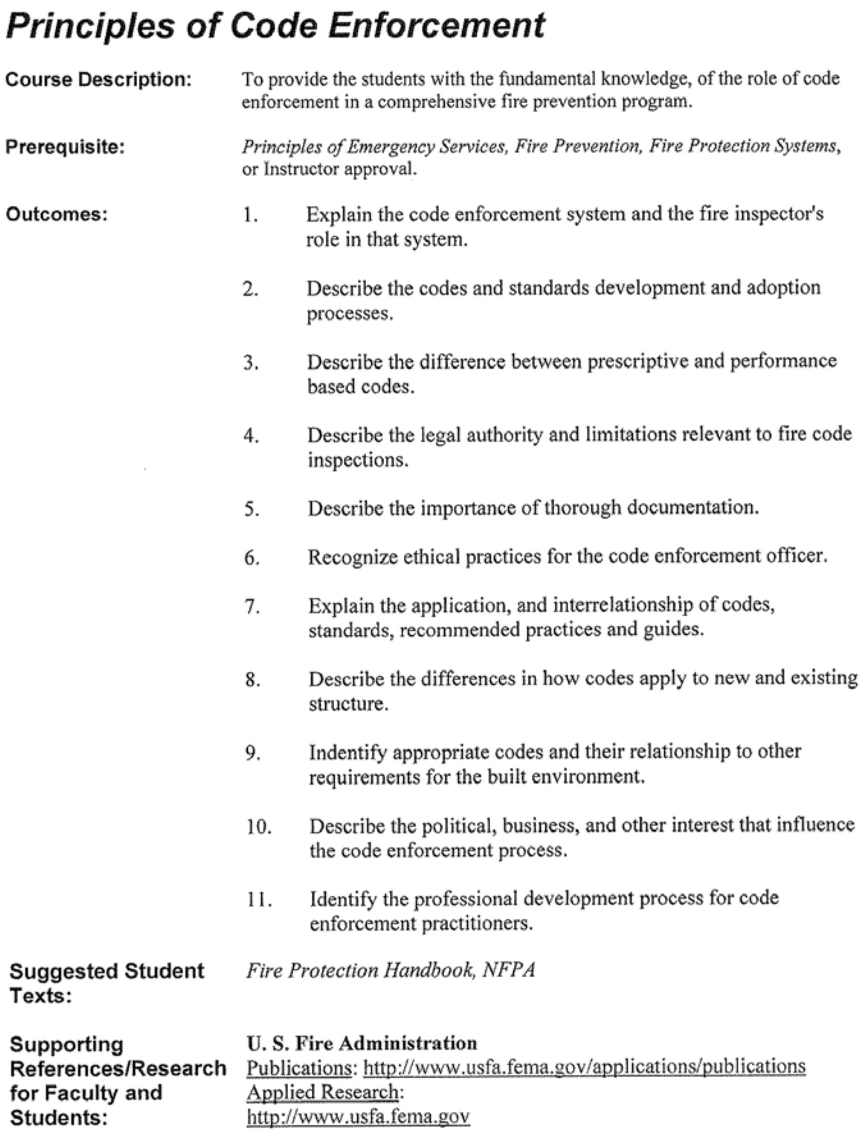
  A. Needs assessment
  B. Development
  C. Funding sources

VI. Fire and Life Safety Education Programs

  A. Select
  B. Design
  C. Implement
  D. Evaluate

VII. Accountability systems

- A. Define
- B. Collect data
    - 1. staffing and resources
    - 2. audience
    - 3. program type
- C. Compile data
- D. Analyze



Principles of Code Enforcement

Course Description: To provide the students with the fundamental knowledge, of the role of code enforcement in a comprehensive fire prevention program.

Prerequisite: *Principles of Emergency Services, Fire Prevention, Fire Protection Systems*, or Instructor approval.

Outcomes:

1. Explain the code enforcement system and the fire inspector's role in that system.
2. Describe the codes and standards development and adoption processes.
3. Describe the difference between prescriptive and performance based codes.
4. Describe the legal authority and limitations relevant to fire code inspections.
5. Describe the importance of thorough documentation.
6. Recognize ethical practices for the code enforcement officer.
7. Explain the application, and interrelationship of codes, standards, recommended practices and guides.
8. Describe the differences in how codes apply to new and existing structure.
9. Indentify appropriate codes and their relationship to other requirements for the built environment.
10. Describe the political, business, and other interest that influence the code enforcement process.
11. Identify the professional development process for code enforcement practitioners.

Suggested Student Texts: *Fire Protection Handbook, NFPA*

Supporting References/Research for Faculty and Students: **U. S. Fire Administration**
Publications: http://www.usfa.fema.gov/applications/publications
Applied Research:
http://www.usfa.fema.gov

Research Reports:
http://www.usfa.fema.gov/research
Technical Reports:
http://www.usfa.fema.gov/applications/publications/browse.cfm?mc=29
Topical Fire Research Series:
http://www.usfa.fema.gov
Learning Resource Center:
http://www.lrc.fema.gov

National Institute for Standards and Technology
http://www.fire.nist.gov: Fire Tests/Data, Software/Models, Publications, FIREDOC (under Publications)

References

Current Events/News
http://www.firehouse.com
http://www.fireengineering.com
http://www.withthecommand.com

Assessment: Students will be evaluated for mastery of learning objectives by methods of evaluation to be determined by the instructor.

Points of Contact:
Jim Goodloe, bureau Chief of Fire Prevention
FL Division of State Fire Marshal, 850-413-3620
Jim.Goodloe@fldfs.com

Course Outline

Principles of Code Enforcement

VIII. Introduction to Code Enforcement System

- A. Which codes are adopted
- B. Code interpretation
- C. Permits and appeals process
- D. Organizational structure
- E. Establishment of the AHJ

II. Legal authority and limitations for code enforcement

- A. Governmental structure:
  Federal, state, county, municipality
- B. Statues/laws, rules/regulations, codes and ordinances
- C. Right of entry

III. The Codes of Standards Development Process

- A. Historical overview
- B. NFPA, ICC, ANSI, UL, FM etc. processes
- C. The code adoption process

IV. Prescriptive vs. Performance based codes

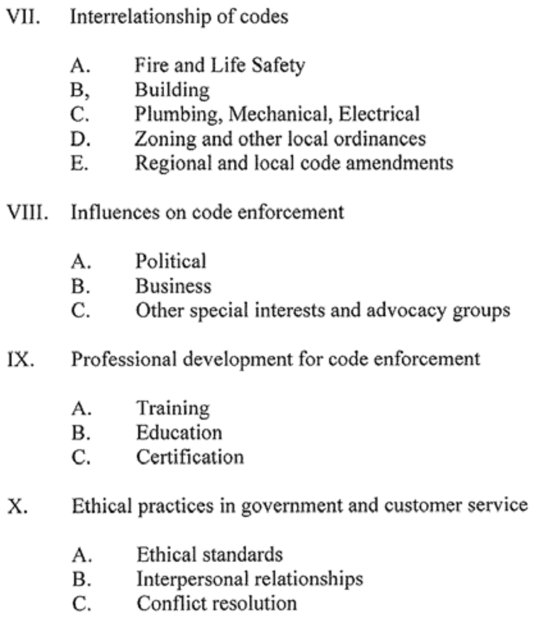
- A. Definitions
- B. Development of performance based code concepts
- C. Role of each

V. Documentation

- A. Concise written communication
- B. Reason for documentation
  - 1. for legal requirements
  - 2. records retention

VI. Codes, standards, recommended practices and guides

- A. Definitions
- B. Enforcement applicability
- C. Application in new and existing structures



VII. Interrelationship of codes

- A. Fire and Life Safety
- B, Building
- C. Plumbing, Mechanical, Electrical
- D. Zoning and other local ordinances
- E. Regional and local code amendments

VIII. Influences on code enforcement

- A. Political
- B. Business
- C. Other special interests and advocacy groups

IX. Professional development for code enforcement

- A. Training
- B. Education
- C. Certification

X. Ethical practices in government and customer service

- A. Ethical standards
- B. Interpersonal relationships
- C. Conflict resolution

Fire Plans Review

Course Description: This course provides for the application of fire codes and standards in developing an understanding of a building's fire protection features including the design of fire alarm systems, water-based fire suppression systems, special hazard fire suppression systems, water supply for fire protection and egress arrangements through the evaluation of 2D drawings and schematics.

Prerequisite: Demonstration of a competency in high school level algebra or the equivalent.
Completion of Fire Protection Systems, Fire Inspection Principles, Fire Protection Hydraulics and Water Supply, Building Construction for Fire Protection or the equivalent or instructor approval.

Outcomes:

5. Describe at least three reasons for performing plan checks, the objectives of a proposed plans review program, the impact of such a program, and how the program will enhance current fire prevention programs.

6. Develop a graphic illustration of a model plans review system, identifying at least four components involved in the system including the use of plans review checklists.

7. List three methods to monitor and evaluate the effectiveness of code requirements according to applicable standards.

8. Determine fire department access, verify appropriate water supply, and review general building parameters.

9. Determine occupancy classification, construction type; calculate occupant load and, the height and area of a building.

10. Determine the appropriateness of the three components of a building's egress system (exit access, exit, and exit discharge), verify building compartmentation and the proper enclosure of vertical openings.

11. Identify special hazards, verify interior finish and establish the proper location for pre-engineered fire extinguishing systems.

12. Verify the compliance of a heating, ventilating, and air conditioning (HVAC) system, review sources requiring venting and combustion air, verify the proper location of fire dampers, and evaluate a stairwell pressurization system.

13. Verify the proper illumination for exit access, the arrangement of exit lighting and perform a life safety evaluation of the egress arrangement of a building.

14. Verify the design of a fire alarm and detection system, and an offsite supervisory system for compliance with applicable standards.

Available Texts:

Automatic Sprinkler and Standpipe Systems; John L. Bryan, NFPA
Design of Special Hazard and Fire Alarm System; Robert Gagnon, Thomson
Design of Water Based Fire Protection Systems; Robert Gagnon, Thomson
Fire Protection Handbook, NFPA
Fire Suppression and Detection Systems; John Bryan, MacMillan Publishing
Operation of Fire Protection Systems; NFPA
Private Fire Protection and Detection; Fire Protection Publication

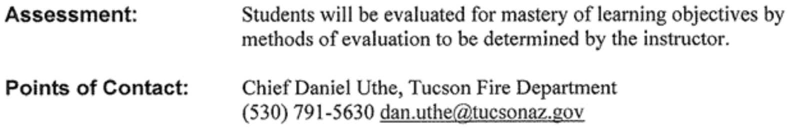
Supporting References/Research for Faculty and Students:

U. S. Fire Administration
Publications: http://www.usfa.fema.gov/applications/publications
See Fire Protection, Fire Service Operations
Applied Research:
http://www.usfa.fema.gov
Research Reports:
http://www.usfa.fema.gov/research
Technical Reports:
http://www.usfa.fema.gov/applications/publications/browse.cfm?mc=29
Topical Fire Research Series:
http://www.usfa.fema.gov
Learning Resource Center:
http://www.lrc.fema.gov

National Institute for Standards and Technology
http://www.fire.nist.gov: Fire Tests/Data, Software/Models, Publications, FIREDOC (under Publications)

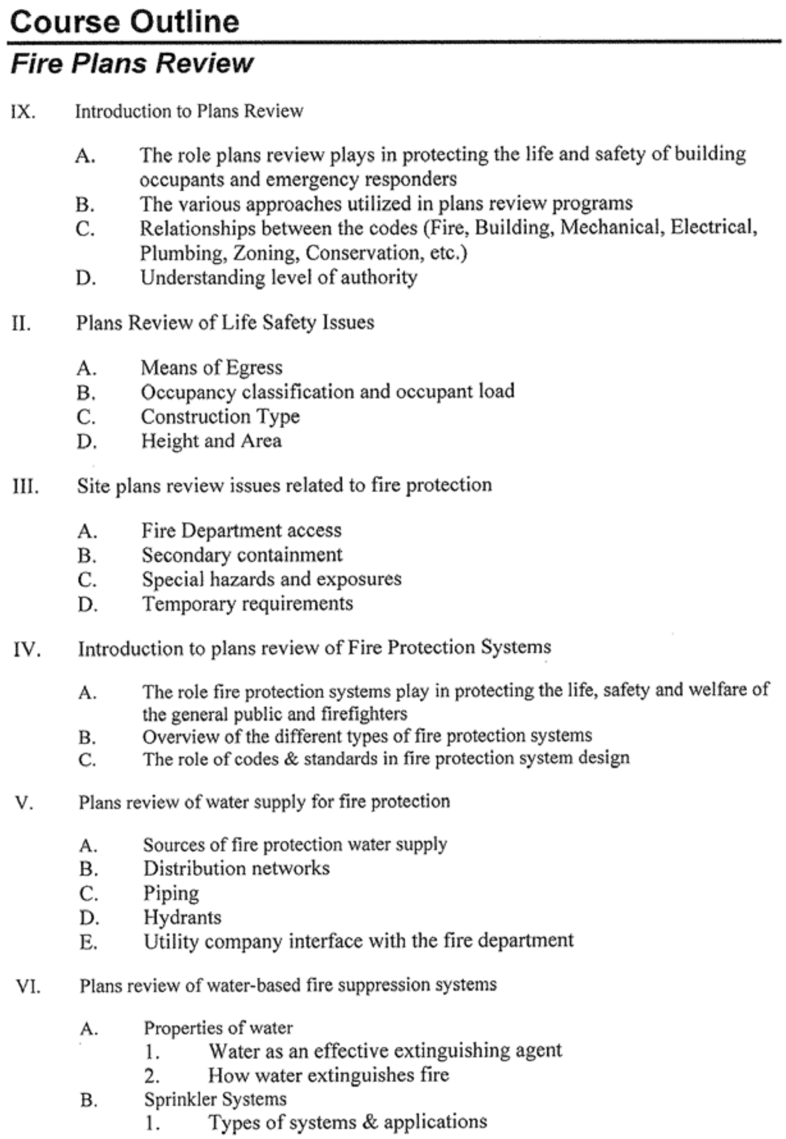
References
Lessons Learned Information Sharing:
http://www.llis.dhs.gov/member/secure/index.cfm
http://www.homefiresprinkler.org
Society of Fire Protection Engineers:
http://www.pentoncmg.com/sfpe/index.html

Current Events/News
http://www.firehouse.com
http://www.fireengineering.com
http://www.withthecommand.com



Assessment: Students will be evaluated for mastery of learning objectives by methods of evaluation to be determined by the instructor.

Points of Contact: Chief Daniel Uthe, Tucson Fire Department
(530) 791-5630 dan.uthe@tucsonaz.gov



Course Outline

Fire Plans Review

IX. Introduction to Plans Review

- A. The role plans review plays in protecting the life and safety of building occupants and emergency responders
- B. The various approaches utilized in plans review programs
- C. Relationships between the codes (Fire, Building, Mechanical, Electrical, Plumbing, Zoning, Conservation, etc.)
- D. Understanding level of authority

II. Plans Review of Life Safety Issues

- A. Means of Egress
- B. Occupancy classification and occupant load
- C. Construction Type
- D. Height and Area

III. Site plans review issues related to fire protection

- A. Fire Department access
- B. Secondary containment
- C. Special hazards and exposures
- D. Temporary requirements

IV. Introduction to plans review of Fire Protection Systems

- A. The role fire protection systems play in protecting the life, safety and welfare of the general public and firefighters
- B. Overview of the different types of fire protection systems
- C. The role of codes & standards in fire protection system design

V. Plans review of water supply for fire protection

- A. Sources of fire protection water supply
- B. Distribution networks
- C. Piping
- D. Hydrants
- E. Utility company interface with the fire department

VI. Plans review of water-based fire suppression systems

- A. Properties of water
  - 1. Water as an effective extinguishing agent
  - 2. How water extinguishes fire
- B. Sprinkler Systems
  - 1. Types of systems & applications

- 2. Types of sprinklers & applications
- 3. Piping, valves, hangers & alarm devices
- 4. Fire department operations in buildings with sprinkler systems

C. Residential sprinkler systems

D. Standpipe systems
- 1. Types & applications
- 2. Fire department operations in buildings with standpipes

E. Foam systems

F. Water mist systems

G. Fire pumps
- 1. Types
- 2. Components
- 3. Operation
- 4. Fire pump curves

VII. Plans review of non-water-based fire suppression systems and portable fire extinguishers

A. Carbon dioxide systems
- 1. Applications
- 2. Extinguishing properties
- 3. System components

B. Dry/Wet Chemical Extinguishing systems
- 1. Extinguishing properties
- 2. Applications
- 3. UL 300

C. Clean agent system

D. Plans review of portable fire extinguishers
- 1. Types & applications
- 2. Selection
- 3. Placement

VIII. Plans review of fire alarm systems

A. Components

B. Types of fire alarm systems

C. Detectors
- 1. Smoke
- 2. Heat
- 3. Flame

D. Audible/visual devices

E. Alarm monitoring

F. Testing & maintenance of fire alarm systems

IX. Plans review of smoke management systems

A. Identification of smoke management systems

B. Firefighter interface with smoke management systems

APPENDIX C

TECHNICAL PROBLEMS VERSUS ADAPTIVE CHALLENGES

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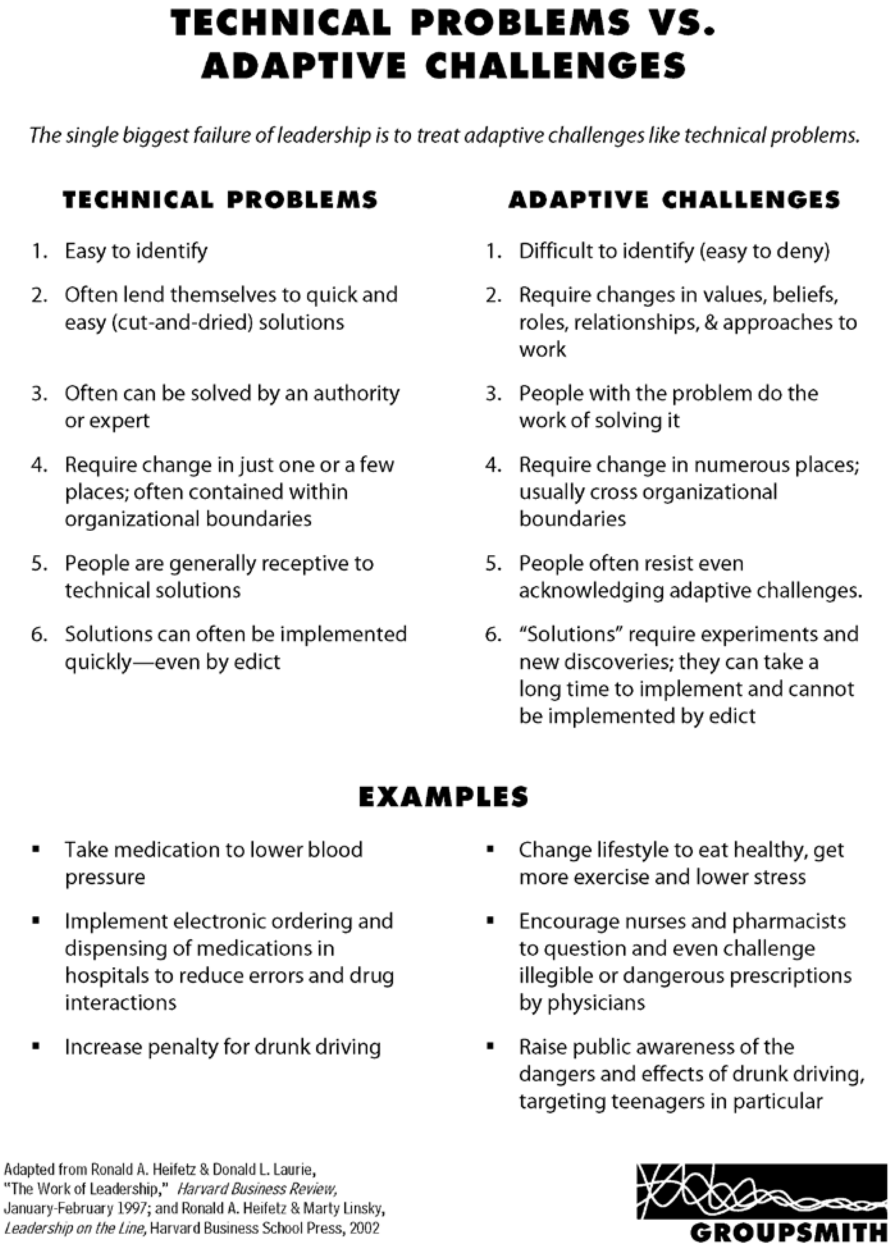

TECHNICAL PROBLEMS VS. ADAPTIVE CHALLENGES

The single biggest failure of leadership is to treat adaptive challenges like technical problems.

TECHNICAL PROBLEMS	ADAPTIVE CHALLENGES
1. Easy to identify	1. Difficult to identify (easy to deny)
2. Often lend themselves to quick and easy (cut-and-dried) solutions	2. Require changes in values, beliefs, roles, relationships, & approaches to work
3. Often can be solved by an authority or expert	3. People with the problem do the work of solving it
4. Require change in just one or a few places; often contained within organizational boundaries	4. Require change in numerous places; usually cross organizational boundaries
5. People are generally receptive to technical solutions	5. People often resist even acknowledging adaptive challenges.
6. Solutions can often be implemented quickly—even by edict	6. “Solutions” require experiments and new discoveries; they can take a long time to implement and cannot be implemented by edict

EXAMPLES

▪ Take medication to lower blood pressure	▪ Change lifestyle to eat healthy, get more exercise and lower stress
▪ Implement electronic ordering and dispensing of medications in hospitals to reduce errors and drug interactions	▪ Encourage nurses and pharmacists to question and even challenge illegible or dangerous prescriptions by physicians
▪ Increase penalty for drunk driving	▪ Raise public awareness of the dangers and effects of drunk driving, targeting teenagers in particular

Adapted from Ronald A. Heifetz & Donald L. Laurie,
"The Work of Leadership," *Harvard Business Review,*
January-February 1997; and Ronald A. Heifetz & Marty Linsky,
Leadership on the Line, Harvard Business School Press, 2002

GROUPSMITH

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UNIT 4:
POWER, POLITICS AND INFLUENCE

TERMINAL OBJECTIVE

The students will be able to:

4.1 Assess the use of social power bases and political influence to increase the effectiveness of the fire prevention/risk-reduction bureau.

ENABLING OBJECTIVES

The students will be able to:

4.1 Identify the social power bases within the organization at large and evaluate their potential impact on the prevention unit's mission.

4.2 Choose strategies and select appropriate tactics to achieve optimum political outcomes in the organization and community to support the mission of risk reduction.

4.3 Propose how to enhance political influence within the organization and community.

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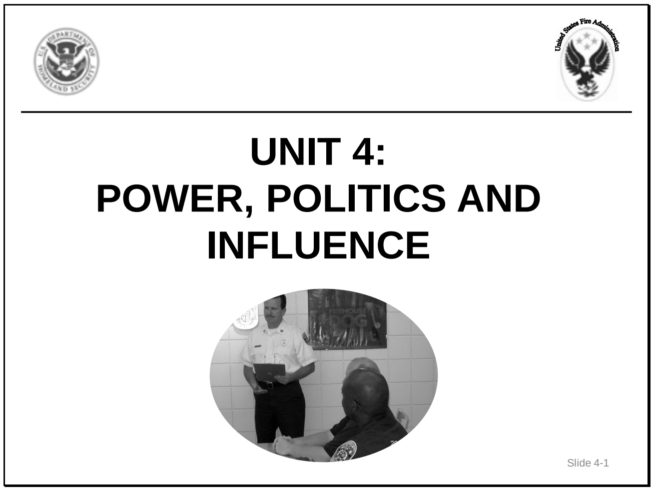
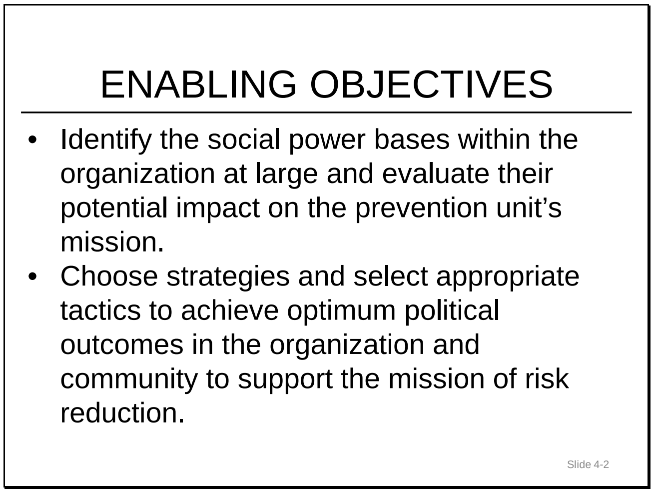
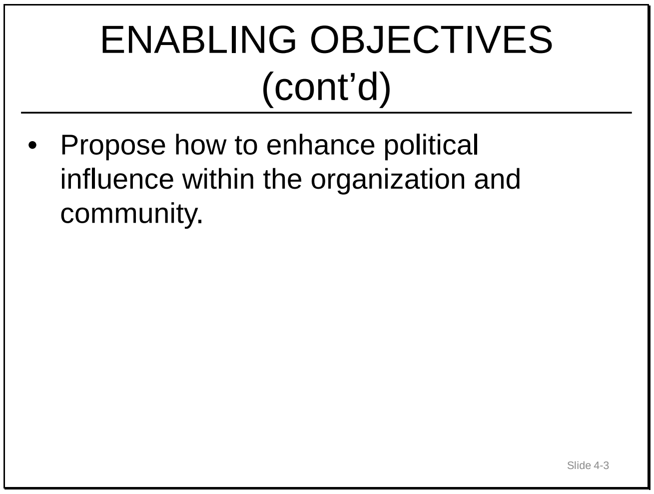


UNIT 4:
POWER, POLITICS AND INFLUENCE



ENABLING OBJECTIVES

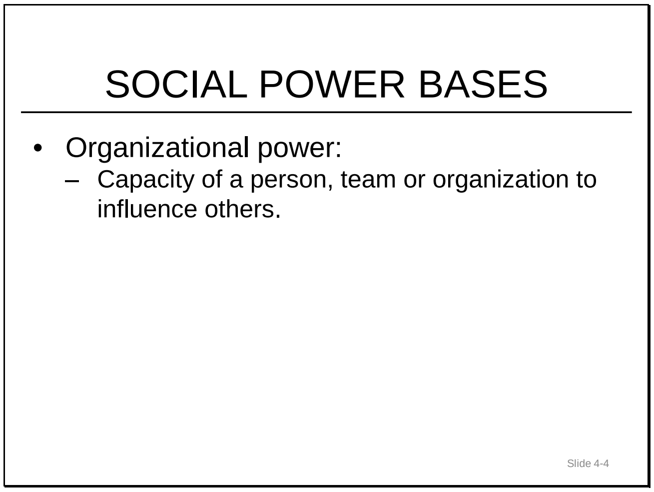
- Identify the social power bases within the organization at large and evaluate their potential impact on the prevention unit's mission.
- Choose strategies and select appropriate tactics to achieve optimum political outcomes in the organization and community to support the mission of risk reduction.



ENABLING OBJECTIVES (cont'd)

- Propose how to enhance political influence within the organization and community.

I. SOCIAL POWER BASES



SOCIAL POWER BASES

- Organizational power:
  - Capacity of a person, team or organization to influence others.

Slide 4-4

A. While there are many definitions of power, the most appropriate for organizational power is the “capacity of a person, team, or organization to influence others” (Northouse, 2010, p. 300).

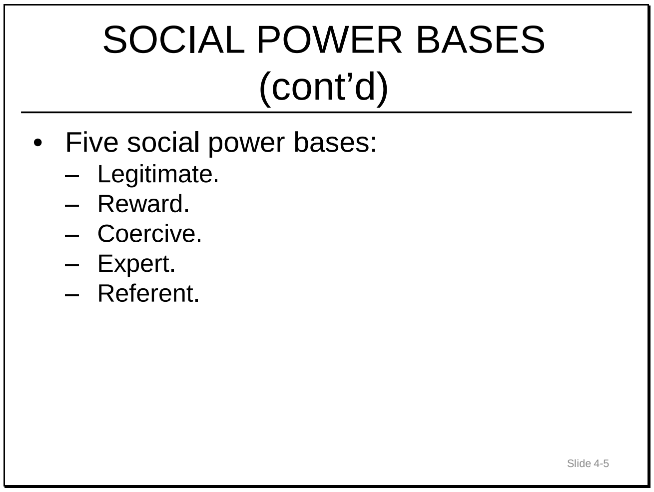
B. Understanding the power of influence within the workplace is the cornerstone of developing:

1. Strong teams that are committed to organizational goals.

2. Employees who are motivated to reach set goals.

C. To appreciate the potential of power and influence, we first must understand its sources within the organization.

1. Psychologists John French and Bertram Raven (1959) identified five social power bases that are utilized to influence others in the workplace.



SOCIAL POWER BASES (cont’d)

- Five social power bases:
  - Legitimate.
  - Reward.
  - Coercive.
  - Expert.
  - Referent.

Slide 4-5

2. The five social power bases are:

    a. Legitimate.

    b. Reward.

    c. Coercive.

    d. Expert.

    e. Referent.

D. There is a dynamic relationship between social power bases, organizational politics, and a leader’s ability to influence the behavior of peers and subordinates.

   1. The realities of a changing workplace environment have resulted in vast differences in organizational behavior.

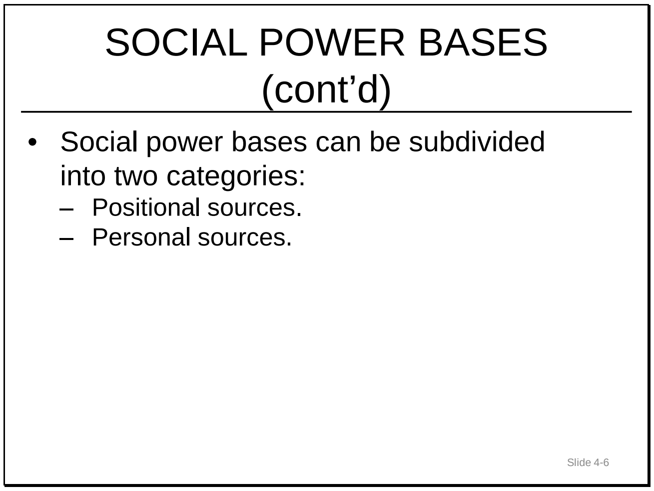
   2. Contemporary organizations are peeling away layers of management and giving workers more autonomy to drive change and work more effectively.

E. Social power bases can drive consequences and/or outcomes depending on their use and desirability within an organization.

F. The fire prevention/risk-reduction bureau leader needs to understand:

   1. How people are influenced.

   2. How to build his or her own social power within the organization.



SOCIAL POWER BASES (cont’d)

- Social power bases can be subdivided into two categories:
  - Positional sources.
  - Personal sources.

G. The five social power bases can be subdivided into two categories:

  1. Positional sources that include legitimate, reward and coercive power.

  2. Personal sources that include expert and referent power.

ACTIVITY 4.1

Understanding Social Power Bases

Purpose

To demonstrate the power and influence that social power bases may have over the operation of an organization.

Directions

1. This is a small group activity that requires research and a presentation to the class at large.
2. You will be assigned to one of five small groups. Each group will be given a paper disclosing a social power base to explore. Do not open the paper yet.
3. Each group will be assigned a breakout room.
4. Upon arriving at the breakout room, your group should open the paper and read the material in the SM that is pertinent to the assigned power base.
5. Prepare a short role-play scenario involving the fire service whereby the class at large can deduce which power base is being highlighted. The scenario can be no more than three to five minutes.
6. Once the class has correctly identified the power base being highlighted, each member of the small group should summarize a portion of the material that was included in the reading. The summary should be no longer than five minutes.
7. Your group has 30 minutes to read the material and prepare your presentation.
8. The entire activity should be completed in 60 minutes.

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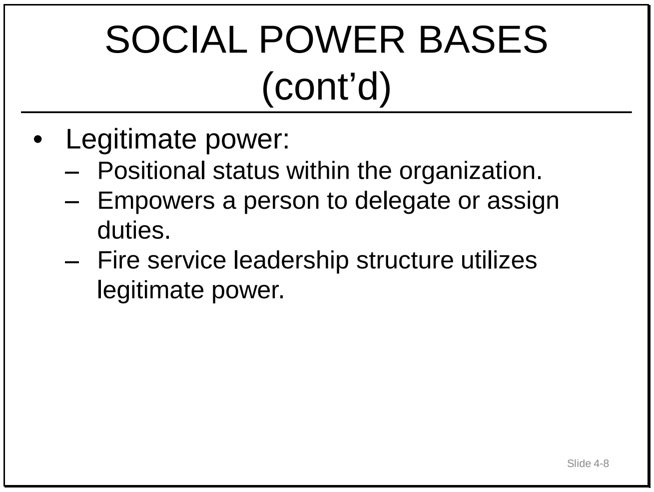
I. SOCIAL POWER BASES (cont'd)



SOCIAL POWER BASES (cont'd)

- Legitimate power:
  - Positional status within the organization.
  - Empowers a person to delegate or assign duties.
  - Fire service leadership structure utilizes legitimate power.

H. Legitimate power.

1. Legitimate power (also known as positional, authority or formal power) is derived from the positional status within the organizational chart.

2. It allows a leader/manager to request certain behaviors from staff members.

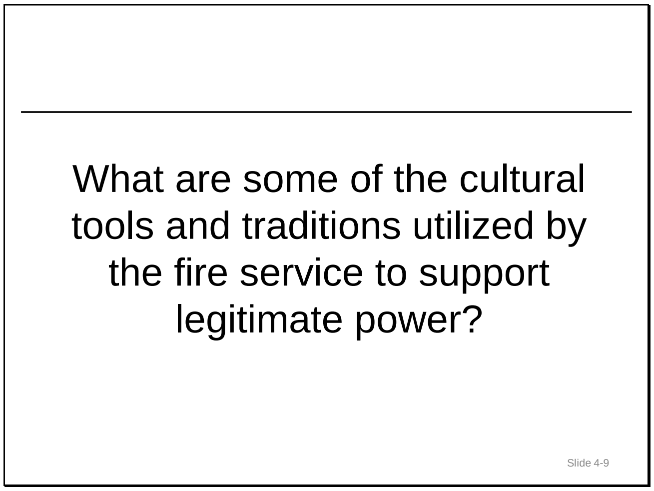
3. It is conceived when organizational staff members agree that people appointed or elected to certain positions are granted defined powers of authority.

4. It empowers a person, through his or her formal position in the organization, to delegate or assign duties that support the organization's mission.

5. While managers and supervisors all have some degree of legitimate power, it is important to understand that this power also applies to all members of the organization.

6. This social power base encompasses both formal job descriptions and informal rules of conduct within the confines of the organizational structure.

7. Due to its paramilitary structure, the fire service has traditionally incorporated a leadership structure that utilizes legitimate power.

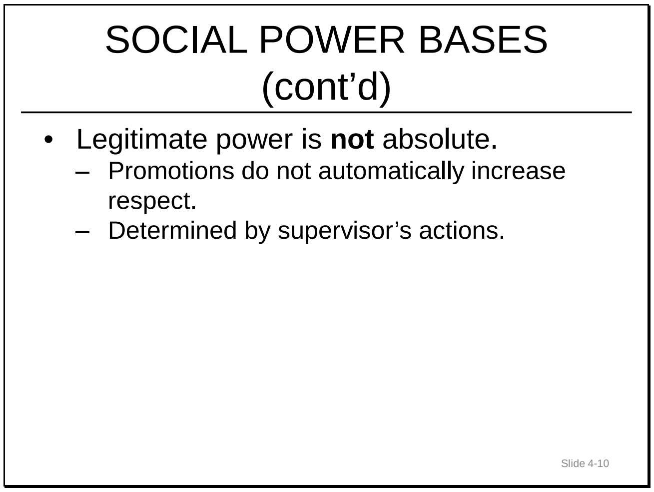


What are some of the cultural tools and traditions utilized by the fire service to support legitimate power?

8. In a paramilitary organization, legitimate power is attained through advancements in rank within the organization.

   a. It is assumed that a promotion in rank will involve additional responsibilities.

   b. Staff members should accept that specific people within the organization will be granted authority.



SOCIAL POWER BASES (cont'd)

- Legitimate power is **not** absolute.
  - Promotions do not automatically increase respect.
  - Determined by supervisor's actions.

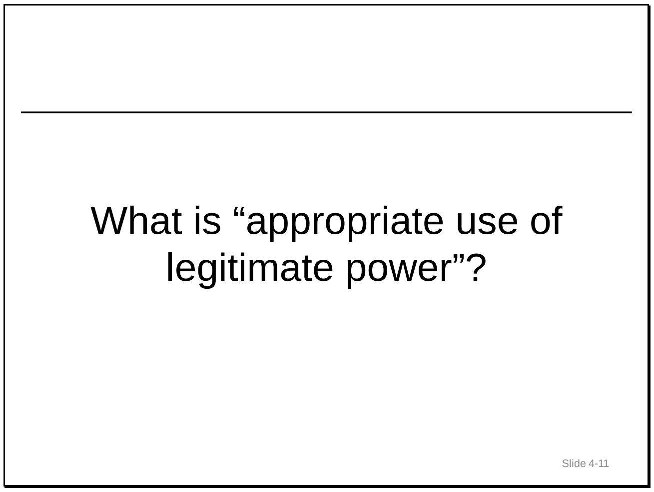
9. A big point to remember — legitimate power is **not** absolute.

   a. Promotions in rank do not automatically mandate a direct increase in respect from those who are being supervised.

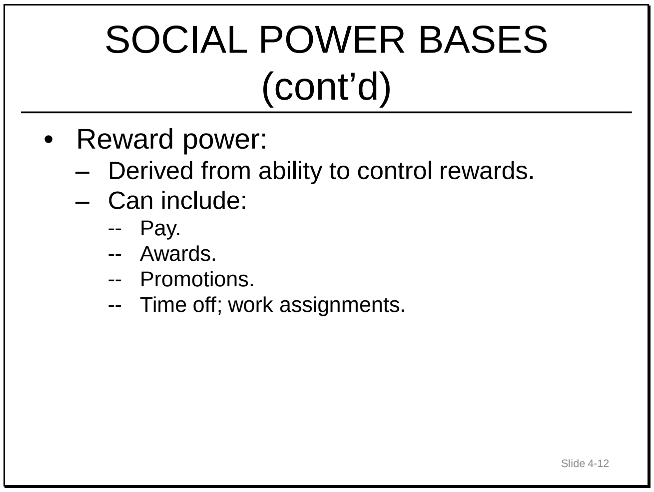
   b. True gains or losses of respect within this social power base will be determined by the supervisor's actions and how well his or her decisions are accepted by the staff.

10. Research has shown that legitimate power, when utilized appropriately, has a direct correlation to motivation, job satisfaction and commitment from staff.

11. The fire prevention/risk-reduction bureau leader must understand that legitimate power is the foundation of his or her organizational power base, and when utilized appropriately, it can be an effective tool to motivate and build support across the division.



What is “appropriate use of legitimate power”?



SOCIAL POWER BASES (cont’d)

- Reward power:
  - Derived from ability to control rewards.
  - Can include:
    - Pay.
    - Awards.
    - Promotions.
    - Time off; work assignments.

I. Reward power.

1. Reward power is derived from a person’s ability to control the distribution of rewards that are valued by organizational staff.

2. Rewards/Incentives can include:

a. Pay.

   b. Awards.

   c. Promotions.

   d. Time off, including vacation scheduling, and work assignments.

3. Reward power includes the delivery of positive rewards and removal of negative sanctions (also known as negative reinforcement).

4. The social power base of reward power directly correlates to legitimate power.

5. Managers and supervisors are given control over rewards through their positional power in the organization.

6. The strength of reward power is directly proportional to the staff members' perception regarding the magnitude of rewards that can be provided to them.

7. Also known as exchange power, reward power is effective because staff members will exchange a request to do something for a reward that they find desirable.

8. Ultimately, the power rests with understanding what organizational staff members desire and the ability to control, influence or mediate that outcome.

9. Introducing 360-degree feedback can have profound effects on how reward power is utilized by supervisors.

   a. This is a contemporary strategy whereby the team leader and staff analyze program operations as a group.

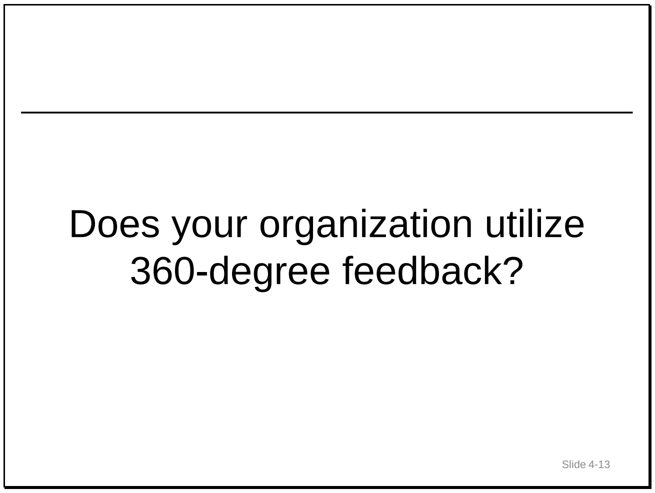
   b. Also known as multirater feedback, 360-degree feedback is a professional development/assessment tool that utilizes feedback from multiple sources.

   c. Together, the immediate supervisor and several staff members assess their effectiveness within the organization.

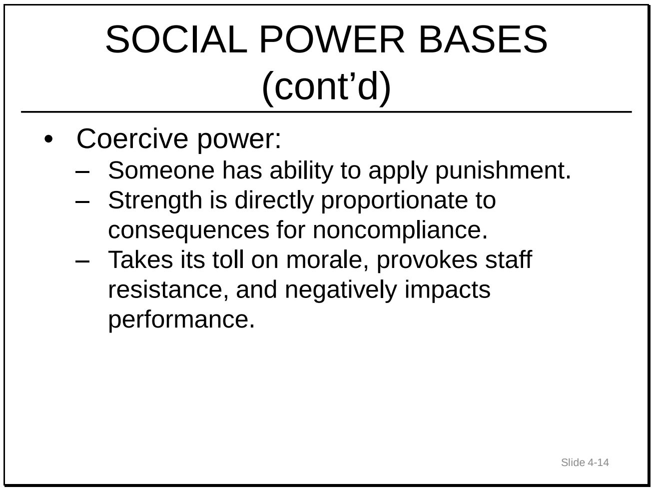
   d. For the process to be effective, everyone must agree that rank is not considered and the group at large is free to engage in open dialogue about program effectiveness, challenges and proposed enhancements.

   e. Distinct benefits of 360-degree feedback include:

- Reducing discrimination.
- Reducing evaluation errors.
- Building a strong team environment.
- Providing staff with valuable information from a number of sources that can assist with professional development.



Does your organization utilize 360-degree feedback?



SOCIAL POWER BASES (cont'd)

- Coercive power:
  - Someone has ability to apply punishment.
  - Strength is directly proportionate to consequences for noncompliance.
  - Takes its toll on morale, provokes staff resistance, and negatively impacts performance.

J. Coercive power.

1. Coercive power is the output of staff understanding that someone within the organization has the ability to apply a form of punishment.

2. It is strongly connected to legitimate power through positional power within the organization.

3. It has subtle similarities to reward power in that staff fear punishment if they fail to comply or submit to the request.

4. Remember, reward power also deals with the supervisor’s ability to remove negative sanctions against the employee.

5. The strength of coercive power is directly proportionate to the negative consequences for noncompliance.

6. The ultimate goal of deploying coercive power is to gain compliance to a request or to meet a desired objective.

7. Staff has the ability to utilize coercive power among peers to ensure that co-workers are upholding the standards and norms of the bureau or organization at large.

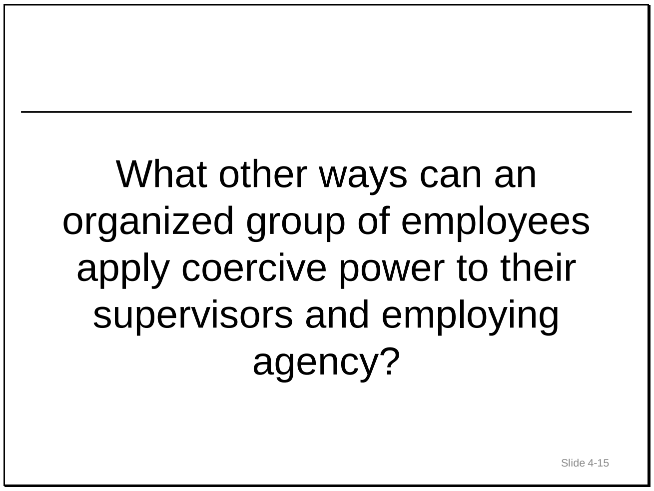
8. The difference is that the punishment can be in the form of criticism, peer pressure or even exclusion from the team.

9. Coercing employees is a compliance tactic that ultimately takes its toll on morale, provokes staff resistance, and negatively impacts performance.

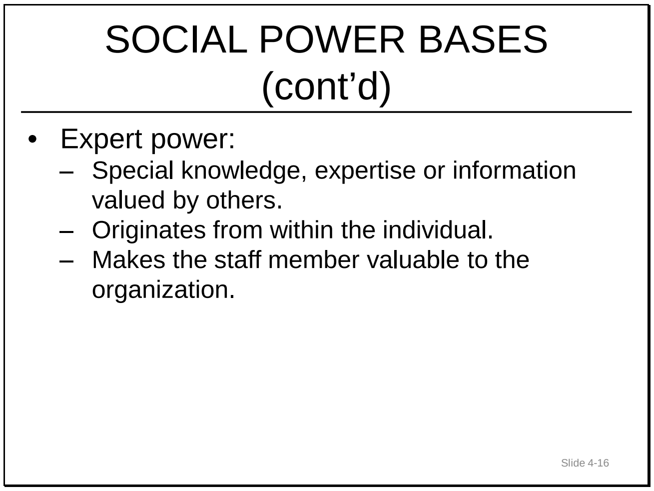
10. Long-term use (or abuse) of this social power base can also negatively affect a person’s ability to be a successful leader.

11. Even within strong labor environments that have collective bargaining agreements, civil service law and other legal protections, ample opportunity exists for supervisors to exercise coercive power within the rank and file.

12. Likewise, strong and cohesive labor groups can utilize coercive power on their supervisors by slowing productivity through overly strict adherence to policy and procedure.



What other ways can an organized group of employees apply coercive power to their supervisors and employing agency?



SOCIAL POWER BASES (cont'd)

- Expert power:
  - Special knowledge, expertise or information valued by others.
  - Originates from within the individual.
  - Makes the staff member valuable to the organization.

K. Expert power.

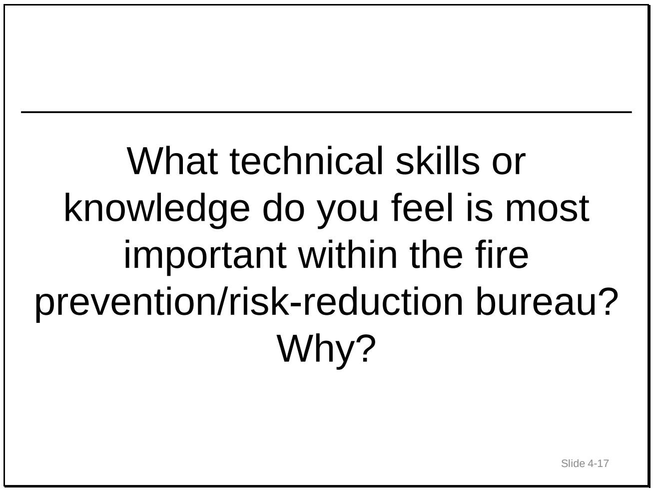
1. Expert power is derived from special knowledge, expertise or information that is particularly valued by others within the organization.

2. Expert power originates from within the individual and is not directly linked to legitimate, reward or coercive social power bases.

3. Both technical knowledge of work processes and the organization's social system are necessary for an individual to tap into the structure of power within an organization.

4. To increase one's expert power, he or she must be technically competent in the business processes at work in the industry.

5. Within the fire prevention/risk-reduction bureau, expert power is gained by individuals who have strong technical knowledge and skills regarding fire prevention practices, fire codes, fire investigation principles and practices, public education, and data analysis.

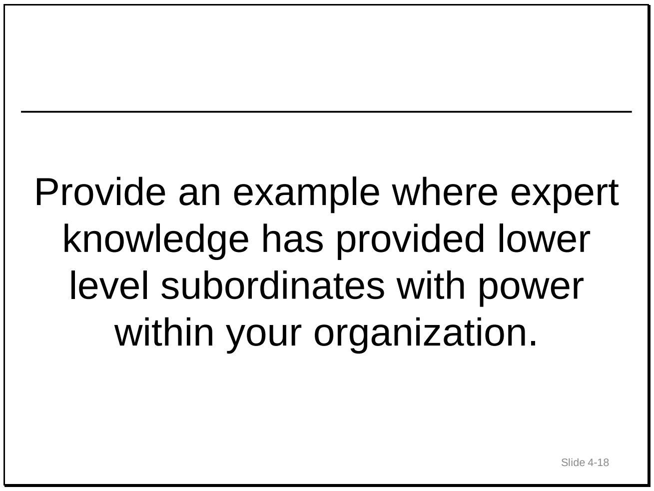


What technical skills or knowledge do you feel is most important within the fire prevention/risk-reduction bureau? Why?

6. Expert power develops when lower level subordinates within the organization gather and retain a specialized skill set.

7. This is especially common in highly technical subject matter areas in which the staff members become more proficient than the supervisor at performing a specific skill.

8. This makes the staff members a valuable resource to the organization and provides them with bargaining power to seek greater rewards for skills.



Provide an example where expert knowledge has provided lower level subordinates with power within your organization.

Slide 4-18

9. It is common for personnel to develop advanced skills or expertise through education and professional development.

10. Changes in the work environment and a focus on a knowledge-based economy have increased the use of expert power.

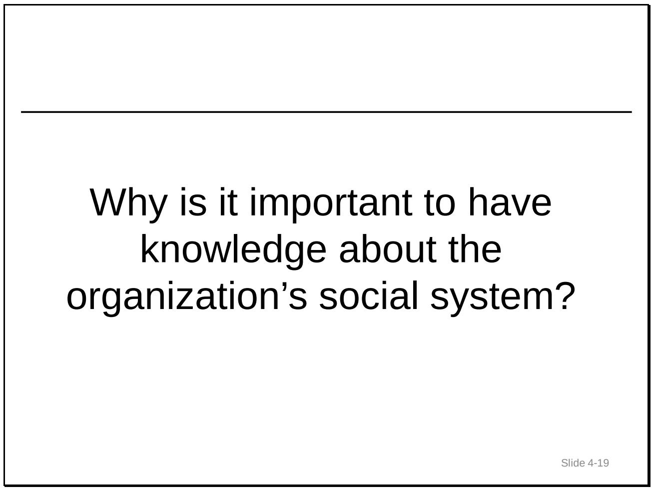
11. Expert power has shown to be most effective when combined with other developed social power bases, such as legitimate and referent power.

12. In order to access power in organizations, you must possess knowledge.

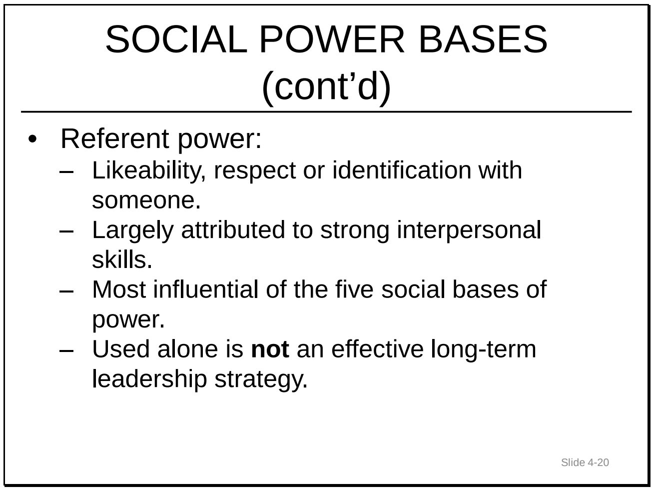
13. There are two types of knowledge:

    a. Technical knowledge about the work process.

    b. Knowledge of the organization's social system.



Why is it important to have knowledge about the organization's social system?



SOCIAL POWER BASES (cont'd)

- Referent power:
  - Likeability, respect or identification with someone.
  - Largely attributed to strong interpersonal skills.
  - Most influential of the five social bases of power.
  - Used alone is **not** an effective long-term leadership strategy.

L. Referent power.

1. Referent power is the perception of likeability, respect or identification with someone.

   a. The connection is readily made where people we like and respect can easily influence our behavior.

   b. Referent power is available to all employees within the organization from entry level firefighters to division leaders and chief officers.

2. Like expert power, referent power is a personal power source and is largely attributed to strong interpersonal skills.

3. Charismatic leaders have a strong referent power base that produces likeability, trust and respect.

4. Referent power is the most influential of the five social bases of power.

5. It is solidly grounded in the identification with the power holder and therefore has deeper meaning for subordinate employees.

6. Strong interpersonal relationships help to build power and influence across the organizational structure and outside the typical positional power bases of legitimate, reward and coercive power.

7. Caution: Referent power used alone is **not** an effective long-term leadership strategy.

8. Referent power should be integrated with other social power sources such as legitimate and expert power to form a solid leadership platform.

M. Social power bases and their influences are often complex.

1. Power bases and associated influences depend on dynamic interdependent relationships which need considerable attention from an individual.

2. A supervisor's power, influence and effectiveness are directly related to the perception of his or her power by subordinates in the organization.

N. The perceptions of a supervisor's power can affect how workers relate, interact and function with the organization because they know the supervisor controls items that workers desire.

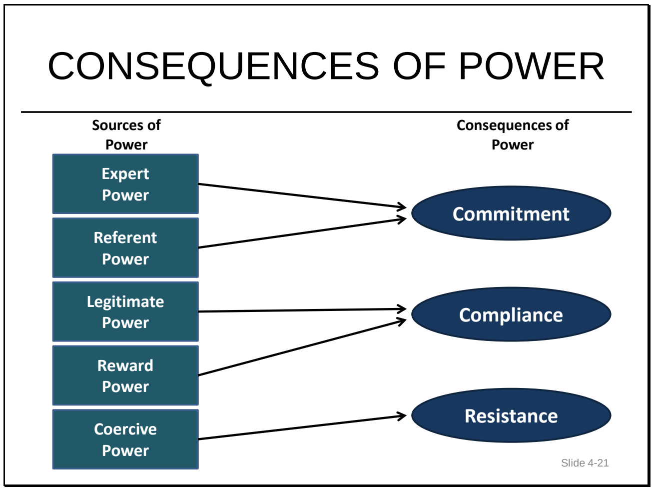
1. Whether in the form of praise, raises, promotions or other tangibles, the supervisor is the direct link that can help the worker attain desirable items.

2. Perception of the supervisor's power can be a strong motivational factor for employees and can directly correlate to increases in efficiency and productivity.

O. Legitimate power was shown to have a direct correlation to employee motivation, satisfaction and commitment (Elangovan and Jia, 2000).

P. Conversely, due to its invasive nature, coercive power had negative affects on employee productivity.

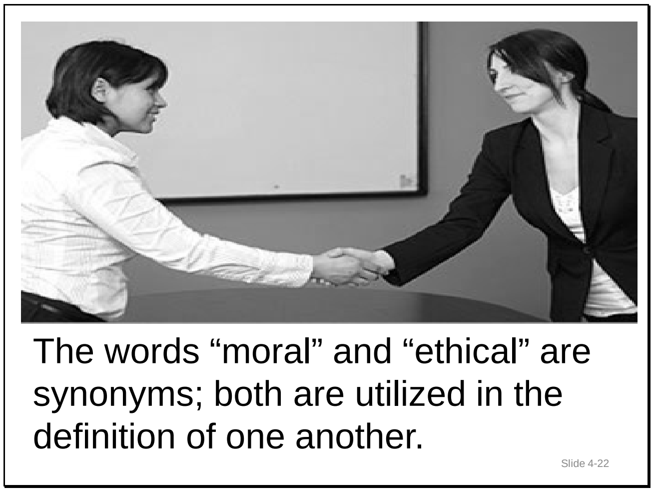
Q. The astute fire prevention/risk-reduction bureau leader will appreciate where organizational power is derived from and what is the most effective application of social power to gain support for organizational goals as well as motivate his or her personnel.



CONSEQUENCES OF POWER

Slide 4-21

II. MORAL AND ETHICAL PERSPECTIVES ON PERSONAL POWER



The words “moral” and “ethical” are synonyms; both are utilized in the definition of one another.

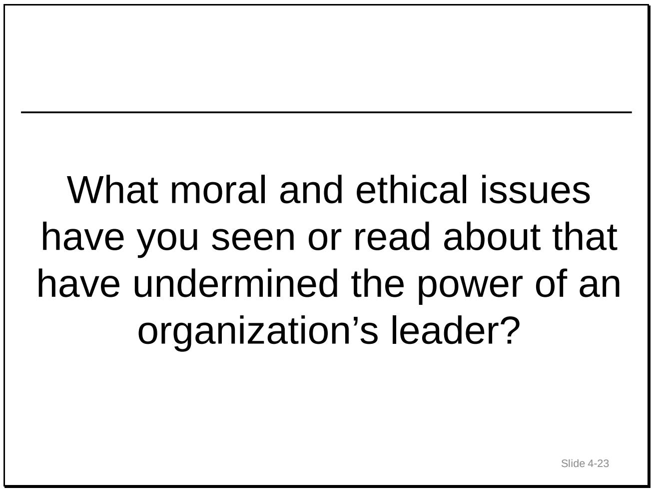
Slide 4-22

A. The words “moral” and “ethical” are synonyms; both are utilized in the definition of one another.

B. “Moral” is defined as “of or relating to principles of right and wrong in behavior; expressing or teaching a conception of right behavior; conforming to a standard of right behavior; sanctioned by or operative on one's conscience or ethical judgment” (“Moral,” n.d.).

C. “Ethics” is similarly defined as “the discipline dealing with what is good and bad and with moral duty and obligation; a set of moral principles; a theory or system of moral values; the principles of conduct governing an individual or a group; a guiding philosophy; a consciousness of moral importance” (“Ethics,” n.d.).

D. In today's social media environment, a momentary lapse in judgment can go viral in a matter of minutes, forever damaging a person's career and tarnishing his or her organization.



What moral and ethical issues have you seen or read about that have undermined the power of an organization's leader?

Slide 4-23

E. The attainment of power brings with it great responsibility.

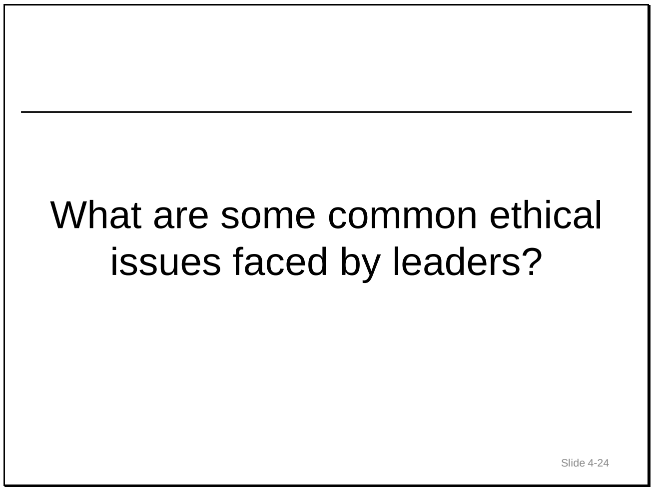
F. Those who wield power must have a clear understanding of the moral responsibility they have to stakeholders across a wide platform of people, organizations and the community at large.

G. The leaders and staff of a fire prevention/risk-reduction bureau are subject to moral and ethical obligations to:

1. Their employer.
2. Peers and subordinate employees.
3. Business owners and corporations within the community.
4. The public at large.

H. Organizational leaders must make sound ethical decisions.

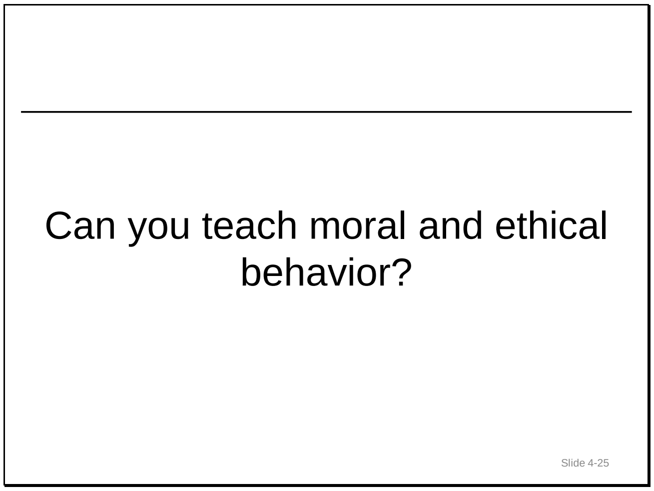
1. Internal and external stakeholders often have a vested interest in the decisions made by leadership of organizations.
2. The damaging scandals involving organizations such as Enron, WorldCom, and Bernie Madoff created an outrage in society.
3. People demand integrity of character from those in positions of leadership.
4. The same demand applies to the public sector.



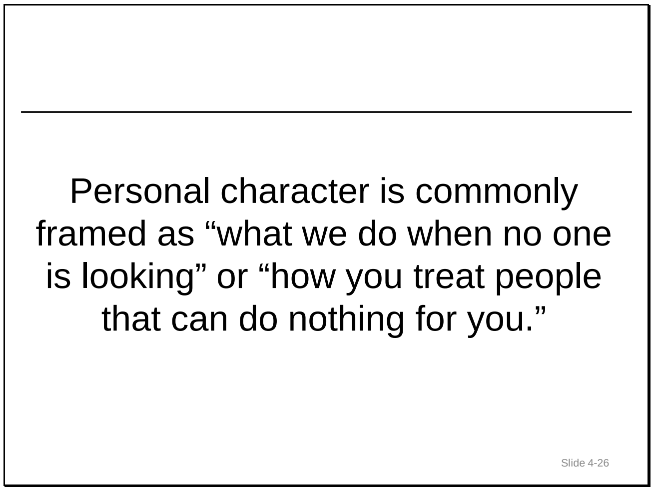
What are some common ethical issues faced by leaders?

I. Creating a culture of ethics can best be accomplished through the adoption of a value-based code of ethics that applies to everyone within the organizational structure (Nadler, n.d.).

J. Unfortunately, many times this step is undertaken after some incident or event brings discredit to a leader or staff member, which ultimately affects the entire organization.



Can you teach moral and ethical behavior?



Personal character is commonly framed as “what we do when no one is looking” or “how you treat people that can do nothing for you.”

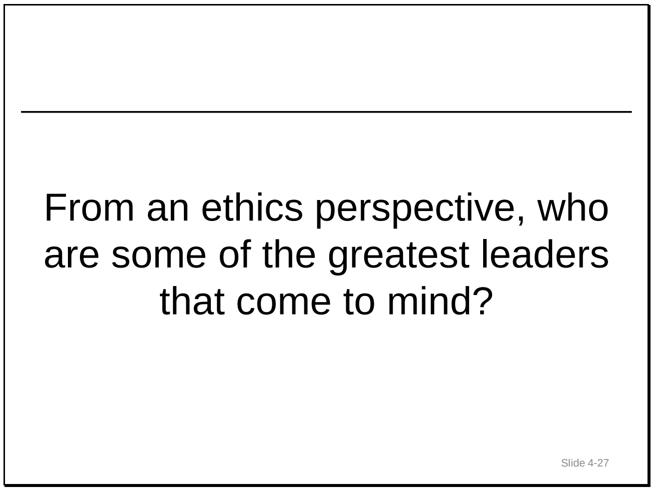
K. Personal character is defined as “the stable and distinctive qualities built into an individual’s life which determines his or her response regardless of circumstances” (Drexel University, n.d., p. 1).

L. Character is commonly framed as “what we do when no one is looking” or “how you treat people that can do nothing for you.”

M. Institutional integrity is the strength, unity, clarity and purpose that upholds and sustains all of the elements of the organization and helps it to achieve its mission (Bracher Center for Integrity in Leadership, 2012).

N. When integrity is engrained deep within the organizational culture, it becomes the guiding principle for the vision of the leaders and employees.

O. Studies of charismatic, visionary and transformational leaders often lead to discussions on the ethical behavior, character and integrity for which many great leaders have been known.



From an ethics perspective, who are some of the greatest leaders that come to mind?

Unethical politics hurt the organization in the long haul and many times create win-lose situations.

P. Unethical politics hurt the organization in the long haul and many times create win-lose situations.

   1. While support is garnered for an organizational objective, the ethical costs may be disparaging to its personnel and overall mission.

   2. In an attempt to increase their power within the organization, supervisors can have negative effects on employees’ perceptions through the unethical use of reward and/or coercive power.

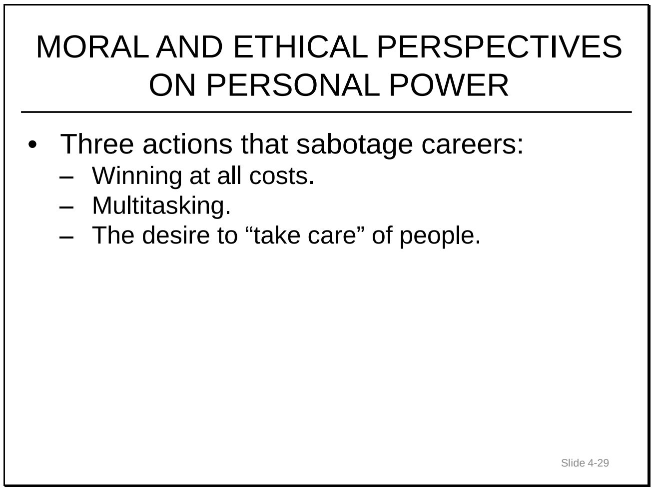
   3. If employees are impacted in a negative way, their perceptions of management as well as organizational politics and goals can get distorted.

   4. This hurts the organization’s performance and ability to position itself for positive growth.

   5. Extended periods of time are required to remediate these types of issues and sometimes can only be resolved by removing the problematic supervisor.

Q. While unethical actions are the fast track to career derailment, there are also other issues that jeopardize the leadership potential of the fire prevention/risk-reduction bureau leader.

   1. Personal power bases can become corrupt through the actions of a leader.



MORAL AND ETHICAL PERSPECTIVES ON PERSONAL POWER

- Three actions that sabotage careers:
  - Winning at all costs.
  - Multitasking.
  - The desire to “take care” of people.

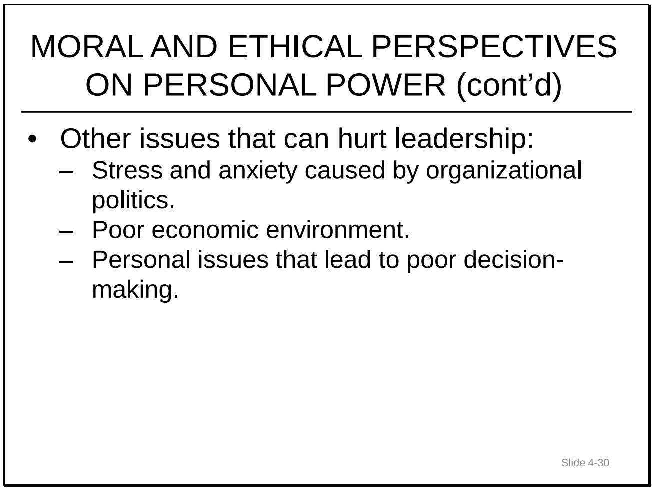
Slide 4-29

2. McFarland (2001) suggests three actions that leaders sometimes take that sabotage their careers:

   a. Winning at all costs.

   b. Multitasking to the extreme whereby focus on critical issues becomes lacking.

   c. The desire to “take care” of people.



MORAL AND ETHICAL PERSPECTIVES ON PERSONAL POWER (cont’d)

- Other issues that can hurt leadership:
  - Stress and anxiety caused by organizational politics.
  - Poor economic environment.
  - Personal issues that lead to poor decision-making.

Slide 4-30

3. Other issues that can hurt leadership and power include:

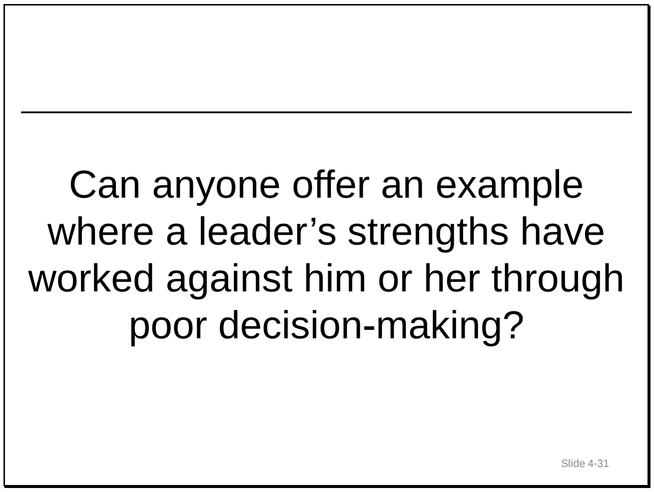
   a. Stress and anxiety within the workplace caused by organizational politics.

   b. A poor economic environment.

   c. Personal issues that lead to poor decision-making.

4. All of these factors can erode a leader’s strengths and positive attributes.

5. Ultimately, it can transform the leader into a liability to the organization.



Can anyone offer an example where a leader’s strengths have worked against him or her through poor decision-making?

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ACTIVITY 4.2

Social Power Bases and Ethics

Purpose

To assess your use of social power bases relevant to the prevention unit's mission.

Directions

1. This activity begins as an individual assessment and culminates with small group discussion.

2. Please respond individually to the following questions. You are allotted 20 minutes for individual processing of the following directives:

   a. Which power bases do you utilize most frequently in your professional life?

   b. For each power base listed, identify the impact (positive or negative) that they have on influencing and motivating peers or subordinates to meet organizational goals.

   c. In what areas do you feel improvements could be made on how you utilize social power bases?

   d. What actions could you take to improve growth and development in these areas?

   e. In what ways can you proactively address moral and ethical issues within the fire prevention/risk-reduction bureau?

3. Within your small group, please perform the following actions. You are allotted 30 minutes for small group processing.

   a. Discuss with other group members the power bases that are most prevalent in each of your organizations.

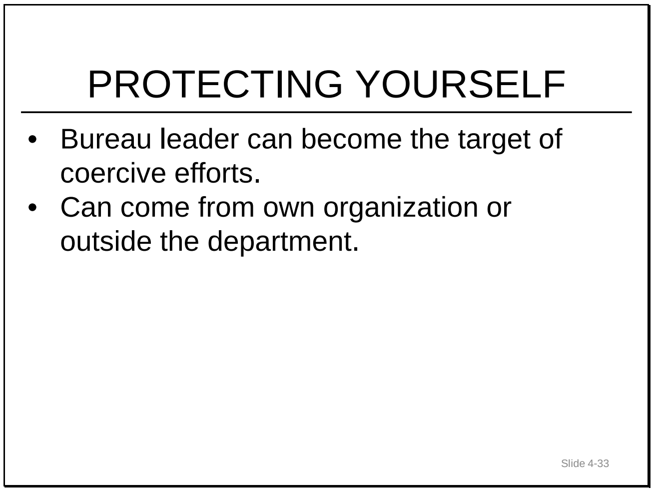
   b. Examine the components of organizational size and culture to determine if there are similarities that exist within the profession regarding the effective use of power in each agency.

   c. As a group, compare and contrast which power bases are utilized most effectively and why. Which power bases are least effective and why?

d. Examine the similarities and differences between the group members in the ways they would proactively approach moral and ethical issues within the fire prevention/risk-reduction division.

e. As part of the pre-course assignment, everyone was asked to bring a copy of their agency's ethics policy. Please share the policies with your small group and discuss similarities/differences.

III. PROTECTING YOURSELF



PROTECTING YOURSELF

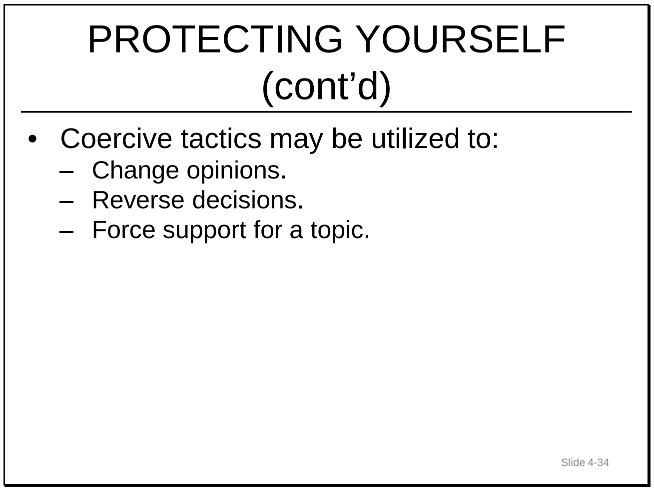
- Bureau leader can become the target of coercive efforts.
- Can come from own organization or outside the department.

Slide 4-33

A. The fire prevention/risk-reduction bureau leader should understand there is a possibility that he or she can become the target of coercive efforts by his or her peers, subordinates, and other organized groups or personnel.

B. Coercive actions can come from members of the bureau leader's own organization or from outside the department.

C. These challenges should be approached with care and diligence.



PROTECTING YOURSELF (cont'd)

- Coercive tactics may be utilized to:
  - Change opinions.
  - Reverse decisions.
  - Force support for a topic.

Slide 4-34

D. Negative character attacks are coercive tactics that may be utilized to influence supervisors to:

1. Change their opinion.

2. Reverse a decision.

3. Support a topic that is against their value system.

E. Strategies to combat destructive character attacks need a well-developed plan that begins with a self-assessment process.

F. The fire prevention/risk-reduction bureau leader should review the points within this plan early on in his or her career and continually revisit them throughout the professional development process.

ACTIVITY 4.3

Protecting Yourself

Purpose

To develop strategies that address coercive tactics being initiated by a group or organization toward the bureau leader.

Directions

1. Individually, please read the section in your SMs entitled Protecting Yourself. You are allotted 10 minutes for individual reading.

2. Next, within your small group please identify a situation in which one of the group members is currently being subjected to coercive tactics from a group or organization. The attack could be from either an internal source (department) or external source (group within the community).

3. The chosen group member should present the situation to the table group. Working as a small group, provide suggestions on how to address the situation.

4. You are allotted 30 minutes for small group processing.

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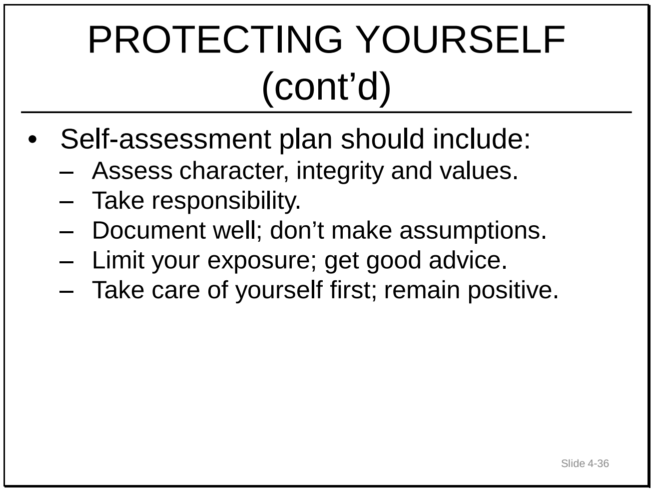
III. PROTECTING YOURSELF (cont'd)



PROTECTING YOURSELF (cont'd)

- Self-assessment plan should include:
  - Assess character, integrity and values.
  - Take responsibility.
  - Document well; don't make assumptions.
  - Limit your exposure; get good advice.
  - Take care of yourself first; remain positive.

G. A self-assessment plan should include the following detailed objectives to isolate and protect one's character, career and health:

1. Self-assess your character, integrity and values.

    a. Everyone has regrets about a decision they have made in the past.

    b. The reality is that we are ultimately defined by our actions and someone will likely point to a time when our character and/or integrity was in question. This includes distorting the underlying facts regarding the subject.

    c. We are all human and make mistakes. It is how you react to and learn from those situations that help create character and develop respect from others.

    d. Take note of what is important to you in your personal and professional life, revisit those values often, and use them as your guiding principles.

2. Take responsibility.

    a. Taking responsibility for one's own actions is paramount.

    b. A personal breach of integrity is excruciatingly damaging to one's career and comes with considerable cost; yet remedial action done swiftly (and with remorse) assists in controlling feelings of frustration, guilt and defensiveness (Gebelein et al., 2004).

c. Another important reason to make a self-assessment or an immediate personal development goal is to prevent or immediately discontinue unethical and self-destructive behavior.

3. Document well.

a. Leaders who take the time to document their efforts and intentions will have ample information to contradict and combat character attacks.

b. Many character attacks occur out of pure conjecture and distortion of the facts to exaggerate the importance of an issue.

c. Presenting facts of record can have considerable effect in discrediting the allegation, attacker, and his or her motivation.

4. Don’t make assumptions.

a. Bureau leaders should evaluate their conditions of employment and request documentation on any benefits they receive that are not precisely detailed within their contract or agreement.

b. A very common area for personal character assassination occurs when an administrator receives a benefit that is not in documented form, even if it has been done for years with previous administrators.

c. Request documentation so these issues do not arise and put you in a compromising situation at the mercy of coercive influence.

5. Limit your exposure.

a. Understand the importance of developing strong relationships with mayors, city managers, fire chiefs, peers and labor groups.

b. Use your emotional intelligence to build open lines of communication that enable you to address problems that emerge.

c. Proactively addressing these issues prevents shutting off productive discussions that lead to animosity and can be used to target you.

d. Understand that the coercive tactics being applied may not necessarily be meant for you, but actually for your supervisor in an attempt to influence his or her behavior or actions.

6. Get good advice.

    a. Seek advice from trusted colleagues and even legal counsel.

    b. The latter should advise you to refrain from going on the offensive to seek retribution.

    c. This is especially the case when dealing with organized labor because aggressive tactics will likely result in actions such as grievances and improper practice charges.

    d. A carefully crafted written response detailing and documenting the facts is the best initial action to reduce the effects of an attack.

    e. Media statements do not always provide the message that you wish to relay.

    f. Five-second sound bites from a 20-minute interview can add confusion to a message.

7. Take care of yourself first.

    a. Remember that during a negative event such as a character attack, you can quickly get caught up and consumed in the entire process.

    b. Things seem surreal and your energy and entire thought process is engaged in developing strategies to fight off the attack.

    c. Your stress levels rise, you lose sleep, and you are quick-tempered with your family and loved ones.

    d. Your professional **and** personal life suffers.

    e. When this happens, the attacker has been successful in his or her efforts to influence your behavior.

    f. Resist these temptations and do something positive that rids you of that negative energy.

    g. Exercise, go for a walk, or partake in an enjoyable activity.

8. Remain positive.

    a. Things always seem worse than they really are.

    b. Stay away from newspapers, television, blogs and other social media outlets that can do nothing positive for your well-being.

c. The whole intention of a character attack is the negative press that distorts and exacerbates the situation even further.

d. Understand that the lifestyles of people have changed considerably over the last decade, and they receive their news in many different formats.

e. While it is an unfortunate truth, the likelihood of going through a character attack during the course of one's career increases with lateral moves up the organizational chart.

f. Remember that many great leaders have been subjected to character attacks, but they used the event to strengthen their careers.

g. Maintaining a positive outlook, however difficult, will allow you to regain control of your personal and professional life to continue moving forward and focus on productive tasks.

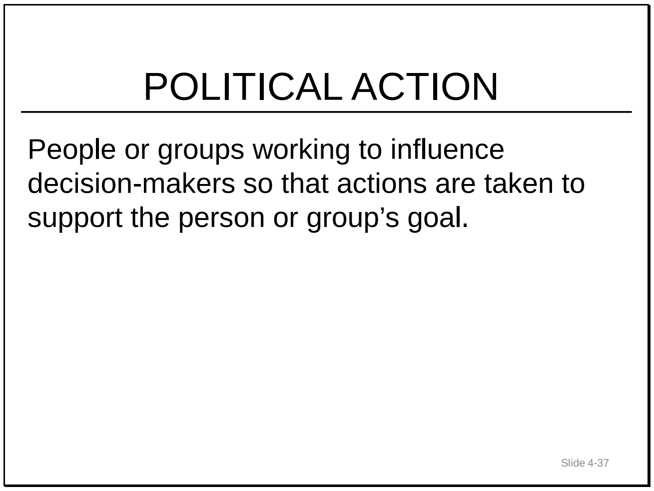
H. While coercive power has been used by many supervisors, staff, and organized groups, it is evident that there are considerable costs and negative attributes associated with its use.

I. In summary, coercive power exertion is generally ineffective, especially over the long term. It can take away employee motivation, creativity and morale within the work environment.

IV. ORGANIZATIONAL POLITICS

A. Just like within a community, political action occurs inside organizations.

B. An Internet search will reveal a plethora of definitions for organizational politics.

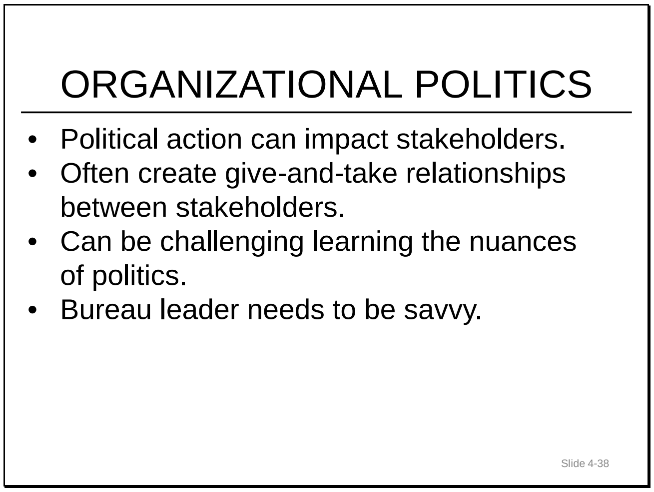


POLITICAL ACTION

People or groups working to influence decision-makers so that actions are taken to support the person or group's goal.

Slide 4-37

C. When applied to leading a fire prevention/risk-reduction bureau, a simple explanation of organizational politics is people or groups working to influence decision-makers so that actions are taken to support the person or group's goal.



ORGANIZATIONAL POLITICS

- Political action can impact stakeholders.
- Often create give-and-take relationships between stakeholders.
- Can be challenging learning the nuances of politics.
- Bureau leader needs to be savvy.

D. Political action can impact stakeholders.

1. Stakeholders are people or groups impacted by the decisions made by leaders.

2. Stakeholders may be organizational leaders, subordinate staff, labor organizations, other government agencies or third party entities.

3. For the sake of organizational politics, stakeholders are members of the organization with an interest in how decisions will affect their livelihood, success or viability within the organization.

E. Organizational politics often lead to the creation of give-and-take relationships between stakeholders.

1. "Quid pro quo" is an age-old concept that involves delivering a favor or advantage in exchange for something in return.

2. While quid pro quo often takes on a negative connotation, it will still appear within organizational politics.

3. It is the unethical use of these tactics that can present serious consequences.

F. There can be considerable challenges associated with learning the nuances of organizational politics.

1. Many newly appointed (and sometimes even seasoned organizational leaders) have made poor or untimely decisions that ultimately derailed their career.

2. Leadership can be a challenging and sometimes painful exercise when dealing with employee groups, organized labor and upper management.

G. The fire prevention/risk-reduction bureau leader needs to develop the savvy to understand and operate within the environment created by organizational politics.

1. New leaders must quickly learn the politics of their organizational structure and how to build their social bases of power. This will enable them to influence decision-makers so resources such as funding, staffing and advocacy for program support are attained.

2. Success in navigating organizational politics requires an understanding of the political landscape, its participants and the rules of engagement.

ORGANIZATIONAL POLITICS (cont'd)

- Negative effects of organizational politics:
  - Interpersonal dynamics.
  - Conflict between individual employees.
  - Conflict between groups.
  - Struggles with personal beliefs and values.

Slide 4-39

H. Negative effects of organizational politics.

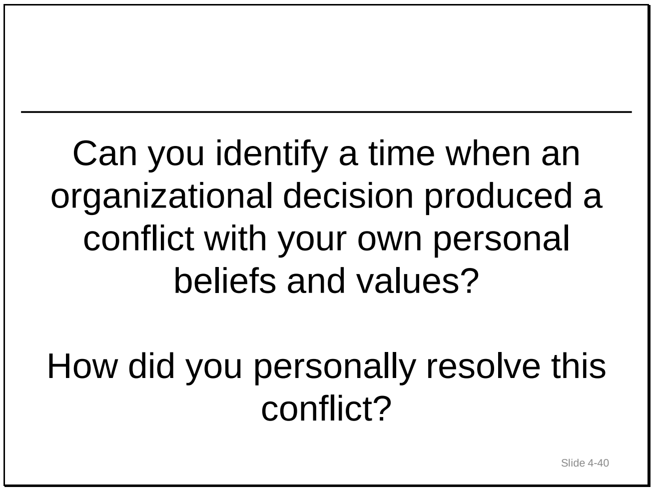
1. The interpersonal dynamics at play within the workplace lend themselves to organizational politics.

2. No organization completely escapes the strain of organizational politics.

3. The fire service is no different than a small business or Fortune 500 company.

4. Organizational politics can tear at the internal components of trust and cooperation that allow an entity to be successful in meeting its goals.

5. The perceptions and actions of employees acting within the context of the organizational structure can produce anxiety and stress for employees by placing them in difficult situations which include:
   a. Conflict between individual employees.
   b. Conflict between groups.
   c. Struggles with personal beliefs and values.



Can you identify a time when an organizational decision produced a conflict with your own personal beliefs and values?

How did you personally resolve this conflict?

6. The misuse of organizational politics can create stress and anxiety that challenges the ability of staff members to make decisions that involve others in the organization.

7. This misuse can also erode referent power.

8. The fire prevention/risk-reduction bureau leader should have an understanding of the negative effects of organizational politics.

9. A strategy that includes transparency and trust is paramount to building and maintaining a cohesive unit.

ORGANIZATIONAL POLITICS (cont'd)

- Methods to reduce the impact of organizational politics:
  - Be data-driven.
  - Foster alliances.
  - Admit when wrong.
  - Tell the truth.
  - Use email appropriately.
  - Look out for best interest of organization.
  - Foster relationships.

I. Bolander (2011) developed a comprehensive list of methods to reduce the impact of organizational politics:

1. Be data-driven.

2. Foster alliances.

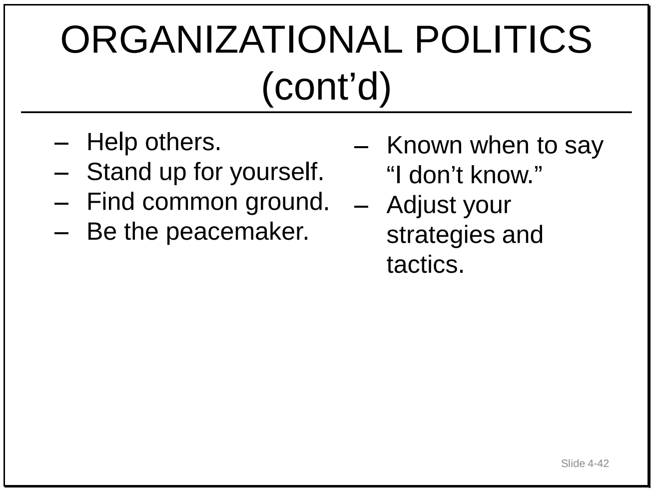
3. Admit when you are wrong.

4. Tell the truth.

5. Use email appropriately.

6. Always look out for the best interest of the organization.

7. Foster relationships.



ORGANIZATIONAL POLITICS (cont'd)

- Help others.
- Stand up for yourself.
- Find common ground.
- Be the peacemaker.
- Known when to say "I don't know."
- Adjust your strategies and tactics.

8. Help others.

9. Stand up for yourself.

10. Try and find common ground and agree to disagree.

11. Be the peacemaker.

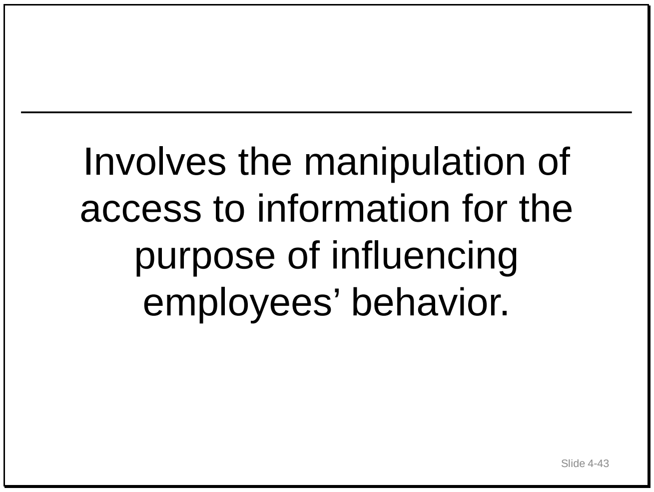
12. Know when to say “I don’t know.”

13. Adjust your tactics and strategies to fit the situation at hand.

J. There is a strong connection between reducing the impact of organizational politics and the development of strong, ethical leadership qualities.

V. INFORMATION CONTROL AND POWER

A. Information flow within an organization is a strong basis of power for those who control its dissemination.



Involves the manipulation of access to information for the purpose of influencing employees’ behavior.

Slide 4-43

B. Information control involves the manipulation of access to information for the purpose of influencing employees’ behavior.

C. Information is power.

1. Employees able to tap into the information flow within an organization build informational power.

2. Understanding the organizational structure and where to go for information needed to meet your job requirements is essential.

3. Equally important is developing the relationships to get essential information.

4. Both of the above are vital to the professional success of both staff members and leaders.

5. Control, and therefore power, is generated when people with information determine what items are shared with others within a group or organization.

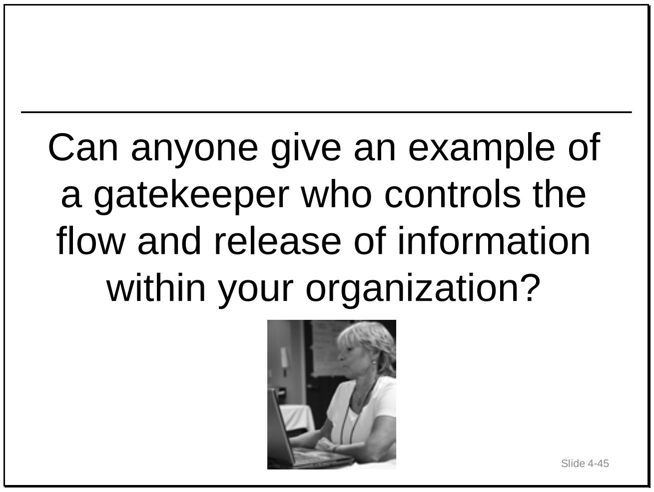
INFORMATION CONTROL AND POWER

- Withholding information through gatekeepers is legitimate power.
  - Staff may become dependent on gatekeepers.
  - Gatekeepers can be anyone in the organization.

D. Withholding information through the use of gatekeepers within an organization is also a form of legitimate power.

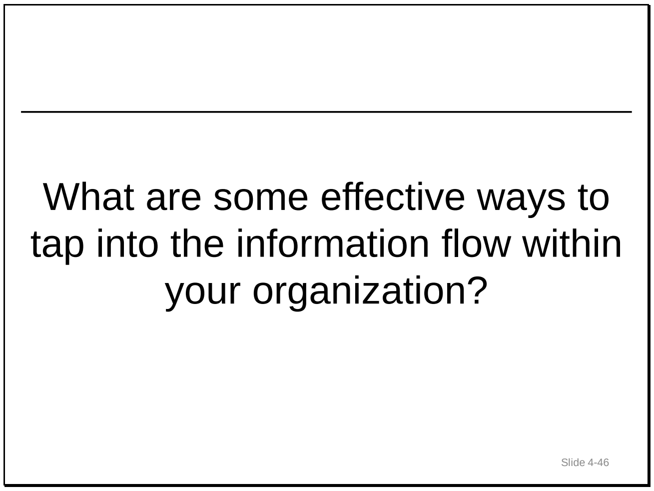
1. Organizational staff may become dependent on gatekeepers to release the information required to perform jobs.

2. Gatekeepers can be anyone in the organization who controls the release of information, from the lowest levels of the organization to the executive officer of the department.



Can anyone give an example of a gatekeeper who controls the flow and release of information within your organization?

E. Information control can have a strong influence on the expectations and behaviors within an organization.



What are some effective ways to tap into the information flow within your organization?

F. Known as a hard influence tactic, information control is sometimes employed when resistance to influence does not achieve the desired effect.

G. McShane and Von Glinow (2010) note that people and employees generally react more favorably to soft tactics of influence such as persuasion, ingratiation and impression management.

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ACTIVITY 4.4

Strategies for Enhancing Political Influence within the Organization and Community

Purpose

To develop strategies that enhance the bureau leader's political influence within the organization and community.

Directions

1. This is a small group activity that involves research and reporting to the class at large.
2. Each small group will be assigned a topic for research and reporting.
   a. Group One — Influencing for Success.
   b. Group Two — Building Organizational Trust.
   c. Group Three — Building an Environment to Champion Success.
   d. Group Four — Putting it all Together.
3. Group members should read the section they have been assigned.
4. Next, your group should develop a five- to seven-minute presentation in which you summarize the key points of the section to the class at large. Each person must take part in the presentation.
5. **Note:** The summary should be in plain terms and relate how the information applies to a bureau leader.
6. You are allotted 30 minutes for preparation time.
7. Your group is allotted 30 minutes maximum to present to the class at large.

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VI. INFLUENCING FOR SUCCESS

INFLUENCING FOR SUCCESS

- Hard influence tactics:
  - Legitimating.
  - Coalition.
  - Pressure tactics.

Slide 4-48

A. Influencing is the act of putting your power to work to change the thoughts or actions of others.

B. Most people, both external stakeholders and members within the organization, would rather be persuaded through positive influence rather than simply be told what to do.

C. There are two types of influencing tactics: hard and soft.

D. Hard tactics exert pressure on people or groups in an attempt to intimidate them into changing behavior.

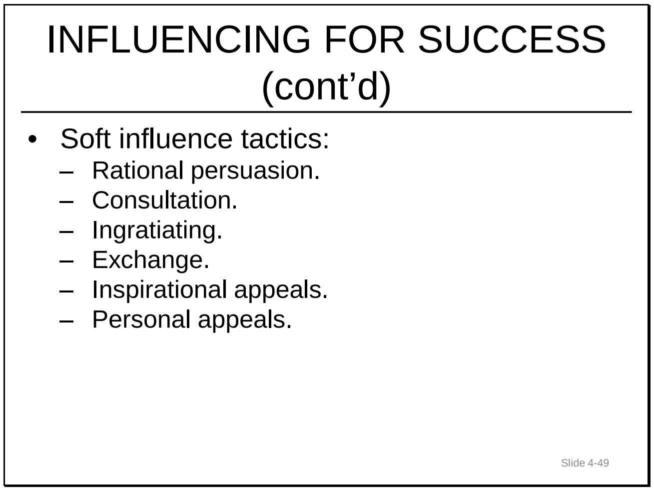
E. Hard influence tactics include:

1. Legitimating — using your power as a supervisor to exert pressure and force compliance within the organization.

2. Coalition — enlisting others to increase pressure on the target.

3. Pressure tactics — utilizing threats and demands to influence behavior.

F. Soft influencing tactics are considered to be friendly, noncoercive attempts at making measurable change in attitudes, values, beliefs or behaviors (Kovack, 2008).



INFLUENCING FOR SUCCESS (cont'd)

- Soft influence tactics:
  - Rational persuasion.
  - Consultation.
  - Ingratiating.
  - Exchange.
  - Inspirational appeals.
  - Personal appeals.

G. Soft influence tactics include:

1. Rational persuasion — attempting to convince others with logical arguments, reason and evidence of fact.

2. Consultation — offering inclusion of participation in justification, planning and decision-making to gain support.

3. Ingratiating — using praise, flattery, and friendly or helpful behavior to soften the target before asking for something (Yukl, et al., 1993).

   a. Ingratiation is commonly utilized on a wide variety of targets.

   b. It can be found in all levels of the organization to soften targets before asking for something.

   c. Giving praise to peers, subordinates and even superiors is universally used to gain influence and obtain a desired response within the target.

   d. Ingratiation would be used as a first level tactic to influence behavior.

4. Exchange — offers an exchange of favors or indicates a willingness to reciprocate if the target helps to accomplish some specific task (Yukl, et al., 1993).

   a. Ingratiation and exchange are two of the most highly used influence tactics.

   b. Exchange can be utilized as a **hard** influence tactic across the organization in a quid pro quo maneuver.

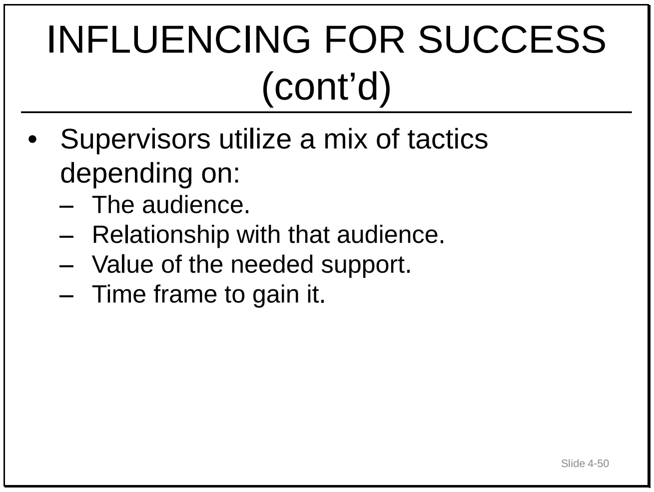
c. Yukl, et al. (1993) found that exchange tactics have greater use in a downward and lateral direction in the organizational setting rather than faced upward toward superiors.

d. Through reward tactics, peers and subordinates are promised or agree to an exchange of something valuable for their allegiance or task performance. Exchange is also normally utilized as a first level tactic to influence behavior.

5. Inspirational appeals — building support by appealing to others' emotions and values.

6. Personal appeals — making a plea based on friendship or loyalty.

H. Hard and soft influence tactics can be utilized by themselves or in conjunction with one another, depending on the situation.



INFLUENCING FOR SUCCESS (cont'd)

- Supervisors utilize a mix of tactics depending on:
  - The audience.
  - Relationship with that audience.
  - Value of the needed support.
  - Time frame to gain it.

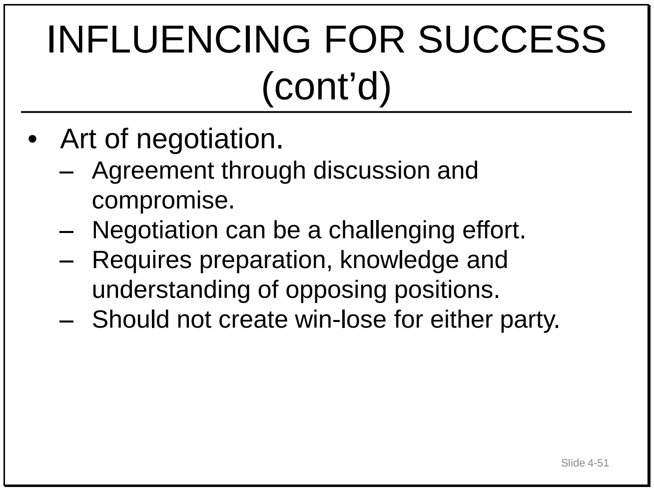
I. Supervisors within an organization normally utilize a mix of soft and hard influencing tactics to gain support depending on:

1. The audience.

2. Their relationship with that audience.

3. The value of the needed support.

4. The time frame to gain it.



INFLUENCING FOR SUCCESS (cont'd)

- Art of negotiation.
  - Agreement through discussion and compromise.
  - Negotiation can be a challenging effort.
  - Requires preparation, knowledge and understanding of opposing positions.
  - Should not create win-lose for either party.

J. The art of negotiation.

1. Negotiation is the process of reaching agreement through discussion and compromise.

2. As his or her power and influence increases within the organization, the fire prevention/risk-reduction bureau leader can build strong coalitions that help enhance both personal and bureau effectiveness.

3. However, there will be times when negotiation is necessary to reach common ground on a particular problem or issue.

4. Because of the differing facets of people's personality, views and biases, the process of negotiation can be a challenging effort.

5. Effective negotiation is the culmination of preparation, knowledge and understanding of opposing positions.

6. Good negotiators are creative in developing solutions to challenging situations.

7. Both negotiating parties need an open mind to allow positive solutions to develop.

8. Negotiation can create suspicion and separate agendas.

9. Collaboration is based on the foundation of trust and shared goals.

10. The negotiation process should not create win-lose scenarios for either party.

11. One of the rules of negotiation is to prevent an outcome of having two mutually exclusive positions.

K. The value of collaborative negotiation.

1. Collaboration must undertake a change that “moves away from command-and-control, internally-competitive, star-oriented cultures to embrace cultures in which people across the enterprise gain access to the same data and information and provide input into process improvements, market creation, innovation, and other key issues and decisions” (Rosen, 2008, p. 1).

2. Ness and Ward (2007) promote a number of techniques that are successful in building collaboration:

    a. Deep listening.

    b. Appreciative inquiries.

    c. Exploring possibilities rather than focusing on problems.

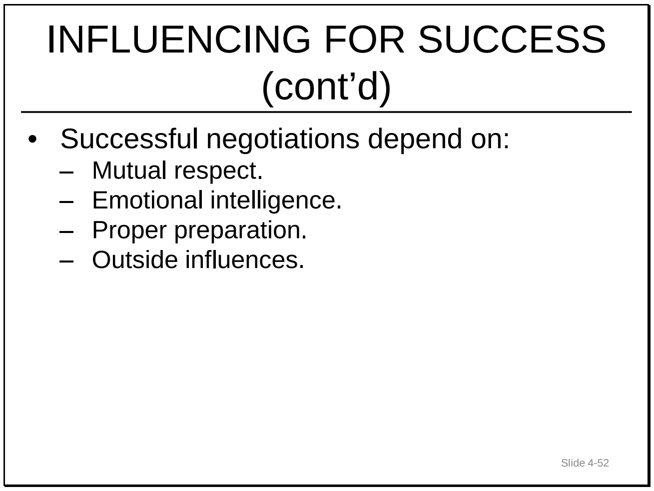
3. Having an understanding of the needs of the other party is paramount to building a foundation of trust.

4. Negotiation should focus on shared goals that have mutual benefit.

5. Utilizing appreciative strategies can help keep negotiations on track and build strong lines of communication.

6. These strategies can also help parties understand where their interests and needs intersect (Kolb and Williams, 2001).

L. Contract or collective bargaining negotiation can create strong emotions and feelings from both sides of the aisle.



INFLUENCING FOR SUCCESS (cont'd)

- Successful negotiations depend on:
  - Mutual respect.
  - Emotional intelligence.
  - Proper preparation.
  - Outside influences.

Slide 4-52

M. Successful negotiations depend on the following critical factors:

1. Mutual respect.
2. Emotional intelligence.
3. Proper preparation.
4. Outside influences such as timing, funding and varied levels of support.

VII. BUILDING ORGANIZATIONAL TRUST

BUILDING ORGANIZATIONAL TRUST

- Organizational trust is founded on the principles of ethical behavior and high levels of integrity.
- Includes all relationships, communications, transactions and projects.

Slide 4-53

A. Establishing organizational trust is founded on the principles of ethical behavior and high levels of integrity when dealing with the employees and the use of resources allocated to the organization.

B. Trust is the backbone of every action in which the organization is engaged, including all relationships, communications, transactions and projects (Covey, n.d.).

C. Organizational trust guides the people, processes and decisions that make an agency successful at meeting its goals.

D. Actions, **not** intentions, are what define a leader and impact the building of trust with peers and subordinates.

E. The following represent common behaviors that create high levels of trust:

1. Talk straight.
2. Demonstrate respect.
3. Create transparency.
4. Right wrongs.
5. Show loyalty.
6. Deliver results.
7. Get better.
8. Confront reality.
9. Clarify expectations.
10. Practice accountability.
11. Listen first.
12. Keep commitments.
13. Extend trust.

F. The behaviors listed above are not mutually exclusive and must be balanced with each other. For example, talk straight should be tempered with demonstrate respect.

G. Trust is gained and sustained through a number of interrelated dependencies that need constant monitoring and attention.

1. Organizational trust is built from a top-down approach.

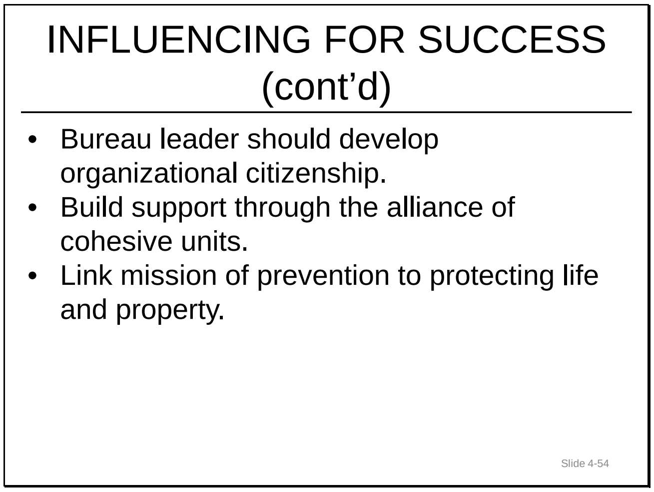
2. Leaders of the organization must be the first to set the example and clarify expectations for others to follow.

3. Organizational trust is difficult to gain and exceptionally easy to lose through a simple slip of one's integrity and character.

4. These reasons reinforce the essential necessity of high moral and ethical standards and the value of personal character in leading a division or organization.

5. There are ramifications that are damaging for both the person as well as the organization.

6. Many times these can be attributed to a character slip that is exacerbated by lies and cover-ups that do nothing more than to destroy the trust of those around them.



INFLUENCING FOR SUCCESS (cont'd)

- Bureau leader should develop organizational citizenship.
- Build support through the alliance of cohesive units.
- Link mission of prevention to protecting life and property.

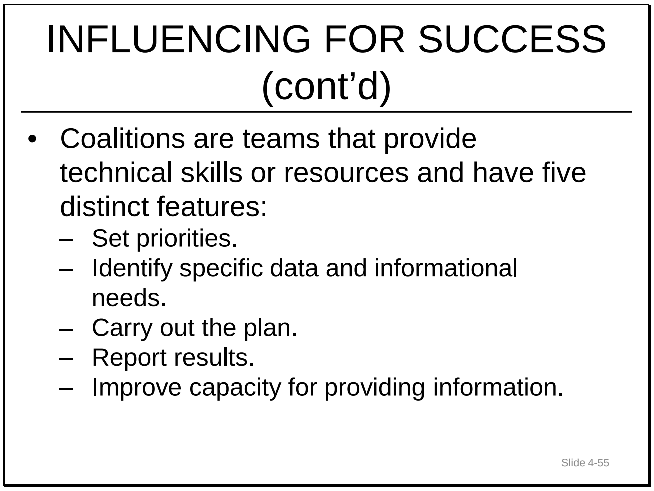
Slide 4-54

H. The fire prevention/risk-reduction bureau leader should develop organizational citizenship, which creates a strong bond between the needs of the employees and organizational goals.

1. Relationship development through highly developed interpersonal skills is the cornerstone for building strong coalitions with stakeholders.

2. Building support through the alliance of cohesive units helps to link the team's mission to that of the organization.

3. It assists in linking the mission of fire prevention and risk reduction to the broader scope of protecting life and property.



INFLUENCING FOR SUCCESS (cont'd)

- Coalitions are teams that provide technical skills or resources and have five distinct features:
  - Set priorities.
  - Identify specific data and informational needs.
  - Carry out the plan.
  - Report results.
  - Improve capacity for providing information.

I. Coalitions are teams that can provide technical skills or additional resources to deliver a positive impact on reaching a set goal. Sherow (2002) underscores that coalitions have five distinct features that include:

1. Set priorities for action.

2. Identify specific data and informational needs from other groups and agencies.

3. Carry out the plan.

4. Report the results of coalition activities.

5. Improve the capacity for providing information to the community interest groups, and policymakers.

J. Building coalitions assists the fire prevention/risk-reduction leader in bringing together stakeholders from inside and outside the organization to support projects and policy for community risk reduction.

1. The benefits of a coalition include:

   a. Presenting a unified image.

   b. Saving time.

   c. Building support for the promotion of a new program or service.

2. Building and utilizing coalitions within the division, department and community enables the bureau leader to address large or complex issues that need additional resources.

3. Coalitions can also help build the support for the implementation of a program or policy necessary to impact risk-reduction efforts.

VIII. BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS

BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS

- Bureau leader will need to address conflict, organizational politics and other challenges.
- Attributes that leaders should strive to maintain:
  - Flexibility, adaptability and optimism.
  - View challenges as an opportunity.
  - Use vision to inspire others.

Slide 4-56

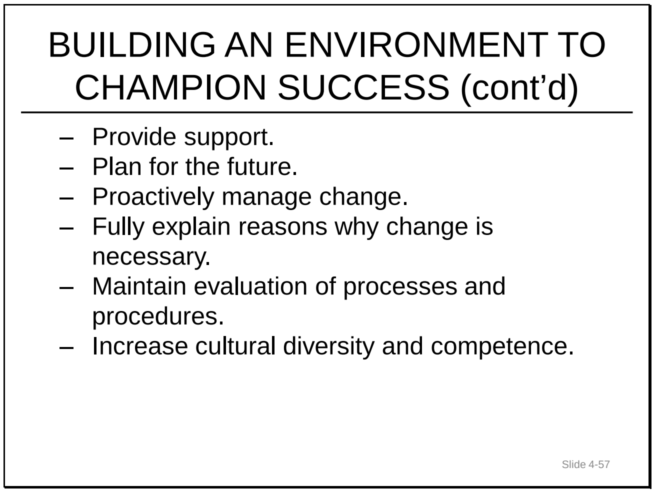
A. It is inevitable that a fire prevention/risk-reduction bureau leader will need to address conflict, organizational politics and other challenges.

B. The following section provides an overview of the attributes that leaders should strive to maintain:

1. Flexibility, adaptability and optimism will help the leader overcome challenges and reach organizational goals.

2. View challenges as an opportunity for growth and development.

3. Visionary leaders inspire others by using their imagination, thinking strategically, and displaying the innate ability to maintain a positive outlook of the future.



BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS (cont'd)

- Provide support.
- Plan for the future.
- Proactively manage change.
- Fully explain reasons why change is necessary.
- Maintain evaluation of processes and procedures.
- Increase cultural diversity and competence.

Slide 4-57

4. Provide the support necessary for personnel to adapt to the ever-changing conditions and business climate.

5. Plan for the future with the realistic expectation that change is a process constantly in motion.

6. Proactively manage change by helping staff understand the need to be adaptive.

7. Fully explain the reasons why change is necessary.

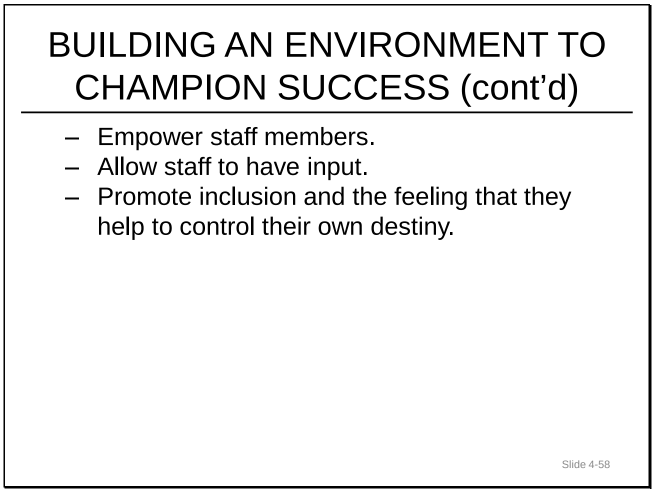
8. Maintain a continued evaluation of processes and procedures to deliver quality services.

9. Increase cultural diversity and competence in the work environment.

    a. Prepare your personnel to be successful in working with people from other cultures, backgrounds and countries.

    b. Avoid prejudging others.

    c. Address prejudice or cultural bias in yourself to raise the bar within your division and organization.



BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS (cont'd)

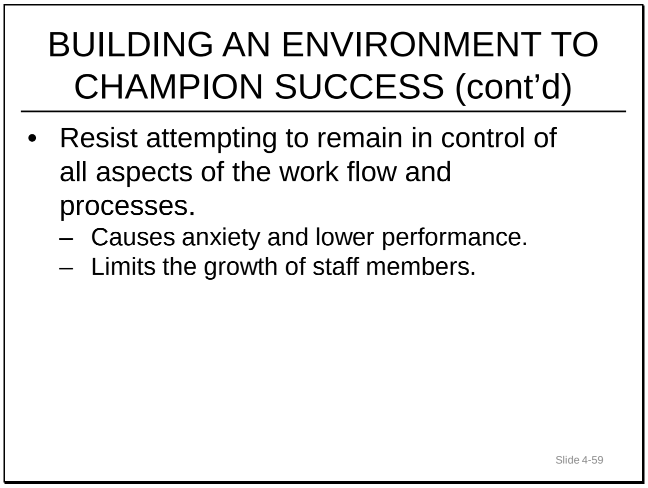
- – Empower staff members.
- – Allow staff to have input.
- – Promote inclusion and the feeling that they help to control their own destiny.

Slide 4-58

10. Empower staff members to take charge, be leaders, and build organizational commitment/citizenship.

11. Allow staff members to have input to the decision-making process.

12. Promote inclusion and the feeling that they help to control their own destiny.



BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS (cont'd)

- Resist attempting to remain in control of all aspects of the work flow and processes.
  - – Causes anxiety and lower performance.
  - – Limits the growth of staff members.

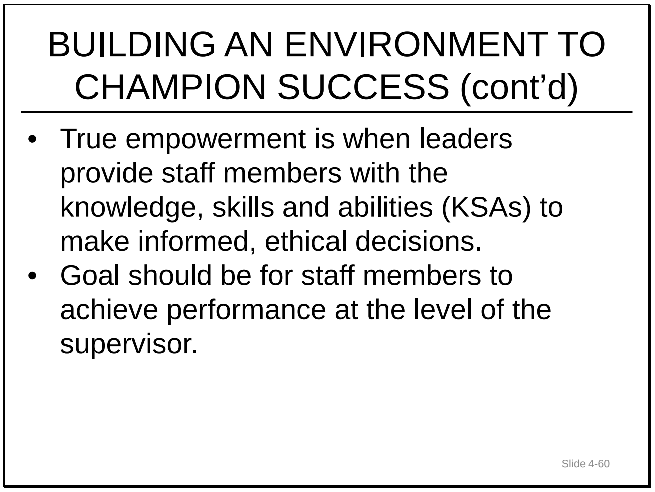
Slide 4-59

13. Many newly appointed (and even seasoned leaders) attempt to remain in control of all aspects of the work flow and processes.

    a. This practice ultimately causes added anxiety and lower performance, and it limits the professional growth of staff members.

    b. The process of controlling staff members' efforts is a time consuming task for supervisors.

c. The trend toward delegation and empowerment has led many organizations to move away from strong top-down controls and place more emphasis on professional development, which allows staff members to monitor their efforts and self-correct issues that arise (Daft, 2010).



BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS (cont'd)

- True empowerment is when leaders provide staff members with the knowledge, skills and abilities (KSAs) to make informed, ethical decisions.
- Goal should be for staff members to achieve performance at the level of the supervisor.

14. True empowerment within an organization is achieved when leaders provide their staff members with the KSAs to make informed, ethical decisions that support the goals of the organization.

15. The overarching goal of delegation and empowerment should be for staff members to achieve performance at the level of the supervisor.

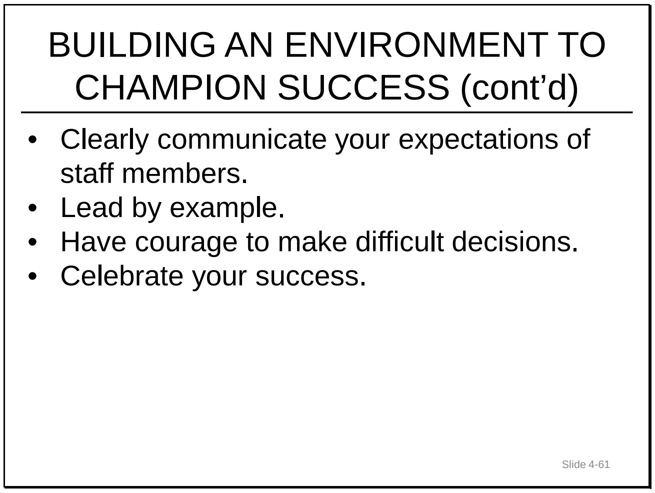
    a. Falling short of these objectives would necessitate the need for coaching to improve performance (Stone, 2004).

    b. Supervisors should have an understanding that cultural elements have an impact on the success of empowerment within the organization.

    c. Staff members who have come from strong top-down control environments will see employee empowerment as an adaptive change that will need additional attention from administrators.

    d. Staff members may initially have a fear of failure that will prevent them from working outside their traditional comfort zone.

    e. Education and training will develop the skills and abilities that can reduce this anxiety as well as benefit staff members and ultimately the organization.



BUILDING AN ENVIRONMENT TO CHAMPION SUCCESS (cont'd)

- Clearly communicate your expectations of staff members.
- Lead by example.
- Have courage to make difficult decisions.
- Celebrate your success.

16. Foster a positive work environment by clearly communicating your expectations of staff members.

    a. Focus on your commitment to your personnel and the public that you protect.

    b. Build strong and effective teams through continued professional development.

    c. Continually manage the relationships that have provided for your success.

    d. Inspire those around you through courageous leadership.

17. Lead by example through strong moral convictions.

    a. Fight for what is right and just.

    b. Support those within your organization who show these same leadership qualities.

    c. Remember that as fire marshal or deputy chief, you are held to a higher standard by your employees and the public you serve.

    d. Your words, decisions and actions should support the organizational mission and be ethically sound.

18. Have the managerial courage to make the difficult decisions that are in the best interest of the organization.

Temper this with emotional intelligence and compassion to send the strong message that you and the organization truly care for the well-being of staff members and have their best interests in mind.

19. Celebrate your success.

    a. Praise your staff members for the work they perform.

    b. The simple task of saying “thank you” for a job well done is an enormous motivating factor for many within the workplace.

    c. Acknowledging the positive attitude, efforts and success of staff members keeps them engaged and keeps performance levels high.

    d. Taking the time to mention their accomplishments at a departmental meeting or in a newsletter, website or other social media outlet reinforces the value of hard work and dedication across the organization.

IX. PUTTING IT ALL TOGETHER

A. Understanding the roles that power, politics and influence play in the organization and political arena is vital for:

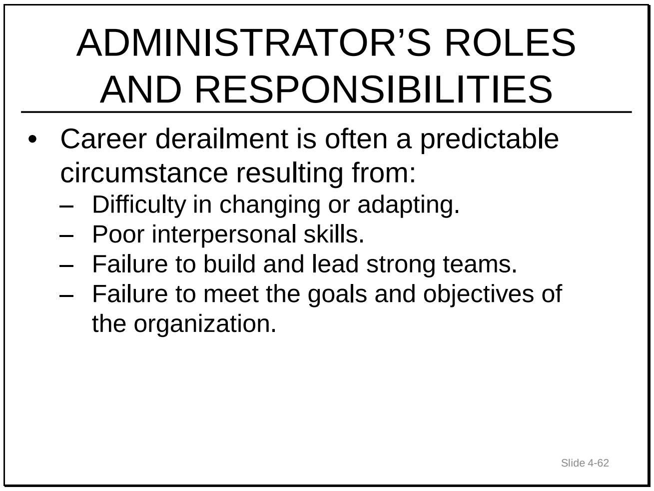
   1. Developing and honing your leadership skills as the bureau chief.

   2. Securing the resources to be successful.

   3. Avoiding the pitfalls that can steal your power and derail your career.

B. While derailment is never intentional, it can cause irreparable damage to both the individual and the organization.

   1. Unethical conduct is the primary source of career sabotage, but there are many other variables in the work environment that can present serious issues for the bureau leader.



ADMINISTRATOR’S ROLES AND RESPONSIBILITIES

- Career derailment is often a predictable circumstance resulting from:
  - Difficulty in changing or adapting.
  - Poor interpersonal skills.
  - Failure to build and lead strong teams.
  - Failure to meet the goals and objectives of the organization.

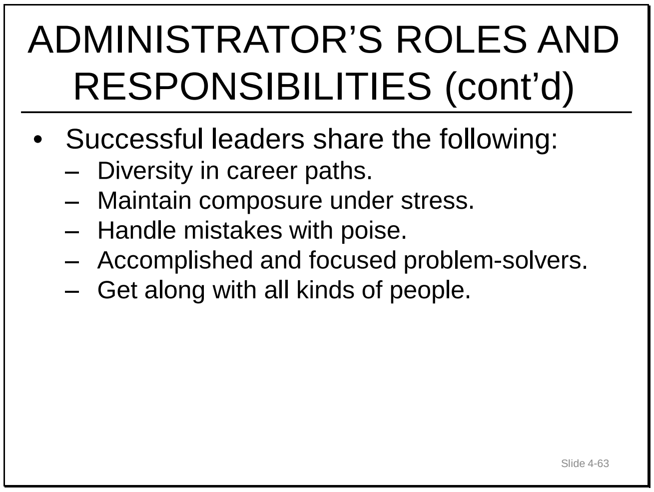
2. D.W. Prince (2005) cited that career derailment is often a predictable circumstance that is the culmination of a number of common characteristics that include:

   a. Difficulty in changing or adapting.

   b. Poor interpersonal skills.

   c. Failure to build and lead strong teams.

   d. Failure to meet the goals and objectives of the organization.



ADMINISTRATOR’S ROLES AND RESPONSIBILITIES (cont’d)

- Successful leaders share the following:
  - Diversity in career paths.
  - Maintain composure under stress.
  - Handle mistakes with poise.
  - Accomplished and focused problem-solvers.
  - Get along with all kinds of people.

C. D.W. Prince (2005) promoted the idea that successful leaders shared the following attributes:

1. Expand diversity in their career paths.

2. Maintain composure under stress.

3. Handle mistakes with poise.

4. Are accomplished and focused problem-solvers.

5. Get along with all kinds of people.

D. Good interpersonal skills and creating strong cohesive teams are precursors to building a successful fire prevention/risk-reduction bureau.

E. Continued professional development and self-assessment can increase a bureau leader's KSAs in many of these areas.

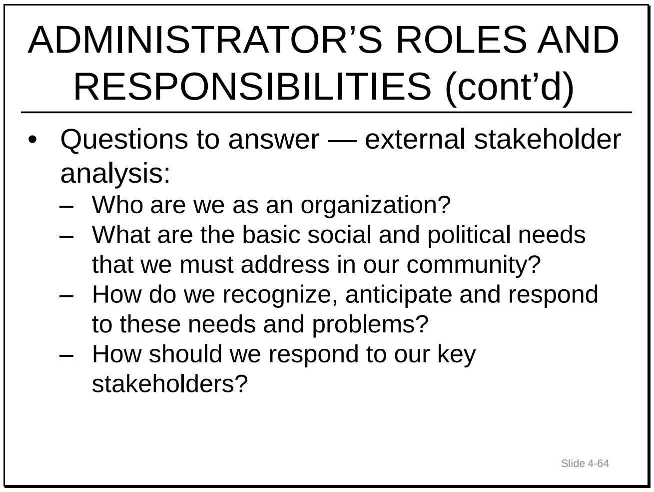
F. As the fire prevention/risk-reduction bureau leader, you will assume greater roles and responsibilities within the organization.

   1. You should be prepared to change your focus and level of organizational engagement.

   2. You will often be asked to chair or sit on various committees both inside the organization and out in the community.

   3. To some people, this may seem uncomfortable at first since they are used to working in the confines of the cultural environment of the division or agency.

   4. In reality, this is a natural progression as the agency pushes forth their highest trained, most influential personnel to support organizational goals and interests.



ADMINISTRATOR'S ROLES AND RESPONSIBILITIES (cont'd)

- Questions to answer — external stakeholder analysis:
  - Who are we as an organization?
  - What are the basic social and political needs that we must address in our community?
  - How do we recognize, anticipate and respond to these needs and problems?
  - How should we respond to our key stakeholders?

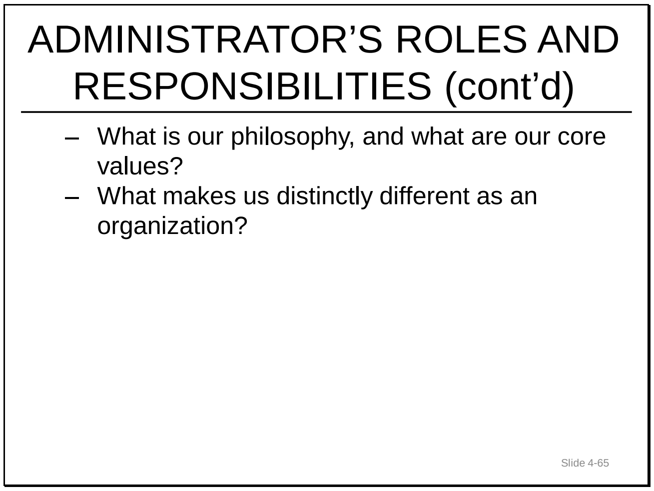
G. External stakeholder analysis is critical to assessing the environment that includes considerations of political, economic, social and technological issues. Wallace (2006) derives the following six fundamental questions that are answered by completing an external stakeholder analysis:

1. Who are we as an organization?

2. What are the basic social and political needs that we must address in our community?

3. How do we recognize, anticipate and respond to these needs and problems?

4. How should we respond to our key stakeholders?



ADMINISTRATOR'S ROLES AND RESPONSIBILITIES (cont'd)

- What is our philosophy, and what are our core values?
- What makes us distinctly different as an organization?

Slide 4-65

5. What is our philosophy, and what are our core values?

6. What makes us distinctly different as an organization?

H. Understanding the answers to these questions will assist the bureau chief in crafting the vision, position and response required to meet the needs of the community while maintaining strong character values that match those of the organization.

I. Organizational leaders spend much of their time working with governmental leaders to address a wide variety of community issues that include:

1. Emergency response.

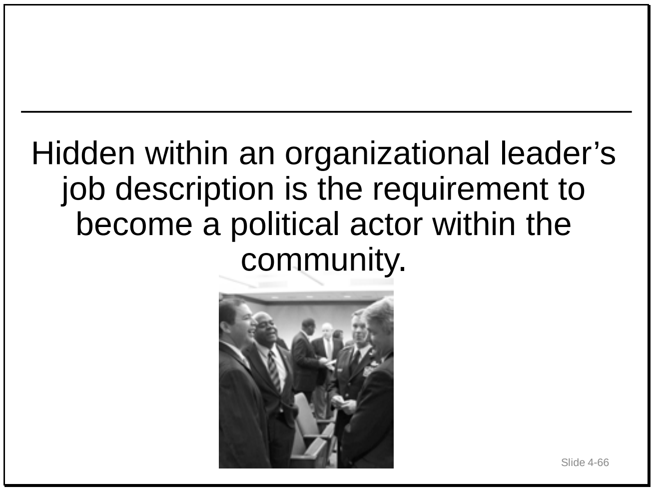
2. Prevention and risk-reduction efforts.

3. Strategic planning.

4. Finances.

5. Human resources.

6. Drafting public policy.



Hidden within an organizational leader's job description is the requirement to become a political actor within the community.

J. Hidden within an organizational leader's job description is the requirement to become a political actor within the community.

1. The levels at which a leader becomes engaged in these activities is the catalyst that thrusts him or her into the political arena to defend policies, explain departmental practices, and seek the resources necessary to provide quality services to the community.

ADMINISTRATOR'S ROLES AND RESPONSIBILITIES (cont'd)

- Need intimate knowledge of the political landscape, the players and their interests.
- Select appropriate influencing tactic(s) to gain support.

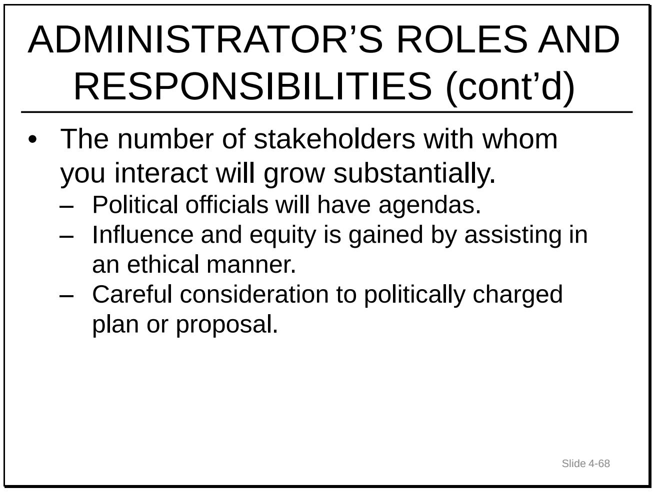
2. Honing your external political savvy comes from having intimate knowledge of the political landscape, the players and their interests, as well as selecting the appropriate influencing tactic(s) to gain support.

3. Being active in the political arena, as well as civic organizations, will help others to see that you are a knowledgeable resource within the community and proactive in your approach to helping others.

   a. Communication skills, especially good listening skills, are the foundation of the interaction between these parties and set the stage for productive exchanges.

   b. Many people who attempt to negotiate a specific outcome fail to put enough emphasis on effective listening and instead make articulating their own views the sole focus of their efforts.

   c. The drawback to this approach is that collaboration on alternatives that may have required less resources (money, staffing or time) or provide added value may be missed.



ADMINISTRATOR'S ROLES AND RESPONSIBILITIES (cont'd)

- The number of stakeholders with whom you interact will grow substantially.
  - Political officials will have agendas.
  - Influence and equity is gained by assisting in an ethical manner.
  - Careful consideration to politically charged plan or proposal.

Slide 4-68

K. The same rules of power and influence apply to the bureau leader in the political arena; however, their levels and applicability can vary significantly.

1. Levels of legitimate power and referent power can change for the bureau chief as he or she enters the political arena.

2. This often entails working with people who have power levels equal to or greater than the bureau leader's.

3. The bureau leader must approach these situations with caution and scan the landscape for allies and potential opposition.

L. As you assume the position of fire prevention/risk-reduction bureau leader, the number of stakeholders with whom you continually interact will grow substantially.

1. These stakeholders will include political officials and their constituents who will have agendas that may either support or oppose your interests/ goals.

2. Political influence and equity is gained by assisting these individuals and groups in an ethical manner.

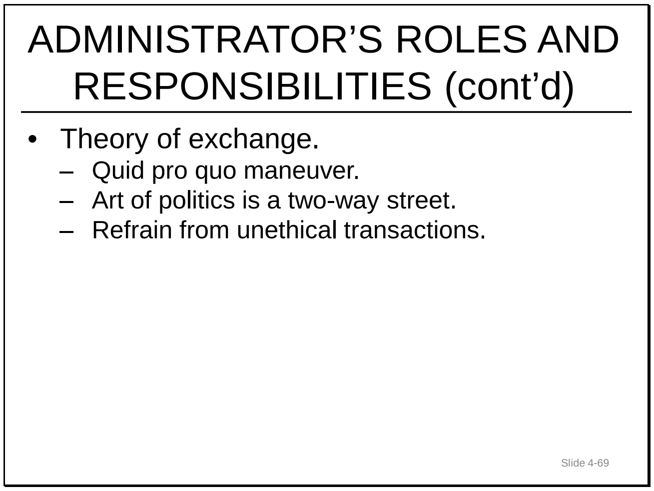
3. Careful consideration must precede a decision to support a politically charged plan or proposal.

    a. What may initially seem like a win-win proposal or situation can have underlying negative factors or unintended consequences.

    b. Understand that the process of government action can sometimes progress in a slow manner.

    c. Avoid gut decisions; rather, be data-driven and open to the discussion of alternatives.

    d. Always have the best interests of the organization and community in mind.



ADMINISTRATOR'S ROLES AND RESPONSIBILITIES (cont'd)

- Theory of exchange.
  - Quid pro quo maneuver.
  - Art of politics is a two-way street.
  - Refrain from unethical transactions.

Slide 4-69

M. The theory of exchange is also prevalent in the political arena.

1. A strong resource for elected officials is a quid pro quo maneuver.

2. Recognize that the art of politics is a two-way street that requires building alliances and trading offers of support for various plans, projects or policies.

3. Leaders must refrain from unethical transactions that can ultimately erode their power and presence within the community.

4. Unethical conduct leads to lies and cover-ups that are unsustainable and compromise individual/organizational integrity.

N. Because of organizational hierarchy in municipal government, top level fire executives are part of the political process.

O. While this can be an uncomfortable situation for some bureau leaders, their participation is essential to the political process because the creation and implementation of public policy can assist the organization in meeting its goals of community risk reduction.

P. The fire prevention/risk-reduction bureau leader's roles and responsibilities are numerous both inside and outside of the organization.

1. A leader's interests are best served through gaining the requisite KSAs to provide technical expertise while honing his or her interpersonal skills to engage employees in a way that will build strong, cohesive teams.

2. Continued professional development, self-assessment and engagement with the community can bring a leader untold strengths to continually draw from.

3. Maintaining a positive outlook and building dynamic relationships with personnel, political allies and external customers will provide exceptional opportunity to exercise ethical power and influence for mission success.

ACTIVITY 4.5

Building a Bureau Leader

Purpose

To propose successful practices of how a new bureau leader should build his or her power base, handle political situations, and influence people.

Directions

1. Please reflect on what has been presented in this unit.
2. Within your small group, construct a description of the type of bureau leader you would like to be (or serve with). The description should include the following points:
   a. How should the leader utilize social power bases to become an efficient and effective leader?
   b. What type of political savvy must the leader develop so he or she can use political influence to advance the mission of the bureau in an efficient and ethical manner?
   c. What strategies will a desirable leader utilize to influence those around him or her to follow his or her vision?
3. You are allotted 25 minutes for small group processing.
4. You are allotted 15 total minutes for small group reporting.

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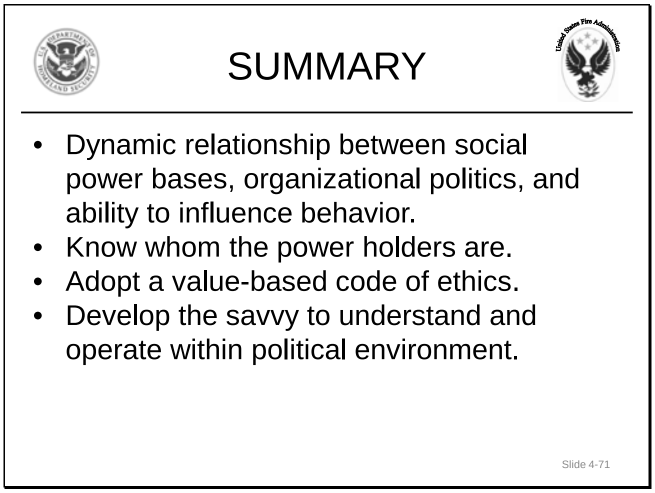
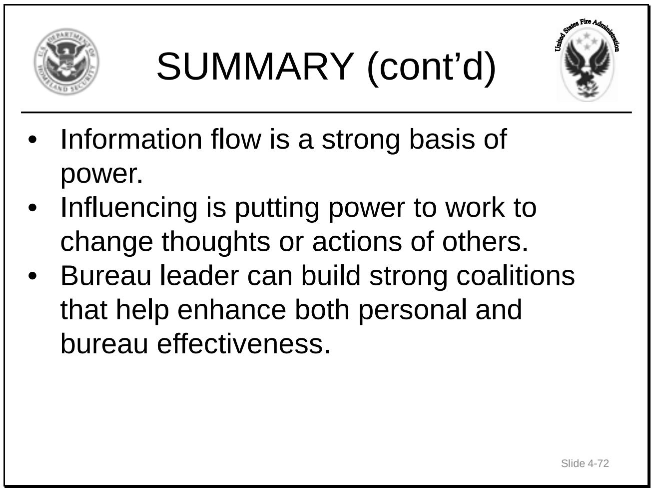
X. SUMMARY



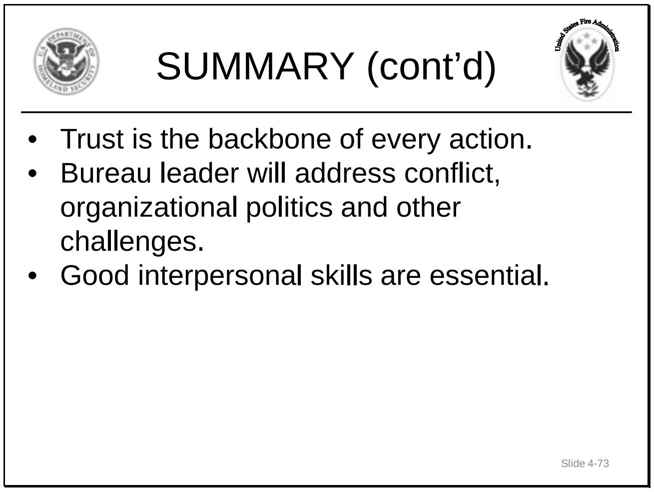
SUMMARY

- Dynamic relationship between social power bases, organizational politics, and ability to influence behavior.
- Know whom the power holders are.
- Adopt a value-based code of ethics.
- Develop the savvy to understand and operate within political environment.



SUMMARY (cont'd)

- Information flow is a strong basis of power.
- Influencing is putting power to work to change thoughts or actions of others.
- Bureau leader can build strong coalitions that help enhance both personal and bureau effectiveness.



SUMMARY (cont'd)

- Trust is the backbone of every action.
- Bureau leader will address conflict, organizational politics and other challenges.
- Good interpersonal skills are essential.

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UNIT 5:
ORGANIZATIONAL FINANCES

TERMINAL OBJECTIVE

The students will be able to:

5.1 Perform a cost-benefit analysis to justify changes to the budget, given a budget and objectives to be accomplished.

ENABLING OBJECTIVES

The students will be able to:

5.1 Describe the typologies of budgets utilized by governments.

5.2 Compare and contrast the strengths and weaknesses of different types of budgets.

5.3 Evaluate a budget against existing costs and fiscal policy.

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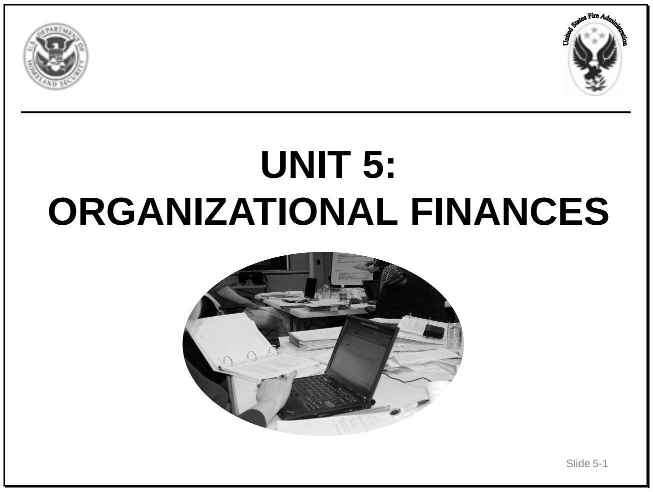
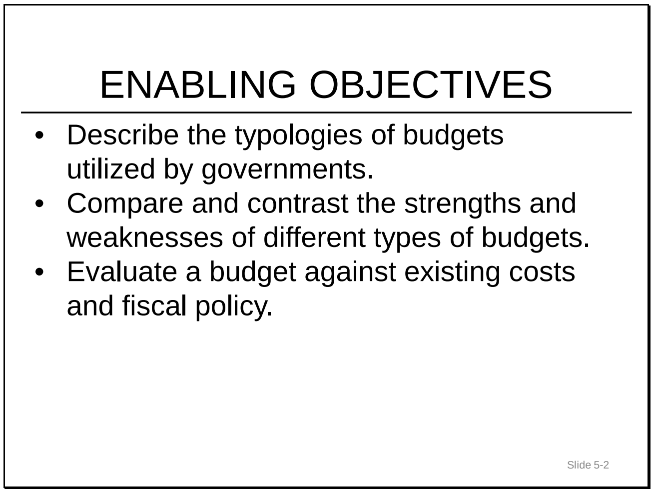


UNIT 5:
ORGANIZATIONAL FINANCES



ENABLING OBJECTIVES

- Describe the typologies of budgets utilized by governments.
- Compare and contrast the strengths and weaknesses of different types of budgets.
- Evaluate a budget against existing costs and fiscal policy.

I. INTRODUCTION

A. As articulated throughout the “Managing Effective Fire Prevention Programs” (MEFPP) course, the leader of a fire prevention/risk-reduction bureau may have responsibility for multiple domains of service to include:

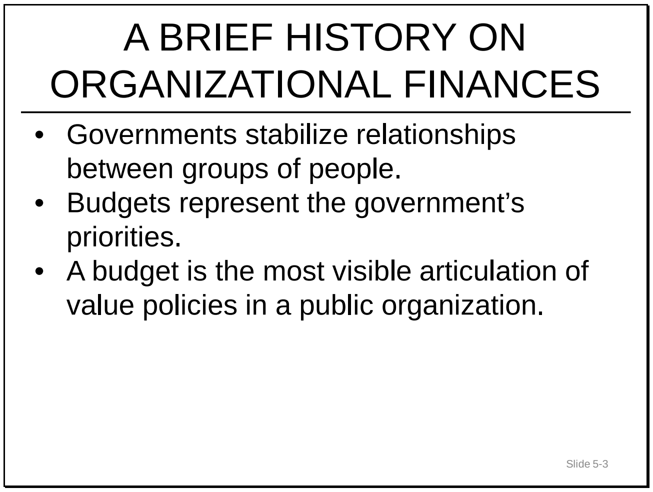
1. Public education/information.

2. Building plan review and inspections.

3. Fire investigation.

B. It is the bureau leader’s responsibility to help ensure that an adequate funding portfolio is developed and a budget is formulated to accomplish the fire prevention/risk-reduction mission.

II. A BRIEF HISTORY ON ORGANIZATIONAL FINANCES



A BRIEF HISTORY ON ORGANIZATIONAL FINANCES

- Governments stabilize relationships between groups of people.
- Budgets represent the government's priorities.
- A budget is the most visible articulation of value policies in a public organization.

Slide 5-3

A. Governments exist to stabilize relationships between groups of people.

1. It is natural and expected that value conflicts will occur between groups of people.

2. A fundamental problem facing government is devising a method by which competing values between groups of people can be evaluated.

3. Those activities providing the greatest return or achieving the most desired social objective should be determined.

B. Public budgets represent the government's decision on the relative priorities among the citizenry's competing values.

1. Public budgets provide the electorate with a record of the value decisions of their government as well as information on public assets, programs and services.

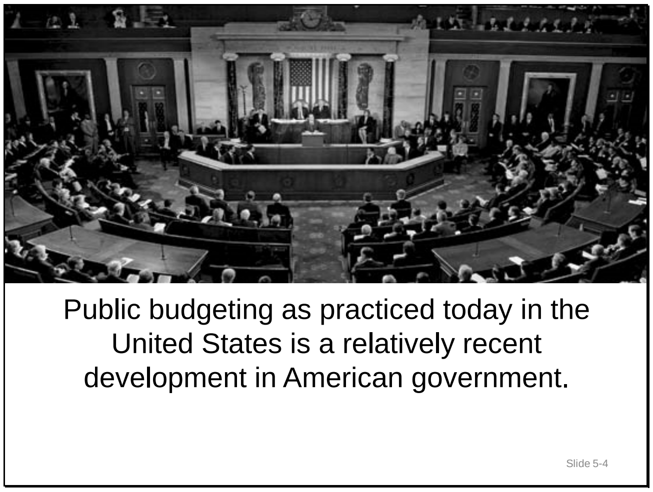
2. The public budget formalizes policy and identifies how resources will be dispersed.

3. This is true at the macro government level as well as the micro organization level.

C. The budget is the most visible articulation of value policies in a public organization.

1. It is as fundamental to an organization as its mission.

2. It is hard to envision any public or quasi-public organization conducting business without a budget.



Public budgeting as practiced today in the United States is a relatively recent development in American government.

D. Public budgeting as practiced today in the United States is a relatively recent development in American government.

1. Prior to 1900, the separation of powers doctrine and colonial fears of a strong chief executive left the legislature in control of the budget process, raising money erratically to operate the government.

2. Budgeting was a divided process at all levels of government.

3. Budgets were based on tax levies with little, if any, thought given to control of expenditures.

4. Government departments submitted and negotiated directly with legislators for appropriations.

5. Supporting information was scant and monies usually provided as a lump sum.

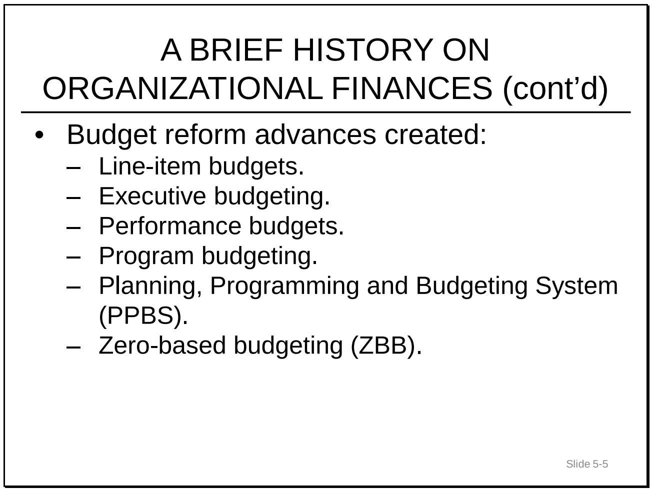
6. The Progressive era (1880-1920) ushered in budget/fiscal reform concurrent with the public administration reforms of government in response to the rampant cronyism and corruption found in municipal governments.

7. Scientific management’s emphasis on efficiency and analysis to optimize performance was easily applied to government administrative functions, which included budgeting.

8. Budget and fiscal reform has continued in waves as governments faced successive problems and demands from their communities.

9. The result to date is that municipalities have glommed together practices advocated by the different budget reform movements of the last century.

10. The prevalence of any one budgeting methodology is cyclical and highly circumstantial.



A BRIEF HISTORY ON ORGANIZATIONAL FINANCES (cont'd)

- Budget reform advances created:
  - Line-item budgets.
  - Executive budgeting.
  - Performance budgets.
  - Program budgeting.
  - Planning, Programming and Budgeting System (PPBS).
  - Zero-based budgeting (ZBB).

E. Budget reform advances:

1. **Line-item budgets** place authorized monies into a broad list of categories or objects of government expenditure. This budget concept emerged in the early 1900s and stressed expenditure control.

2. **Executive budgeting** placed responsibility for developing the government's budget with the chief executive while leaving taxing authority with the legislative branch of government.

   a. The intent was to solidify responsibility, accountability and expenditure control.

   b. This concept also emerged in the early 1900s and remains common today.

3. **Performance budgets** appeared in the 1950s.

   a. These budgets changed focus from expenditure control to government activities and outputs.

   b. Emphasis is placed on management control, economy and efficiency.

4. **Program budgeting** was the next iteration and was developed in the 1960s.

   These budgets brought long-range planning, program analytics and goal achievement into the picture.

5. **Planning, Programming and Budgeting System (PPBS)** is a form of **program budgeting** that originated in the Department of Defense (DOD) in the 1960s.

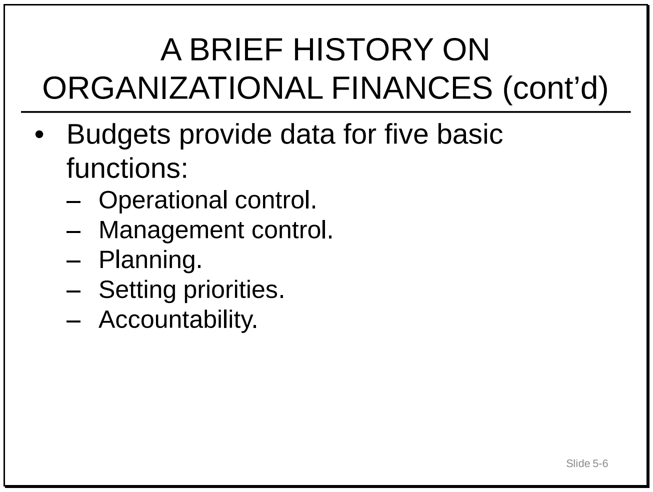
    a. PPBS budgets are multiyear in nature and an extension of policy objectives.

    b. They emphasize analysis of alternatives, program effectiveness, program strategies and changing needs.

6. **Zero-based budgeting (ZBB)** is another form of program budgeting which requires programs to be re-evaluated and justified with each budget cycle and to work within available funds.

    a. ZBB may be useful during times of cutback management, but they come at the expense of long-range planning and increased work effort.

    b. Variations of ZBB include **target-based** budgeting and **below-base** budgeting.



A BRIEF HISTORY ON ORGANIZATIONAL FINANCES (cont'd)

- Budgets provide data for five basic functions:
    - Operational control.
    - Management control.
    - Planning.
    - Setting priorities.
    - Accountability.

F. Budgets provide data for five basic functions for governments and public organizations:

1. Operational control.

    a. Operational control is concerned with the effective and efficient performance of specific tasks.

    b. Objectives include regulating spending so that expenditures do not exceed revenues and monitoring the performance of work.

2. Management control.

   a. Management control is concerned with organizational structure and relationships.

   b. Objectives include maximizing effectiveness and efficiency between work units, obtaining necessary resources to conduct work, and monitoring outputs or outcomes.

3. Planning.

   a. Planning is concerned with organizational questions of the highest level, such as objectives, goals and policies.

   b. Such questions include determining policy, deciding between programs, and deciding on measurement criteria.

4. Setting priorities.

   a. Setting priorities is a natural outcome of budgeting.

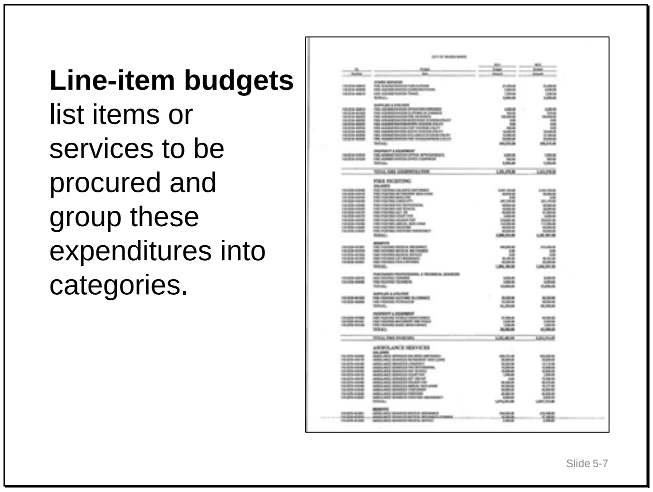
   b. Since all program desires cannot be funded, decision-makers must establish priorities for distributing available funds.

5. Accountability.

   a. Accountability is another natural outcome of budgeting.

   b. Budgets assign responsibility for certain funds and allow decision-makers to question the expenditure of those funds.

III. BUDGET TYPOLOGIES AND PROCESS



Line-item budgets list items or services to be procured and group these expenditures into categories.

A. As a practical matter, the budget reforms of the last century are reflected in two basic types of budget. These are **line-item** and **service-based** budgets.

   1. **Line-item budgets** list items or services to be procured and group these expenditures into categories.

      a. These categories may be based on organizational units, such as divisions or sections, or by functions, such as office supplies or fuel.

      b. These budget types offer the advantage of simplicity.

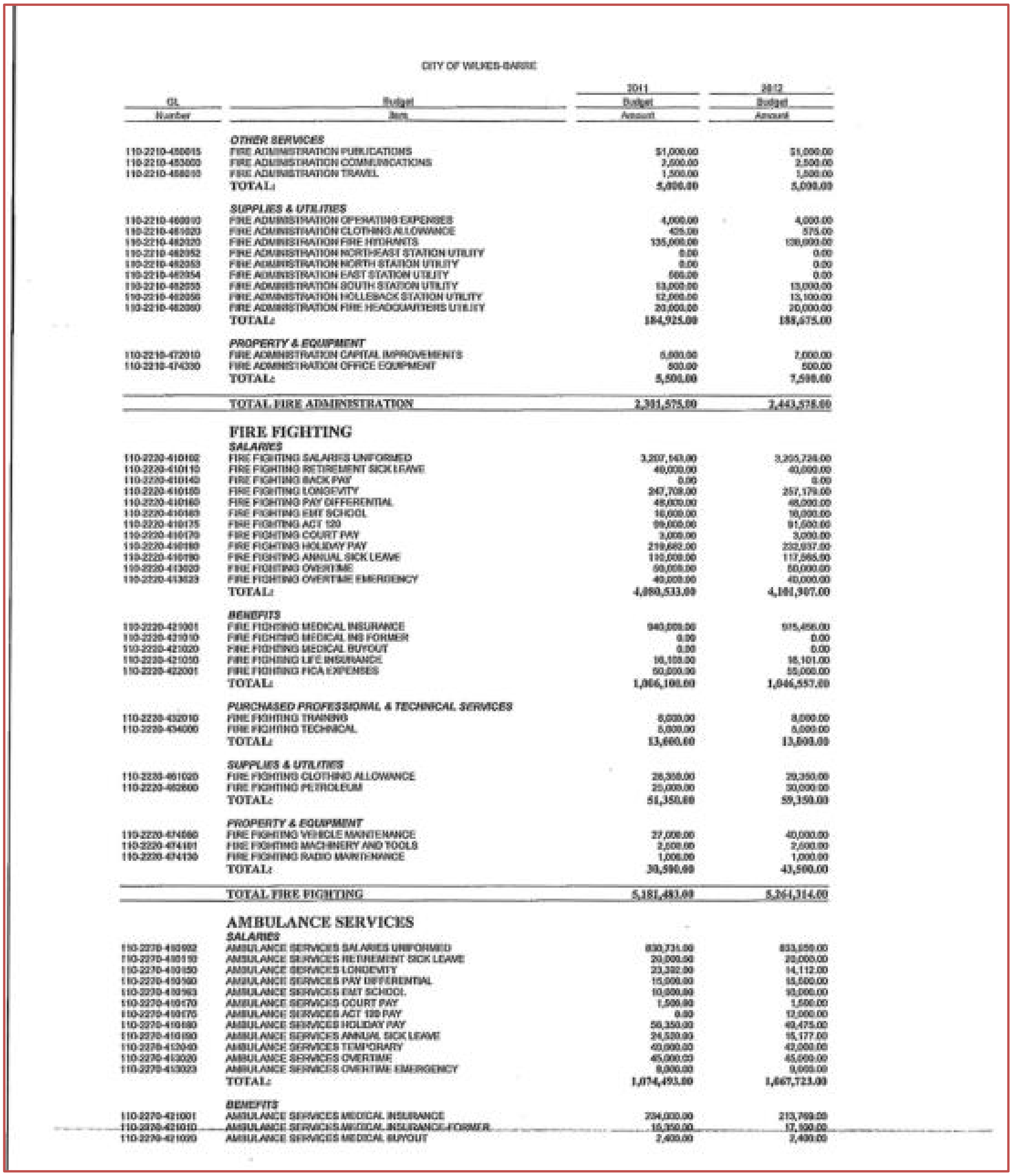
      c. Determining the overall budget becomes a matter of adding up the columns.

      d. The level of detail lends itself to monitoring and controlling day-to-day expenditures.

      e. The ascending year’s budgets are based upon the previous year’s expenditures, and control can be accomplished through accounting systems.

      f. Line-item budgets are not without disadvantages.

City of Wilkes-Barre, Pennsylvania FY 2012 Budget



CITY OF WILKES-BARRE

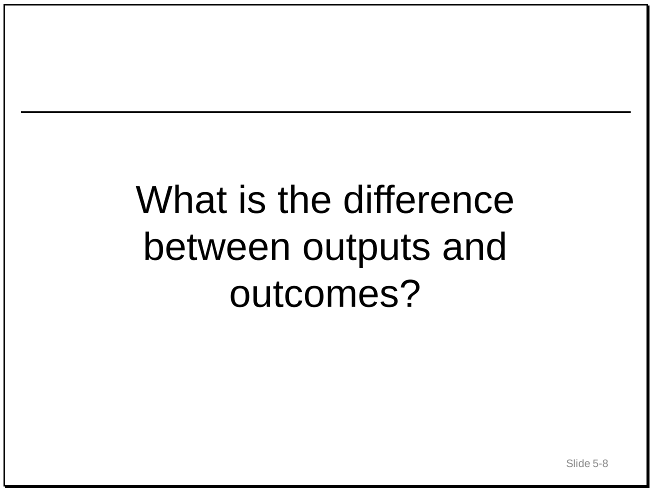
GL Number	Budget Item	2011 Budget Amount	2012 Budget Amount
	OTHER SERVICES		
110-2210-450015	FIRE ADMINISTRATION PUBLICATIONS	$1,000.00	$1,000.00
110-2210-453000	FIRE ADMINISTRATION COMMUNICATIONS	2,000.00	2,500.00
110-2210-458010	FIRE ADMINISTRATION TRAVEL	1,500.00	1,500.00
	TOTAL:	**5,000.00**	**5,000.00**
	SUPPLIES & UTILITIES		
110-2210-460010	FIRE ADMINISTRATION OPERATING EXPENSES	4,000.00	4,000.00
110-2210-461020	FIRE ADMINISTRATION CLOTHING ALLOWANCE	425.00	575.00
110-2210-462020	FIRE ADMINISTRATION FIRE HYDRANTS	135,000.00	138,000.00
110-2210-462052	FIRE ADMINISTRATION NORTHEAST STATION UTILITY	0.00	0.00
110-2210-462053	FIRE ADMINISTRATION NORTH STATION UTILITY	0.00	0.00
110-2210-462054	FIRE ADMINISTRATION EAST STATION UTILITY	500.00	0.00
110-2210-462055	FIRE ADMINISTRATION SOUTH STATION UTILITY	13,000.00	13,000.00
110-2210-462056	FIRE ADMINISTRATION HOLLEBACK STATION UTILITY	12,000.00	13,100.00
110-2210-462060	FIRE ADMINISTRATION FIRE HEADQUARTERS UTILITY	20,000.00	20,000.00
	TOTAL:	**184,925.00**	**188,675.00**
	PROPERTY & EQUIPMENT		
110-2210-472010	FIRE ADMINISTRATION CAPITAL IMPROVEMENTS	5,000.00	7,000.00
110-2210-474330	FIRE ADMINISTRATION OFFICE EQUIPMENT	500.00	500.00
	TOTAL:	**5,500.00**	**7,500.00**
	TOTAL FIRE ADMINISTRATION	**2,301,575.00**	**2,443,578.00**
	FIRE FIGHTING		
	SALARIES		
110-2220-410102	FIRE FIGHTING SALARIES UNIFORMED	3,207,143.00	3,205,728.00
110-2220-410110	FIRE FIGHTING RETIREMENT SICK LEAVE	40,000.00	40,000.00
110-2220-410140	FIRE FIGHTING BACK PAY	0.00	0.00
110-2220-410150	FIRE FIGHTING LONGEVITY	247,708.00	257,179.00
110-2220-410160	FIRE FIGHTING PAY DIFFERENTIAL	48,000.00	48,000.00
110-2220-410163	FIRE FIGHTING EMT SCHOOL	16,000.00	16,000.00
110-2220-410175	FIRE FIGHTING ACT 120	99,000.00	91,000.00
110-2220-410170	FIRE FIGHTING COURT PAY	3,000.00	3,000.00
110-2220-410180	FIRE FIGHTING HOLIDAY PAY	219,682.00	232,037.00
110-2220-410190	FIRE FIGHTING ANNUAL SICK LEAVE	110,000.00	117,565.00
110-2220-413020	FIRE FIGHTING OVERTIME	50,000.00	50,000.00
110-2220-413023	FIRE FIGHTING OVERTIME EMERGENCY	40,000.00	40,000.00
	TOTAL:	**4,080,533.00**	**4,101,907.00**
	BENEFITS		
110-2220-421001	FIRE FIGHTING MEDICAL INSURANCE	940,000.00	975,456.00
110-2220-421010	FIRE FIGHTING MEDICAL INS FORMER	0.00	0.00
110-2220-421020	FIRE FIGHTING MEDICAL BUYOUT	0.00	0.00
110-2220-421030	FIRE FIGHTING LIFE INSURANCE	16,100.00	16,101.00
110-2220-422001	FIRE FIGHTING FICA EXPENSES	50,000.00	55,000.00
	TOTAL:	**1,006,100.00**	**1,046,557.00**
	PURCHASED PROFESSIONAL & TECHNICAL SERVICES		
110-2220-432010	FIRE FIGHTING TRAINING	8,000.00	8,000.00
110-2220-434000	FIRE FIGHTING TECHNICAL	5,000.00	5,000.00
	TOTAL:	**13,000.00**	**13,000.00**
	SUPPLIES & UTILITIES		
110-2220-461020	FIRE FIGHTING CLOTHING ALLOWANCE	26,350.00	29,350.00
110-2220-462600	FIRE FIGHTING PETROLEUM	25,000.00	30,000.00
	TOTAL:	**51,350.00**	**59,350.00**
	PROPERTY & EQUIPMENT		
110-2220-474080	FIRE FIGHTING VEHICLE MAINTENANCE	27,000.00	40,000.00
110-2220-474101	FIRE FIGHTING MACHINERY AND TOOLS	2,500.00	2,500.00
110-2220-474130	FIRE FIGHTING RADIO MAINTENANCE	1,000.00	1,000.00
	TOTAL:	**30,500.00**	**43,500.00**
	TOTAL FIRE FIGHTING	**5,181,483.00**	**5,264,314.00**
	AMBULANCE SERVICES		
	SALARIES		
110-2270-410102	AMBULANCE SERVICES SALARIES UNIFORMED	830,731.00	833,650.00
110-2270-410110	AMBULANCE SERVICES RETIREMENT SICK LEAVE	20,000.00	20,000.00
110-2270-410150	AMBULANCE SERVICES LONGEVITY	23,392.00	14,112.00
110-2270-410160	AMBULANCE SERVICES PAY DIFFERENTIAL	15,000.00	15,000.00
110-2270-410163	AMBULANCE SERVICES EMT SCHOOL	10,000.00	10,000.00
110-2270-410170	AMBULANCE SERVICES COURT PAY	1,500.00	1,500.00
110-2270-410175	AMBULANCE SERVICES ACT 120 PAY	0.00	12,000.00
110-2270-410180	AMBULANCE SERVICES HOLIDAY PAY	56,350.00	49,475.00
110-2270-410190	AMBULANCE SERVICES ANNUAL SICK LEAVE	24,520.00	15,177.00
110-2270-412040	AMBULANCE SERVICES TEMPORARY	40,000.00	42,000.00
110-2270-413020	AMBULANCE SERVICES OVERTIME	45,000.00	45,000.00
110-2270-413023	AMBULANCE SERVICES OVERTIME EMERGENCY	8,000.00	9,000.00
	TOTAL:	**1,074,493.00**	**1,067,723.00**
	BENEFITS		
110-2270-421001	AMBULANCE SERVICES MEDICAL INSURANCE	234,000.00	213,769.00
110-2270-421010	AMBULANCE SERVICES MEDICAL INSURANCE-FORMER	16,350.00	17,100.00
110-2270-421020	AMBULANCE SERVICES MEDICAL BUYOUT	2,400.00	2,400.00

- Because these budgets lack a holistic view of programs, cuts in one line-item may have a ripple effect on the rest of the budget or program.

- The focus on expenditures or system inputs ignores system outputs that result from resource conversion and reduces operational flexibility.

- The link to outcomes is even further removed.

- Failure to expend funds frequently punishes the organization because unexpended funds are seen as unnecessary in following year appropriations.



What is the difference between outputs and outcomes?

Service-based budgets focus on service outputs or outcomes.

2. **Service-based budgets** focus on service outputs or outcomes.

   a. These budgets are based on cost centers, which are the smallest grouping of responsibility where costs can be attributed.

    b. Cost centers should support decision-making, be consistent with enabling and funding legislation, and associate with a specific goal or objective aimed at a specific issue or target group.

    c. Cost centers frequently cross organizational subunits. PPBS and ZBB are types of service-based budgets.

    d. Service-based budgets offer the advantage of linking expenditures with program outputs and results. Benefits of service-based budgets include:

        - Unintended impacts to other programs are avoided when monies are cut since all costs associated with a specific program or service are identified.

        - Performance can be measured relative to the resources provided.

        - This provides policy-makers with cost-benefit analysis at the program or service level.

    e. A significant disadvantage of service-based budgets is defining the program or service and the expected outputs or outcomes. Additional challenges include:

        - Considerable effort is required to identify all the inputs that affect a particular objective.

        - The more complex the organization, its mission and its operating environment, the more difficult this becomes.

        - Additionally, the level of detail found in a line-item budget is not captured. This can affect daily operational control.

3. Budgets may be categorized by several other typologies.

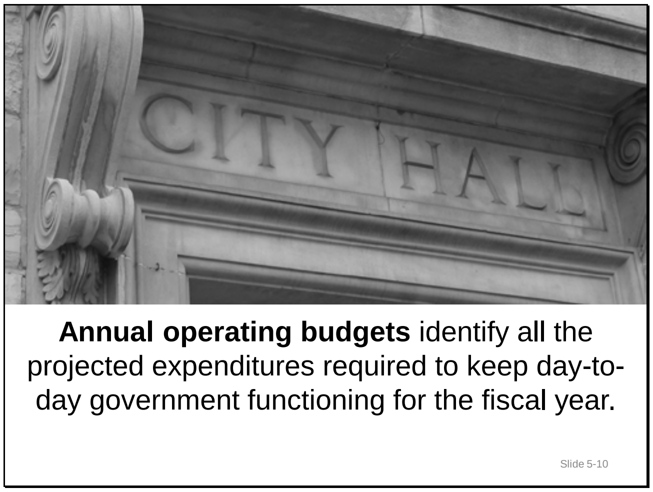
4. Many general purpose local governments categorize their budgets into distinct, though interrelated, functions such as:

    a. Annual operating budgets.

    b. Capital budgets.

    c. Enterprise budgets.

5. Categorizing budgets by these functions is not mutually exclusive to typing the budget as line-item or service-based.

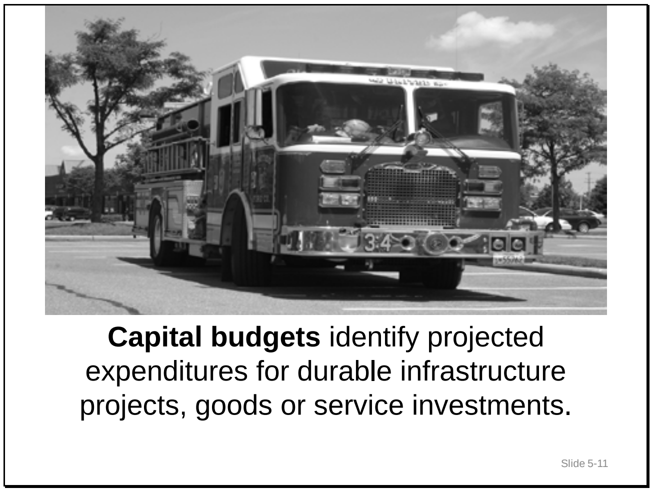


Annual operating budgets identify all the projected expenditures required to keep day-to-day government functioning for the fiscal year.

6. **Annual operating budgets** identify all the projected expenditures required to keep day-to-day government functioning for the fiscal year.

    a. This includes salaries, benefits, fuel, office supplies, insurance and other costs for services or goods of limited duration.

    b. This budget also identifies the expected revenues for the fiscal year that will fund the operating costs.



Capital budgets identify projected expenditures for durable infrastructure projects, goods or service investments.

7. **Capital budgets** identify projected expenditures for durable infrastructure projects, goods or service investments.

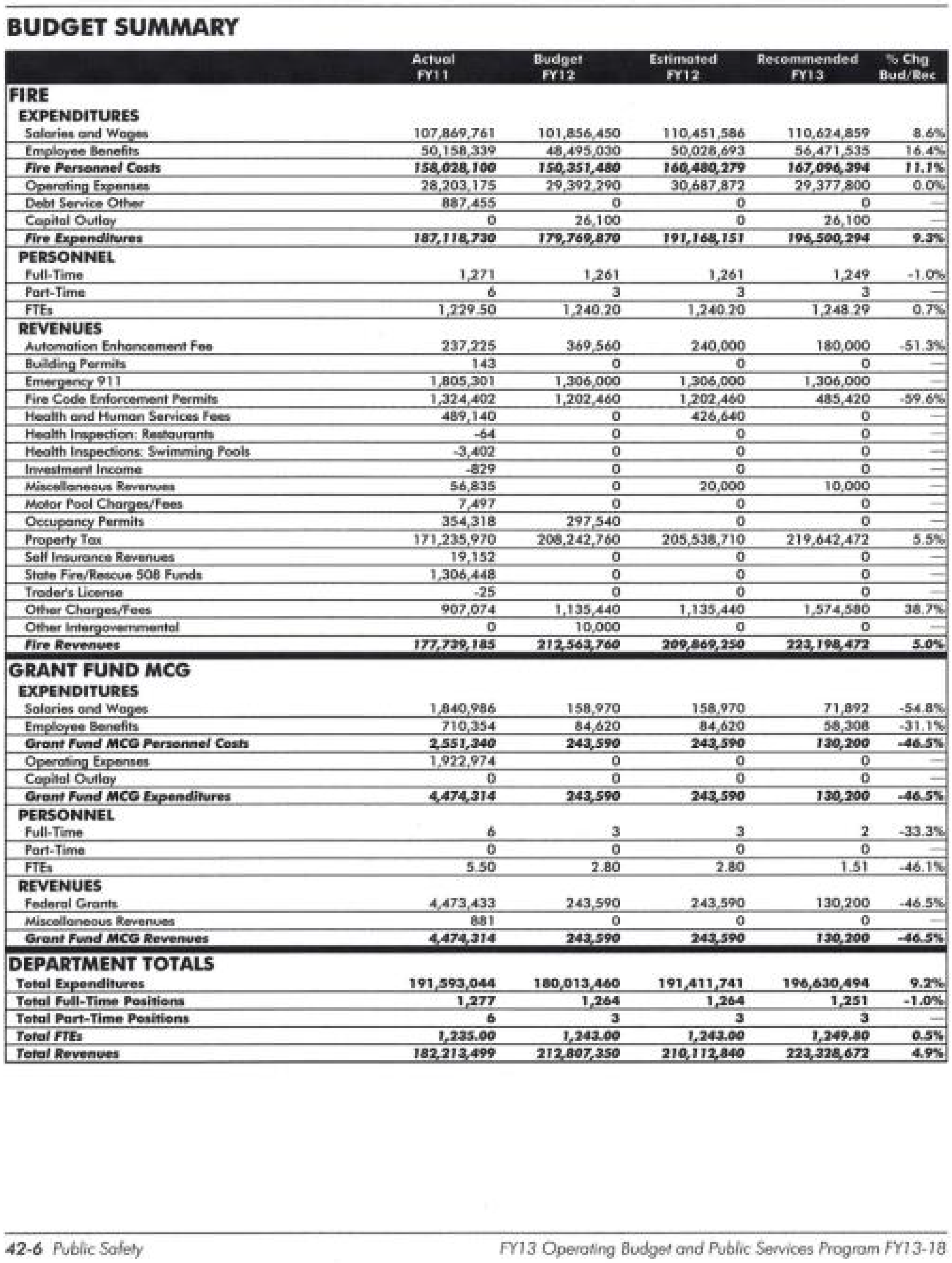
    a. Examples include heavy apparatus, fire stations and computer-aided design (CAD) and communications systems.

b. These budgets span multiple years due to the level of expense, though they may be updated annually.

c. Some governments may define a type of cost or value below which the expenditure may be classified as a one-time operating instead of capital expenditure, though the item may have a useful life span of more than one fiscal year.

d. This budget also identifies the source of revenues that will finance these expenditures.

Montgomery County, Maryland Annual Operating Budget Summary



BUDGET SUMMARY

	Actual FY11	Budget FY12	Estimated FY12	Recommended FY13	% Chg Bud/Rec
FIRE					
EXPENDITURES					
Salaries and Wages	107,869,761	101,856,450	110,451,586	110,624,859	8.6%
Employee Benefits	50,158,339	48,495,030	50,028,693	56,471,535	16.4%
Fire Personnel Costs	***158,028,100***	***150,351,480***	***160,480,279***	***167,096,394***	***11.1%***
Operating Expenses	28,203,175	29,392,290	30,687,872	29,377,800	0.0%
Debt Service Other	887,455	0	0	0	—
Capital Outlay	0	26,100	0	26,100	—
Fire Expenditures	***187,118,730***	***179,769,870***	***191,168,151***	***196,500,294***	***9.3%***
PERSONNEL					
Full-Time	1,271	1,261	1,261	1,249	-1.0%
Part-Time	6	3	3	3	—
FTEs	1,229.50	1,240.20	1,240.20	1,248.29	0.7%
REVENUES					
Automation Enhancement Fee	237,225	369,560	240,000	180,000	-51.3%
Building Permits	143	0	0	0	—
Emergency 911	1,805,301	1,306,000	1,306,000	1,306,000	—
Fire Code Enforcement Permits	1,324,402	1,202,460	1,202,460	485,420	-59.6%
Health and Human Services Fees	489,140	0	426,640	0	—
Health Inspection: Restaurants	-64	0	0	0	—
Health Inspections: Swimming Pools	-3,402	0	0	0	—
Investment Income	-829	0	0	0	—
Miscellaneous Revenues	56,835	0	20,000	10,000	—
Motor Pool Charges/Fees	7,497	0	0	0	—
Occupancy Permits	354,318	297,540	0	0	—
Property Tax	171,235,970	208,242,760	205,538,710	219,642,472	5.5%
Self Insurance Revenues	19,152	0	0	0	—
State Fire/Rescue 508 Funds	1,306,448	0	0	0	—
Trader's License	-25	0	0	0	—
Other Charges/Fees	907,074	1,135,440	1,135,440	1,574,580	38.7%
Other Intergovernmental	0	10,000	0	0	—
Fire Revenues	***177,739,185***	***212,563,760***	***209,869,250***	***223,198,472***	***5.0%***
GRANT FUND MCG					
EXPENDITURES					
Salaries and Wages	1,840,986	158,970	158,970	71,892	-54.8%
Employee Benefits	710,354	84,620	84,620	58,308	-31.1%
Grant Fund MCG Personnel Costs	***2,551,340***	***243,590***	***243,590***	***130,200***	***-46.5%***
Operating Expenses	1,922,974	0	0	0	—
Capital Outlay	0	0	0	0	—
Grant Fund MCG Expenditures	***4,474,314***	***243,590***	***243,590***	***130,200***	***-46.5%***
PERSONNEL					
Full-Time	6	3	3	2	-33.3%
Part-Time	0	0	0	0	—
FTEs	5.50	2.80	2.80	1.51	-46.1%
REVENUES					
Federal Grants	4,473,433	243,590	243,590	130,200	-46.5%
Miscellaneous Revenues	881	0	0	0	—
Grant Fund MCG Revenues	***4,474,314***	***243,590***	***243,590***	***130,200***	***-46.5%***
DEPARTMENT TOTALS					
Total Expenditures	**191,593,044**	**180,013,460**	**191,411,741**	**196,630,494**	**9.2%**
Total Full-Time Positions	**1,277**	**1,264**	**1,264**	**1,251**	**-1.0%**
Total Part-Time Positions	**6**	**3**	**3**	**3**	—
Total FTEs	***1,235.00***	***1,243.00***	***1,243.00***	***1,249.80***	***0.5%***
Total Revenues	***182,213,499***	***212,807,350***	***210,112,840***	***223,328,672***	***4.9%***

42-6 *Public Safety*

FY13 Operating Budget and Public Services Program FY13-18

Enterprise or utilities budgets are dedicated to services or goods provided by the government to clearly identifiable recipients, as opposed to public goods.

8. **Enterprise or utilities budgets**, where they exist, are dedicated to services or goods provided by the government to clearly identifiable recipients, as opposed to public goods.

   a. In these circumstances, the government generates revenues that cover most, if not all, the operating expenses.

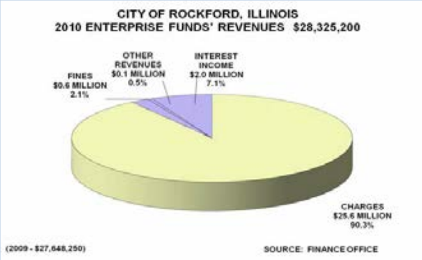
   b. Examples of enterprise budgets include liquor control, inspection services and municipal water.

City of Rockford, Ill., Enterprise Budget Summary

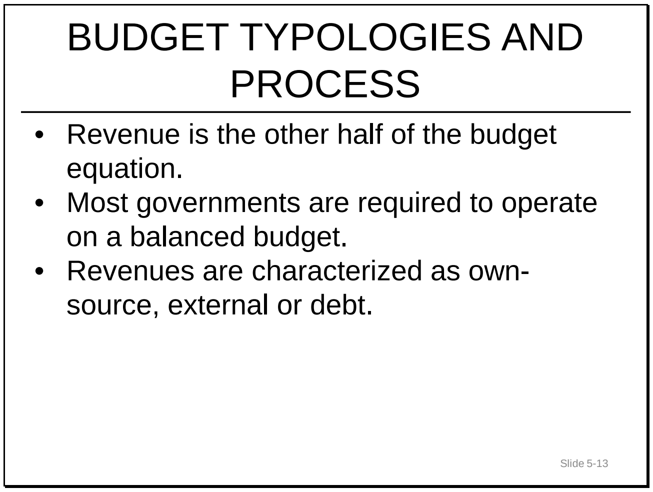
Enterprise Funds
Revenues ($28,325,200)

The city utilizes two enterprise funds: water and parking in the Public Works Department. The revenue mix has changed little from the previous year.

Water Fund (2010 Budget — $26,522,800; 2009 Budget — $26,649,650; 2009 Actual — $22,679,862; 2008 Actual — $25,291,362.) This fund is financed by user fees ($23,840,000), installations, and connections ($1,231,500); interest income ($820,000) and service charges to other funds and governmental agencies ($631,300). The first of three planned rate increases took effect Feb. 1, 2006 to help fund the water system rehabilitation project.
EX-40



Parking Fund (2010 Budget — $1,850,400; 2009 Budget — $1,703,600; 2008 Actual — $1,795,114; 2008 Actual — $1,654,820.) The Parking System is financed by fines ($588,000), permits, fees ($1,728,100), purchase of services ($24,300) and interest income ($98,000).



BUDGET TYPOLOGIES AND PROCESS

- Revenue is the other half of the budget equation.
- Most governments are required to operate on a balanced budget.
- Revenues are characterized as own-source, external or debt.

9. Revenue is the other half of the budget equation for local governments.

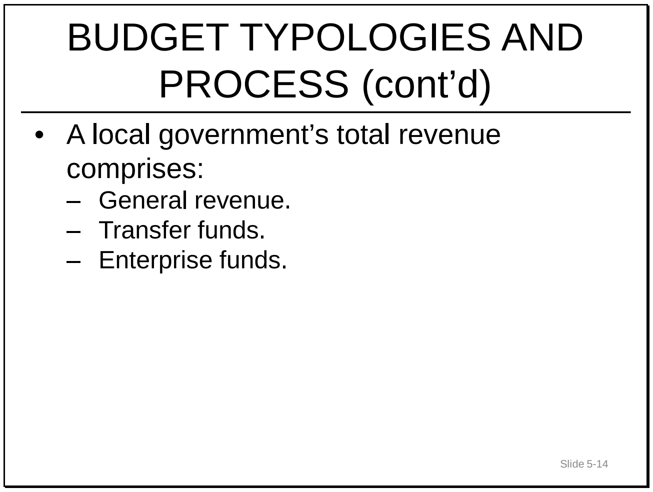
10. Most local governments are required to operate on a balanced budget, meaning that expenditures cannot exceed revenues for any given year.

11. Revenues taken in by local governments are typically characterized as own-source, external or debt.

    a. Own-source revenues are generated within their boundaries (e.g., taxes and fees).

    b. External revenue comes from other governments (e.g., block grants) or is generated from sources outside their boundaries (e.g., contracted services).

    c. Debt is borrowed money.



BUDGET TYPOLOGIES AND PROCESS (cont'd)

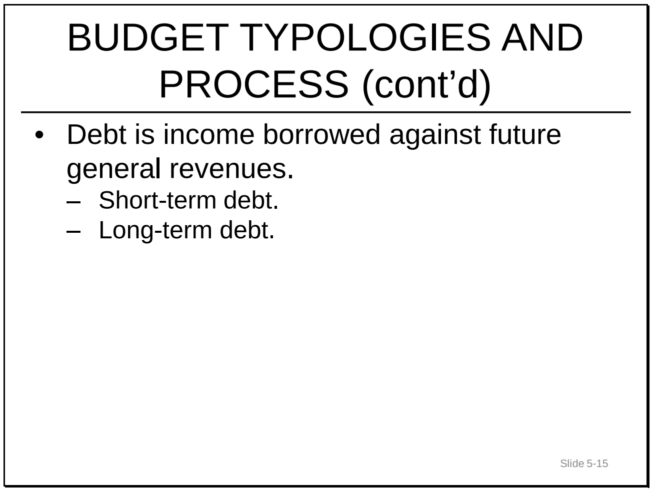
- A local government's total revenue comprises:
    - General revenue.
    - Transfer funds.
    - Enterprise funds.

12. Regardless of where the funds originate, a local government's total revenue comprises:

    a. General revenue that is generated by taxes, fees or levies, and miscellaneous sources.

    b. Transfer funds from other governments.

    c. Enterprise funds for nonpublic services provided by that government.



BUDGET TYPOLOGIES AND PROCESS (cont'd)

- Debt is income borrowed against future general revenues.
  - Short-term debt.
  - Long-term debt.

Slide 5-15

13. Debt is income on the local government's ledger borrowed against future general revenues. It consists of short-term and long-term debt.

    a. Short-term debt is usually in the form of notes that are paid within a year.

       - Short-term debt raises money against near-future revenues such as taxes.

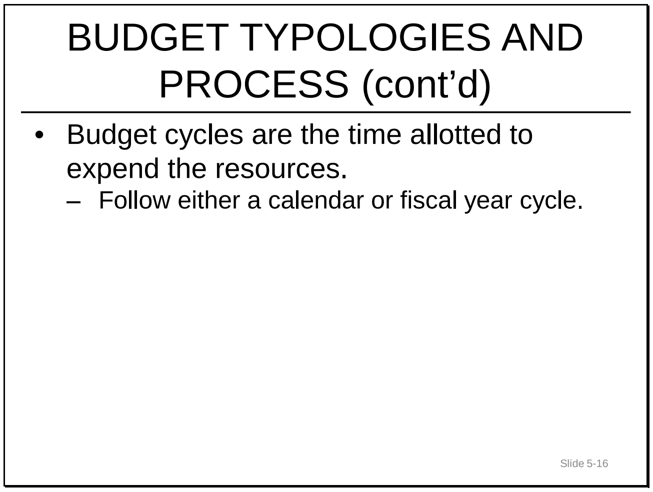
       - It may be used to stabilize cash flow or cover unexpected revenue shortages.

    b. Long-term debt is usually in the form of bonds.

       - These bonds may be used to raise the necessary monies for costly infrastructure or capital projects, such as a fire station, or enterprise projects that will generate a source of revenue, such as a toll road.

       - General obligation notes and bonds are usually secured by the local government's taxing authority.

       - Revenue bonds are secured by future funds generated by the enterprise or utilities project.



BUDGET TYPOLOGIES AND PROCESS (cont'd)

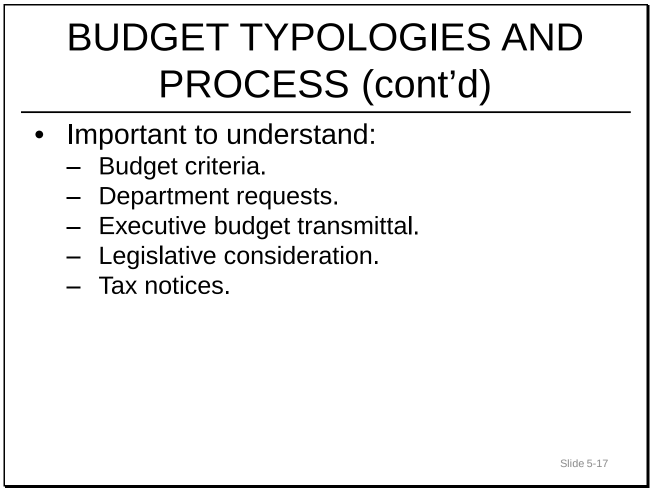
- Budget cycles are the time allotted to expend the resources.
  - Follow either a calendar or fiscal year cycle.

B. Budget cycles are the time allotted to expend the resources dedicated to a specific budget.

1. Budgets normally follow either a calendar or fiscal year cycle.

a. A calendar year budget cycle follows the calendar year (e.g., the budget year 2015 starts Jan. 1, 2015).

b. A fiscal year cycle starts on a fixed date in the preceding year. Fiscal year cycles typically start on July 1 preceding the calendar year through the following June (e.g., fiscal year 2015 begins July 1, 2014). Regardless, local governments generally follow the same process.



BUDGET TYPOLOGIES AND PROCESS (cont'd)

- Important to understand:
  - Budget criteria.
  - Department requests.
  - Executive budget transmittal.
  - Legislative consideration.
  - Tax notices.

2. **Budget criteria.** Approximately six months prior to the beginning of the budget year, government departments receive guidance from the budgeting authority on constructing the following year's budget submission. Priorities and constraints are communicated at this time.

3. **Department requests.** Individual departments prepare their budget requests according to the guidance received and submit them to the budgeting authority.

   Depending on the type of budget (PPBS, ZBB, program, line-item, etc.) this may be a relatively simple exercise using a crosswalk from previous years or an in-depth justification.

4. **Executive budget transmittal.** The budgeting authority pulls together the department requests, negotiates priorities and cuts with the individual departments that will stay within projected revenues from all sources, and forwards the compiled budget to the legislative body for approval.

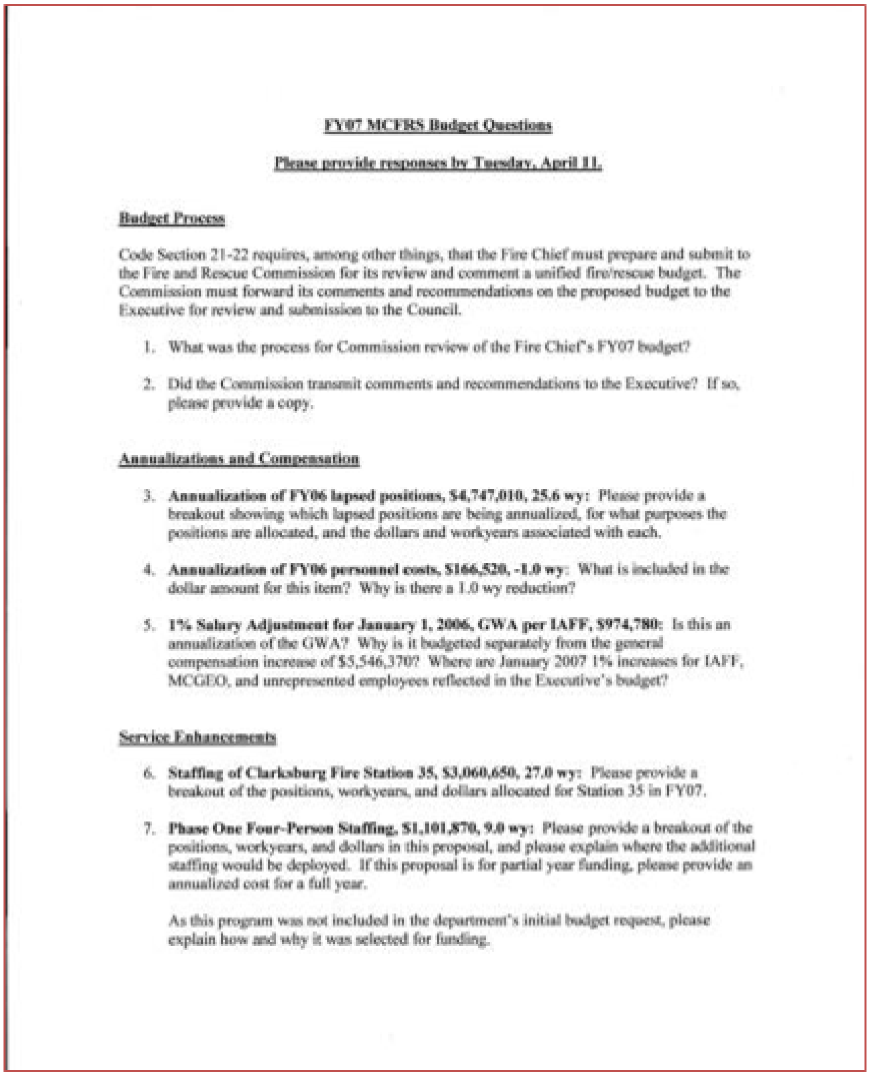
5. **Legislative consideration.** This is the lengthiest part of the process.

   a. Depending on the statutory requirements, the legislative body may hold public hearings or invite commentary through other means.

   b. Individual legislators or legislative committees may offer revisions based on comments or constituent preferences.

   c. By some predetermined time, the legislative body must act on and approve a budget for the following year with sufficient time for tax notices to be prepared.

Montgomery County Council FY07 Budget Questions Page 1



FY07 MCFRS Budget Questions

Please provide responses by Tuesday, April 11.

Budget Process

Code Section 21-22 requires, among other things, that the Fire Chief must prepare and submit to the Fire and Rescue Commission for its review and comment a unified fire/rescue budget. The Commission must forward its comments and recommendations on the proposed budget to the Executive for review and submission to the Council.

1. What was the process for Commission review of the Fire Chief's FY07 budget?
2. Did the Commission transmit comments and recommendations to the Executive? If so, please provide a copy.

Annualizations and Compensation

3. **Annualization of FY06 lapsed positions, $4,747,010, 25.6 wy:** Please provide a breakout showing which lapsed positions are being annualized, for what purposes the positions are allocated, and the dollars and workyears associated with each.
4. **Annualization of FY06 personnel costs, $166,520, -1.0 wy:** What is included in the dollar amount for this item? Why is there a 1.0 wy reduction?
5. **1% Salary Adjustment for January 1, 2006, GWA per IAFF, $974,780:** Is this an annualization of the GWA? Why is it budgeted separately from the general compensation increase of $5,546,370? Where are January 2007 1% increases for IAFF, MCGEO, and unrepresented employees reflected in the Executive's budget?

Service Enhancements

6. **Staffing of Clarksburg Fire Station 35, $3,060,650, 27.0 wy:** Please provide a breakout of the positions, workyears, and dollars allocated for Station 35 in FY07.
7. **Phase One Four-Person Staffing, $1,101,870, 9.0 wy:** Please provide a breakout of the positions, workyears, and dollars in this proposal, and please explain where the additional staffing would be deployed. If this proposal is for partial year funding, please provide an annualized cost for a full year.

   As this program was not included in the department's initial budget request, please explain how and why it was selected for funding.

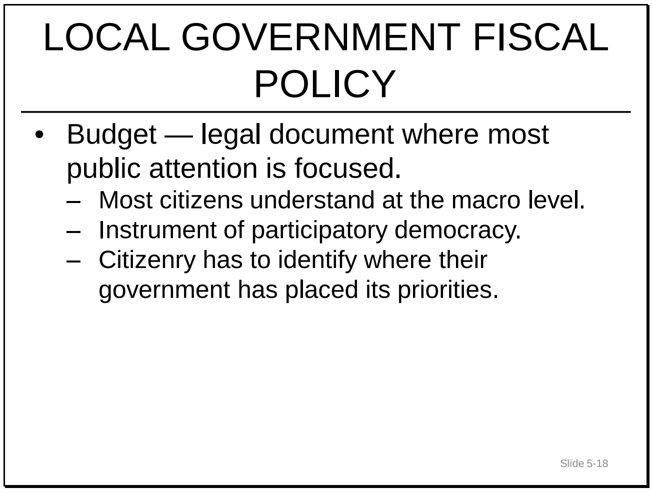
6. **Tax notices.** The final step is to send out tax notices. Typically, this is a property tax notice.

   a. After all other revenues are considered, the property tax rate is determined as needed to balance the budget.

   b. As a practical and political matter, the property tax rate is a consideration during the legislative negotiations.

   c. Both branches of government are acutely aware of tax increase implications.

IV. LOCAL GOVERNMENT FISCAL POLICY



LOCAL GOVERNMENT FISCAL POLICY

- Budget — legal document where most public attention is focused.
  - Most citizens understand at the macro level.
  - Instrument of participatory democracy.
  - Citizenry has to identify where their government has placed its priorities.

Slide 5-18

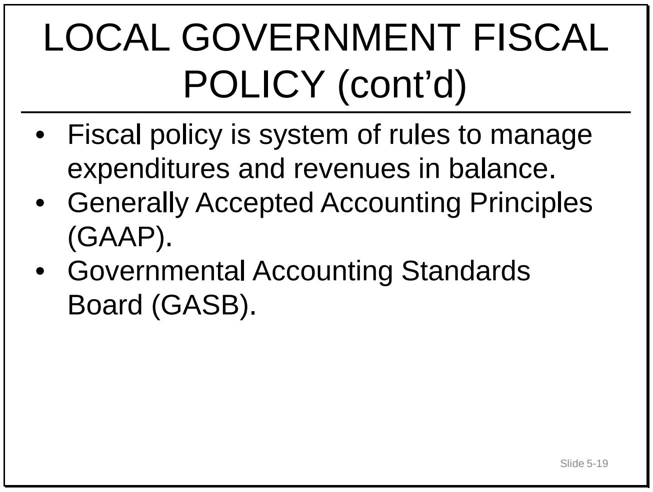
A. The budget is the legal document where most public attention is focused.

1. It is an element of government that most citizens easily understand at the macro level if not at the level of program detail and, more importantly, to which they can relate.

2. The budget is intended to be an instrument of participatory democracy.

3. It is the best method that the citizenry has to identify where their government has placed its priorities and whether those priorities are congruent with the community's desires.

4. Local government's budget identifies where public monies will be spent, who will receive the benefits of public expenditures, how these public monies will be generated, and who will pay.



LOCAL GOVERNMENT FISCAL POLICY (cont'd)

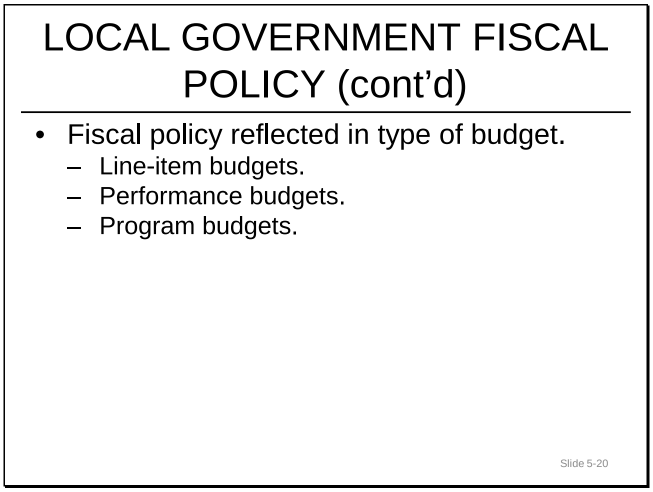
- Fiscal policy is system of rules to manage expenditures and revenues in balance.
- Generally Accepted Accounting Principles (GAAP).
- Governmental Accounting Standards Board (GASB).

Slide 5-19

B. In its most fundamental terms, the local government fiscal policy is the system of rules that it employs to manage expenditures and revenues in balance and account for its actions to the citizens.

1. Fiscal policy consists of the government's practices pertaining to revenues, expenditures and debt management.

2. Such practices include managing the budget in accordance with Generally Accepted Accounting Principles (GAAP) recommended by the Governmental Accounting Standards Board (GASB).



LOCAL GOVERNMENT FISCAL POLICY (cont'd)

- Fiscal policy reflected in type of budget.
  - Line-item budgets.
  - Performance budgets.
  - Program budgets.

3. Fiscal policy is also reflected in the type of budget that is employed by the local government.

   a. Line-item budgets emphasize expenditure controls.

   b. Performance budgets emphasize management control.

   c. Program budgets emphasize planning and the links between resources and outputs or outcomes.

4. Most local governments employ a budget that is a hybrid of line, performance and program approaches.

LOCAL GOVERNMENT FISCAL POLICY (cont'd)

- Good budgetary policy.
  - Long-term perspective.
  - Linkages to broad organizational goals.
  - Focuses on results and outcomes.
  - Effective communication with stakeholders.
  - Provides incentives.

Slide 5-21

5. The professional certifying organization, the Government Finance Officers' Association (GFOA), recommends good budgetary policy that:

   a. Incorporates a long-term perspective.

   b. Establishes linkages to broad organizational goals.

   c. Focuses budget decisions on results and outcomes.

   d. Involves and promotes effective communication with stakeholders.

   e. Provides incentives to government management and employees.

6. In Montgomery County, Md., the annual budget book contains a statement of budgetary/fiscal policy that reflects the GFOA recommendation and hybrid nature of practical fiscal policy. This multipage statement covers:

   a. Fiscal control policies, such as the requirement for a balanced budget, budgetary control, accounting methods and controls, and audits.

   b. Policies on expenditures and allocation of costs, including budget contents, expenditure growth, expenditure reduction, cost avoidance and procurement, among other topics.

   c. Debt management policies that cover debt management, short- and long-term debt, and current revenue funding.

   d. Governmental management policies that include employee involvement, productivity, risk management, employee compensation and resource management.

e. Policies for revenues and program funding that address all manners of revenue received by the county as well as reserves and revenue stabilization.

f. Policies for user fees and charges that provide for purpose, goals and criteria.

g. Framework for fiscal policy.

7. The GFOA emphasizes citizen and other stakeholder involvement in the budget or resource allocation process. Participation is seen as key to an effective budget process. This process should:

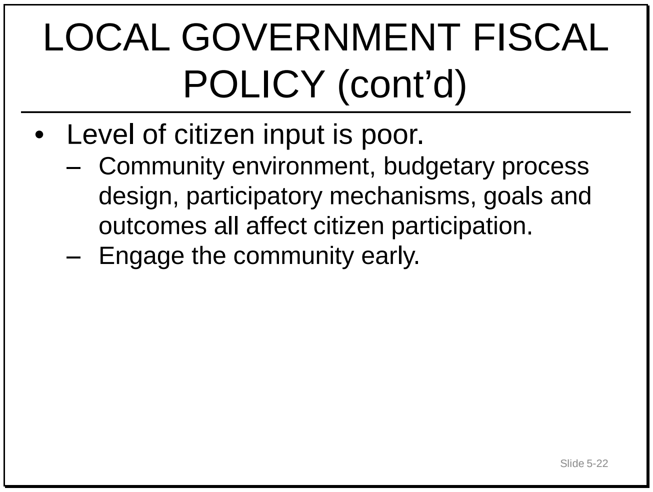
a. Involve stakeholders.

b. Identify stakeholder issues and concerns.

c. Obtain stakeholder support for the overall budgeting process.

d. Achieve stakeholder acceptance of decisions related to goals, services and resource utilization.

e. Include reporting to stakeholders on services and resource utilization, and serve generally to enhance the stakeholders' view of government.



LOCAL GOVERNMENT FISCAL POLICY (cont'd)

- Level of citizen input is poor.
  - Community environment, budgetary process design, participatory mechanisms, goals and outcomes all affect citizen participation.
  - Engage the community early.

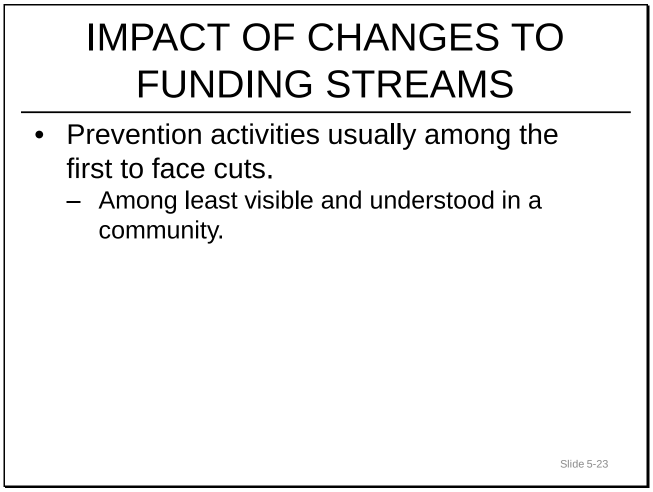
8. Despite years of appeals for improved citizen participation in budget preparation, the level of citizen input is poor, at best.

a. Ebdon and Franklin (2006) found that the community environment, budgetary process design, participatory mechanisms, and the intended goals and outcomes of participation all affect the level of citizen participation.

b. In short, engaging the community is best done early in the budget process, at the very least when departments are developing their budget proposal for the following year.

c. Citizens need to understand the budget process and the trade-offs that come with resource allocation decisions.

V. IMPACT OF CHANGES TO FUNDING STREAMS



IMPACT OF CHANGES TO FUNDING STREAMS

- Prevention activities usually among the first to face cuts.
  - Among least visible and understood in a community.

Slide 5-23

A. Fire prevention activities are usually among the first programs to face cuts when budgets get tight.

This should be an expected phenomenon due to the fact that these services are among the least visible and understood in a community.

B. When the number of funding streams is limited, a loss or reduction in any one can have a severe impact on program effectiveness or continuation.

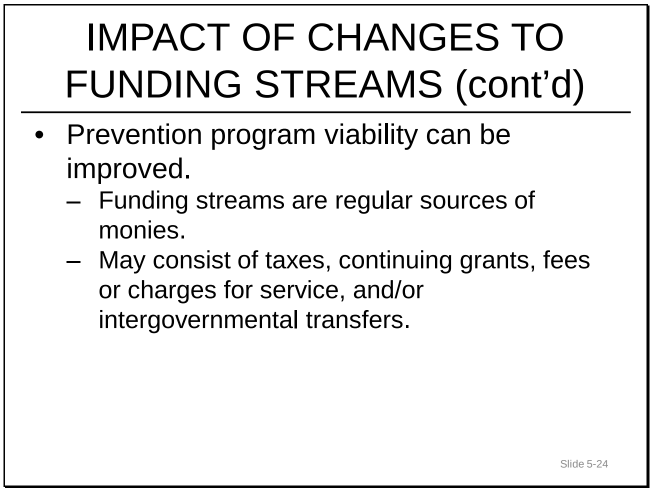
1. Program costs are heavily vested in personnel and fire prevention programs, which are thinly populated compared to the remainder of a department.

2. A loss of funding for a single position in a more heavily staffed department may represent the loss of significant service capacity in a lightly staffed prevention unit.

a. For example, the Hagerstown Fire Department, a combination fire department in central Maryland, has three people assigned to its fire marshal's office who are responsible for fire investigations, fire and life safety inspections and fire plan review, and public education.

b. The loss of one position in this office represents a 33 percent or greater loss in work capacity.

c. The Operations Division is staffed by 69 personnel (not including volunteer personnel). The loss of one position represents less than a 1.5 percent loss in work capacity.



IMPACT OF CHANGES TO FUNDING STREAMS (cont'd)

- Prevention program viability can be improved.
  - Funding streams are regular sources of monies.
  - May consist of taxes, continuing grants, fees or charges for service, and/or intergovernmental transfers.

C. Fire prevention program viability can be improved by developing multiple funding streams.

1. Funding streams are regular significant sources of monies that provide ongoing support for a program.

2. Funding streams may consist of taxes, continuing grants, fees or charges for service, and/or intergovernmental transfers.

D. Devising a diverse funding stream portfolio begins with an analysis of services provided and the cost of providing each individual service.

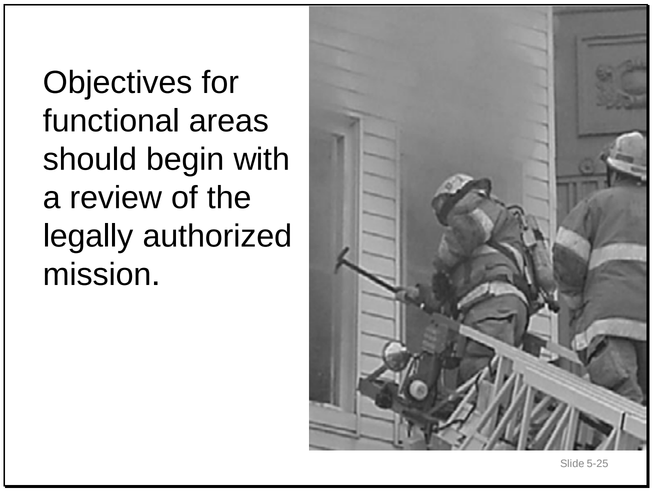
1. This analysis cannot be too detailed.

2. Begin with a listing of each service provided and to whom that service is provided.

a. Broader grouping may become evident after an examination of potential funding streams.

b. For example, the inspection of existing day care facilities may offer alternative funding opportunities compared to the inspection of existing business occupancies.

VI. DEVELOP OBJECTIVES FOR FUNCTIONAL AREAS



Objectives for functional areas should begin with a review of the legally authorized mission.

A. Objectives for functional areas should begin with a review of the legally authorized mission.

1. This will provide the basis for identifying the service that must be provided.

2. The following is an example from the Fire Safety Code for Montgomery County, Md.

Excerpts from Chapter 22 of the Montgomery County Code:

Sec. 22-6. Administration generally.

(a) *Authority of director generally.* The director of the department of fire and rescue services **is hereby authorized and directed** [*emphasis added*] to administer the provisions of this chapter. The director shall have such other powers and perform such other duties as are set forth in other sections of this Code and as may be conferred and imposed from time to time by law. The director may delegate any of his powers or duties under this chapter to the division of fire prevention or to other fire officials of this jurisdiction.

(d) *Fire prevention division.* To assist in the performance of the responsibilities and the duties placed upon the director, a division of fire prevention is established within the department. This division shall operate under the supervision of the director. Members of the division of fire prevention are hereby authorized to enforce all laws and ordinances of Montgomery County covering the following:

(1) The prevention of fires.

(2) The storage, use, and handling of explosive, flammable, toxic, corrosive, and other hazardous gaseous, solid, and liquid materials.

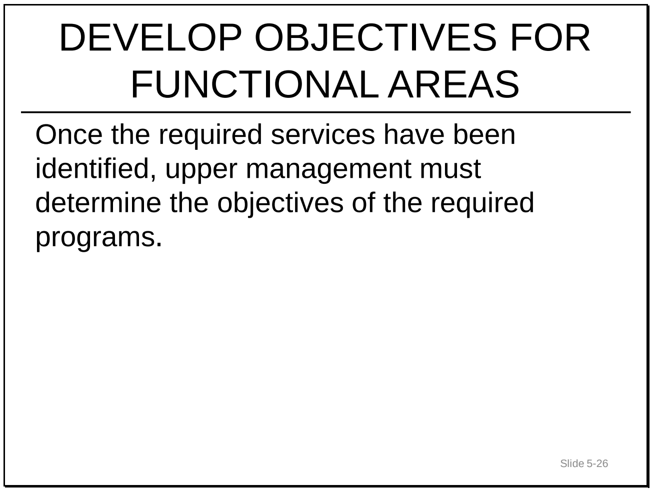
(3) The installation and maintenance of automatic, manual, and other private fire alarm systems and fire extinguishing equipment.

(4) The maintenance and regulation of fire escapes.

(5) The maintenance of fire protection and the elimination of fire hazards on land and in buildings, structures, and other property, including those under construction.

(6) The means and adequacy of each exit in the event of fire from factories, schools, hotels, lodging houses, asylums, hospitals, churches, halls, theatres, amphitheaters, and all other places in which people work, live, or congregate from time to time for any purpose.

(7) The investigation of the cause, origin, and circumstances of fire.



DEVELOP OBJECTIVES FOR FUNCTIONAL AREAS

Once the required services have been identified, upper management must determine the objectives of the required programs.

B. Once the required services have been identified, upper management must determine the objectives of the required programs.

1. Operational managers should participate in these decisions since they will be closest to the task performance and measurement of effectiveness.

2. Objectives or definitions of program success should be based on an evaluation of the environment. Consider the following example:

    a. If commercial cooking fires are a major cause of fire in the community, then a 50 percent decrease of those fires through aggressive code enforcement may be the objective.

    b. Alternatively, residential fires from smoking among the elderly population may be the major concern and public education may be the objective.

3. The level of effort is then identified.

    a. This level of effort is an upper management decision that reflects organizational policy.

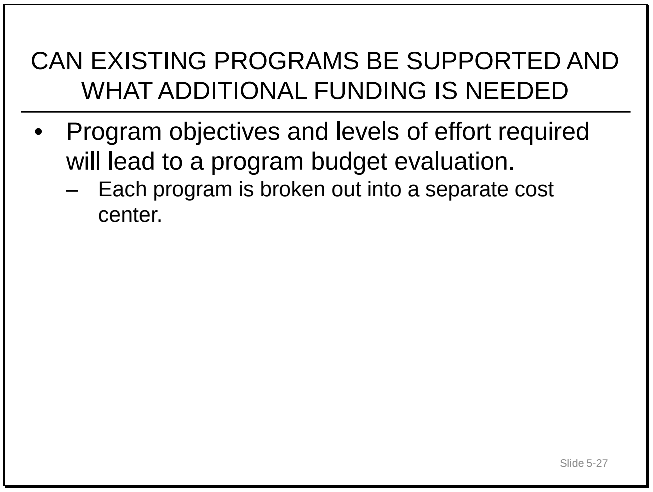
    b. Policy may call for a robust program, a minimalist program, a dedicated program, a collateral program or any combination thereof.

4. The level of effort necessary to meet objectives will lead to a determination of service delivery method, staffing and physical resourcing.

a. A robust, dedicated program requires the heaviest investment of personnel and resources, but it is likely to produce the quickest and highest level of results.

b. A minimalist, collateral program requires the lightest investment but will take a long time to produce results and may only meet the mandate for providing the service.

VII. CAN EXISTING PROGRAMS BE SUPPORTED AND WHAT ADDITIONAL FUNDING IS NEEDED



CAN EXISTING PROGRAMS BE SUPPORTED AND WHAT ADDITIONAL FUNDING IS NEEDED

- Program objectives and levels of effort required will lead to a program budget evaluation.
  - Each program is broken out into a separate cost center.

Slide 5-27

A. Program objectives and levels of effort required will lead to a program budget evaluation.

Each program should be broken out into a separate cost center.

1. For example, a jurisdiction provides services of fire code inspections, fire investigations and life safety education. Each of these could be a cost center.

2. However, closer examination may find that each of these can be further broken down as listed below.

a. **Program:** fire code inspections.

- Cost center: new construction.

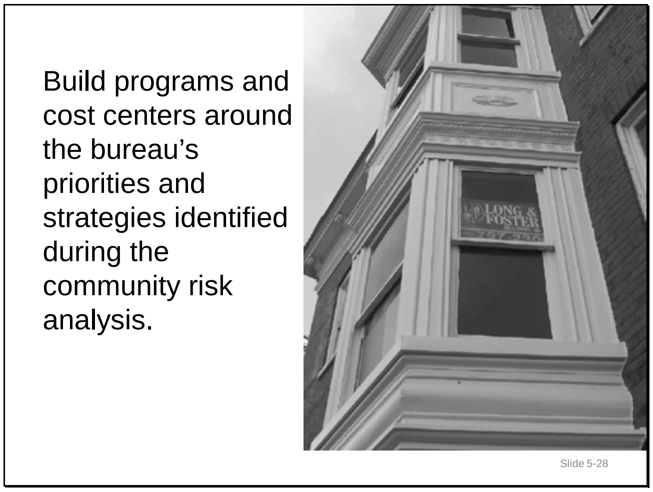
- Cost center: existing construction.

b. **Program:** fire investigations.

    - Cost center: origin and cause.
    - Cost center: arson crimes.

  c. **Program:** life safety education.

    - Cost center: schools.
    - Cost center: general community outreach.



Build programs and cost centers around the bureau's priorities and strategies identified during the community risk analysis.

Slide 5-28

B. Build programs and cost centers around the bureau's priorities and strategies identified during the community risk analysis. This ensures that expenditures are tied directly to programs and measureable results.

1. Each cost center requires funding for direct costs and indirect costs (also known as **overhead**).

   a. Direct costs are those attributable to the program and indirect costs are those that support the program.

   b. Direct costs typically include personnel, supplies and equipment.

   c. Indirect costs typically include management, administrative support and space leasing.

2. Once the costs of each program have been identified, it is a relatively easy task to compare these to the allocated budget.

3. If there is a mismatch, then either the program objectives and level of effort must be re-evaluated or the resources provided must change.

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ACTIVITY 5.1

Exploring Budget Typologies

Purpose

Given your department or bureau's budget, identify the type of budget typology being utilized.

Directions

1. This activity begins as an individual effort and culminates in discussion by each table group.

2. Locate the copy of your department's internal budget document that identifies expenditures and revenues. You were asked to bring this document as part of your pre-course assignment.

   Note: If you represent a small organization, you may have brought the entire department's budget. Hopefully it has a section for the prevention bureau. Those representing large organizations may have just the prevention bureau budget because the department at large budget may be very expansive. Hopefully every budget document will show bureau and section budget centers.

3. Individually, please respond to the following directives:

   a. Identify the type of budget typology being utilized.

   b. Explain how the type of budget being utilized in your organization allows you to make decisions as a bureau leader.

   c. Identify any information you believe should be included to assist you in making decisions as a bureau leader.

   d. **Note:** If you did not bring a budget from home, utilize the sample budget located in the Appendix.

4. You will be allowed 15 minutes for individual processing.

5. Next, within your table group please share/discuss your budgets with peers. The discussion should include the advantages and potential disadvantages of the different typologies of budgets that can be utilized by a department or bureau.

6. You will be allowed 25 minutes for small group processing.

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VIII. COST ALLOCATION

Full costing captures all the costs associated with providing a service or program.

A. **Full costing** is an accounting methodology that captures all the costs associated with providing a service or program.

1. Full costing identifies all direct costs and indirect costs.

2. Depending on the program or service, there may be some overlap in categorizing direct and indirect costs.

3. However, the most important concept is that **all** the costs are identified.

   a. Direct costs are those items such as salaries and wages, apparatus, telephones, reporting platforms, or computers — essentially all the costs that are directly attributable to the service being provided.

   b. Indirect costs are those items that support the provision of the service.

      - Typically, indirect costs are provided to more than one program or service, but a particular portion can be attributed to the service being provided.

      - For example, information technology (IT) support services are provided across a department or multiple departments. The cost of IT support can be apportioned to a program or service, but does not directly provide the program or service.

From Montgomery County, Maryland Proposed Staffing Improvements for Fire Code Enforcement (Donahue 2006)

Dark boxes with white type indicate Program Areas.

Bold black type in the first column indicates Cost Centers.

Fire Code Enforcement — Proposed Staffing Improvements

		Total WY Needed	Current Positions	Changes FY07	Changes FY08	Changes FY09	Total Assigned
FCE Section Support							
	Assistant Chief	1.0		1.0			1.0
	Battalion Chief	1.0	1.0				1.0
	Administrative Spec. I	1.0		1.0			1.0
	OSC	2.0	1.0	0.0			1.0
	Fiscal Asst.	1.0		1.0			1.0
	PAA	1.0	1.0	0.0			1.0
New Construction							
	Captain/Program Manager	1.0	1.0				1.0
	Fire Protection Engineer	1.0	1.0				1.0
Complex Structures							
	Lieutenant — Supervisor	1.0	1.0				1.0
	Master FF/Inspector	4.0	3.0		1.0		4.0
	OT	0.5		0.5			0.5
Residential							
	Lieutenant — Supervisor	1.0				1.0	1.0
	Master FF/Inspector	2.0	3.0	-2.0		1.0	2.0
	FF3/Inspector	6.0		2.0		4.0	6.0
	OT	1.2	2.0	-0.8			1.2
Noncomplex commercial/New tenant							
	Lieutenant — Supervisor	1.0			1.0		1.0
	Master FF/Inspector	3.0	5.0	-2.0			3.0
	FF3/Inspector	3.0			3.0		3.0
	OT	1.5		1.5			1.5
Enforcement							
	Captain/Program Manager	1.0		1.0			1.0
	Fire Protection Engineer	1.0	1.0				1.0
Battalion Inspectors							
	Lieutenant — Supervisor	3.0	1.0	1.0		1.0	3.0
	Master FF/Inspector	6.0		4.0	2.0		6.0
	OT	3.8	1.0	2.8			3.8

Systems and Structures						
Lieutenant — Supervisor	1.0		1.0			1.0
Master FF/Inspector	3.0		3.0			3.0
FF3/Inspector	4.0		2.0	2.0		4.0
OT	0.2		0.2			0.2
Development Review						
Senior FPE	1.0		1.0			1.0
Fire Protection Engineer	1.0		1.0			1.0
TOTALS	57.2	22.0	19.2	9.0	7.0	57.2
Positions Added						
			FY07	**FY08**	**FY09**	**Totals**
Assistant Chief			1.0	0.0	0.0	1.0
Captain			1.0	0.0	0.0	1.0
Lieutenant			2.0	1.0	2.0	5.0
Master FF			3.0	3.0	1.0	7.0
F3			4.0	5.0	4.0	13.0
subtotal uniformed			11.0	9.0	7.0	27.0
Senior FPE			1.0	0.0	0.0	1.0
Fire Protection Engineer			1.0	0.0	0.0	1.0
Admin Spec.			1.0	0.0	0.0	1.0
OSC			0.0	0.0	1.0	1.0
Fiscal Asst.			1.0	0.0	0.0	1.0
PAA			0.0	0.0	0.0	0.0
subtotal civilian			4.0	0.0	1.0	5.0
Total Positions			**15.0**	**9.0**	**8.0**	**32.0**
OT			2.1	2.1	0.0	4.2
Total Work Years			**17.1**	**11.1**	**8.0**	**36.2**

Abbreviation Key:

WY = Work Years

FY = Fiscal Year

Spec. = Specialist

OSC = Office Services Coordinator

Asst. = Assistant

PAA = Principal Administrative Aide

OT = Overtime

FF = Firefighter

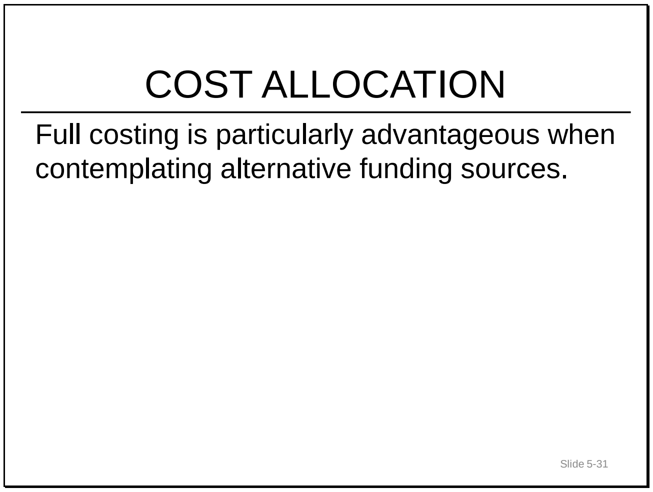
FF3 = Firefighter/Rescuer III (grade level)

FPE = Fire Protection Engineer

- Full costing follows the concepts of service-based budgets.

4. Decision-makers have all the costs for providing a service or program on hand; therefore, they can make informed decisions on the impact of cuts or expanding funding.

5. It is also easier to tie program or service costs to outputs and outcomes.



COST ALLOCATION

Full costing is particularly advantageous when contemplating alternative funding sources.

B. Full costing is particularly advantageous when contemplating alternative funding sources.

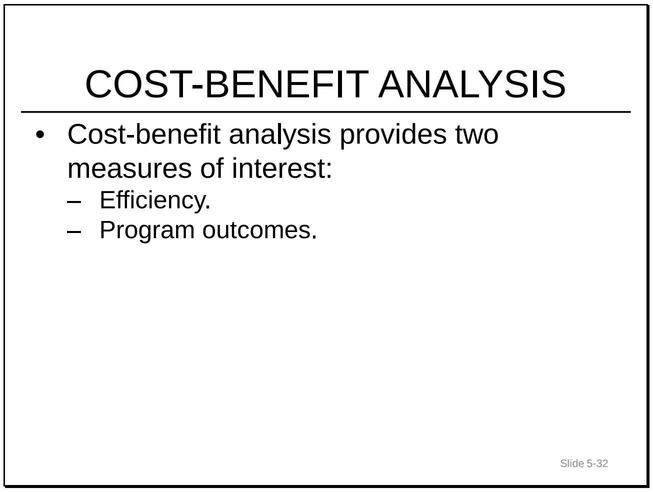
Since all the costs for delivering a service or program are known, it becomes a much simpler exercise to determine fee allocations, break-even points (program cost neutrality), pricing points (percentage of recovery) and cost amortization, among other financial factors.

C. Developing a full costing for individual programs will require in-depth data searches from many other agencies in the local government.

For example, if fuel purchases are managed by a Fleet Services section, it is important to know that fuel is budgeted at $3.85 per gallon with an average utilization rate of 15 miles per gallon for an average vehicle mileage of 20,000 per year. This data indicates that each vehicle needs a fuel budget of $5,134 per year.

D. Regardless of the budgetary type used in the jurisdiction, a full costing analysis should be completed for each program.

IX. COST-BENEFIT ANALYSIS



COST-BENEFIT ANALYSIS

- Cost-benefit analysis provides two measures of interest:
  - Efficiency.
  - Program outcomes.

A. The cost-benefit analysis can provide two measures of interest to the fire prevention manager.

1. The first measure is that of efficiency.

2. This is an output measure that compares the unit of work to the cost of delivering that work.

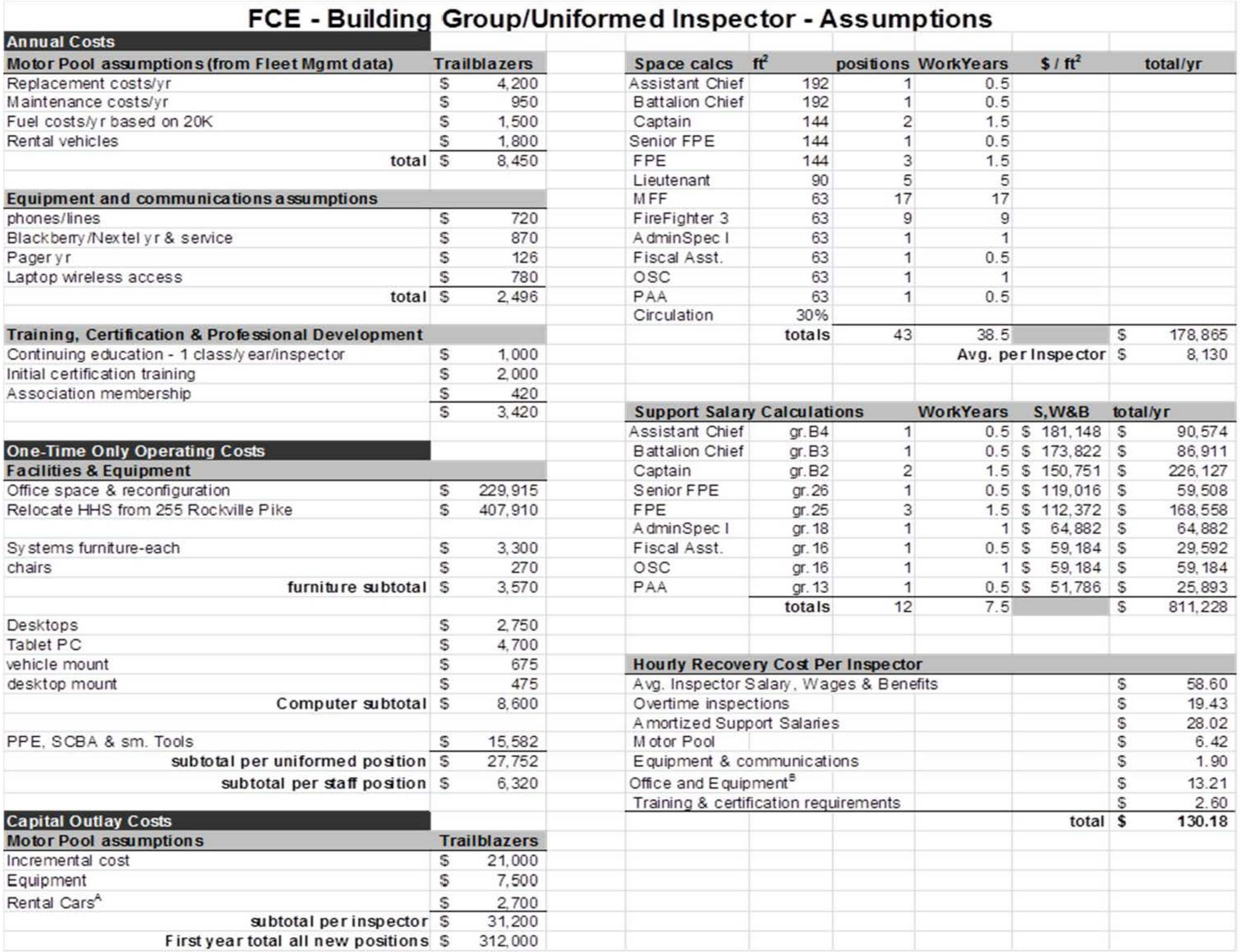
3. Performance budgets and full-costing provide the data necessary for this analysis.

4. The difficulty lies in deciding the correct metrics for evaluation, and caution is urged.

5. Too much detail may yield a metric which has little, if any, value in making program decisions.

    a. The first threshold that must be crossed is defining a **unit of work.** Questions that must be evaluated include:

    - Is it a discrete action? For example, one inspection or one investigation.



FCE - Building Group/Uniformed Inspector - Assumptions

Annual Costs

Motor Pool assumptions (from Fleet Mgmt data)	Trailblazers	
Replacement costs/yr	$	4,200
Maintenance costs/yr	$	950
Fuel costs/yr based on 20K	$	1,500
Rental vehicles	$	1,800
total	$	8,450

Equipment and communications assumptions		
phones/lines	$	720
Blackberry/Nextel yr & service	$	870
Pager yr	$	126
Laptop wireless access	$	780
total	$	2,496

Training, Certification & Professional Development		
Continuing education - 1 class/year/inspector	$	1,000
Initial certification training	$	2,000
Association membership	$	420
	$	3,420

One-Time Only Operating Costs

Facilities & Equipment		
Office space & reconfiguration	$	229,915
Relocate HHS from 255 Rockville Pike	$	407,910
Systems furniture-each	$	3,300
chairs	$	270
furniture subtotal	$	3,570
Desktops	$	2,750
Tablet PC	$	4,700
vehicle mount	$	675
desktop mount	$	475
Computer subtotal	$	8,600
PPE, SCBA & sm. Tools	$	15,582
subtotal per uniformed position	$	27,752
subtotal per staff position	$	6,320

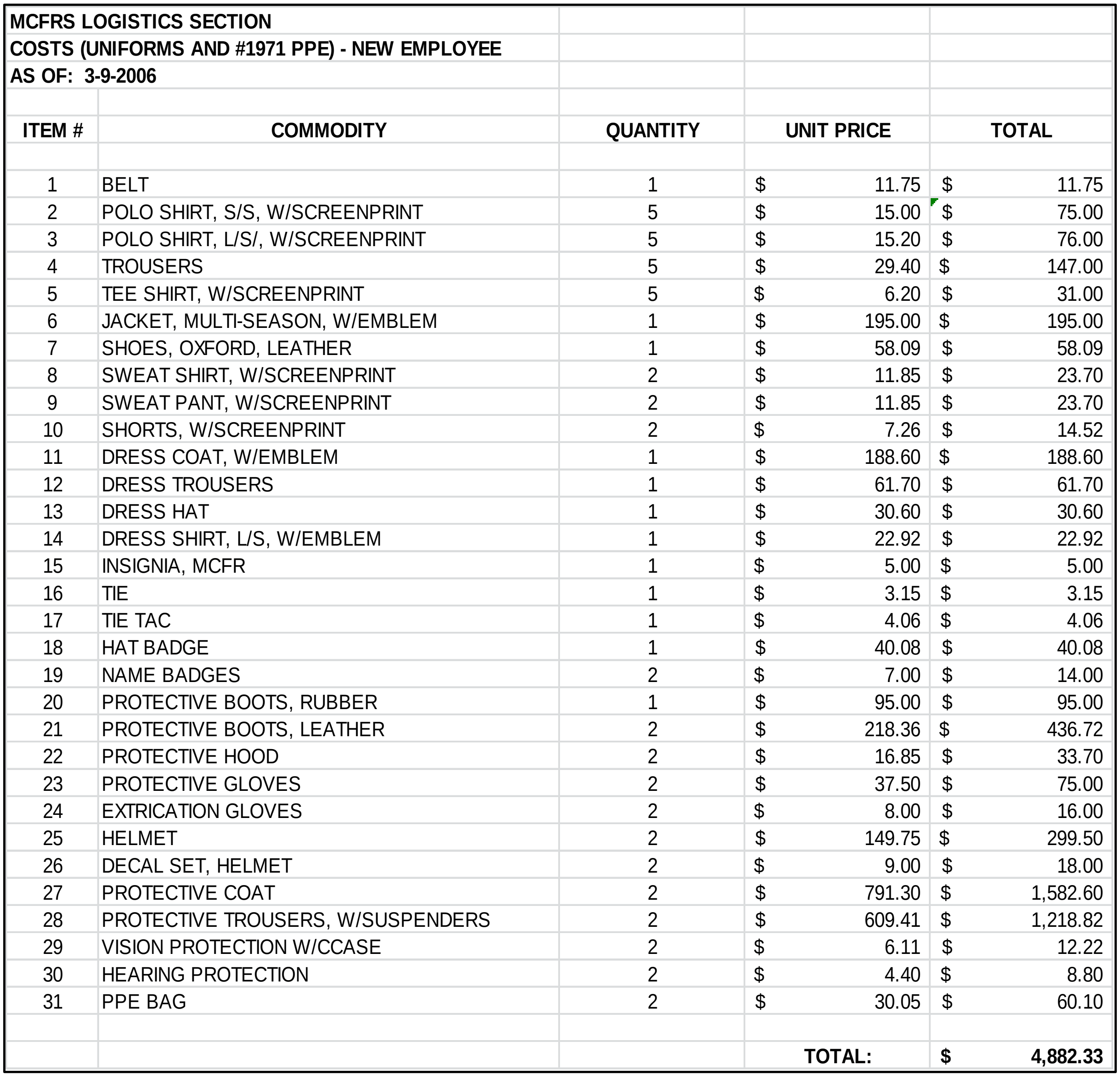
Capital Outlay Costs

Motor Pool assumptions	Trailblazers	
Incremental cost	$	21,000
Equipment	$	7,500
Rental Cars[A]	$	2,700
subtotal per inspector	$	31,200
First year total all new positions	$	312,000

Space calcs	ft^2	positions	WorkYears	$ / ft^2	total/yr	
Assistant Chief	192	1	0.5			
Battalion Chief	192	1	0.5			
Captain	144	2	1.5			
Senior FPE	144	1	0.5			
FPE	144	3	1.5			
Lieutenant	90	5	5			
MFF	63	17	17			
FireFighter 3	63	9	9			
AdminSpec I	63	1	1			
Fiscal Asst.	63	1	0.5			
OSC	63	1	1			
PAA	63	1	0.5			
Circulation	30%					
	totals	43	38.5		$	178,865
				Avg. per Inspector	$	8,130

Support Salary Calculations			WorkYears	S,W&B	total/yr	
Assistant Chief	gr.B4	1	0.5	$ 181,148	$	90,574
Battalion Chief	gr.B3	1	0.5	$ 173,822	$	86,911
Captain	gr.B2	2	1.5	$ 150,751	$	226,127
Senior FPE	gr.26	1	0.5	$ 119,016	$	59,508
FPE	gr.25	3	1.5	$ 112,372	$	168,558
AdminSpec I	gr.18	1	1	$ 64,882	$	64,882
Fiscal Asst.	gr.16	1	0.5	$ 59,184	$	29,592
OSC	gr.16	1	1	$ 59,184	$	59,184
PAA	gr.13	1	0.5	$ 51,786	$	25,893
	totals	12	7.5		$	811,228

Hourly Recovery Cost Per Inspector		
Avg. Inspector Salary, Wages & Benefits	$	58.60
Overtime inspections	$	19.43
Amortized Support Salaries	$	28.02
Motor Pool	$	6.42
Equipment & communications	$	1.90
Office and Equipment[B]	$	13.21
Training & certification requirements	$	2.60
total	**$**	**130.18**



MCFRS LOGISTICS SECTION
COSTS (UNIFORMS AND #1971 PPE) - NEW EMPLOYEE
AS OF: 3-9-2006

ITEM #	COMMODITY	QUANTITY	UNIT PRICE	TOTAL
1	BELT	1	$ 11.75	$ 11.75
2	POLO SHIRT, S/S, W/SCREENPRINT	5	$ 15.00	$ 75.00
3	POLO SHIRT, L/S/, W/SCREENPRINT	5	$ 15.20	$ 76.00
4	TROUSERS	5	$ 29.40	$ 147.00
5	TEE SHIRT, W/SCREENPRINT	5	$ 6.20	$ 31.00
6	JACKET, MULTI-SEASON, W/EMBLEM	1	$ 195.00	$ 195.00
7	SHOES, OXFORD, LEATHER	1	$ 58.09	$ 58.09
8	SWEAT SHIRT, W/SCREENPRINT	2	$ 11.85	$ 23.70
9	SWEAT PANT, W/SCREENPRINT	2	$ 11.85	$ 23.70
10	SHORTS, W/SCREENPRINT	2	$ 7.26	$ 14.52
11	DRESS COAT, W/EMBLEM	1	$ 188.60	$ 188.60
12	DRESS TROUSERS	1	$ 61.70	$ 61.70
13	DRESS HAT	1	$ 30.60	$ 30.60
14	DRESS SHIRT, L/S, W/EMBLEM	1	$ 22.92	$ 22.92
15	INSIGNIA, MCFR	1	$ 5.00	$ 5.00
16	TIE	1	$ 3.15	$ 3.15
17	TIE TAC	1	$ 4.06	$ 4.06
18	HAT BADGE	1	$ 40.08	$ 40.08
19	NAME BADGES	2	$ 7.00	$ 14.00
20	PROTECTIVE BOOTS, RUBBER	1	$ 95.00	$ 95.00
21	PROTECTIVE BOOTS, LEATHER	2	$ 218.36	$ 436.72
22	PROTECTIVE HOOD	2	$ 16.85	$ 33.70
23	PROTECTIVE GLOVES	2	$ 37.50	$ 75.00
24	EXTRICATION GLOVES	2	$ 8.00	$ 16.00
25	HELMET	2	$ 149.75	$ 299.50
26	DECAL SET, HELMET	2	$ 9.00	$ 18.00
27	PROTECTIVE COAT	2	$ 791.30	$ 1,582.60
28	PROTECTIVE TROUSERS, W/SUSPENDERS	2	$ 609.41	$ 1,218.82
29	VISION PROTECTION W/CCASE	2	$ 6.11	$ 12.22
30	HEARING PROTECTION	2	$ 4.40	$ 8.80
31	PPE BAG	2	$ 30.05	$ 60.10
			TOTAL:	**$ 4,882.33**

Costs associated with outfitting a new employee in Montgomery County, Md.
Costs calculated for FY07 budget preparation.

- Is the performance effort fixed or variable?
- Is the plan review for a single family dwelling the same as the plan review for a nursing home?
- What resources are required? Is the life safety presentation the same at a middle school as at a senior center?

b. The second threshold that must be crossed is the comparative production from the unit of work. Some possibilities include:

- The number of violations found per inspection (or is it simply the client contact?).
- How many persons were present at the life safety presentation?
- What is the closure rate for investigations?

c. The third threshold is attaching a cost to the unit of work and the result of that work. Again, there are multiple possibilities, including:

- Hourly costs. This is probably the easiest to calculate, but it does not capture work results.
- Cost per case closed. Higher case closure rates will improve efficiency measures but are subject to uncontrollable factors.
- Cost per person at life safety presentations.

B. The second measure is that of program outcomes.

1. These can be difficult to determine and require a multiyear review.

2. Program evaluations for outcomes require in-depth analysis.

For example, the problem facing the community is fire deaths and injuries among the elderly due to careless smoking. An aggressive door-to-door life safety education campaign is initiated using front line apparatus. After one year, the rate of smoking related injuries and deaths decreases. Many questions must be considered, including:

a. Was the decrease in injuries and deaths an anomaly?

b. Was the decrease in injuries and deaths a result of improved awareness or because the smokers died from other causes and are no longer parts of the target population?

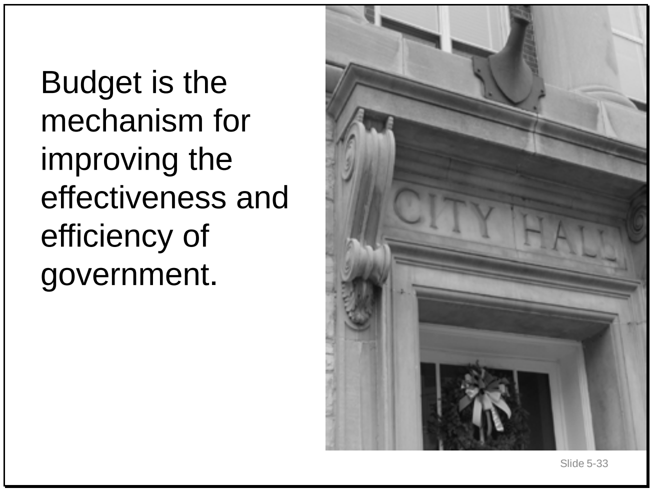
c. What was the value of the injuries and deaths?

d. How do you cost out the personnel and apparatus involved in the program? These costs would have existed regardless of the program.

e. Was it simply the presence of fire apparatus in the community that increased awareness?

f. Were there any other externalities that possibly affected the outcomes?

X. MONITOR AND EVALUATE BUDGET



Budget is the mechanism for improving the effectiveness and efficiency of government.

A. Willoughby wrote in 1918 that budget is the mechanism for improving the effectiveness and efficiency of government.

1. It is the method for holding individual government actors accountable for public monies.

2. A suitable accounting and reporting system is necessary to accomplish these objectives.

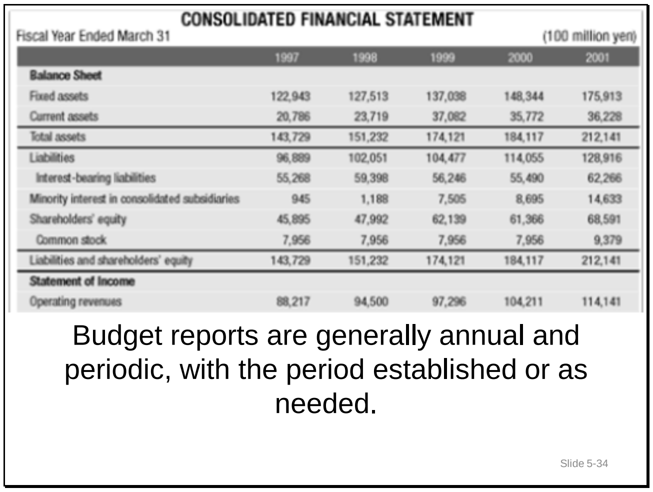
3. Without such a system, any attempt at measuring the actions of government is futile.

B. Periodic reporting through the year involves estimations and trending to identify the most likely end-of-year results.

1. Advanced statistical analysis can be applied to improve the validity of projections.

2. However, an easy to use method is the sliding or rolling mean, which will help smooth the trend line.

3. This helps identify more significant long-term trends that may not be readily apparent.



CONSOLIDATED FINANCIAL STATEMENT

Fiscal Year Ended March 31 (100 million yen)

	1997	1998	1999	2000	2001
Balance Sheet					
Fixed assets	122,943	127,513	137,038	148,344	175,913
Current assets	20,786	23,719	37,082	35,772	36,228
Total assets	143,729	151,232	174,121	184,117	212,141
Liabilities	96,889	102,051	104,477	114,055	128,916
Interest-bearing liabilities	55,268	59,398	56,246	55,490	62,266
Minority interest in consolidated subsidiaries	945	1,188	7,505	8,695	14,633
Shareholders' equity	45,895	47,992	62,139	61,366	68,591
Common stock	7,956	7,956	7,956	7,956	9,379
Liabilities and shareholders' equity	143,729	151,232	174,121	184,117	212,141
Statement of Income					
Operating revenues	88,217	94,500	97,296	104,211	114,141

Budget reports are generally annual and periodic, with the period established or as needed.

C. Budget reports are generally annual and periodic, with the period established or as needed.

1. When evaluating budget reports, it is important to recognize that some financial data is not immediately entered into the reporting system, so estimates may be necessary.

2. A good resource utilization tracking system can help refine such estimates.

3. Looking back to the fuel costing from the previous section, if utilization data indicates that at the end of the second quarter vehicles are averaging 12,000 miles, a reasonable estimate is that the fuel budget will be 20 percent over, even if the fuel purchase reporting is running a month behind.

D. Annual reports are provided at the end of the budget year.

1. Typically, these reports will not be complete for at least one month after the close of the fiscal year.

2. In some governments, these are referred to as “month 13” reports to allow time for all expenditures to clear the procurement process.

3. These reports provide good data for plotting multiyear trends, average budget consumption and revenue rates for comparison, and preparing a following year budget.

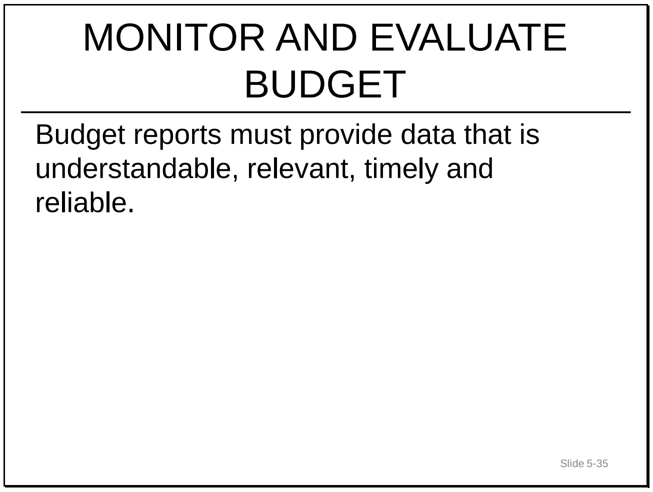
E. Periodic reporting provides data that aids operations management decisions.

1. These reports can be provided at regular intervals, such as biweekly or monthly, or on demand.

2. Periodic reports provide critical data for evaluating budget consumption and revenue generation.

   a. These reports are also vital for evaluating program efficiency. Revenue consumption and revenues can be compared to program outputs to determine per unit costs and revenue.

   b. When evaluating periodic report data, it should also be compared to previous years’ periodic reports. Comparisons to previous years’ data can reveal important business cycles. For example, a spike in new construction permits in November may be tied to construction companies preparing to close their books for the year.



MONITOR AND EVALUATE BUDGET

Budget reports must provide data that is understandable, relevant, timely and reliable.

3. Budget reports must provide data that is understandable, relevant, timely and reliable.

   a. The format must be simple and straight-forward.

   b. It should provide only the data that is needed.

c. It must be available when needed to make management decisions, and the data must be accurate.

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ACTIVITY 5.2

Modifying an Existing Budget

Purpose

Given a sample budget document, you will process scenarios that direct modifications to the budget.

Directions

1. This activity is a small group exercise using a sample budget document. The activity has two parts.
2. Individually, please review the budget document example.
3. You will be allowed 10 minutes for this task.

Part 1

1. The city manager has directed each department to reduce its budget by a certain percentage.
2. The fire chief has asked the bureau leader to make a recommendation for how he or she could cut their unit's budget by 10 percent.
3. Working in your table group, analyze the budget and identify what you propose cutting or reducing to achieve the 10 percent reduction. The group must justify the action and explain how it will impact the bureau's service delivery.
4. You will be allowed 25 minutes for small group processing.
5. Your group will present your recommendations, justification and impact to the class at large.
6. You will be allowed 15 minutes total for the presentations.

Part 2

1. Property tax assessments have improved and some additional revenues have been received by the city.

2. Working in your table group, propose a new budget showing a 5 percent increase over the **original** budget and how the resources will be allocated. The group must justify the action and explain how it will enhance the bureau's service delivery.

   Note: The instructor will provide the information on all personnel costs if asked for them. The instructor will function as part of human resources or budget office.

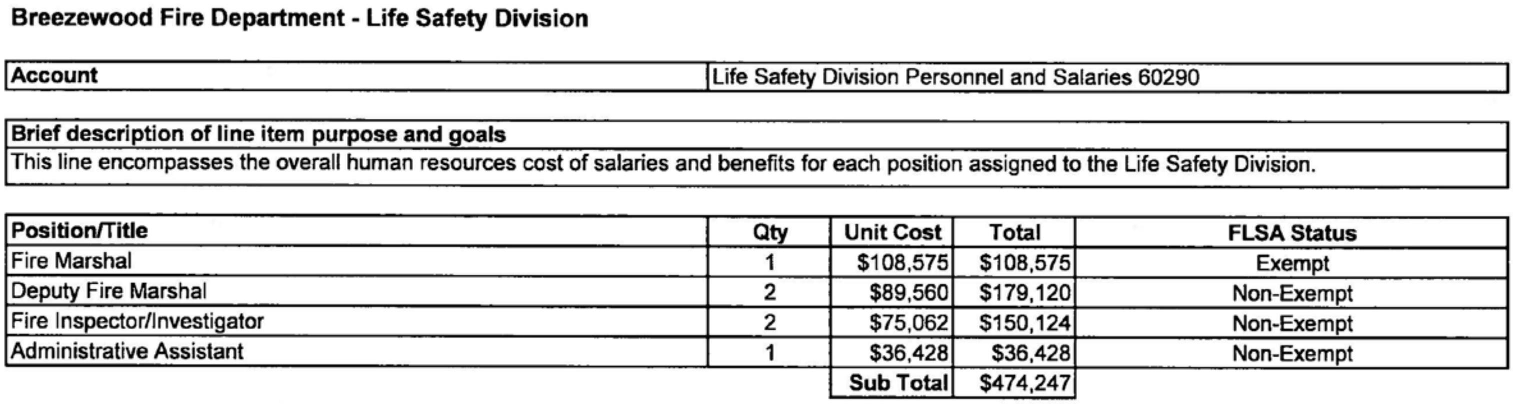
3. You will be allowed 25 minutes for small group processing.

4. Your group will present your recommendations, justification and impact to the class at large.

5. You will be allowed 15 minutes total for the presentations.

Life Safety Division Budget Overview

Account #	Name	2010 Expenditures	2011 Budget	2012 Budget	2013 Budget	2014 Budget
64110	Dues, Publications, Code Books	$2,768	$3,280	$2,000	$3,427	$5,186
64120	Employee Development - LSD	$132	$4,000	$4,000	$14,750	$19,687
64130	Fire Education/PIO Supplies	$29,723	$50,000	$62,000	$52,100	$52,100
64140	Equipment & Supplies - LSD	$755	$2,000	$2,000	$4,000	$3,500
64150	Mapping & GIS	$0	$0	$5,000	$4,260	$4,260
	Total Life Safety Budget	$33,378	$59,280	$75,000	$78,537	$84,733



Breezewood Fire Department - Life Safety Division

Account	Life Safety Division Personnel and Salaries 60290

Brief description of line item purpose and goals
This line encompasses the overall human resources cost of salaries and benefits for each position assigned to the Life Safety Division.

Position/Title	**Qty**	**Unit Cost**	**Total**	**FLSA Status**
Fire Marshal	1	$108,575	$108,575	Exempt
Deputy Fire Marshal	2	$89,560	$179,120	Non-Exempt
Fire Inspector/Investigator	2	$75,062	$150,124	Non-Exempt
Administrative Assistant	1	$36,428	$36,428	Non-Exempt
		Sub Total	$474,247	

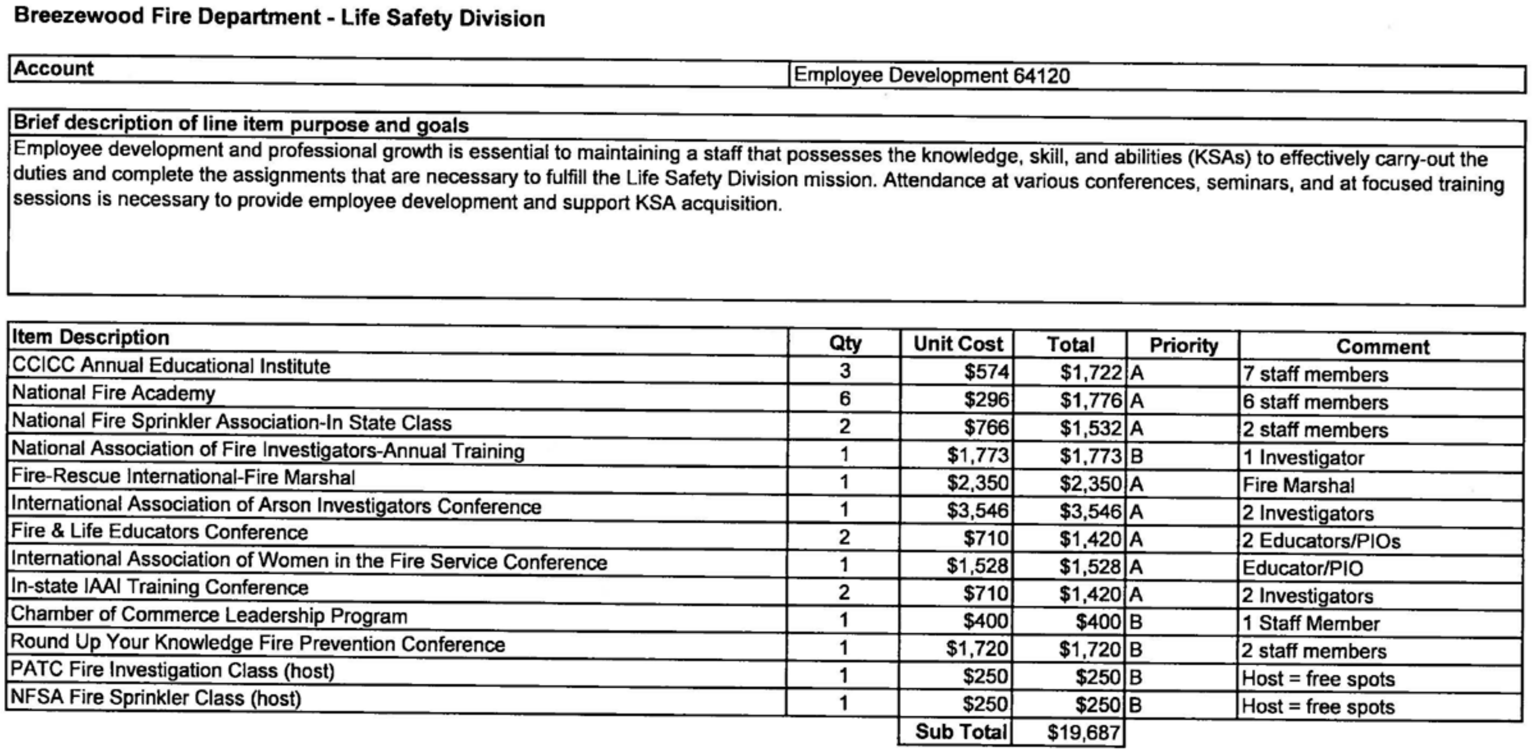
Breezewood Fire Department - Life Safety Division

Account	Dues-Subscriptions-References 64110

Brief description of line item purpose and goals

Dues are used to fund annual memberships to various associations that provide credentialing, professional development, or professional networking in the areas of code enforcement, fire investigation, public education, and public information. Publications and reference materials are used on a daily basis to complete plan reviews, research code requirements, and for an effective code compliance program. Most of the codes and standards that are used as the basis for our code compliance program are revised on a 3-5 year cycle making it necessary to purchase code books and standards on a reoccurring basis in order to stay abreast on the latest provisions and requirements set forth by the code updates.

Item Description	**Qty**	**Unit Cost**	**Total**	**Priority**
Fire Marshals Association: Annual Membership-Fire Marshal	1	$175	$175	A
Fire Marshals Association: Annual Membership-Deputy Fire Marshals (DFMs)	2	$155	$310	A
Fire Marshals Association: Annual Membership-Fire inspectors	2	$20	$40	A
Fire& Life Safety Educators: Annual Membership-Educators/PIOs	2	$75	$150	A
Emergency Service PIOs Association: Annual membership-Educators/PIOs	2	$75	$150	A
Safe Kids : Membership dues	2	$125	$250	A
International Code Council: Annual membership-Breezewood FD	1	$225	$225	A
National Fire Protection Association: Annual membership-Fire Marshal	1	$175	$175	A
National Fire Code Subscription Services: Annual renewal	1	$1,165	$1,165	A
National Association of Fire Investigators: Annual membership- Fire Marshal	2	$65	$130	A
National Association of Fire Investigators: Annual membership- DFMs	2	$65	$130	A
National Association of Fire Investigators: Annual membership- Fire inspectors	2	$65	$130	A
International Association of Arson Investigators: Annual Membership- DFMs	2	$75	$150	A
International Association of Arson Investigators: Annual Membership- Fire Inspectors	2	$75	$150	A
National Fire Sprinkler Association: Annual membership-DFMs	2	$85	$170	A
Reoccuring fees for recertifications	1	$500	$500	A
2012 International Fire Code books	6	$113	$678	A
2012 International Fire Code commentary	4	$127	$508	A
		Sub Total	$5,186	



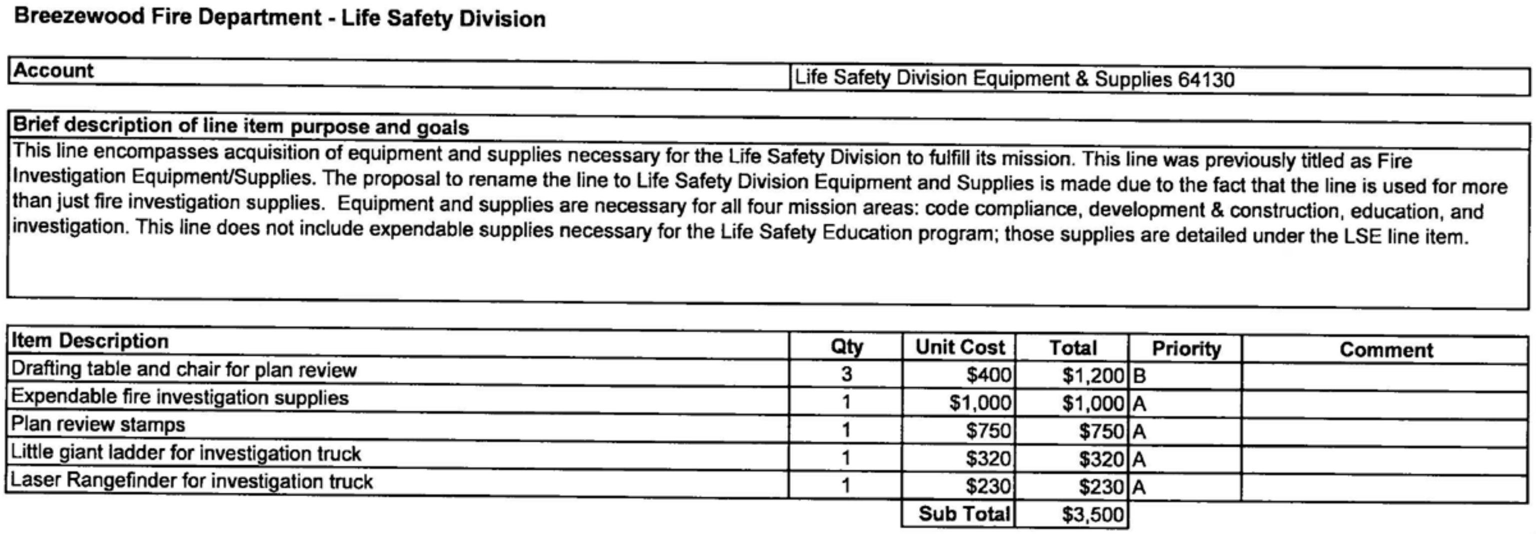
Breezewood Fire Department - Life Safety Division

Account	Employee Development 64120

Brief description of line item purpose and goals

Employee development and professional growth is essential to maintaining a staff that possesses the knowledge, skill, and abilities (KSAs) to effectively carry-out the duties and complete the assignments that are necessary to fulfill the Life Safety Division mission. Attendance at various conferences, seminars, and at focused training sessions is necessary to provide employee development and support KSA acquisition.

Item Description	Qty	Unit Cost	Total	Priority	Comment
CCICC Annual Educational Institute	3	$574	$1,722	A	7 staff members
National Fire Academy	6	$296	$1,776	A	6 staff members
National Fire Sprinkler Association-In State Class	2	$766	$1,532	A	2 staff members
National Association of Fire Investigators-Annual Training	1	$1,773	$1,773	B	1 Investigator
Fire-Rescue International-Fire Marshal	1	$2,350	$2,350	A	Fire Marshal
International Association of Arson Investigators Conference	1	$3,546	$3,546	A	2 Investigators
Fire & Life Educators Conference	2	$710	$1,420	A	2 Educators/PIOs
International Association of Women in the Fire Service Conference	1	$1,528	$1,528	A	Educator/PIO
In-state IAAI Training Conference	2	$710	$1,420	A	2 Investigators
Chamber of Commerce Leadership Program	1	$400	$400	B	1 Staff Member
Round Up Your Knowledge Fire Prevention Conference	1	$1,720	$1,720	B	2 staff members
PATC Fire Investigation Class (host)	1	$250	$250	B	Host = free spots
NFSA Fire Sprinkler Class (host)	1	$250	$250	B	Host = free spots
		Sub Total	$19,687		



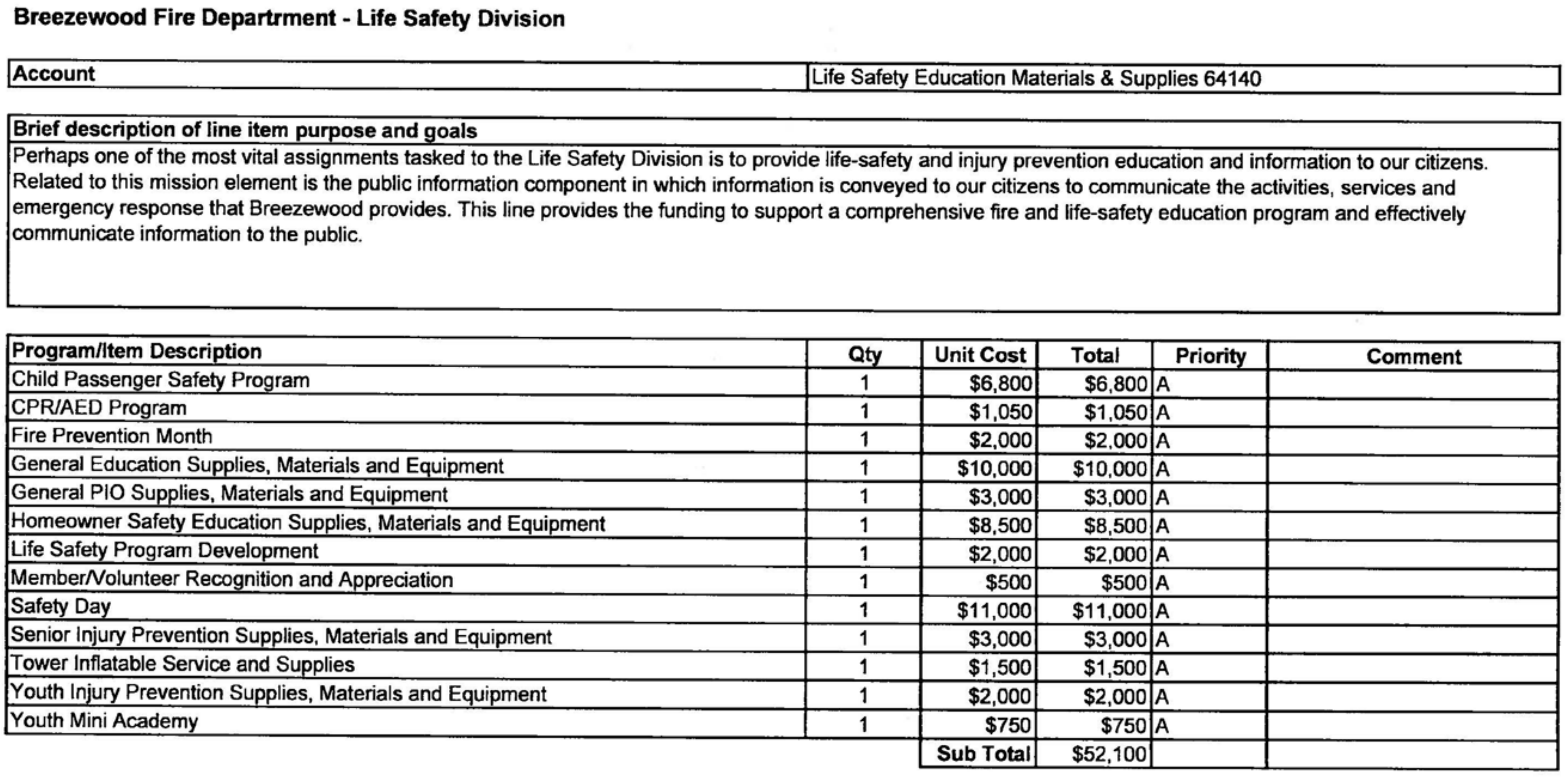
Breezewood Fire Department - Life Safety Division

Account	Life Safety Division Equipment & Supplies 64130

Brief description of line item purpose and goals

This line encompasses acquisition of equipment and supplies necessary for the Life Safety Division to fulfill its mission. This line was previously titled as Fire Investigation Equipment/Supplies. The proposal to rename the line to Life Safety Division Equipment and Supplies is made due to the fact that the line is used for more than just fire investigation supplies. Equipment and supplies are necessary for all four mission areas: code compliance, development & construction, education, and investigation. This line does not include expendable supplies necessary for the Life Safety Education program; those supplies are detailed under the LSE line item.

Item Description	Qty	Unit Cost	Total	Priority	Comment
Drafting table and chair for plan review	3	$400	$1,200	B	
Expendable fire investigation supplies	1	$1,000	$1,000	A	
Plan review stamps	1	$750	$750	A	
Little giant ladder for investigation truck	1	$320	$320	A	
Laser Rangefinder for investigation truck	1	$230	$230	A	
		Sub Total	$3,500		



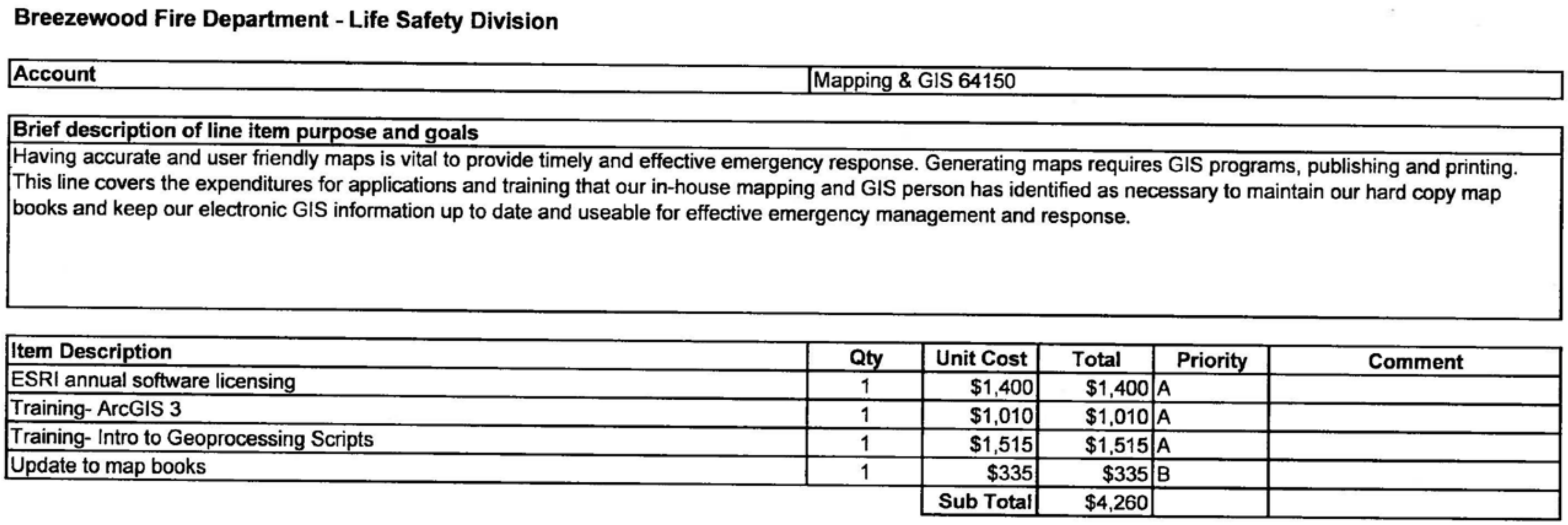
Breezewood Fire Departrment - Life Safety Division

Account	Life Safety Education Materials & Supplies 64140

Brief description of line item purpose and goals

Perhaps one of the most vital assignments tasked to the Life Safety Division is to provide life-safety and injury prevention education and information to our citizens. Related to this mission element is the public information component in which information is conveyed to our citizens to communicate the activities, services and emergency response that Breezewood provides. This line provides the funding to support a comprehensive fire and life-safety education program and effectively communicate information to the public.

Program/Item Description	Qty	Unit Cost	Total	Priority	Comment
Child Passenger Safety Program	1	$6,800	$6,800	A	
CPR/AED Program	1	$1,050	$1,050	A	
Fire Prevention Month	1	$2,000	$2,000	A	
General Education Supplies, Materials and Equipment	1	$10,000	$10,000	A	
General PIO Supplies, Materials and Equipment	1	$3,000	$3,000	A	
Homeowner Safety Education Supplies, Materials and Equipment	1	$8,500	$8,500	A	
Life Safety Program Development	1	$2,000	$2,000	A	
Member/Volunteer Recognition and Appreciation	1	$500	$500	A	
Safety Day	1	$11,000	$11,000	A	
Senior Injury Prevention Supplies, Materials and Equipment	1	$3,000	$3,000	A	
Tower Inflatable Service and Supplies	1	$1,500	$1,500	A	
Youth Injury Prevention Supplies, Materials and Equipment	1	$2,000	$2,000	A	
Youth Mini Academy	1	$750	$750	A	
		Sub Total	$52,100		



Breezewood Fire Department - Life Safety Division

Account	Mapping & GIS 64150

Brief description of line item purpose and goals
Having accurate and user friendly maps is vital to provide timely and effective emergency response. Generating maps requires GIS programs, publishing and printing. This line covers the expenditures for applications and training that our in-house mapping and GIS person has identified as necessary to maintain our hard copy map books and keep our electronic GIS information up to date and useable for effective emergency management and response.

Item Description	**Qty**	**Unit Cost**	**Total**	**Priority**	**Comment**
ESRI annual software licensing	1	$1,400	$1,400	A	
Training- ArcGIS 3	1	$1,010	$1,010	A	
Training- Intro to Geoprocessing Scripts	1	$1,515	$1,515	A	
Update to map books	1	$335	$335	B	
		Sub Total	$4,260		

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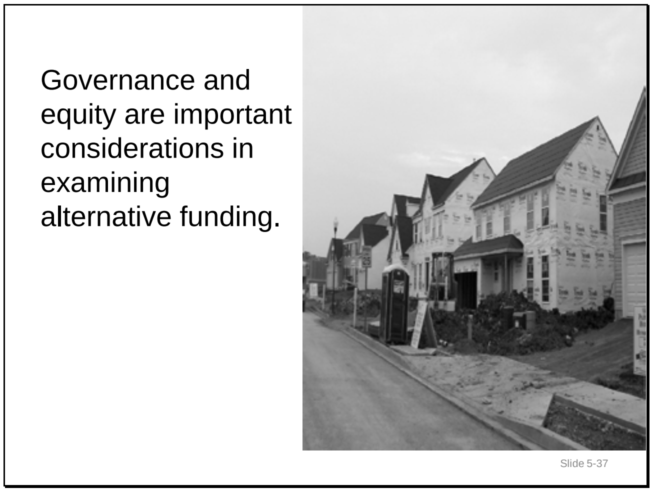
XI. POTENTIAL FUNDING ALTERNATIVES



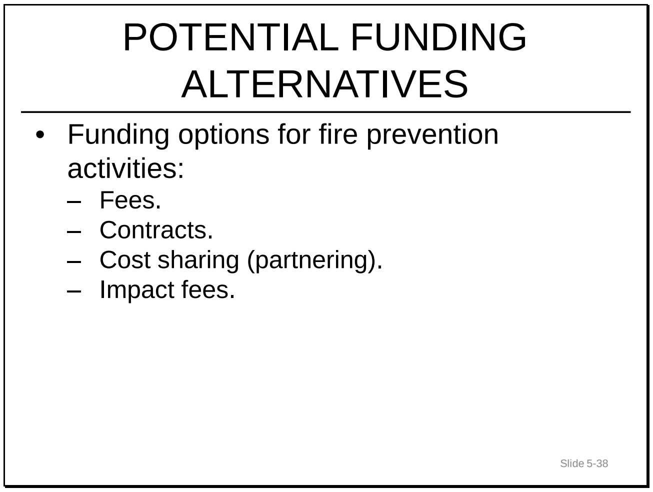
Governance and equity are important considerations in examining alternative funding.

A. Governance and equity are important considerations in examining alternative funding for fire and rescue departments.

1. Some of the possible alternatives may not be authorized in the jurisdiction.

2. Others contain hidden costs.

3. Still others require an ongoing financial commitment that may not be available in the future.



POTENTIAL FUNDING ALTERNATIVES

- Funding options for fire prevention activities:
  - Fees.
  - Contracts.
  - Cost sharing (partnering).
  - Impact fees.

B. In general, the funding options for fire prevention activities are somewhat limited, but they can be a source of significant revenue.

1. **Fees** can be charged for a multitude of activities where there is a clear beneficiary of the service other than the general public.

Potential sources include new construction inspections, fireworks, special events, plan review, etc.

2. **Contracts** offer another alternative. Jurisdictions may contract for plan review or inspection services as a means of generating revenue.

3. **Cost sharing (partnering)** does not generate revenue. However, cost sharing may reduce costs for providing inspection services, which has the same effect.

4. **Development impact fees** can offset the costs of development review. Depending on how these are set up, impact fees could also provide revenues to support the cost of structural plan review for single family homes.

Important legal restrictions affect the amount of revenue that can be generated by government entities.

C. Important legal restrictions affect the amount of revenue that can be generated by government entities.

1. Revenue is limited to the amount necessary to run the program.

2. This is not a strict dollar-for-dollar offset.

3. However, if the revenue structure generates excessive monies beyond the program cost, it will be considered a tax, and tax imposition requires voter approval.

4. It is also important that revenues only be spent on activities, supplies and equipment related to the program.

5. In either situation, the courts have overturned the revenue scheme and forced local governments to return all monies.

a. This could be a potential fiscal disaster.

b. Prior to initiating any revenue scheme, it is wise to consult the government's attorney for guidance.

D. Volunteer departments that are incorporated as independent corporations may not face the same tax issue restrictions.

However, those that are fulfilling a public good and are at least partially funded through government tax monies should contact their attorney for guidance.

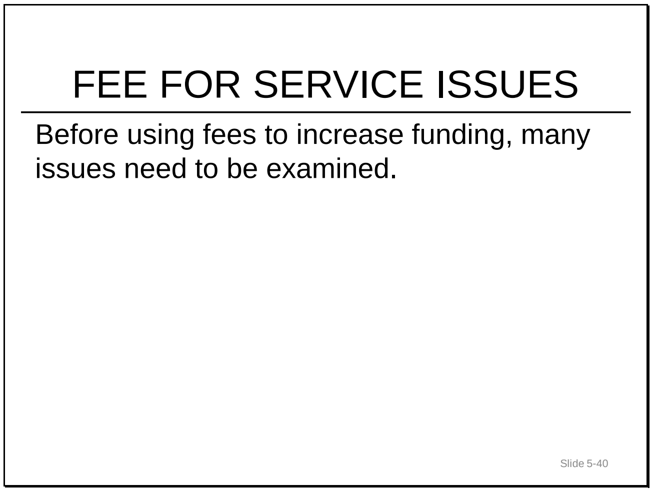
E. The U.S. Fire Administration (USFA) publishes a manual entitled "Funding Alternatives for Emergency Medical and Fire Services" FA-331/April 2012.

1. This document is available at: http://www.usfa.fema.gov/downloads/pdf/publications/fa_331.pdf.

2. It provides an extensive discussion of alternative funding sources from federal, state and nongovernmental sources.

3. In some cases, a discussion of pros and cons are provided.

XII. FEE FOR SERVICE ISSUES



FEE FOR SERVICE ISSUES

Before using fees to increase funding, many issues need to be examined.

A. Before using fees to increase funding, many issues need to be examined. Questions to ask may include:

1. Are all services provided by the fire service public goods? Which are? Which are not? What criteria should be used to discriminate between the two?

2. Who should pay for the service? Can the parsing of payments for service be done equitably? Should service be provided to those who cannot pay?

3. Are there compelling public reasons for user fees? What is the purpose for charging fees? Program cost neutrality? Partial offset? Enhancing services?

4. When should user fees be charged? What methodology should be used for setting fee levels?

5. Is there legal authority for charging fees for service? How will revenues be tracked? Where does revenue get deposited? What reporting requirements exist? What reporting requirements does the program need?

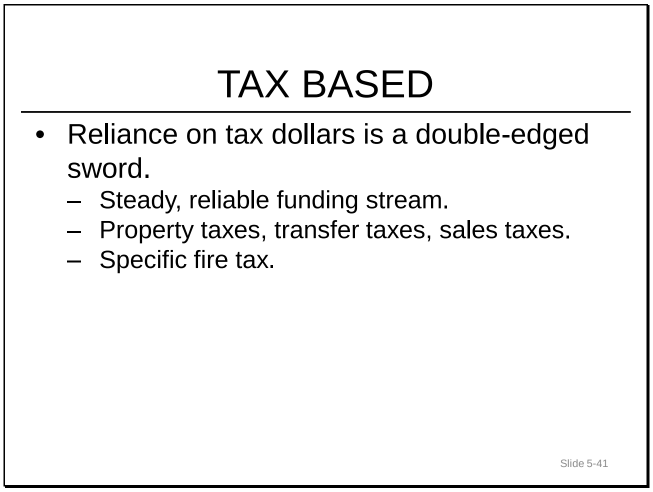
6. How will payment be established? Cash and carry system? Invoicing? Online credit card or Electronic Funds Transfer (EFT)?

7. What type of accounts receivable system needs to be established? What are the auditing requirements for the jurisdiction? Is the existing records management system compatible?

B. When embarking on a fee for service business model, the fire prevention manager needs to engage the department's attorney, management, budget office (and finance office, if separate), IT department, the chief executive's office, the legislature, and community representatives, including development, chambers of commerce and other business networks.

C. Depending on the government structure, additional departments may be required.

XIII. TAX BASED



TAX BASED

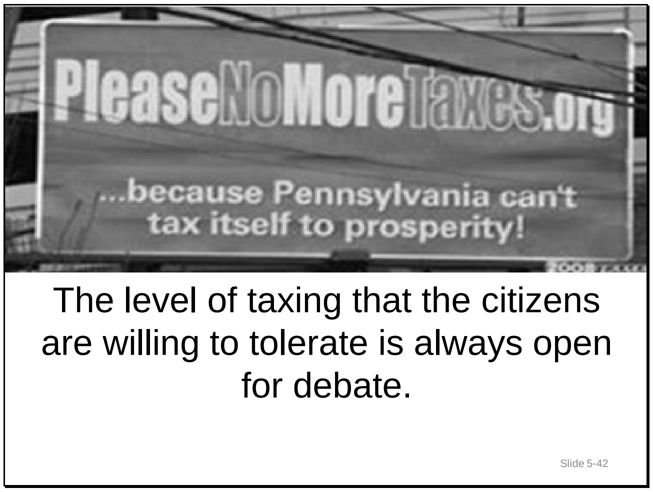
- Reliance on tax dollars is a double-edged sword.
  - Steady, reliable funding stream.
  - Property taxes, transfer taxes, sales taxes.
  - Specific fire tax.

A. For government-based fire prevention services, whether a municipal government or special fire protection district, reliance on tax dollars is a double-edged sword.

1. Tax monies are a steady, reliable funding stream.

2. These monies may come from property taxes, transfer taxes, sales taxes and others.

3. Many jurisdictions even have a specific fire tax that is dedicated to ensuring a certain level of funding.



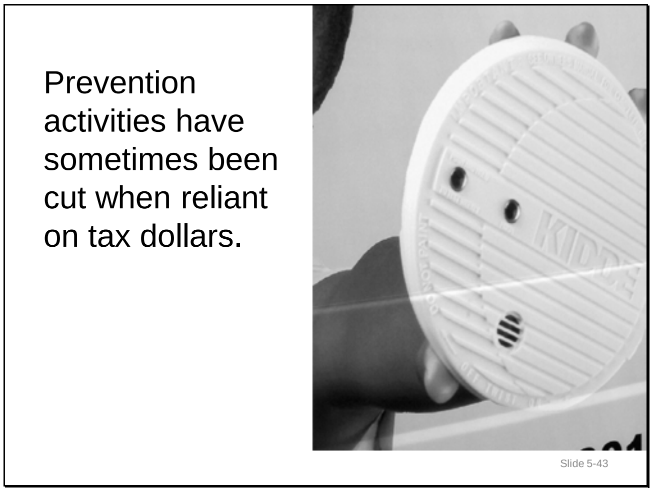
The level of taxing that the citizens are willing to tolerate is always open for debate.

Slide 5-42

B. However, the level of taxing that the citizens are willing to tolerate is always open for debate.

1. The last 30 years have witnessed a decreasing tolerance for taxing.

2. Fire prevention bureaus that are entirely dependent on tax funds to operate must recognize that they are competing with the other department divisions for scarce resources.



Prevention activities have sometimes been cut when reliant on tax dollars.

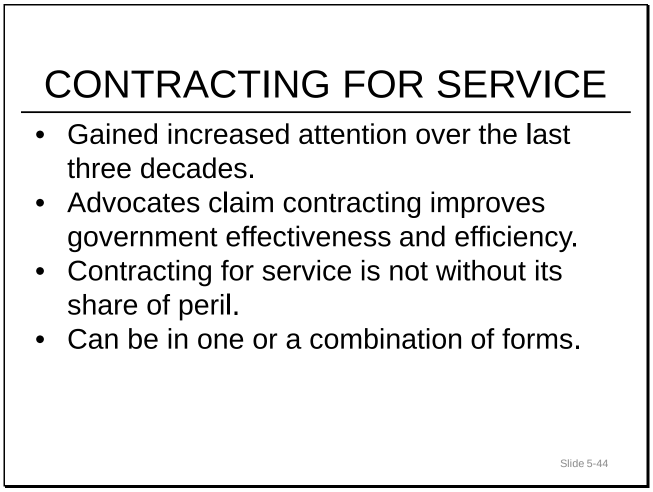
C. Nationally, fire prevention activities have been cut, and in some cases eliminated, when they were totally reliant on tax dollars.

1. Fire prevention bureaus must trumpet their contributions to providing a safe community.

2. Engage the citizens early and repeatedly during the budget process.

3. Provide solid financial evidence of the benefits provided and the relative cost of those benefits.

XIV. CONTRACTING FOR SERVICE



CONTRACTING FOR SERVICE

- Gained increased attention over the last three decades.
- Advocates claim contracting improves government effectiveness and efficiency.
- Contracting for service is not without its share of peril.
- Can be in one or a combination of forms.

A. Contracting government services is a recognized practice with a long history preceding the Civil War. It gained increased attention over the last three decades with calls for reinventing government and garnered worldwide acceptance.

B. Advocates claim contracting is an appropriate means to improve government effectiveness and efficiency. Benefits to the organization may include:

   1. Ability to focus on core competencies.
   2. Shift from tactical control to strategic planning.
   3. Improve customer service.
   4. Increase organizational flexibility.
   5. Eliminate functional stovepipes.
   6. Reduce operational costs.
   7. Reduce contracted service costs by permitting the provider to realize economies of scale.

C. Contracting for service is not without its share of peril. Risks to the organization and larger government may include:

   1. Need to develop new competencies in contract management.
   2. Costs of managing contracts.
   3. Loss of competition in the service provider market.
   4. Loss of strategic control.
   5. Loss of organizational competency.
   6. Loss of control over service quality.
   7. Decreased customer responsiveness.
   8. Weakening of certain public sector stakeholders (politicians and business owners).
   9. Decrease in public accountability.
   10. Increased opportunity for graft and other forms of corruption.

D. Contracting for service can be in one form or a combination of forms. These include:

   1. Outsourcing — the transfer of work, but retention of responsibility and accountability.

2. Privatization — the transfer of work, responsibility and accountability to a for-profit or nonprofit company.

3. Contracting with a neighboring department to conduct services.

4. Contracting with a private sector company for services.

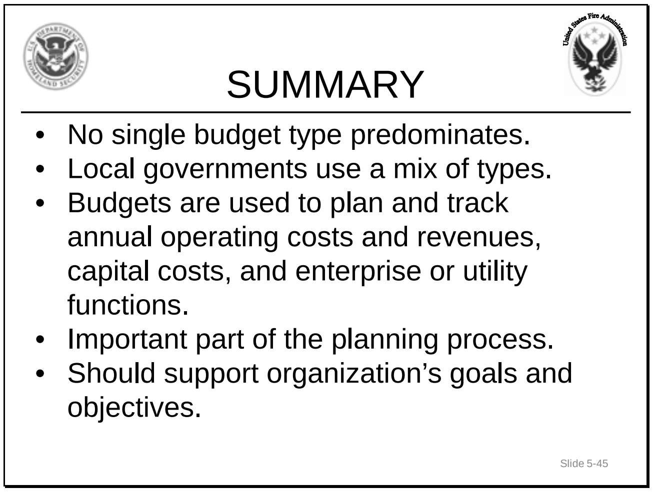
5. Contracting with individual providers for services.

6. Combined with fee-for-service models.

7. Combined with interagency or intergovernmental collaborative service models.

8. The decision to contract out fire prevention services is not one to be made lightly. Considerable research and preparation is required. The decision must be thoroughly vetted. All the potential stakeholders, particularly key stakeholders, must be engaged in the decision.

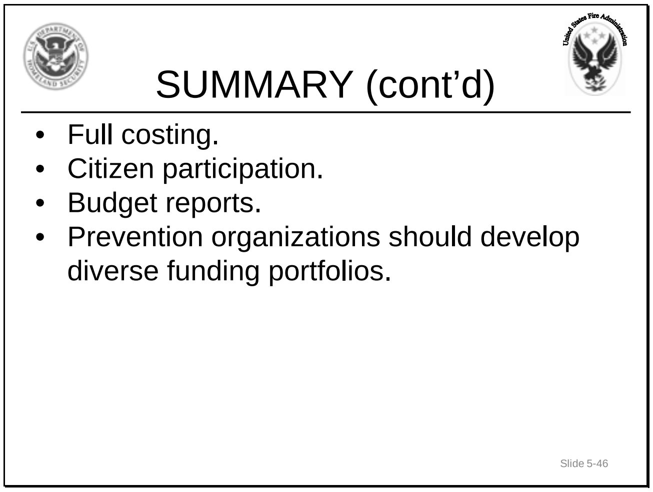
XV. SUMMARY



SUMMARY

- No single budget type predominates.
- Local governments use a mix of types.
- Budgets are used to plan and track annual operating costs and revenues, capital costs, and enterprise or utility functions.
- Important part of the planning process.
- Should support organization’s goals and objectives.

Slide 5-45



SUMMARY (cont'd)

- Full costing.
- Citizen participation.
- Budget reports.
- Prevention organizations should develop diverse funding portfolios.

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APPENDIX

ENDICOTT BUDGET

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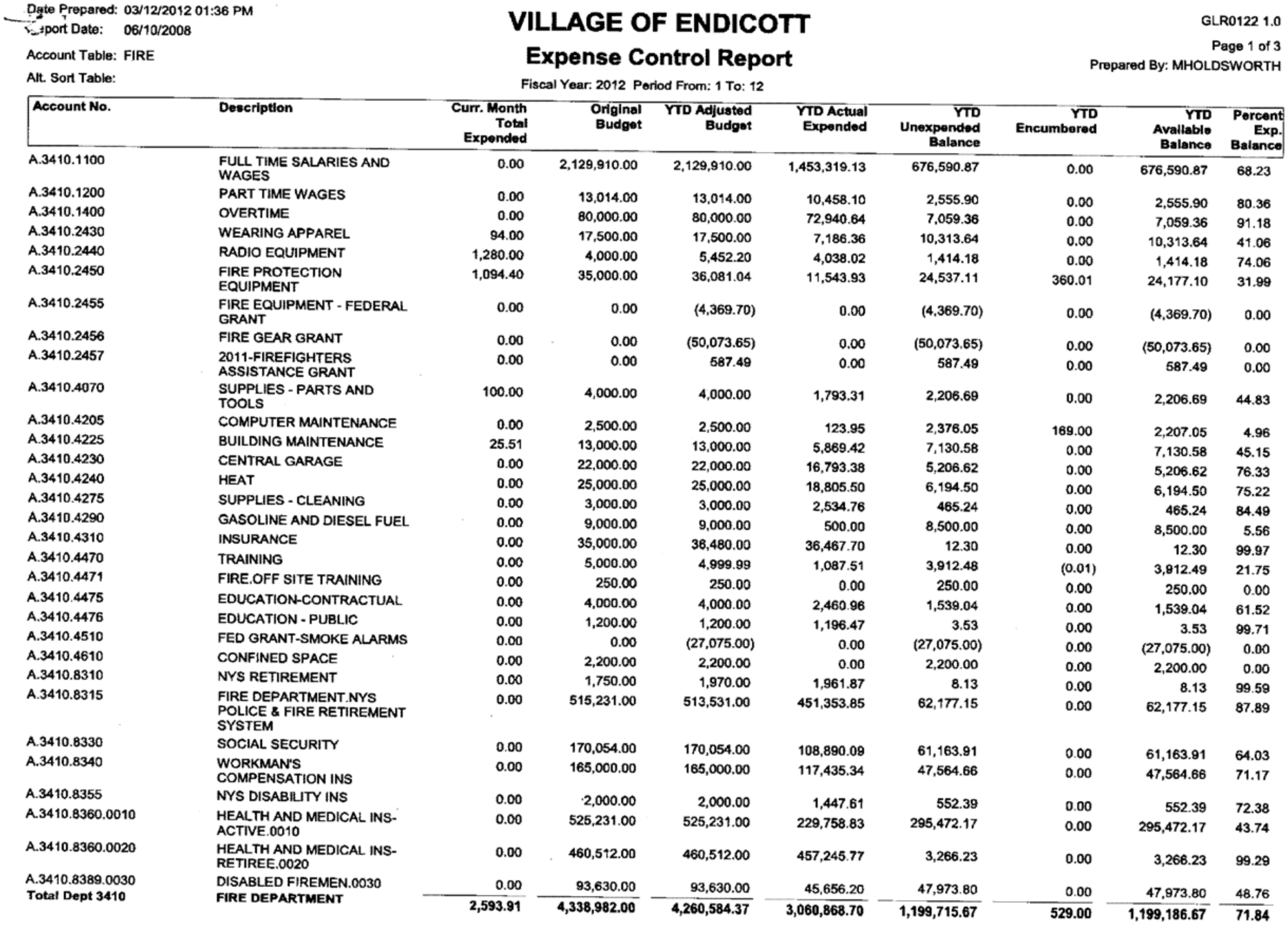

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Report Date: 06/10/2008
Account Table: FIRE
Alt. Sort Table:

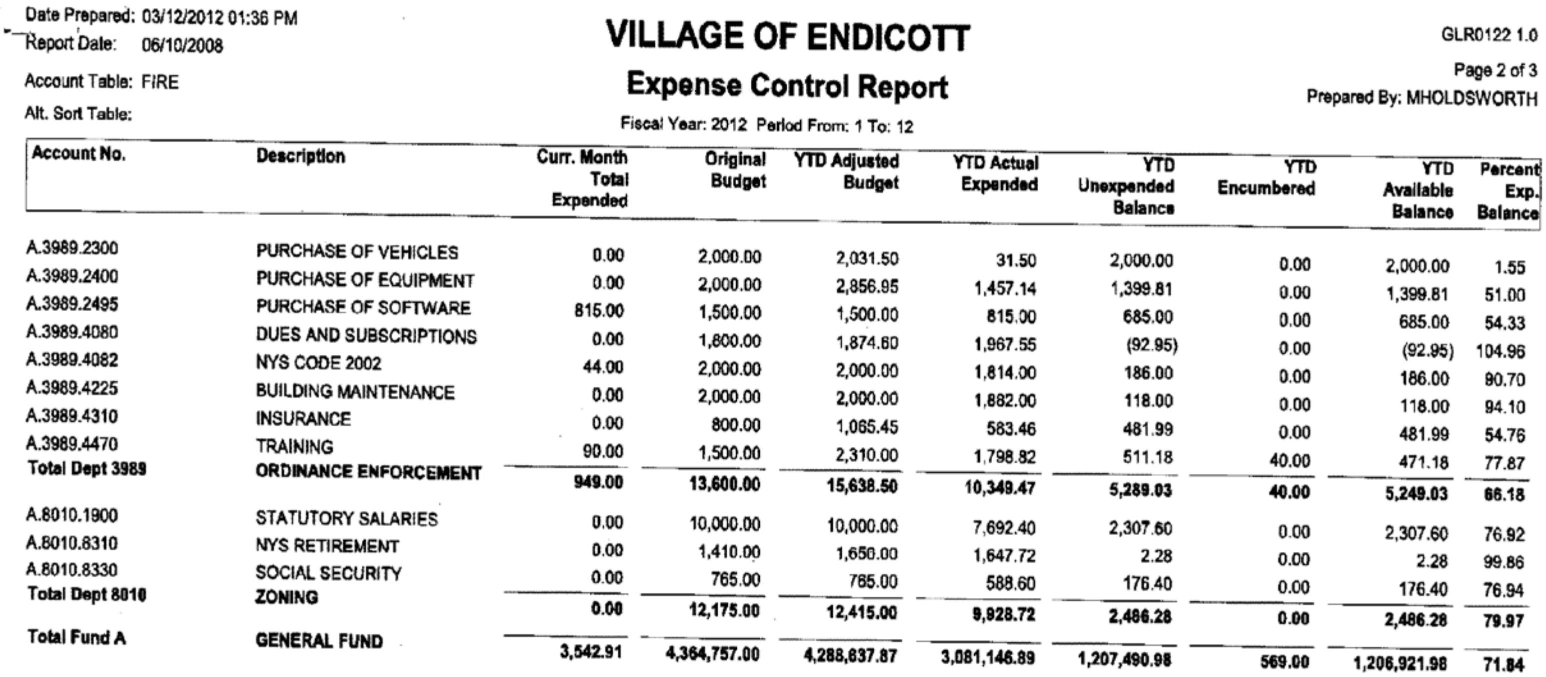
VILLAGE OF ENDICOTT

Expense Control Report

Fiscal Year: 2012 Period From: 1 To: 12

GLR0122 1.0
Page 1 of 3
Prepared By: MHOLDSWORTH

Account No.	Description	Curr. Month Total Expended	Original Budget	YTD Adjusted Budget	YTD Actual Expended	YTD Unexpended Balance	YTD Encumbered	YTD Available Balance	Percent Exp. Balance
A.3410.1100	FULL TIME SALARIES AND WAGES	0.00	2,129,910.00	2,129,910.00	1,453,319.13	676,590.87	0.00	676,590.87	68.23
A.3410.1200	PART TIME WAGES	0.00	13,014.00	13,014.00	10,458.10	2,555.90	0.00	2,555.90	80.36
A.3410.1400	OVERTIME	0.00	80,000.00	80,000.00	72,940.64	7,059.36	0.00	7,059.36	91.18
A.3410.2430	WEARING APPAREL	94.00	17,500.00	17,500.00	7,186.36	10,313.64	0.00	10,313.64	41.06
A.3410.2440	RADIO EQUIPMENT	1,280.00	4,000.00	5,452.20	4,038.02	1,414.18	0.00	1,414.18	74.06
A.3410.2450	FIRE PROTECTION EQUIPMENT	1,094.40	35,000.00	36,081.04	11,543.93	24,537.11	360.01	24,177.10	31.99
A.3410.2455	FIRE EQUIPMENT - FEDERAL GRANT	0.00	0.00	(4,369.70)	0.00	(4,369.70)	0.00	(4,369.70)	0.00
A.3410.2456	FIRE GEAR GRANT	0.00	0.00	(50,073.65)	0.00	(50,073.65)	0.00	(50,073.65)	0.00
A.3410.2457	2011-FIREFIGHTERS ASSISTANCE GRANT	0.00	0.00	587.49	0.00	587.49	0.00	587.49	0.00
A.3410.4070	SUPPLIES - PARTS AND TOOLS	100.00	4,000.00	4,000.00	1,793.31	2,206.69	0.00	2,206.69	44.83
A.3410.4205	COMPUTER MAINTENANCE	0.00	2,500.00	2,500.00	123.95	2,376.05	169.00	2,207.05	4.96
A.3410.4225	BUILDING MAINTENANCE	25.51	13,000.00	13,000.00	5,869.42	7,130.58	0.00	7,130.58	45.15
A.3410.4230	CENTRAL GARAGE	0.00	22,000.00	22,000.00	16,793.38	5,206.62	0.00	5,206.62	76.33
A.3410.4240	HEAT	0.00	25,000.00	25,000.00	18,805.50	6,194.50	0.00	6,194.50	75.22
A.3410.4275	SUPPLIES - CLEANING	0.00	3,000.00	3,000.00	2,534.76	465.24	0.00	465.24	84.49
A.3410.4290	GASOLINE AND DIESEL FUEL	0.00	9,000.00	9,000.00	500.00	8,500.00	0.00	8,500.00	5.56
A.3410.4310	INSURANCE	0.00	35,000.00	36,480.00	36,467.70	12.30	0.00	12.30	99.97
A.3410.4470	TRAINING	0.00	5,000.00	4,999.99	1,087.51	3,912.48	(0.01)	3,912.49	21.75
A.3410.4471	FIRE.OFF SITE TRAINING	0.00	250.00	250.00	0.00	250.00	0.00	250.00	0.00
A.3410.4475	EDUCATION-CONTRACTUAL	0.00	4,000.00	4,000.00	2,460.96	1,539.04	0.00	1,539.04	61.52
A.3410.4476	EDUCATION - PUBLIC	0.00	1,200.00	1,200.00	1,196.47	3.53	0.00	3.53	99.71
A.3410.4510	FED GRANT-SMOKE ALARMS	0.00	0.00	(27,075.00)	0.00	(27,075.00)	0.00	(27,075.00)	0.00
A.3410.4610	CONFINED SPACE	0.00	2,200.00	2,200.00	0.00	2,200.00	0.00	2,200.00	0.00
A.3410.8310	NYS RETIREMENT	0.00	1,750.00	1,970.00	1,961.87	8.13	0.00	8.13	99.59
A.3410.8315	FIRE DEPARTMENT.NYS POLICE & FIRE RETIREMENT SYSTEM	0.00	515,231.00	513,531.00	451,353.85	62,177.15	0.00	62,177.15	87.89
A.3410.8330	SOCIAL SECURITY	0.00	170,054.00	170,054.00	108,890.09	61,163.91	0.00	61,163.91	64.03
A.3410.8340	WORKMAN'S COMPENSATION INS	0.00	165,000.00	165,000.00	117,435.34	47,564.66	0.00	47,564.66	71.17
A.3410.8355	NYS DISABILITY INS	0.00	2,000.00	2,000.00	1,447.61	552.39	0.00	552.39	72.38
A.3410.8360.0010	HEALTH AND MEDICAL INS-ACTIVE.0010	0.00	525,231.00	525,231.00	229,758.83	295,472.17	0.00	295,472.17	43.74
A.3410.8360.0020	HEALTH AND MEDICAL INS-RETIREE.0020	0.00	460,512.00	460,512.00	457,245.77	3,266.23	0.00	3,266.23	99.29
A.3410.8389.0030	DISABLED FIREMEN.0030	0.00	93,630.00	93,630.00	45,656.20	47,973.80	0.00	47,973.80	48.76
Total Dept 3410	**FIRE DEPARTMENT**	**2,593.91**	**4,338,982.00**	**4,260,584.37**	**3,060,868.70**	**1,199,715.67**	**529.00**	**1,199,186.67**	**71.84**



Date Prepared: 03/12/2012 01:36 PM
Report Date: 06/10/2008
Account Table: FIRE
Alt. Sort Table:

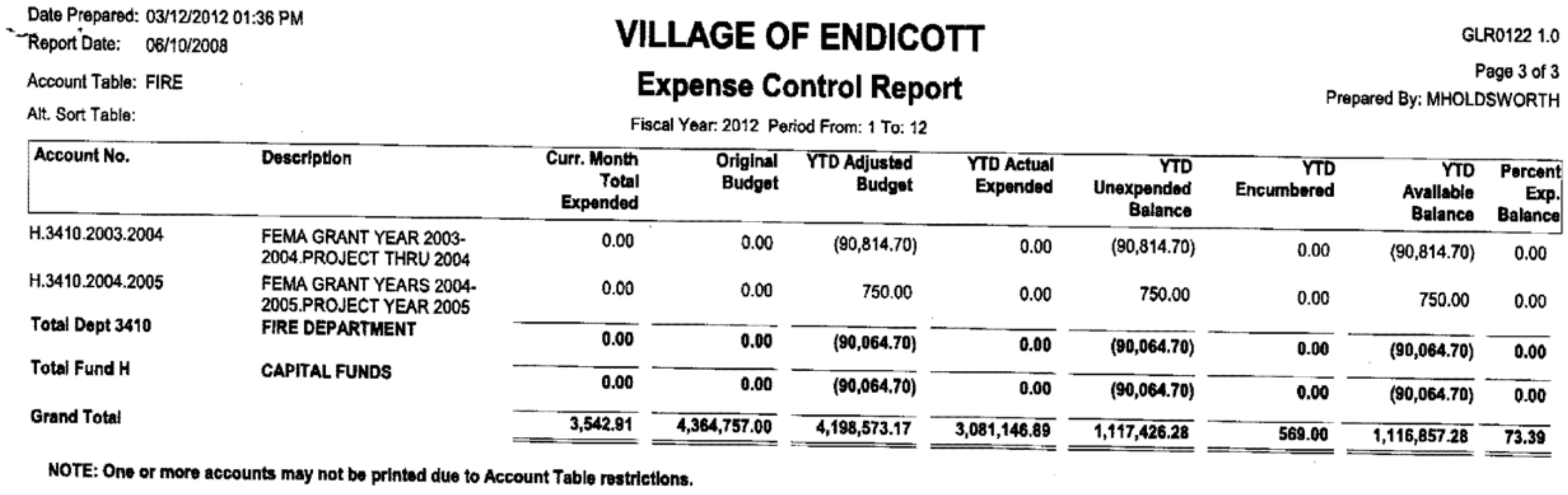
VILLAGE OF ENDICOTT

Expense Control Report

Fiscal Year: 2012 Period From: 1 To: 12

GLR0122 1.0
Page 2 of 3
Prepared By: MHOLDSWORTH

Account No.	Description	Curr. Month Total Expended	Original Budget	YTD Adjusted Budget	YTD Actual Expended	YTD Unexpended Balance	YTD Encumbered	YTD Available Balance	Percent Exp. Balance
A.3989.2300	PURCHASE OF VEHICLES	0.00	2,000.00	2,031.50	31.50	2,000.00	0.00	2,000.00	1.55
A.3989.2400	PURCHASE OF EQUIPMENT	0.00	2,000.00	2,856.95	1,457.14	1,399.81	0.00	1,399.81	51.00
A.3989.2495	PURCHASE OF SOFTWARE	815.00	1,500.00	1,500.00	815.00	685.00	0.00	685.00	54.33
A.3989.4080	DUES AND SUBSCRIPTIONS	0.00	1,800.00	1,874.60	1,967.55	(92.95)	0.00	(92.95)	104.96
A.3989.4082	NYS CODE 2002	44.00	2,000.00	2,000.00	1,814.00	186.00	0.00	186.00	90.70
A.3989.4225	BUILDING MAINTENANCE	0.00	2,000.00	2,000.00	1,882.00	118.00	0.00	118.00	94.10
A.3989.4310	INSURANCE	0.00	800.00	1,065.45	583.46	481.99	0.00	481.99	54.76
A.3989.4470	TRAINING	90.00	1,500.00	2,310.00	1,798.82	511.18	40.00	471.18	77.87
Total Dept 3989	**ORDINANCE ENFORCEMENT**	**949.00**	**13,600.00**	**15,638.50**	**10,349.47**	**5,289.03**	**40.00**	**5,249.03**	**66.18**
A.8010.1900	STATUTORY SALARIES	0.00	10,000.00	10,000.00	7,692.40	2,307.60	0.00	2,307.60	76.92
A.8010.8310	NYS RETIREMENT	0.00	1,410.00	1,650.00	1,647.72	2.28	0.00	2.28	99.86
A.8010.8330	SOCIAL SECURITY	0.00	765.00	765.00	588.60	176.40	0.00	176.40	76.94
Total Dept 8010	**ZONING**	**0.00**	**12,175.00**	**12,415.00**	**9,928.72**	**2,486.28**	**0.00**	**2,486.28**	**79.97**
Total Fund A	**GENERAL FUND**	**3,542.91**	**4,364,757.00**	**4,288,637.87**	**3,081,146.89**	**1,207,490.98**	**569.00**	**1,206,921.98**	**71.84**



Date Prepared: 03/12/2012 01:36 PM
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VILLAGE OF ENDICOTT

Expense Control Report

Fiscal Year: 2012 Period From: 1 To: 12

GLR0122 1.0
Page 3 of 3
Prepared By: MHOLDSWORTH

Account No.	Description	Curr. Month Total Expended	Original Budget	YTD Adjusted Budget	YTD Actual Expended	YTD Unexpended Balance	YTD Encumbered	YTD Available Balance	Percent Exp. Balance
H.3410.2003.2004	FEMA GRANT YEAR 2003-2004.PROJECT THRU 2004	0.00	0.00	(90,814.70)	0.00	(90,814.70)	0.00	(90,814.70)	0.00
H.3410.2004.2005	FEMA GRANT YEARS 2004-2005.PROJECT YEAR 2005	0.00	0.00	750.00	0.00	750.00	0.00	750.00	0.00
Total Dept 3410	**FIRE DEPARTMENT**	**0.00**	**0.00**	**(90,064.70)**	**0.00**	**(90,064.70)**	**0.00**	**(90,064.70)**	**0.00**
Total Fund H	**CAPITAL FUNDS**	**0.00**	**0.00**	**(90,064.70)**	**0.00**	**(90,064.70)**	**0.00**	**(90,064.70)**	**0.00**
Grand Total		**3,542.91**	**4,364,757.00**	**4,198,573.17**	**3,081,146.89**	**1,117,426.28**	**569.00**	**1,116,857.28**	**73.39**

NOTE: One or more accounts may not be printed due to Account Table restrictions.

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UNIT 6:

ESTABLISH BUREAU PRIORITIES AND STRATEGIES

TERMINAL OBJECTIVE

The students will be able to:

6.1 Prioritize a community risk issue, develop a prevention/mitigation strategy, and seek approval for funding from local decision-makers.

ENABLING OBJECTIVES

The students will be able to:

6.1 Analyze data to determine what information about the community and local risks is available or lacking.

6.2 Analyze vulnerability to specific risks, develop priorities, perform trend analysis and consider intervention options.

6.3 Facilitate the process of decision-makers determining the community's level of acceptable risk.

6.4 Develop appropriate objectives and performance metrics for the functional areas of the prevention bureau.

6.5 Develop appropriate marketing strategies for the risk-reduction strategy.

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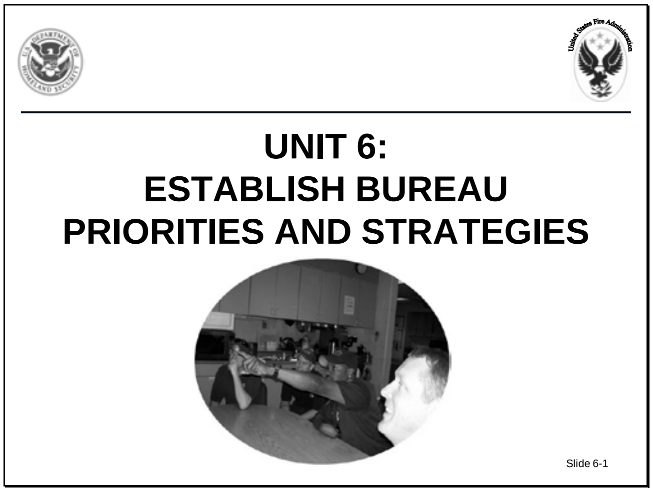
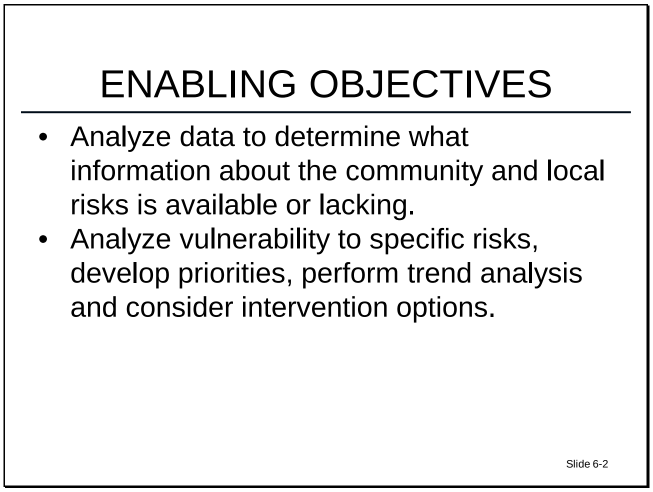
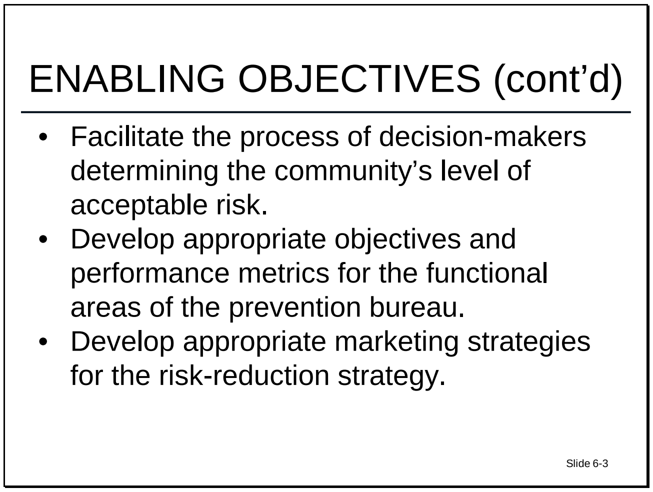


UNIT 6:
ESTABLISH BUREAU PRIORITIES AND STRATEGIES



ENABLING OBJECTIVES

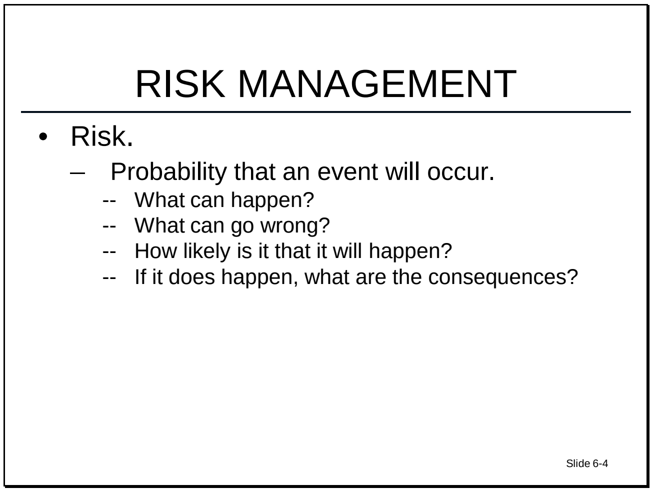
- Analyze data to determine what information about the community and local risks is available or lacking.
- Analyze vulnerability to specific risks, develop priorities, perform trend analysis and consider intervention options.



ENABLING OBJECTIVES (cont'd)

- Facilitate the process of decision-makers determining the community's level of acceptable risk.
- Develop appropriate objectives and performance metrics for the functional areas of the prevention bureau.
- Develop appropriate marketing strategies for the risk-reduction strategy.

I. RISK MANAGEMENT



RISK MANAGEMENT

- Risk.
  - Probability that an event will occur.
    - -- What can happen?
    - -- What can go wrong?
    - -- How likely is it that it will happen?
    - -- If it does happen, what are the consequences?

Slide 6-4

A. Risk.

1. The definition of “risk” is the probability that an event will occur.

2. The greater the probability, the greater the risk.

3. Another identified common definition of a risk is the “possibility of loss or injury” and the “degree of probability of such loss.”

4. Risk includes the likelihood of conversion of that source into actual delivery of loss, injury or some form of damage.

5. When analyzing the true concept of risk, we are attempting to envision how the future will turn out if we undertake a certain course of action (or inaction).

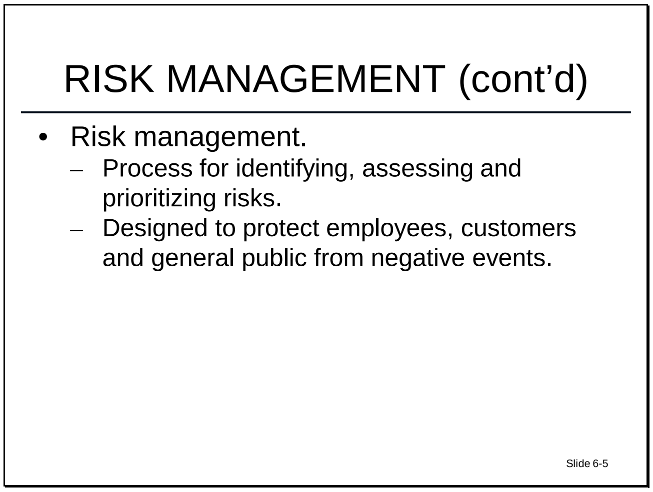
6. When exploring the true meaning and definition of a risk, the following questions must be answered:

   a. What can happen?

   b. What can go wrong?

   c. How likely is it that it will happen?

   d. If it does happen, what are the consequences?



RISK MANAGEMENT (cont'd)

- Risk management.
  - Process for identifying, assessing and prioritizing risks.
  - Designed to protect employees, customers and general public from negative events.

B. Risk management.

1. Risk management is a defined process for identifying, assessing and prioritizing risks.

2. Once risks are identified, a plan can be created to prevent or minimize the impact of negative events.

3. A variety of strategies are available, depending on the type of risk and the type of community.

4. Risk management standards have been developed by the following entities:

    a. Project Management Institute (PMI).

    b. International Organization for Standardization (IOS).

    c. National Institute of Standards and Technology (NIST).

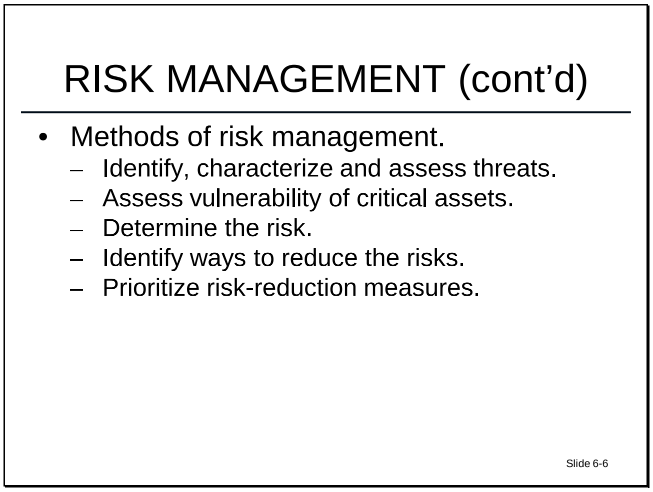
    d. Actuarial societies.

5. The goal behind using risk management practices is to protect communities from being vulnerable to risks.

6. Many organizational risk management plans focus on reducing financial risks to organizations and communities.

7. Risk management is designed to protect the employees, customers and general public from negative events like fires or acts of terrorism that may affect them.

8. Risk management practices are also about preserving the physical facilities, data, records and physical assets an organization owns or uses.



RISK MANAGEMENT (cont'd)

- Methods of risk management.
  - Identify, characterize and assess threats.
  - Assess vulnerability of critical assets.
  - Determine the risk.
  - Identify ways to reduce the risks.
  - Prioritize risk-reduction measures.

C. Methods of risk management.

1. Risk management consists of the following elements:

   a. Identify, characterize and assess threats.

   b. Assess the vulnerability of critical assets to specific threats.

   c. Determine the risk (i.e., the expected likelihood and consequences of specific types of attacks on specific assets).

   d. Identify ways to reduce the risks.

   e. Prioritize risk-reduction measures based on a strategy created by a risk management team.

2. Risk management should:

   a. Create value — resources expended to mitigate risk should be less than the consequence of inaction, or (as in value engineering) the gain should exceed the pain.

   b. Be an integral part of organizational processes.

   c. Be part of decision-making.

   d. Explicitly address uncertainty and assumptions.

   e. Be systematic and structured.

   f. Be based on the best available information.

g. Be able to be tailored to local needs.

h. Take into account human factors.

i. Be transparent and inclusive.

j. Be dynamic, iterative and responsive to change.

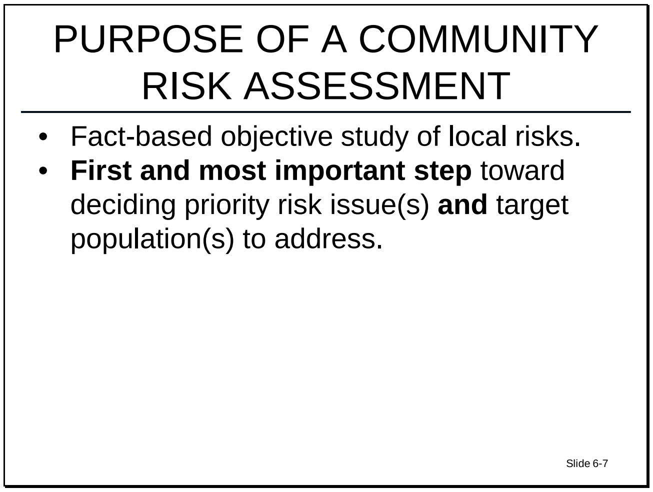
k. Be capable of continual improvement and enhancement.

l. Be continually or periodically re-assessed.

D. The bureau leader must be able to develop performance strategies that engage each functional area of his or her bureau to effectively address local fire prevention/risk-reduction priorities.

E. Many of these performance strategies are best developed utilizing the results of a community risk assessment.

II. PURPOSE OF A COMMUNITY RISK ASSESSMENT



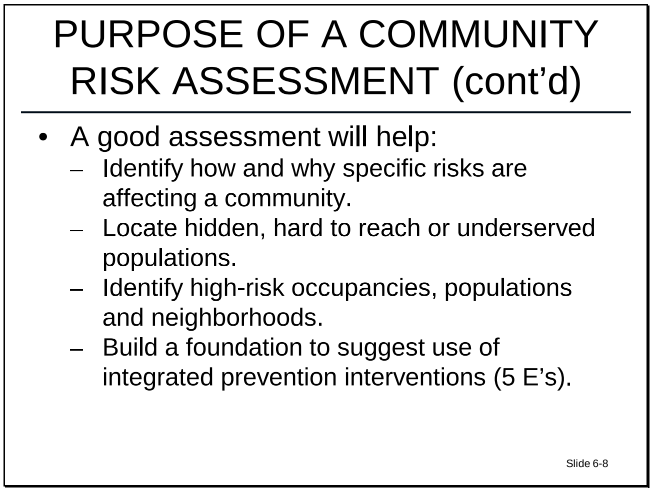
PURPOSE OF A COMMUNITY RISK ASSESSMENT

- Fact-based objective study of local risks.
- **First and most important step** toward deciding priority risk issue(s) **and** target population(s) to address.

Slide 6-7

A. A community risk assessment is a fact-based objective study of local risks.

B. The National Fire Academy (NFA) has expended significant effort to empower its constituency with the ability to conduct a comprehensive risk assessment of its communities.



PURPOSE OF A COMMUNITY RISK ASSESSMENT (cont'd)

- A good assessment will help:
  - Identify how and why specific risks are affecting a community.
  - Locate hidden, hard to reach or underserved populations.
  - Identify high-risk occupancies, populations and neighborhoods.
  - Build a foundation to suggest use of integrated prevention interventions (5 E's).

Slide 6-8

C. Risk assessment is the **first and most important step** toward deciding priority risk issue(s) **and** target population(s) to address. A good assessment will help:

1. Identify how and why specific risks are affecting a community.

2. Locate hidden, hard to reach or underserved populations.

3. Identify high-risk occupancies, populations and neighborhoods.

4. Build a foundation to suggest use of integrated prevention interventions (5 E's).

D. Performing a comprehensive community risk assessment is a task that has often been overlooked or underutilized by our industry.

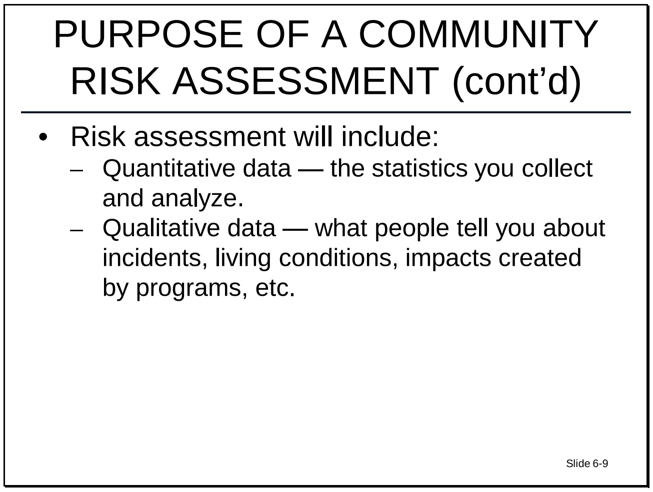
E. As our industry's culture places greater emphasis on prevention/risk-reduction, more departments are realizing the value of good risk assessments.

F. With resources often scarce, today's organizations cannot afford to take a haphazard approach to prevention and risk reduction.

G. We cannot make good decisions based on perception alone; we must utilize data to identify facts.

H. The bureau leader has a professional, ethical and legal obligation to address risk in a strategic manner.

I. Taking the time and effort to perform an accurate risk assessment will help facilitate the goal of addressing risk in a strategic manner.



PURPOSE OF A COMMUNITY RISK ASSESSMENT (cont'd)

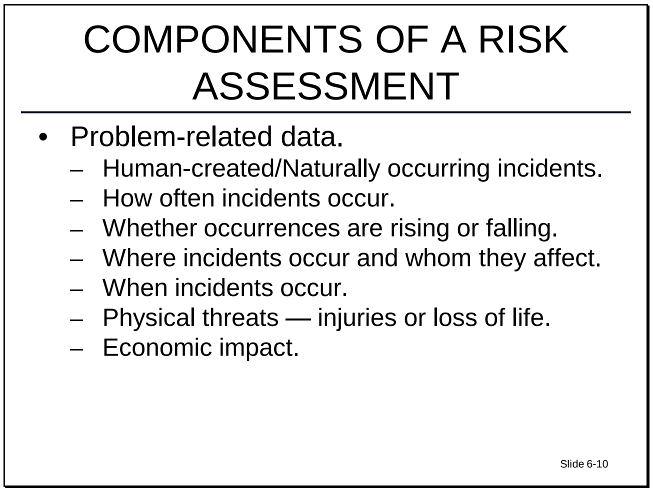
- Risk assessment will include:
  - Quantitative data — the statistics you collect and analyze.
  - Qualitative data — what people tell you about incidents, living conditions, impacts created by programs, etc.

J. A good risk assessment will include a combination of quantitative and qualitative data analyses.

1. Quantitative data are the statistics you collect and analyze.

2. Qualitative data are what people tell you about incidents, living conditions, impacts created by programs, etc.

III. COMPONENTS OF A RISK ASSESSMENT



COMPONENTS OF A RISK ASSESSMENT

- Problem-related data.
  - Human-created/Naturally occurring incidents.
  - How often incidents occur.
  - Whether occurrences are rising or falling.
  - Where incidents occur and whom they affect.
  - When incidents occur.
  - Physical threats — injuries or loss of life.
  - Economic impact.

A. A community risk assessment explores problem- and people-related data.

1. Problem-related data evaluation examines the occurrence of incidents.

2. People-related data evaluation explores the human component of involvement and factors associated with vulnerability to incidents.

B. Problem-related data.

1. Examples of **local** problem-related data to include and explore in a community risk assessment include:

2. The human-created and naturally occurring incidents that impact the community such as

    a. Fires.

    b. Preventable injuries.

    c. Weather-related events.

3. How often incidents occur (frequency).

4. Are occurrences of specific incidents rising or falling?

5. Where incidents occur and whom they affect (geographic distribution).

6. When incidents occur (time, day, month).

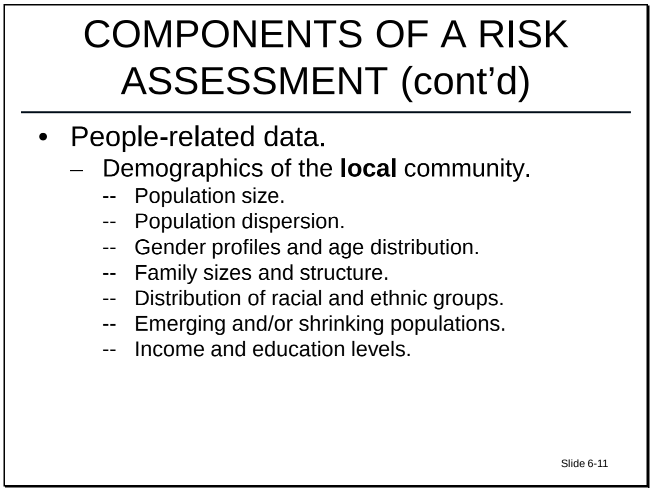
7. Physical threats from risk:

    a. Number of injuries.

    b. Loss of life to civilians and emergency service staff.

8. The economic impact of incidents, both to the community and emergency services.

9. An objective analysis of problem-related data will include a vast amount of quantitative data that has been collected over an extended period of time.



COMPONENTS OF A RISK ASSESSMENT (cont'd)

- People-related data.
  - Demographics of the **local** community.
    - -- Population size.
    - -- Population dispersion.
    - -- Gender profiles and age distribution.
    - -- Family sizes and structure.
    - -- Distribution of racial and ethnic groups.
    - -- Emerging and/or shrinking populations.
    - -- Income and education levels.

Slide 6-11

C. People-related data.

1. People-related data will include the demographics of the **local** community. Information to examine includes:

   a. Population size of the community.

   b. How the population is distributed throughout the community.

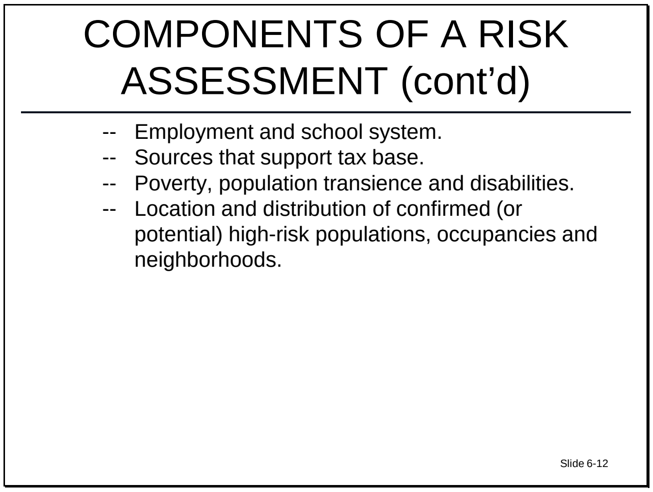
   c. Gender profiles and age distribution of people throughout the community.

   d. Family sizes and structure.

   e. Distribution of racial and ethnic groups.

   f. Emerging and/or shrinking populations.

   g. Income and education levels of people.



COMPONENTS OF A RISK ASSESSMENT (cont'd)

- -- Employment and school system.
- -- Sources that support tax base.
- -- Poverty, population transience and disabilities.
- -- Location and distribution of confirmed (or potential) high-risk populations, occupancies and neighborhoods.

Slide 6-12

h. Employment and school system demographics.

i. Sources that support the city/community's tax base.

j. Risk factors such as poverty, population transience and disabilities.

k. Location and distribution of confirmed (or potential) high-risk populations, occupancies and neighborhoods.

2. An objective analysis of people-related data should include a combination of quantitative and qualitative data.

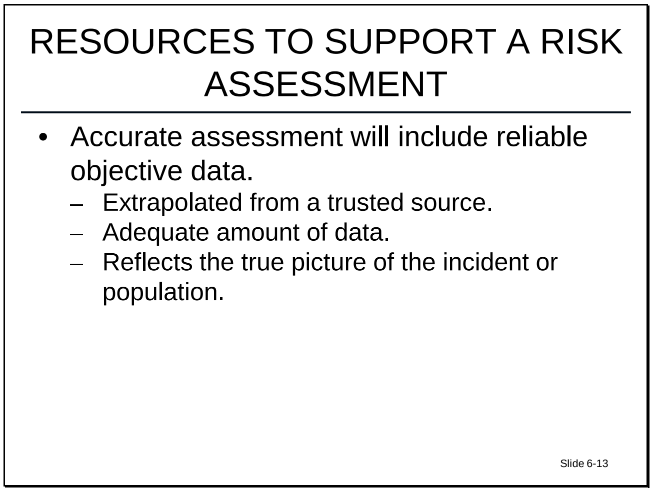
Here is an example:

a. Quantitative people-related data would identify how many older adults (age 65 and over) reside in a specific section of a community.

b. Conducting a survey of the older adults in that section could identify what the population knows about the top local causes of fire and preventable injury.

D. A community risk assessment helps to identify local risks, prioritize issues, and select potential target populations for intervention strategies.

IV. RESOURCES TO SUPPORT A RISK ASSESSMENT



RESOURCES TO SUPPORT A RISK ASSESSMENT

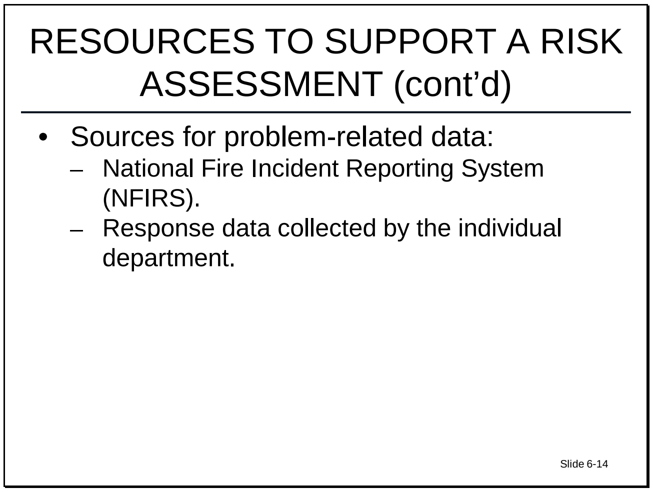
- Accurate assessment will include reliable objective data.
  - Extrapolated from a trusted source.
  - Adequate amount of data.
  - Reflects the true picture of the incident or population.

Slide 6-13

A. For a risk assessment to be accurate, it must be based upon reliable and objective local data.

1. Reliable means that it has been extrapolated from a trusted source and includes an adequate amount of data so inferences can be made.

2. Objective means that the data reflects the true picture of the incident or population and has not been skewed by inaccurate reporting practices.



RESOURCES TO SUPPORT A RISK ASSESSMENT (cont'd)

- Sources for problem-related data:
  - National Fire Incident Reporting System (NFIRS).
  - Response data collected by the individual department.

Slide 6-14

B. Sources for problem-related data may include but are not limited to:

1. NFIRS.

a. Data on fire experience in the United States is available through the U.S. Fire Administration (USFA).

b. The USFA began NFIRS in 1975. Under NFIRS, local fire departments forward fire incident data to a state coordinator. The coordinator collates statewide fire incident data and reports information to the USFA.

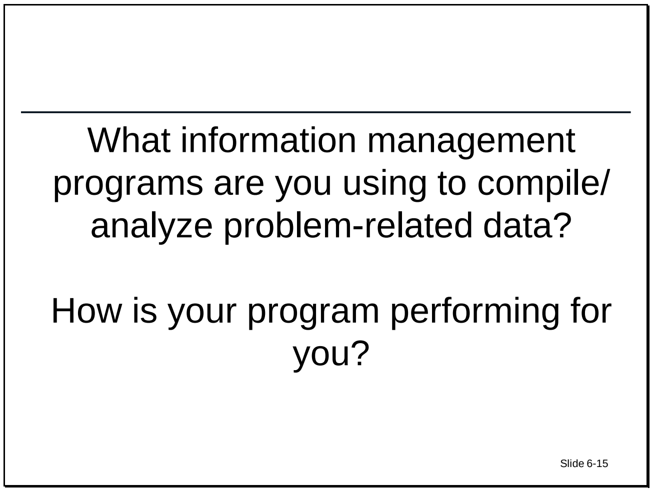
c. Because fire departments and states take part in NFIRS voluntarily, NFIRS conclusions may not completely reflect the entire nation's fire experience.

- This factor reinforces why examination of **local** data is a key component of a risk-reduction process.

- Another rationale for studying local data is that leading local fire risks may not be the same as at the national level.

2. Response data collected by the individual department.

Current information management software can help a department create an accurate profile of its response history and community demographics.

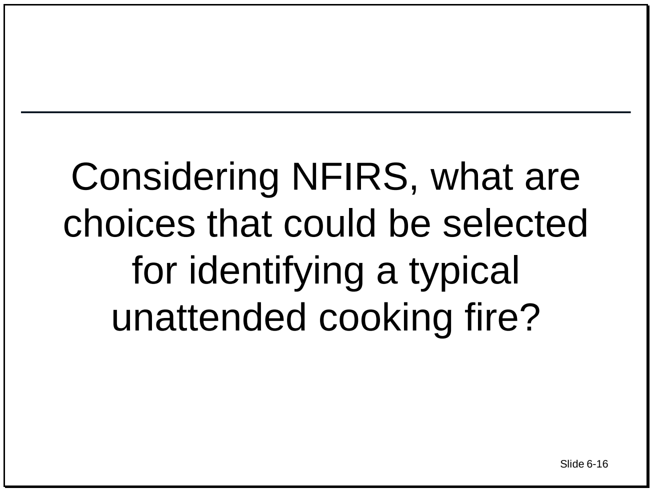


What information management programs are you using to compile/ analyze problem-related data?

How is your program performing for you?

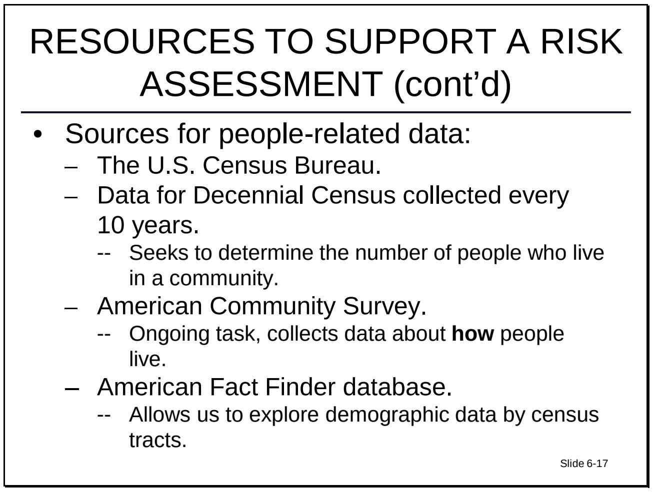
3. Regardless of the type of data collection system, the fire prevention/risk-reduction bureau leader needs to ensure that data is being reported objectively by all who enter it.

4. Failure to report data objectively can result in skewed data.



Considering NFIRS, what are choices that could be selected for identifying a typical unattended cooking fire?

5. If conducting an all-hazards risk assessment, fire data should not be the only statistics to consider.
    a. Local hospital and state health department data can help build a profile of preventable injury events such as falls, motor vehicle collisions, poisonings, assaults, etc.
    b. Other sources to consult may include the National Weather Service when exploring trends in severe weather.



RESOURCES TO SUPPORT A RISK ASSESSMENT (cont'd)

- Sources for people-related data:
  - The U.S. Census Bureau.
  - Data for Decennial Census collected every 10 years.
    - Seeks to determine the number of people who live in a community.
  - American Community Survey.
    - Ongoing task, collects data about **how** people live.
  - American Fact Finder database.
    - Allows us to explore demographic data by census tracts.

Slide 6-17

C. Sources for people-related data may include, but are not limited to:

1. The U.S. Census Bureau.

a. Demographical information can be obtained for nearly all communities in America by visiting the bureau at www.census.gov.

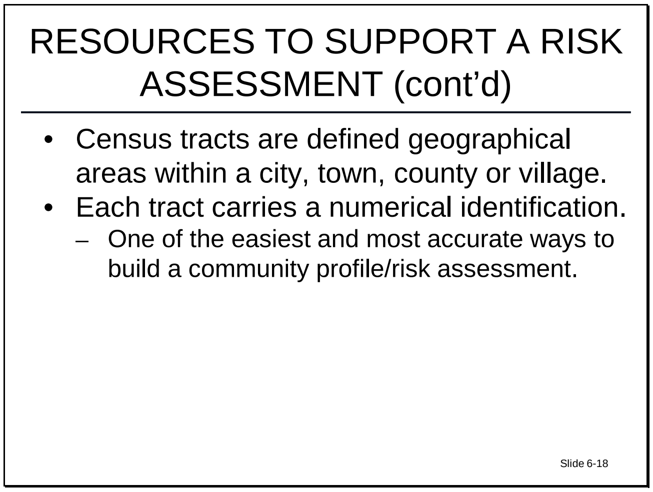
b. Data for the Decennial Census is collected by the bureau every 10 years. Data from the Decennial Census is utilized to determine congressional districts. The Decennial Census seeks to determine the number of people who live in a community.

c. A second type of operation, the American Community Survey, is an ongoing task of the bureau. This survey collects data about **how** people live.

d. The American Community Survey is mailed to over three million U.S. residents annually. The bureau's goal is to survey each U.S. resident every seven years, thus providing current profiles about local communities.

e. Data from the American Community Survey is available to the public through the American Fact Finder database.

f. American Fact Finder is an important tool to risk-reduction practitioners because it allows us to explore demographic data by census tracts.



RESOURCES TO SUPPORT A RISK ASSESSMENT (cont'd)

- Census tracts are defined geographical areas within a city, town, county or village.
- Each tract carries a numerical identification.
  - One of the easiest and most accurate ways to build a community profile/risk assessment.

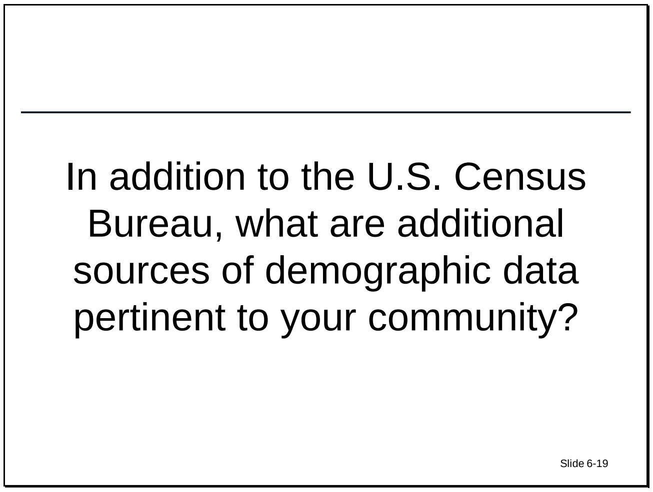
Slide 6-18

g. Census tracts are defined geographical areas within a city, town, county or village. Each tract carries a numerical identification.

h. Analyzing problem- and people-related data by census tract represents one of the easiest and most accurate ways to build a community profile/risk assessment.

2. While the most formal source of demographic information is the U.S. Census Bureau, remember that census data may not capture the presence of populations that choose (for whatever reason) not to participate in census data collection.

3. Since demographics can change quickly in growing and changing communities, an examination of local data sources is **essential**.



In addition to the U.S. Census Bureau, what are additional sources of demographic data pertinent to your community?

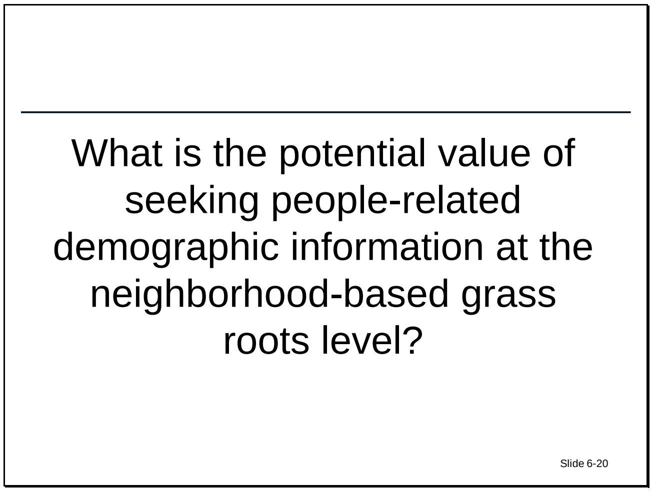
Slide 6-19

4. Sources of valid demographic information on the local community may include:

- a. City and county planning departments.
- b. Office of community development.
- c. Housing authority.
- d. Economic development director.
- e. Chamber of commerce.
- f. Community action council.
- g. Local schools, hospitals and health departments.
- h. Head Start programs and child care organizations.
- i. Department of Social Services.
- j. Commission on aging.
- k. Advocacy groups.
- l. Neighborhood associations.
- m. Houses of worship.
- n. Anecdotal information obtained at the neighborhood level (in-person stories).

5. Not only can these agencies/groups provide valuable data on local demographics, but they can help identify the location and profiles of high-risk and emerging populations.

D. Use anecdotal data to support the risk assessment.



What is the potential value of seeking people-related demographic information at the neighborhood-based grass roots level?

Slide 6-20

1. Local neighborhood-based collaboration is the gateway to reaching populations that historically have been the hardest to impact.

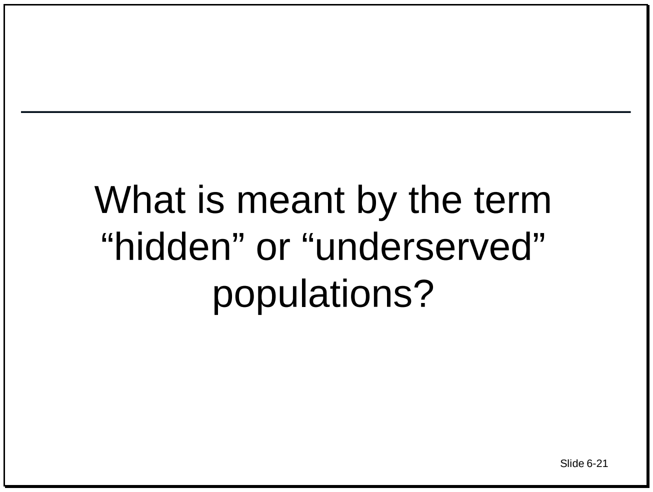
2. Getting out into the community to explore neighborhoods and talking to people is one of the most effective ways to gather anecdotal information.

3. Anecdotal information is a collection of data that people **tell you** about a specific topic.

4. Anecdotal information is collected through face-to-face contact with people.

5. This type of strategy is especially effective at locating potentially hidden, hard to reach and underserved populations.

E. Identify hidden or underserved populations.



What is meant by the term “hidden” or “underserved” populations?

Slide 6-21

1. Hidden or underserved populations are groups that may not (for whatever reason) have received (or refused) services from a community, organization or group.

2. Examples of potentially hidden or underserved populations may include:

    a. Older adults with no family or those who have isolated themselves for fear of losing independence.

    b. Working poor who make too much income to qualify for public assistance.

    c. People with disabilities.

    d. Cultures that may choose to isolate themselves.

    e. People/Families that (for whatever reason) do not wish to raise the attention of public officials or be included in community demographic data.

    f. Families that speak no or limited English.

    g. Groups that due to cultural or religious reasons may have refused local community services.

    h. People and families that may not feel welcome in a specific area or among certain populations.

    i. People who, for whatever reason, have simply not been reached by an agency offering their services.

3. Potential risk factors of hidden or underserved populations may include:

    a. Lack of resources and support systems.

    b. Low income or poverty conditions.

    c. Mobility constraints (disabled).

    d. Isolation from other people and/or services.

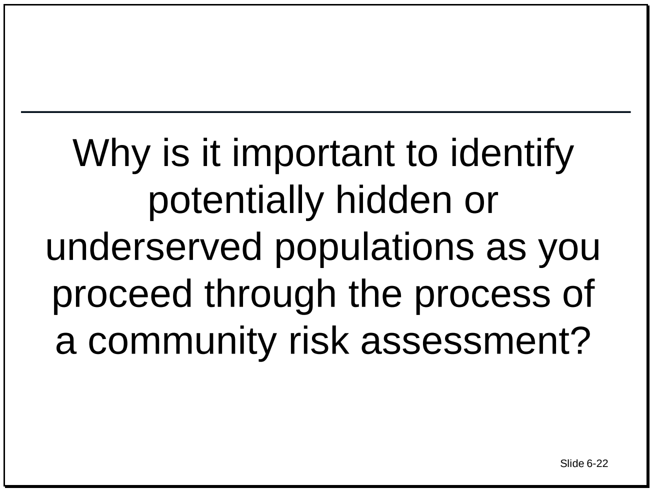
    e. Physical distance from support services.

    f. Language/Information sharing barriers.

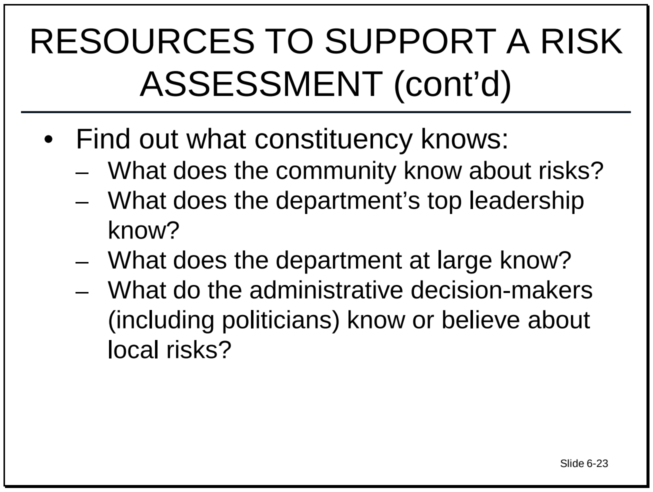
    g. Lack of information/knowledge about safety.

h. Lack of knowledge about existing safety products/services.

i. Social isolation.



Why is it important to identify potentially hidden or underserved populations as you proceed through the process of a community risk assessment?



RESOURCES TO SUPPORT A RISK ASSESSMENT (cont'd)

- Find out what constituency knows:
  - What does the community know about risks?
  - What does the department's top leadership know?
  - What does the department at large know?
  - What do the administrative decision-makers (including politicians) know or believe about local risks?

F. Find out what your constituency knows about local risks.

1. Another important strategy that utilizes anecdotal evidence is to explore what your constituency knows about local risks.

2. Information to locate and evaluate may include but is not limited to:

   a. What does the community know about local risks?

   b. What does the department's top leadership know about local risks?

   c. What does the department at large know or believe about local risks?

d. What do the administrative decision-makers (including politicians) know or believe about local risks?

V. ANALYZE LOCAL DATA TO PRIORITIZE COMMUNITY RISK AND SELECT TARGET POPULATIONS

A. Once all available sources of data have been explored, the next step is to prioritize community risk(s) and select target populations to address.

B. Problem-related data to explore includes:

1. Leading fire risks.
2. Leading preventable injury risks.
3. Human-created risks.
4. Naturally occurring risks.
5. Geographic areas prone to specific risks.

PRIORITIZE RISK AND SELECT TARGET POPULATIONS

- Explore incidents presenting the most threat.
- Stratify loss of life, injuries, property damage and expense.
- Examine frequency of occurrence, rates of incident rise/fall and geographic distribution.
- Analyze trends.

Slide 6-24

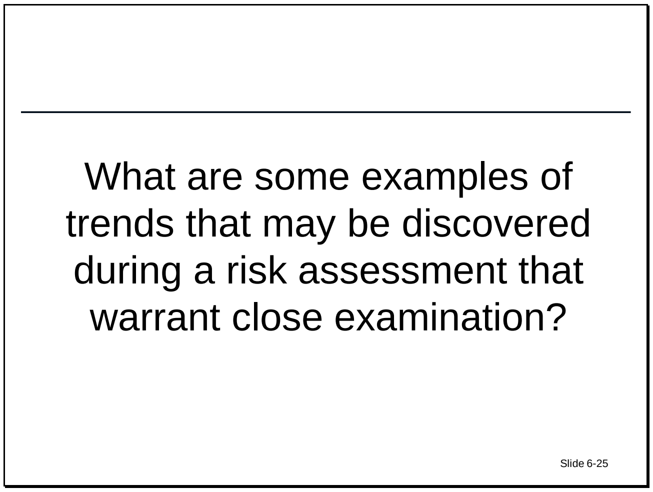
C. Close examination of each risk is necessary to explore the incidents that present the most threat to the community in terms of cost.

D. The cost of risk is explored by stratifying loss of life, injuries, property damage and expense to the local community.

E. Factors such as frequency of occurrence, rates of incident rise/fall and geographic distribution are also examined.

1. Exploring rates of incident occurrence, costs and geographic distribution can help the bureau leader identify/predict trends.

2. Analyzing trends can help the bureau (and department) employ a more targeted and strategic approach to fire prevention/risk reduction.



What are some examples of trends that may be discovered during a risk assessment that warrant close examination?

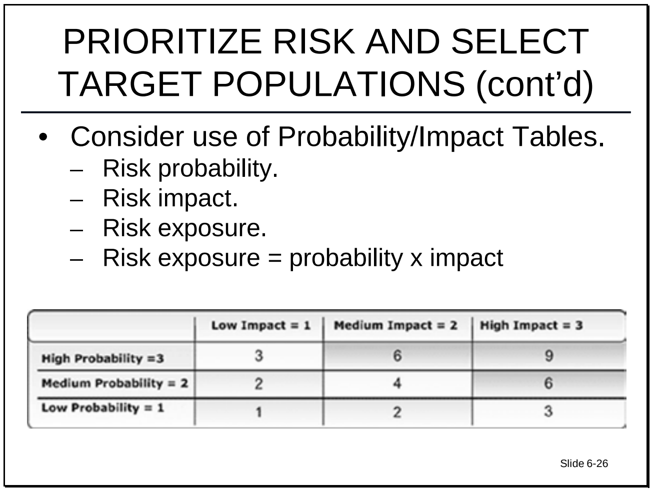
Trends warranting consideration include:

a. Increases in specific types of incidents.

b. Rapidly growing rates of occurrence among specific incidents.

c. Higher frequency of incidents in certain locations or involving specific populations.

3. This strategy can also help leaders budget more effectively and seek resources for targeted efforts.



PRIORITIZE RISK AND SELECT TARGET POPULATIONS (cont'd)

- Consider use of Probability/Impact Tables.
  - Risk probability.
  - Risk impact.
  - Risk exposure.
  - Risk exposure = probability x impact

	Low Impact = 1	Medium Impact = 2	High Impact = 3
High Probability =3	3	6	9
Medium Probability = 2	2	4	6
Low Probability = 1	1	2	3

F. Consider use of Probability/Impact Tables.

1. Risk probability.

   a. Risk probability is a measure of the likelihood that the consequences described in a risk statement will actually occur. This is expressed as a numerical value.

   b. The scale for identifying risk probability ranges from zero (no risk) to five (likely to happen).

   c. Risk probability must be greater than zero, or the risk does not pose a threat.

2. Risk impact.

   a. Risk impact is an estimate of the severity of adverse effects, the magnitude of a loss or the potential opportunity cost should a risk be realized.

   b. Risk impact should be a direct measure of the risk consequence as defined in the risk statement.

   c. It can either be measured in financial terms or with a subjective measurement scale.

   d. If all risk impacts can be expressed in financial terms, the use of financial value to quantify the magnitude of loss or opportunity cost now has the advantage of being familiar to business sponsors.

3. Risk exposure.

   a. Risk exposure measures the overall threat of the risk, combining the likelihood of actual loss (probability) with the magnitude of the potential loss (impact) into a single numeric value.

   b. In the simplest form of quantitative risk analysis, risk exposure is calculated by multiplying risk probability by impact.

4. Risk exposure = probability × impact

   a. Sometimes a high-probability risk has low impact and can be considered a lower priority.

   b. Sometimes a high-impact risk has low probability and can be considered a lower priority.

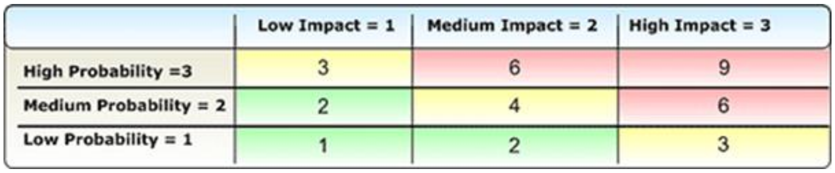
c. The risks that have high probability and high impact are the ones most worthy of consideration, as they produce the highest exposure values.

d. When scores are used to quantify probability and impact, it is sometimes convenient to create a matrix that considers the possible combinations of scores and then assigns them to low-risk, medium-risk and high-risk categories.

e. For the use of a tripartite probability score where one is low and three is high, the possible results may be expressed in the form of a table where each cell is a possible value for risk exposure.

f. In this arrangement, it is easy to classify risks as low, medium or high depending on their position within the table.

g. The following table is an example showing probability and impact.



	Low Impact = 1	Medium Impact = 2	High Impact = 3
High Probability =3	3	6	9
Medium Probability = 2	2	4	6
Low Probability = 1	1	2	3

ACTIVITY 6.1

Selecting a Priority Fire Risk — Breezewood

Purpose

Given a case study, you will select a priority risk issue to address.

Directions

1. This activity begins as a small group effort and culminates in discussion by the class at large.
2. Individually read the information provided about the city of Breezewood. Be sure to read the demographic information, raw response data and anecdotal material.
3. Within your small groups, you should analyze the data that is presented and recommend the following:
    a. What fire risk or combination of risks deserves the greatest priority for attention?
    b. Are there contributing factors common to more than one leading fire risk that deserve attention?
    c. Are there any trends in occurrence evident? If so, what?
    d. Are there specific populations that may be at higher risk for fire in Breezewood?
    e. What additional data would you like to have that may help your team better prioritize the fire risk(s)?
4. You are allotted 45 minutes for small group processing.
5. Each table group will have up to five minutes to present their findings to the class at large. You are allotted 20 minutes for small group reporting.

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ACTIVITY 6.1 (cont'd)

Demographic Data — Breezewood

Introduction

Recall from Unit 2 that Breezewood is an aging community of 35,000 with strong ties to the manufacturing industry. Many generations have called Breezewood home, and community spirit remains strong.

The economic recession was hard on Breezewood. Unemployment rates climbed to record levels, making people struggle to make ends meet; some resorted to desperate and sometimes unsafe means to save money on utility costs. Stress also increased domestic violence and crime. The combined conditions resulted in an unprecedented rise in the number of residential structure fires, related injuries and deaths.

Census Tracts

There are three census tracts in Breezewood.

Census Tract One, population 12,000, encompasses the north side of the city. Ninety percent of homes in this tract are owner-occupied, single-family dwellings. The population is comprised primarily of middle class working families and older adults. There are several active neighborhood associations, and many residents take an active role in helping city government set policies by serving on advisory boards.

Census Tract Two, population 7,000, comprises the center city area of Breezewood. Its housing stock consists of multiunit apartment buildings and duplex (double) homes. Renters occupy 80 percent of homes in this census tract. The unemployment and poverty rates are highest in this section of the city. There is one neighborhood association, but it has not been active for three years. It is believed that Census Tract Two is home to the greatest number of people who, for whatever reason, refuse to participate in government-based population assessments such as the U.S. Census. This tract also has the highest rate of population transience.

Census Tract Three, population 16,000, makes up the south side of Breezewood. While its housing stock is also dominated by rental properties (60 percent), there is a significant mix of duplex and single-family homes. While this census tract has a lower unemployment and poverty rate than tract two, it has the highest percentage of working poor who, because of income, are not eligible for public assistance. This census tract has three active neighborhood associations that work hard to improve the quality of life for neighborhood citizens.

Child Care Centers and Schools

There are five government-operated Head Start centers in Breezewood. Two are located in the center city area and three are in the southern section. There are 10 commercial child care centers located throughout the city.

Breezewood has nine elementary schools. Three are in the northern district, two in the central area and four to the south. There is a middle/high secondary school in each census tract.

There are no higher education institutions in the corporate limit of Breezewood.

Tax Base

Property taxes support the actions of Breezewood government. There is also a school tax in place to subsidize public education. Breezewood often struggles to collect property taxes from many of the landlords who reside in other states.

Four new manufacturing plants have recently applied for occupancy of formerly vacant industrial properties in the southern section of Breezewood. This action may create up to 400 new jobs for local citizens. While the buildings need to be brought up to code, city government and citizens are excited at the prospect of renewed economic growth.

Industry

There are multiple aging manufacturing complexes in Breezewood. Many industries have come and gone over the past 20 years. Over the past five years there has been a high vacancy rate among the aging manufacturing complexes. However, within the past year there has been a steady interest from investors/entrepreneurs in creating new start-up businesses in the complexes. Of interest to the fire prevention/risk-reduction bureau, the aging complexes lack any forms of automatic fire protection.

ACTIVITY 6.1 (cont'd)

Current Demographic Data — Breezewood

Geographic Area	Population Total	Number of Residential Units	Single Family or Duplex	Multiunit	Ratio of Owner versus Rental Housing	Number of Business/ Commercial Occupancies
Citywide	35,000	11,000	5,650	5,350	30/70	120
Census Tract One	12,000	4,000	3,950	50	90/10	40
Census Tract Two	7,000	2,500	200	2,300	20/80	30
Census Tract Three	16,000	4,500	1,500	3,000	40/60	50

* — Each apartment qualifies as a residential unit. A multiunit building that has six apartments would have six residences.

** — All business/commercial occupancies counted are eligible for building inspections.

*** — The city of Breezewood utilizes language from the International Code Council (ICC) and National Fire Protection Association (NFPA) to apply building and fire codes.

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Activity 6.1 (cont'd)

RESIDENTIAL STRUCTURE FIRES
ANNUAL AVERAGE — 10 YEARS OF DATA STUDIED
CENSUS TRACT ONE — NORTH SECTION OF BREEZEWOOD
POPULATION: 12,000

Type of Incident	Average Number of Annual Incidents	Average Number of Annual Injuries	Average Number of Annual Deaths	Average Annual Property Loss	Rate of Incident Rise Compared with Previous Years	Owner Occupied	Rental Occupied	Single Family Home	Multiunit Structure
Cooking-related	12	2	0	$10,000.00	Decreasing	10	2	12	0
Electrical-related	8	0	0	$7,000.00	Steady	4	4	8	0
Heating Appliances	8	1	0	$5,000.00	Decreasing	8	0	8	0
Smoking	8	2	2	$100,000.00	Steady	8	0	8	0
Candles	4	1	0	$15,000.00	Decreasing	4	0	4	0
Adult Arson	0	0	0	0	Steady	0	0	0	0

Type of Incident	Average Number of Annual Incidents	Average Number of Annual Injuries	Average Number of Annual Deaths	Average Annual Property Loss	Rate of Incident Rise Compared with Previous Years	Owner Occupied	Rental Occupied	Single Family Home	Multiunit Structure
Youth Firesetting	2	0	0	0	Decreasing	2	0	2	0
Weather-related	3	0	0	$1,000.00	Steady	3	0	3	0

Summary of Specific Risks

Cooking-related

Mostly occur due to forgetful behaviors of older adults. Stove is left unattended and relatively minor incidents occur. The majority of incidents are detected early by properly functioning smoke alarms.

Electrical-related

Usually involve worn-out electrically powered appliances.

Heating Appliances

Usually involve improperly maintained wood-fired fireplace inserts.

Smoking-related

Most smoking-related fires involve older adults who have either forgotten they had smoking materials lit or have fallen asleep while smoking on upholstered furnishings.

Candle Fires

There is no distinct pattern to the candle fires.

Adult Arson

Arson fires rarely occur in this census tract.

Youth Firesetting

The majority of youth firesetting incidents occur when a young child locates an unattended lighter and starts a fire through curiosity-based behavior.

Weather-related

The majority of weather-related incidents involve lightning strikes.

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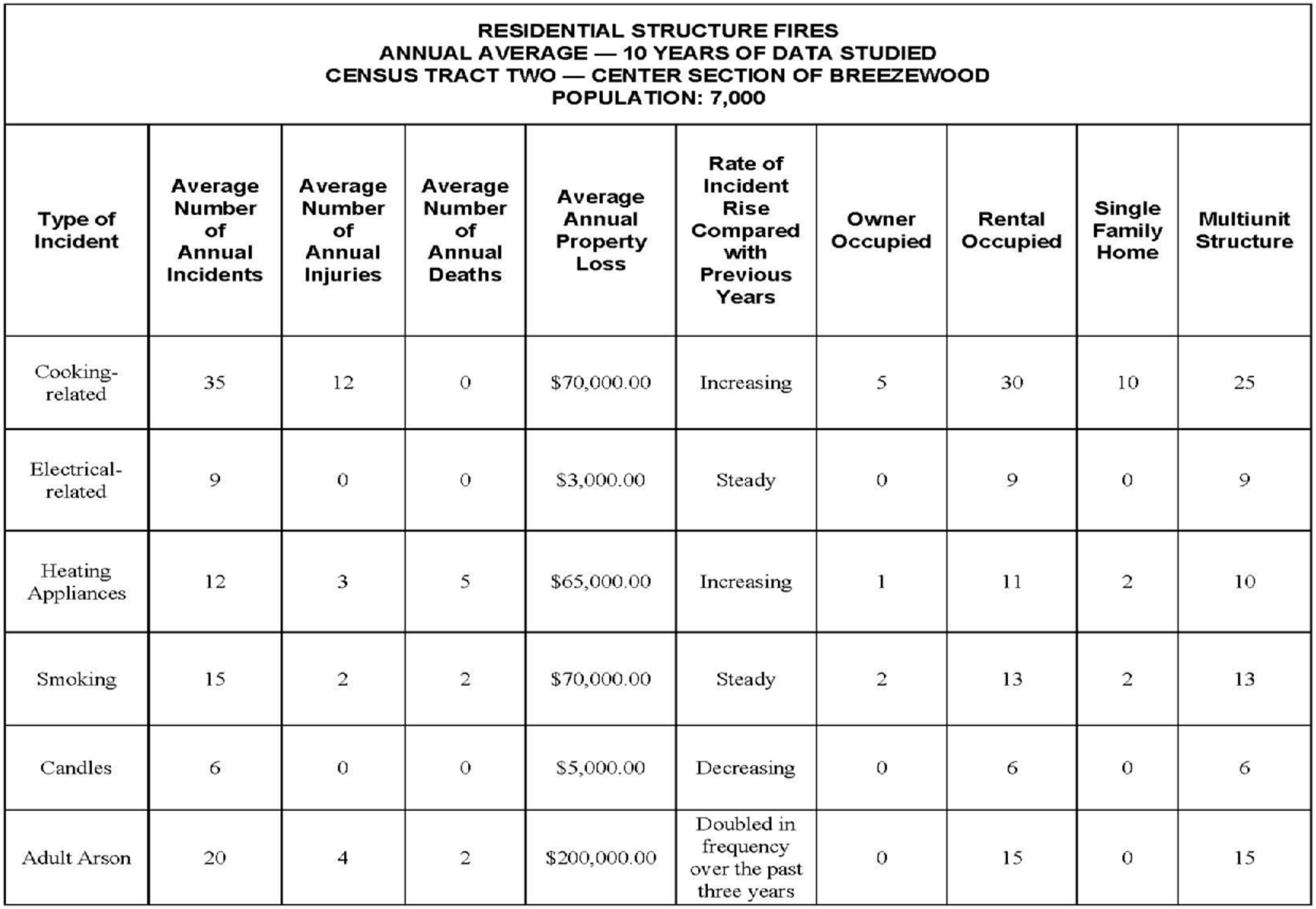
Activity 6.1 (cont'd)



RESIDENTIAL STRUCTURE FIRES
ANNUAL AVERAGE — 10 YEARS OF DATA STUDIED
CENSUS TRACT TWO — CENTER SECTION OF BREEZEWOOD
POPULATION: 7,000

Type of Incident	Average Number of Annual Incidents	Average Number of Annual Injuries	Average Number of Annual Deaths	Average Annual Property Loss	Rate of Incident Rise Compared with Previous Years	Owner Occupied	Rental Occupied	Single Family Home	Multiunit Structure
Cooking-related	35	12	0	$70,000.00	Increasing	5	30	10	25
Electrical-related	9	0	0	$3,000.00	Steady	0	9	0	9
Heating Appliances	12	3	5	$65,000.00	Increasing	1	11	2	10
Smoking	15	2	2	$70,000.00	Steady	2	13	2	13
Candles	6	0	0	$5,000.00	Decreasing	0	6	0	6
Adult Arson	20	4	2	$200,000.00	Doubled in frequency over the past three years	0	15	0	15

Type of Incident	Average Number of Annual Incidents	Average Number of Annual Injuries	Average Number of Annual Deaths	Average Annual Property Loss	Rate of Incident Rise Compared with Previous Years	Owner Occupied	Rental Occupied	Single Family Home	Multiunit Structure
Youth Firesetting	4	0	0	$5,000.00	Decreasing	0	4	2	2
Weather-related	1	0	0	$1,000.00	Steady	1	0	1	0

Summary of Specific Risks

<u>Cooking-related</u>

Mostly occur due to stoves left unattended in rental occupancies, particularly multiunit apartment buildings. Many incidents get out of control quickly because residents are not aware of the incident due to nonworking smoke alarms. Most alarms are electrically powered units that have been unplugged by tenants. Injuries occur when residents attempt to carry flaming pans from the apartment of origin.

<u>Electrical-related</u>

Usually involve worn-out, electrically powered appliances.

Heating Appliances

Usually involve improperly operated portable heating devices being used illegally in multiunit apartment buildings. Occupants are often not alerted to fires due to nonworking unplugged electrical smoke alarms. Delay in fire department notification often occurs as residents attempt to fight fires instead of calling for help.

Smoking-related

Most smoking-related fires involve improperly discarded smoking materials into plastic trash containers in rental occupancies. Occupants are often not alerted to fires due to nonworking, unplugged electrical smoke alarms. Delay in fire department notification often occurs as residents attempt to fight fires instead of calling for help.

Candle Fires

There is no distinct pattern to the candle fires.

Adult Arson

Arson fires are occurring more frequently in multiunit rental properties. The main root factors appear to be related to tenant/tenant and tenant/landlord disputes.

Youth Firesetting

The majority of youth firesetting incidents occur when a young child locates an unattended lighter and starts a fire through curiosity-based behavior.

Weather-related

The majority of weather-related incidents involve lightning strikes.

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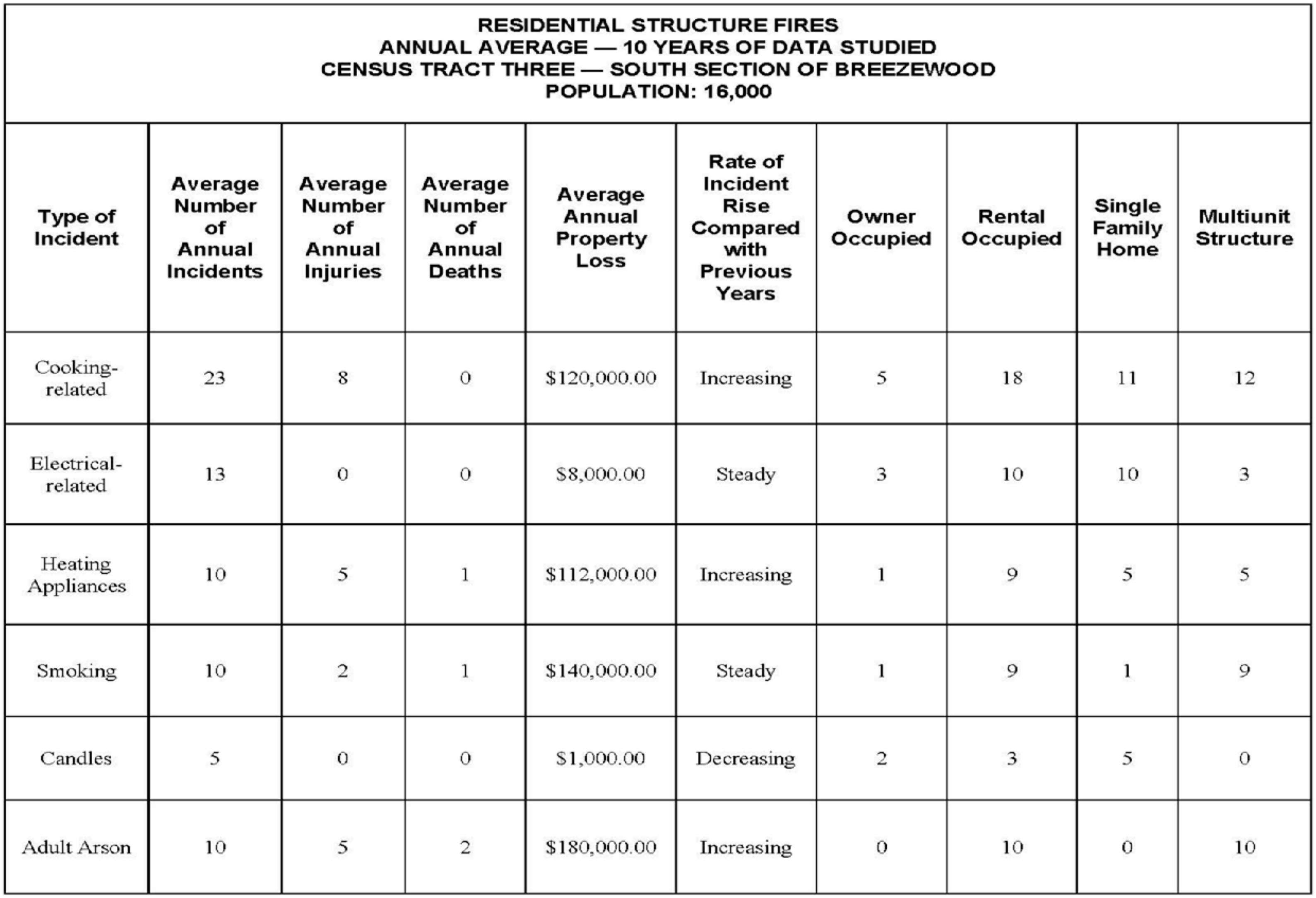
Activity 6.1 (cont'd)



RESIDENTIAL STRUCTURE FIRES
ANNUAL AVERAGE — 10 YEARS OF DATA STUDIED
CENSUS TRACT THREE — SOUTH SECTION OF BREEZEWOOD
POPULATION: 16,000

Type of Incident	Average Number of Annual Incidents	Average Number of Annual Injuries	Average Number of Annual Deaths	Average Annual Property Loss	Rate of Incident Rise Compared with Previous Years	Owner Occupied	Rental Occupied	Single Family Home	Multiunit Structure
Cooking-related	23	8	0	$120,000.00	Increasing	5	18	11	12
Electrical-related	13	0	0	$8,000.00	Steady	3	10	10	3
Heating Appliances	10	5	1	$112,000.00	Increasing	1	9	5	5
Smoking	10	2	1	$140,000.00	Steady	1	9	1	9
Candles	5	0	0	$1,000.00	Decreasing	2	3	5	0
Adult Arson	10	5	2	$180,000.00	Increasing	0	10	0	10

Type of Incident	Average Number of Annual Incidents	Average Number of Annual Injuries	Average Number of Annual Deaths	Average Annual Property Loss	Rate of Incident Rise Compared with Previous Years	Owner Occupied	Rental Occupied	Single Family Home	Multiunit Structure
Youth Firesetting	6	0	0	$2,000.00	Decreasing	0	6	3	3
Weather-related	4	0	0	$2,000.00	Steady	4	0	4	0

Summary of Specific Risks

Cooking-related

Mostly occur due to stoves left unattended in rental occupancies, both single-family units and multiunit apartment buildings. Many incidents get out of control quickly because residents are not aware of the incident due to nonworking smoke alarms. Many of the nonworking alarms have been disabled by tenants. Injuries occur when residents attempt to carry flaming pans from the room of origin.

Electrical-related

Usually involve worn-out, electrically powered appliances.

Heating Appliances

Usually involve improperly operated portable heating devices being used for supplementary heat in single family and multiunit rental occupancies. Occupants are often not alerted to fires due to nonworking smoke alarms. Delay in fire department notification often occurs as residents attempt to fight fires instead of calling for help.

Smoking-related

Most smoking-related fires involve improperly discarded or unattended smoking materials in multiunit rental occupancies. Occupants are often not alerted to fires due to nonworking, unplugged electrical smoke alarms. Delay in fire department notification often occurs as residents attempt to fight fires instead of calling for help.

Candle Fires

There is no distinct pattern to the candle fires.

Adult Arson

Arson fires are occurring more frequently in multiunit rental properties. The main root factors appear to be related to domestic violence and tenant/landlord disputes.

Youth Firesetting

The majority of youth firesetting incidents occur when a young child locates an unattended lighter and starts a fire through curiosity-based behavior.

Weather-related

The majority of weather-related incidents involve lightning strikes.

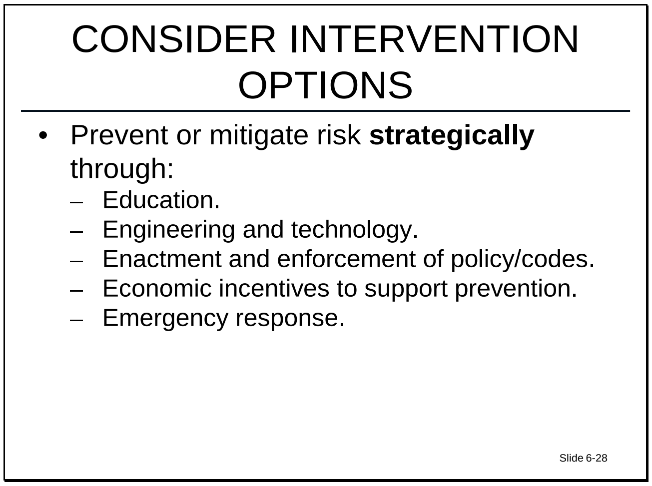
Pertinent Anecdotal Information

- Many landlords in Breezewood have a caustic relationship with the fire department. This situation is believed to have been created by the former fire marshal, who did not communicate well with property owners. The mindset of the former fire marshal was to only provide communication when enforcement of a code or other violation was in order.

- Tenants do not trust and most will not communicate with fire marshals. This situation is believed to have developed because of the mistrust that many low income residents have in the Breezewood Police Department (BPD). The BPD is very enforcement-oriented, and communication with neighborhood citizens is not one of its strengths. Fire marshals often wear their badges on a neck chain and are believed to be perceived as an extension of the BPD.

- The Breezewood City Council is very concerned about the fire problem in its community. Members are worried that it will impact the rebound from economic recession and want swift action from the fire department.

VI. CONSIDER INTERVENTION OPTIONS



CONSIDER INTERVENTION OPTIONS

- Prevent or mitigate risk **strategically** through:
  - Education.
  - Engineering and technology.
  - Enactment and enforcement of policy/codes.
  - Economic incentives to support prevention.
  - Emergency response.

Slide 6-28

A. Recall that the most effective way to prevent or mitigate risk is **strategically** through the use of combined prevention interventions.

B. The 5 E’s include:

1. Education.

2. Engineering and technology.

3. Enactment and enforcement of policy/codes.

4. Economic incentives to support prevention.

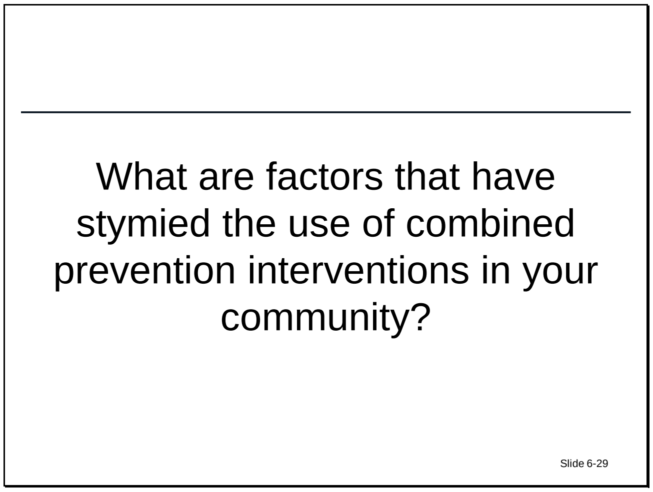
5. Emergency response.

C. The concept of using a combination of interventions is **not** a new idea.

1. The 1947 President’s Report on Fire Prevention and Control called for combined use of public education, technology and codes in the war against fire.

2. All subsequent “America Burning” reports echoed and expanded this call.

3. The current Vision 20/20 initiative continues to promote this strategic approach to prevention and mitigation.

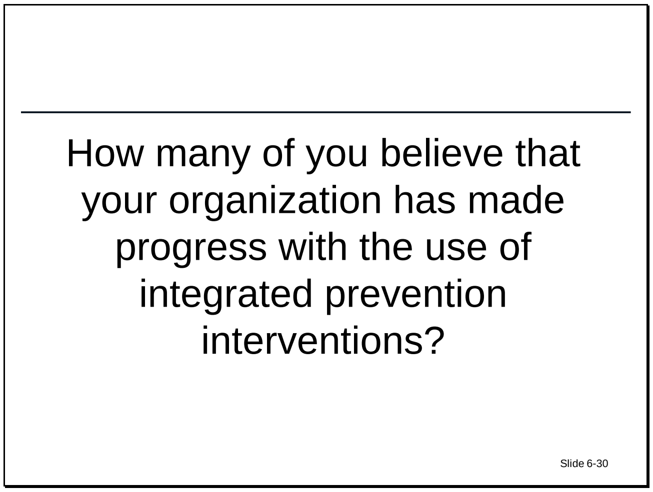


What are factors that have stymied the use of combined prevention interventions in your community?

Slide 6-29

D. Taking a fully integrated approach to fire prevention and risk reduction requires a major commitment from the local authority having jurisdiction (AHJ).

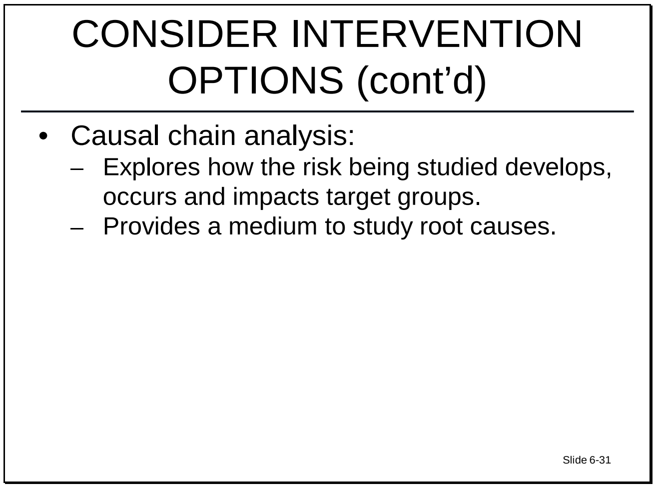
1. Resources in the form of time, people, equipment, money and priorities are required.
2. The action also often requires significant political action on the part of both the fire department and community leadership.



How many of you believe that your organization has made progress with the use of integrated prevention interventions?

Slide 6-30

E. Once the bureau leader and his or her department at large has made a commitment to approach a priority risk(s) in a strategic manner, the next step is to determine how to do it in the most effective and efficient manner.



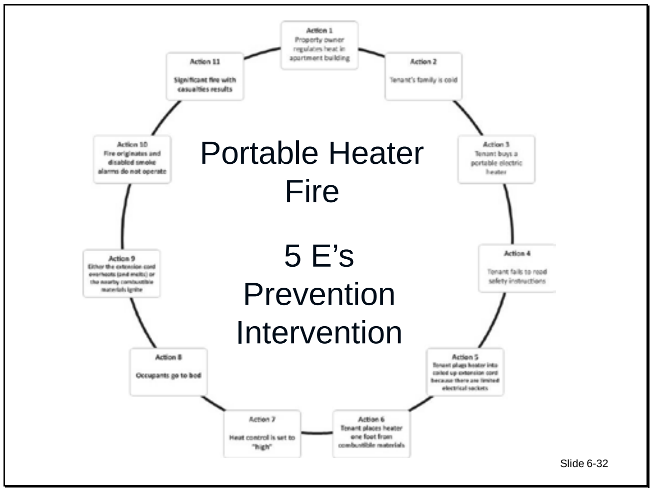
CONSIDER INTERVENTION OPTIONS (cont'd)

- Causal chain analysis:
  - Explores how the risk being studied develops, occurs and impacts target groups.
  - Provides a medium to study root causes.

F. Causal chain analysis is another component of strategic fire prevention and risk reduction that is promoted heavily by the NFA, and for good reason.

1. Causal chain analysis can build a story of how the risk being studied develops, occurs and impacts target groups.

2. It provides a medium to study the root causes that contribute to a specific risk and recommend interventions that could either prevent incidents or mitigate the effects of occurrences.



Portable Heater Fire

5 E's Prevention Intervention

Action 1
Property owner regulates heat in apartment building

Action 2
Tenant's family is cold

Action 3
Tenant buys a portable electric heater

Action 4
Tenant fails to read safety instructions

Action 5
Tenant plugs heater into coiled up extension cord because there are limited electrical sockets

Action 6
Tenant places heater one foot from combustible materials

Action 7
Heat control is set to "high"

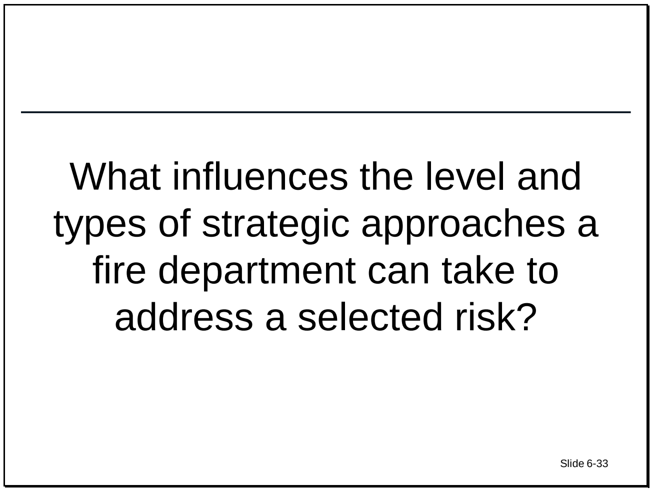
Action 8
Occupants go to bed

Action 9
Either the extension cord overheats (and melts) or the nearby combustible materials ignite

Action 10
Fire originates and disabled smoke alarms do not operate

Action 11
Significant fire with casualties results

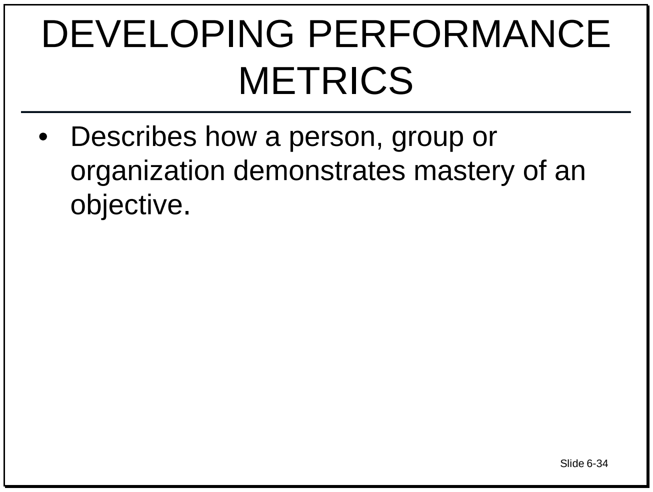
G. Obviously, in a real-world application, not all potential intervention options are possible.



What influences the level and types of strategic approaches a fire department can take to address a selected risk?

Slide 6-33

VII. DEVELOPING PERFORMANCE METRICS



DEVELOPING PERFORMANCE METRICS

- Describes how a person, group or organization demonstrates mastery of an objective.

Slide 6-34

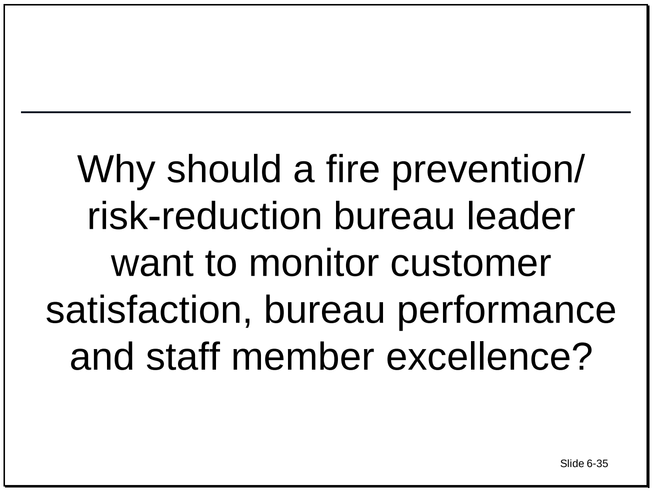
A. Performance metrics is simply another term for evaluating something.

B. Always remember that evaluation should begin the moment an idea for a program or intervention is conceived.

C. Performance metrics describes how a person, group or organization will demonstrate mastery of an objective.

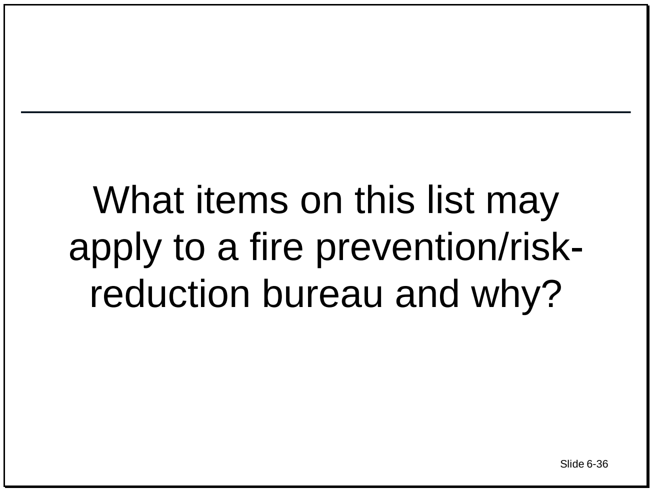
   1. Example — the fire department creates an internal standard that personnel should arrive on-scene of an emergency within five minutes of receiving the 911 call.

   2. Performance metrics must be measurable.



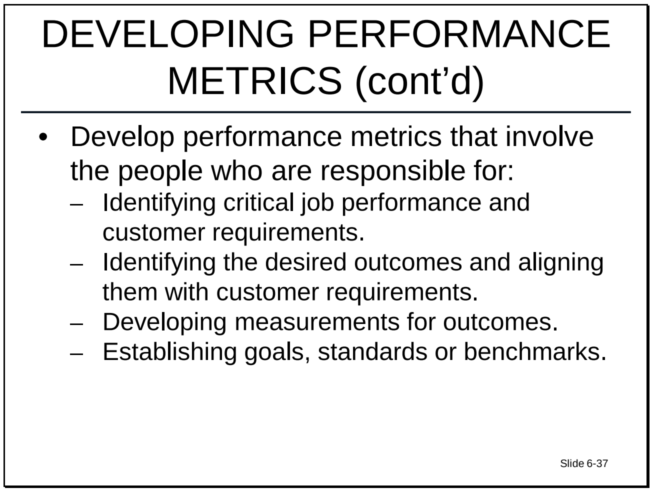
Why should a fire prevention/risk-reduction bureau leader want to monitor customer satisfaction, bureau performance and staff member excellence?

Slide 6-35



What items on this list may apply to a fire prevention/risk-reduction bureau and why?

Slide 6-36



DEVELOPING PERFORMANCE METRICS (cont'd)

- Develop performance metrics that involve the people who are responsible for:
  - Identifying critical job performance and customer requirements.
  - Identifying the desired outcomes and aligning them with customer requirements.
  - Developing measurements for outcomes.
  - Establishing goals, standards or benchmarks.

Slide 6-37

D. The first step in developing performance metrics is to involve the people who are responsible for the work.

1. This is a critical step. They are the most knowledgeable about the work performed.

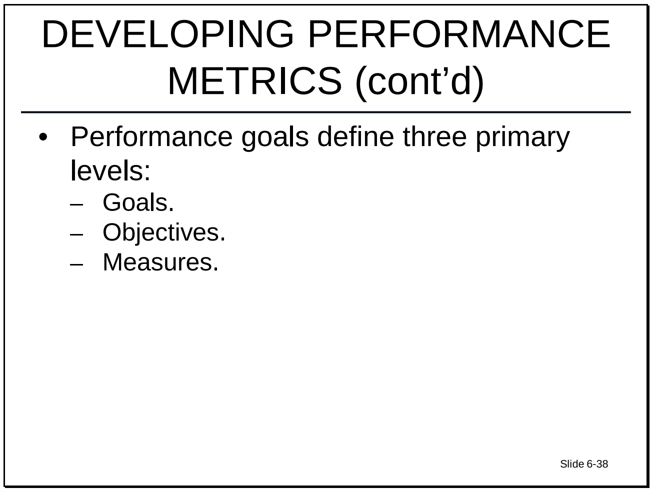
2. Once the respective staff members have been recruited, take the following actions:

   a. Identify critical job performance and customer requirements.

   b. Identify the desired outcomes and align them with customer requirements.

   c. Develop measurements for the desired outcomes.

   d. Establish performance goals, standards or benchmarks.



DEVELOPING PERFORMANCE METRICS (cont'd)

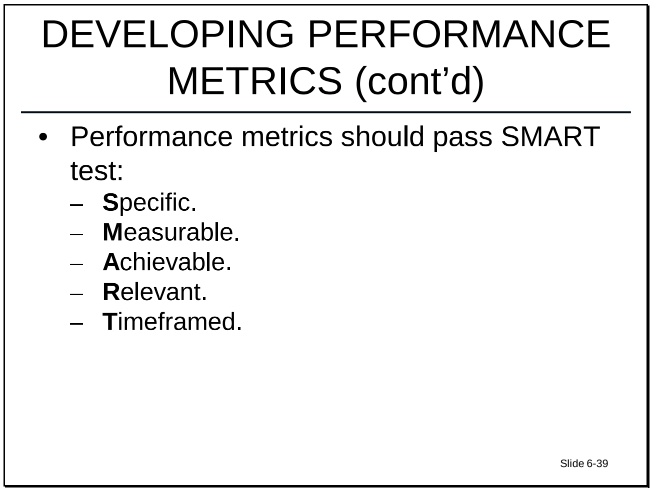
- Performance goals define three primary levels:
  - Goals.
  - Objectives.
  - Measures.

   e. Performance goals define three primary levels:

      - Goals — written in broad general statements.

      - Objectives — state the specific tasks to accomplish.

      - Measures — metrics designed to show progress in each specific criterion.



DEVELOPING PERFORMANCE METRICS (cont’d)

- Performance metrics should pass SMART test:
  - **S**pecific.
  - **M**easurable.
  - **A**chievable.
  - **R**elevant.
  - **T**imeframed.

3. Performance metrics should pass a SMART test:

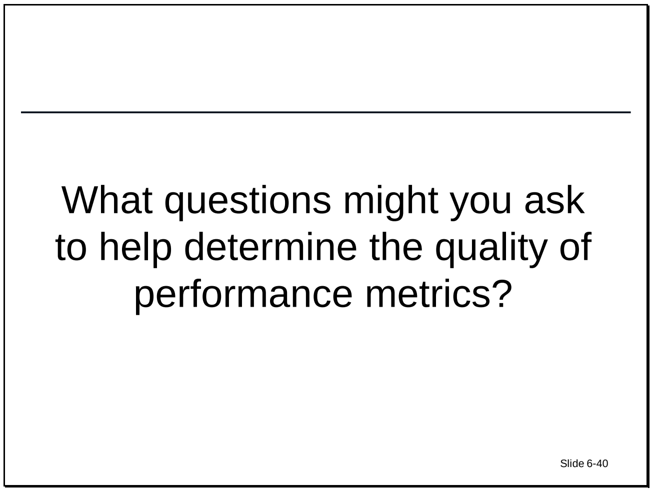
   a. **S**pecific: Is the metric clear and focused to avoid misinterpretation?

   b. **M**easureable: Can it be quantified and compared to other data?

   c. **A**chievable: Is it achievable, reasonable and credible under conditions that are expected?

   d. **R**elevant: Does it fit into the organization’s constraints and is it cost-effective?

   e. **T**imeframed: Is it doable within the time frame given?



What questions might you ask to help determine the quality of performance metrics?

E. The following questions help determine the quality of performance metrics:

1. Is the metric objectively measurable?

2. Does the metric include a clear statement of the expected end results?

3. Does the metric support customer requirements, including compliance issues where appropriate?

4. Does the metric focus on measured system effectiveness and/or efficiency?

5. Does the metric allow for meaningful trend or statistical analysis?

6. Are appropriate industry or other external standards applied?

7. Does the metric include milestones and/or indicators to express qualitative criteria?

8. Are the metrics challenging and attainable?

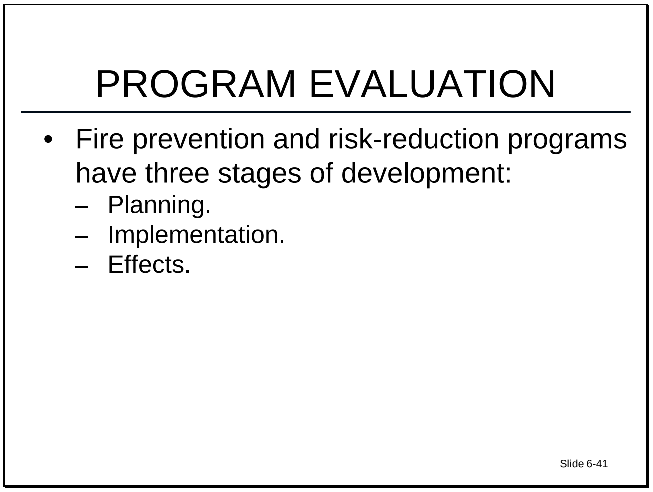
9. Are assumptions and definitions of satisfactory performance specified?

10. Have the specific responsible managers and employees been fully involved in performance metric development?

11. Is the metric mutually agreeable to you and your customers?

F. When looking at data, it is important to identify core organizational measures used to benchmark success.

VIII. PROGRAM EVALUATION



PROGRAM EVALUATION

- Fire prevention and risk-reduction programs have three stages of development:
  - Planning.
  - Implementation.
  - Effects.

Slide 6-41

A. Fire prevention/risk-reduction bureau leaders must understand how to utilize program evaluations to support the bureau priorities and strategies.

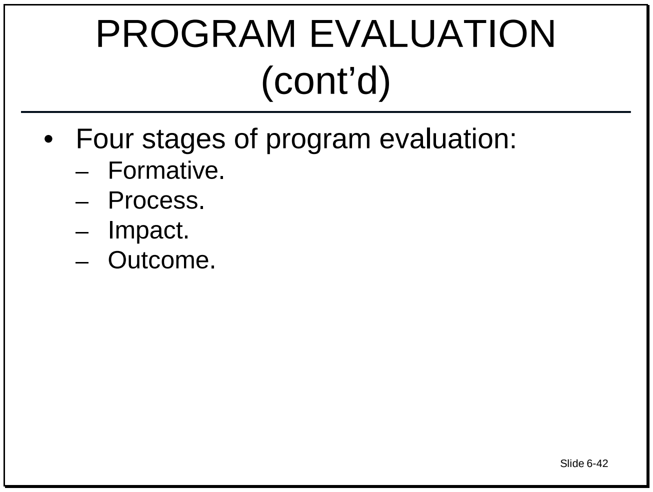
B. Program evaluation assesses the program state of fact in detail, not the desired state of functioning. In simplest terms, it is a gap analysis.

C. Fire prevention and risk-reduction programs have three stages of development, each of which can be evaluated individually or in total:

1. Planning.

2. Implementation.

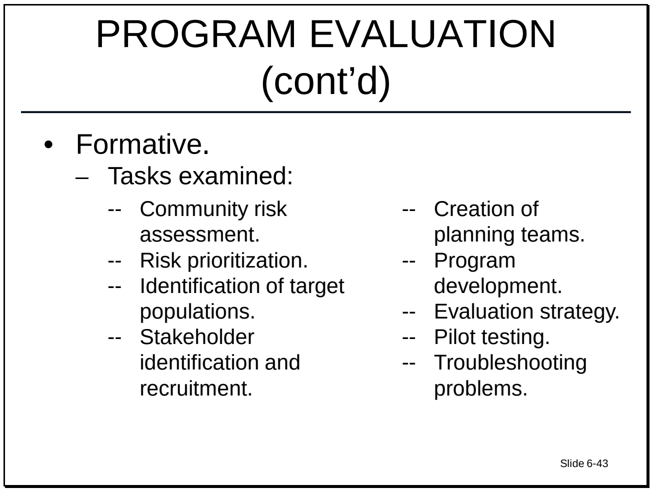
3. Effects.



PROGRAM EVALUATION (cont'd)

- Four stages of program evaluation:
  - Formative.
  - Process.
  - Impact.
  - Outcome.

D. There are four stages of program evaluation:



PROGRAM EVALUATION (cont'd)

- Formative.
  - Tasks examined:
    - -- Community risk assessment.
    - -- Risk prioritization.
    - -- Identification of target populations.
    - -- Stakeholder identification and recruitment.
    - -- Creation of planning teams.
    - -- Program development.
    - -- Evaluation strategy.
    - -- Pilot testing.
    - -- Troubleshooting problems.

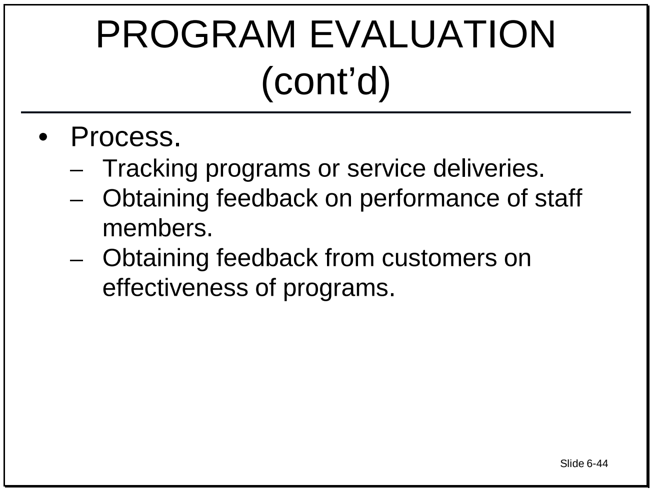
1. Formative.

a. Utilized during the planning stage of program development when a program anticipates a major revision or when a program is having problems.

b. Formative evaluations ascertain whether all appropriate steps of program development are being followed and how the effort is progressing.

c. Tasks examined as part of formative evaluation include:

- Community risk assessment.
- Risk prioritization.
- Identification of target populations.
- Stakeholder identification and recruitment.
- Creation of planning teams.
- Program development.
- Evaluation strategy.
- Pilot testing.
- Troubleshooting problems.



PROGRAM EVALUATION (cont'd)

- Process.
  - Tracking programs or service deliveries.
  - Obtaining feedback on performance of staff members.
  - Obtaining feedback from customers on effectiveness of programs.

Slide 6-44

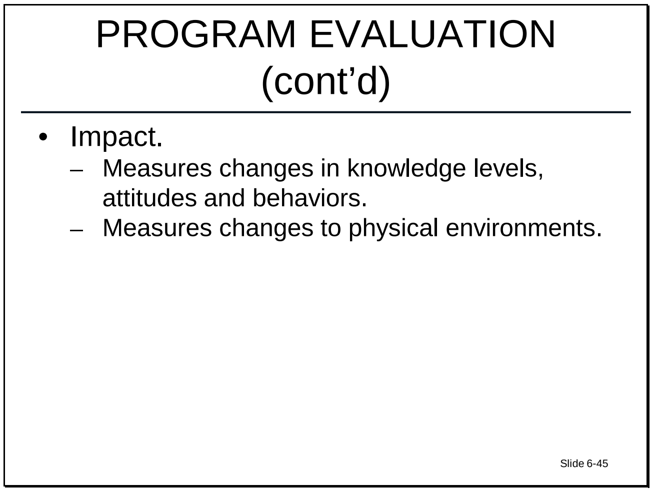
2. Process.

a. Utilized during the implementation and delivery stages of a program.

b. Process evaluation can identify how well a program is reaching its target population, monitor staff performance, and obtain feedback from customers.

c. Tasks conducted as part of process evaluation include:

- Tracking the number of programs or service deliveries and participants.
- Obtaining feedback on the performance level of staff members who are delivering programs or services.
- Obtaining feedback from customers on the effectiveness of programs or services delivered and how efforts could be improved.



PROGRAM EVALUATION (cont'd)

- Impact.
  - Measures changes in knowledge levels, attitudes and behaviors.
  - Measures changes to physical environments.

Slide 6-45

3. Impact.

a. Utilized during the implementation and delivery stages of a program.

b. Impact evaluation measures changes in target populations' knowledge levels, attitudes and behaviors.

c. It also measures changes to physical environments such as homes, the workplace, public assembly and community infrastructure.

d. Tasks conducted as part of impact evaluation include:

- Measuring knowledge before and after the programs or services are delivered.
- Observing behaviors that have changed as the result of a program or service.
- Tracking changes to physical environments that occur and are sustained as the result of a program or service.

PROGRAM EVALUATION (cont'd)

- Outcome.
  - Measures changes over long term.
    - Reducing occurrences of specific incidents.
    - Reducing loss in terms of life and property.

4. Outcome.

   a. Outcome evaluation measures change over the long term.

   b. It seeks to determine if risk-reduction programs, services and strategies are doing the following:

      - Reducing occurrences of specific incidents.

      - Reducing loss in terms of life and property.

      - Improving overall wellness and community vitality.

E. Competent evaluation allows a fire prevention/risk-reduction bureau to identify and define the data needed to track performance.

IX. DEVELOPING A MARKETING STRATEGY

DEVELOPING A MARKETING STRATEGY

- Why market a program?
- Creating consumer demand for a community-based program can be a challenging process.
- If customers are unaware of (or oppose) services, intended impacts may suffer.

A. A new bureau leader may question the rationale for marketing a fire prevention/risk-reduction program or strategy.

B. Conduct a survey of experienced public educators, and they will likely confirm that creating consumer demand for a community-based program (regardless of how good it is) can be a significant challenge.

   1. An organization can invest significant amounts of resources into creating what they believe to be the perfect public education program.

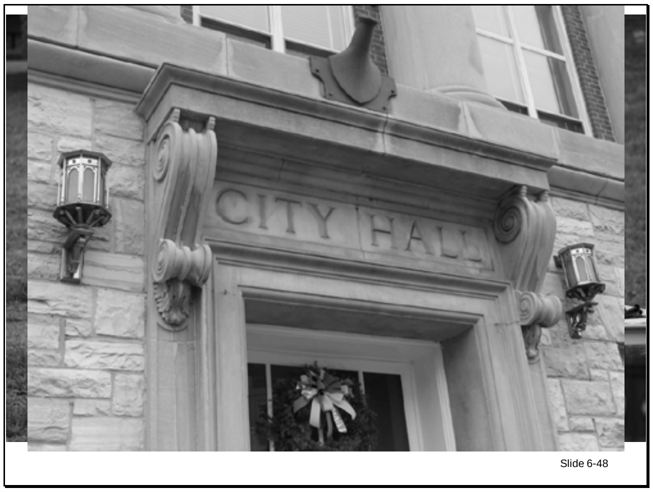
   2. However, if people are not aware that it exists, or are not motivated to participate, then success is often limited.

C. Next, consider those who review building plans, perform inspections and enforce codes.

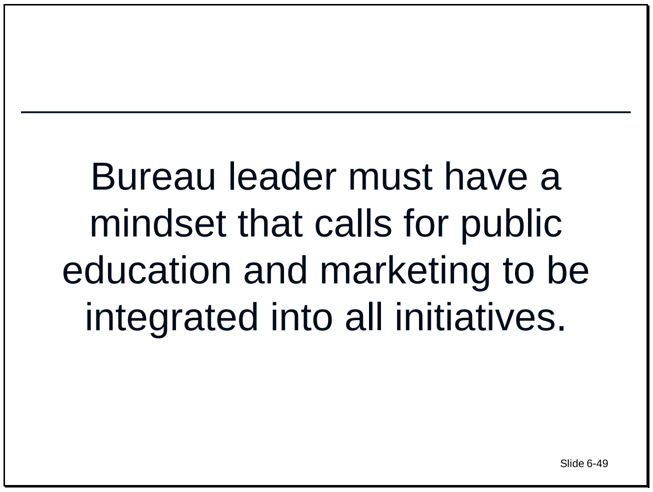
   It can be a demoralizing feeling when customers view an inspector as an unnecessary extension of government who is costing them money by dictating unreasonable mandates.

D. Consider the fire investigator who is frustrated because he or she cannot seem to achieve a set benchmark of successful case closure.

   Closer examination may reveal that citizens are uncomfortable speaking with investigators because they don't fully understand the full purpose of a thorough interview.



E. Worst case scenario: The city council is proposing elimination of the fire prevention/risk-reduction bureau because they believe services can be performed cheaper and more efficiently by other agencies or outsourced to private contractors.



Bureau leader must have a mindset that calls for public education and marketing to be integrated into all initiatives.

Slide 6-49

F. A bureau leader must have a mindset that calls for public education and marketing to be integrated into all initiatives.

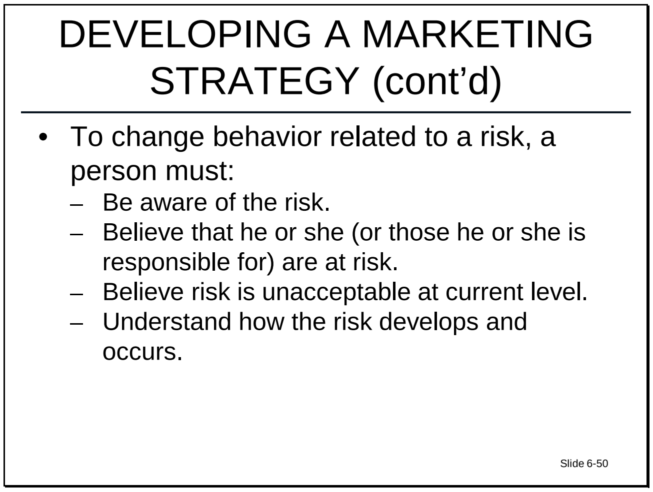
1. Education is a core component of successful risk prevention and mitigation.

2. Effective public education can help facilitate changes in attitudes and behavior. These changes are the goal of risk-reduction programs.

3. A component of public education involves marketing a product to a customer.

4. In the case of MEFPP, the product is risk reduction and the customer is the target population you are trying to engage in a program or persuade to make decisions favorable to the bureau's mission.

5. The public health system uses the following model to understand the dynamics behind creating behavior change in people. The model is similar to decision-making processes that people use when deciding which product to buy.



DEVELOPING A MARKETING STRATEGY (cont'd)

- To change behavior related to a risk, a person must:
  - Be aware of the risk.
  - Believe that he or she (or those he or she is responsible for) are at risk.
  - Believe risk is unacceptable at current level.
  - Understand how the risk develops and occurs.

6. To change behavior related to a risk, a person must:

   a. Be aware of the risk.

      - If a target group does not know that a risk exists, they are unlikely to take preventive actions.

      - This rule is also true for decision-makers who approve or deny the programs proposed by a bureau.

   b. Believe that he or she (or those he or she is responsible for) is at risk.

   c. Believe the risk is unacceptable at its current level.

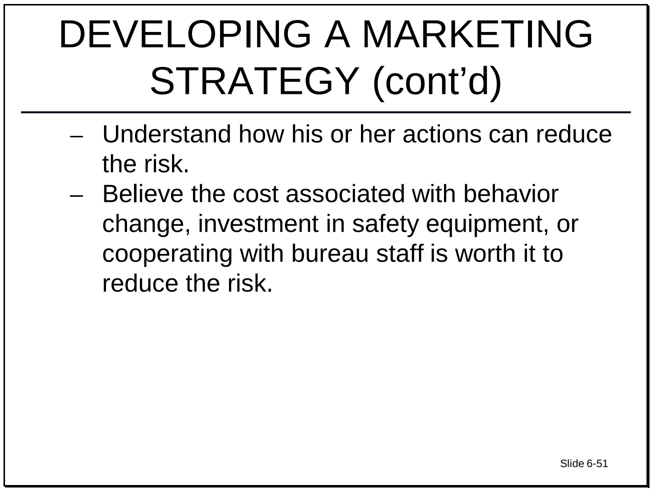
      - Preventive actions are more likely to occur if a person has developed a sense of urgency to do something.

      - Often, people will listen to respected members of their peer group and realize that specific actions need to occur.

   d. Understand how the risk develops and occurs.

      - Those who deliver prevention services often overestimate what the public knows about a specific risk.

      - People need to know exactly how the risk develops, the factors leading to its occurrence, and the impact it is causing.



DEVELOPING A MARKETING STRATEGY (cont'd)

- Understand how his or her actions can reduce the risk.
- Believe the cost associated with behavior change, investment in safety equipment, or cooperating with bureau staff is worth it to reduce the risk.

Slide 6-51

e. Understand how his or her actions can reduce the risk.

- Customers must be educated that preventing or mitigating risk is best accomplished through the use of a systematic process.

- The process includes educating target groups, using safety equipment, developing rules that require behavior change, and using incentives to promote action.

- In addition to being made aware of a risk and how it develops, target populations need to understand what they are supposed to do to prevent or mitigate it.

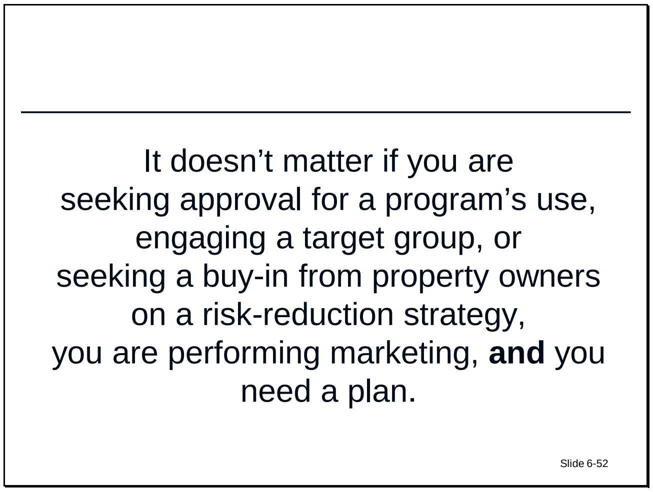
f. Believe the cost associated with behavior change, investment in safety equipment, or cooperating with bureau staff is worth it to reduce the risk.

- Even though people know about a risk, they may not take preventive actions unless motivated to do so.

- A motivational public education/marketing program can set the stage for an action to take place.

- Incentives that either reward or discourage certain behaviors can be powerful motivators.

G. The motivations behind behavioral change apply to all populations and stakeholders.

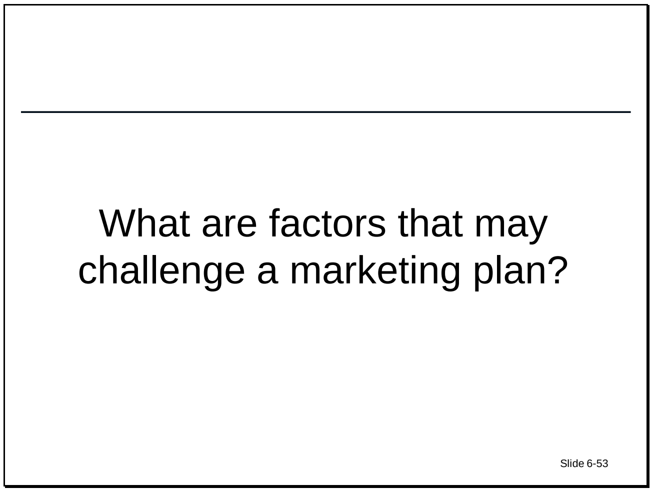


It doesn't matter if you are
seeking approval for a program's use,
engaging a target group, or
seeking a buy-in from property owners
on a risk-reduction strategy,
you are performing marketing, **and** you
need a plan.

H. Whether seeking approval for a program's use, engaging a target group, or getting a buy-in from property owners on a risk-reduction strategy, you are performing marketing, **and** you need a plan for how to do it.

I. With today's multitude of communication mediums, the task of marketing a product (and getting people to take the action you desire) may be viewed as one easily conquered.

J. While today's vast array of mediums has expanded marketing capabilities and exponentially increased the speed of communication, we remain challenged by some basic factors that can contribute to dysfunctional marketing.



What are factors that may
challenge a marketing plan?

K. Factors that may challenge a marketing plan include:

1. Failure to understand the preferred (and most effective) mediums of communication with the target population.

2. Failure to reach the target group with the desired message.

3. Marketing through the wrong mediums and locations.

4. Failure to gain the attention of the target group so they will consider taking action.

5. Poorly designed communication strategies.

6. Inadequate understanding of each target group's internal culture.

7. Failure to consider special needs groups.

8. Lack of adequate resources to build an effective marketing strategy.

9. Inadequately trained and/or prepared presenters of information.

10. Lack of understanding on how to communicate with specific target populations.

11. The attitude and demeanor of staff members performing a service.

L. Marketing involves creating consumer demand for a product.

DEVELOPING A MARKETING STRATEGY (cont'd)

- Creating a marketing strategy.
  - Understand the target population.
  - Involve target population in the design.
  - Develop a plan.

M. Whether they are working for a large corporation, the entertainment industry or the emergency services, those who create successful marketing efforts utilize the following process:

1. Develop a mastery understanding of the target population by identifying the following:

   a. What do they value?

   b. What will motivate them to buy-in to what you have to offer?

   c. How do you best reach them (when, where, how and at what time)?

   d. What incentives will you offer for their buy-in and participation?

   e. What are potential barriers that may limit buy-in, and how do you overcome them?

2. Select representatives from the target population and involve them in the design of the marketing strategy.

   a. Just like developing a risk-reduction program, convene a focus group and **listen to them**!

   b. Pilot-test efforts that are going to be significant and require supportive resources.

3. Develop a plan of how marketing will be accomplished.

   a. Design appropriate messages that:

      - Motivate people to get involved.

      - Explain how much of a time investment they will need to make.

      - Identify where to go and when to receive the service.

      - Explain what's in it for them and what you want them to do.

   b. Designate representatives to be the "face" of the program.

      - Respected emergency officials.

      - Respected local citizens.

      - Influential people.

   c. Determine how the marketing messages will be disseminated to respective target groups.

      - Printed mediums, such as letters, fliers, posters, and other signage.

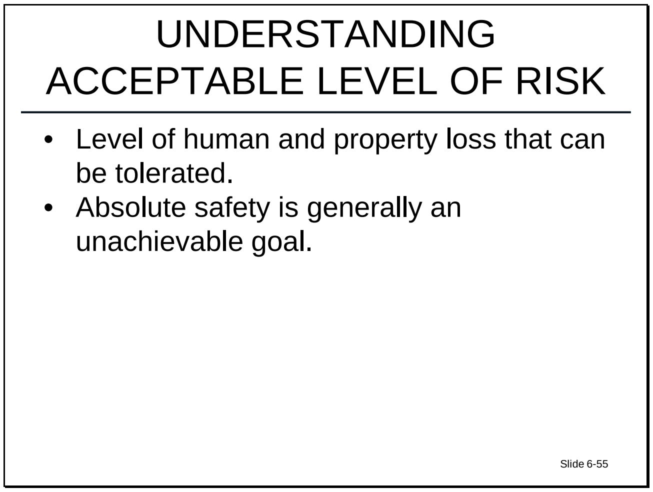
- Electronic mediums, such as websites, social media outlets, text, email, etc.

- Media, such as the local newspaper, radio station, etc.

d. Find ways to modify the marketing strategy so it can address specific groups and needs.

e. If needed, develop a budget component dedicated to marketing.

X. UNDERSTANDING ACCEPTABLE LEVEL OF RISK



UNDERSTANDING ACCEPTABLE LEVEL OF RISK

- Level of human and property loss that can be tolerated.
- Absolute safety is generally an unachievable goal.

Slide 6-55

A. Acceptable level of risk refers to the level of human and property loss that can be tolerated by an individual, household, group, organization, community, region, state or nation.

For instance, a community may view that the risk of extreme flooding can be accepted once every 100 years but not as frequently as every 10 years.

B. The concept of acceptable risk evolved partly from the understanding that absolute safety is generally an unachievable goal.

1. An individual who chooses to text while driving is accepting a level of risk he or she believes to be acceptable each time he or she performs the behavior.

2. Parents who allow their child to ride a bicycle without wearing a helmet are accepting a level of risk each time the child rides his or her bike.

3. Community decision-makers who cut emergency service staffing or close a firehouse are accepting a level of risk in return for budgetary savings.

4. When the president sends troops to battle, he or she accepts that not all will return home to their families.

Determining an acceptable level of risk can be influenced by social, economic and political factors.

Slide 6-56

C. Determining an acceptable level of risk can be influenced by social, economic and political factors.

   1. The person who texts may believe the risk is acceptable because his or her friends do it all the time and no one has been hurt yet.

   2. The parents of the child may not have the money to purchase their son or daughter a bicycle helmet.

   3. The community decision-makers may have had to make a choice between closing a firehouse and having adequate garbage collection for the city.

   4. The president may have been heavily influenced by the public to activate the military in the wake of an attack on America.

D. Obviously, the more people who are involved in the decision-making process, the more complex setting the level of acceptable risk becomes.

E. In the business world, it is management's responsibility to set the company's acceptable level of risk.

   1. Companies sometimes employ or retain loss control specialists to help management understand what it means to define an acceptable level of risk.

   2. Each company will ultimately reach its own acceptable level after considering factors such as:

      a. Legal and regulatory compliance responsibilities.

        b. Threat profile.

        c. Business drivers (what is needed to keep the company profitable and operating).

        d. Negative impacts that potential threats could have on its business drivers.

    3. Management, in cooperation with loss control consultants, will perform a cost-benefit analysis to determine a realistic cost-efficient strategy to protect their investments.

F. With nonrevenue-driven organizations such as the National Security Administration (NSA) or the Department of Defense (DOD), threats are not business-driven.

For organizations such as NSA and DOD, examples of threats that are considered may include:

1. Loss of the ability to protect the nation from nuclear and/or terrorist attacks.
2. Loss of top secret information to the nation's enemies.
3. Loss of communication with distributed military bases and troop units.
4. Loss of the ability to tap into the enemy's communication channels.
5. Loss of the ability to dispatch emergency crews.

G. Both the business and government examples (profit versus nonrevenue-generating) involved the use of threat modeling.

H. Threat modeling entails identifying/prioritizing what is most critical to the organization (or its constituents) and determining a strategy for how to best protect the investment in a cost-efficient manner.

I. Both the business community and our government utilize forms of threat modeling and vulnerability assessments as they perform cost-benefit analysis to determine realistic, acceptable levels of risk when protecting investments and people.

Steps in the process include:

1. Understand the threat or enemy and its goals/objectives.
2. Identify your vulnerabilities to the threat or enemy.

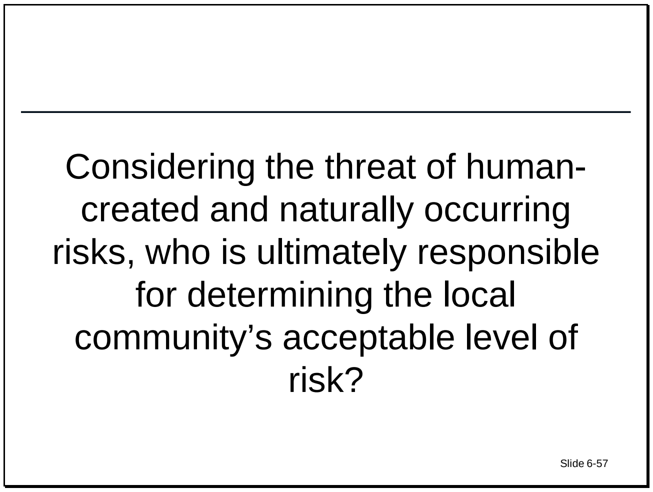
3. Develop a strategy to protect your investments or constituents.

4. Determine what it will cost to defend against the threat or enemy.

5. Consider the cost of protection versus the likelihood of an event occurring **and** what the costs may be if the event occurs.

6. Define how much you are willing to spend to protect your investments or constituents.

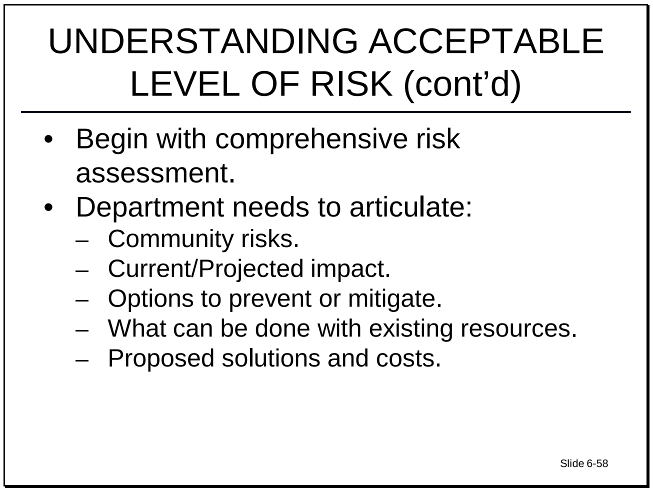
7. All of the considerations listed above result in creation of the acceptable level of risk.



Considering the threat of human-created and naturally occurring risks, who is ultimately responsible for determining the local community's acceptable level of risk?

Slide 6-57

J. It is the combined responsibility of a department's executive officers and fire prevention/risk-reduction bureau leader to help their community define its level of acceptable risk pertinent to fire and life safety issues.



UNDERSTANDING ACCEPTABLE LEVEL OF RISK (cont'd)

- Begin with comprehensive risk assessment.
- Department needs to articulate:
  - Community risks.
  - Current/Projected impact.
  - Options to prevent or mitigate.
  - What can be done with existing resources.
  - Proposed solutions and costs.

Slide 6-58

1. The process begins with a comprehensive community risk assessment as outlined in this unit.

2. It ascends as the department articulates:

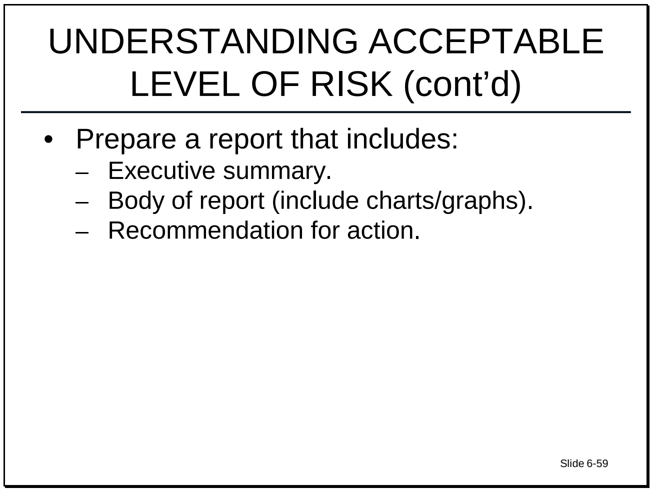
    a. Risks that threaten the community.

    b. Current/Projected impact of risks.

    c. Options for prevention and mitigation.

    d. Description of what can be done with existing resources such as staffing, budget, etc.

    e. Proposed solutions and costs.



UNDERSTANDING ACCEPTABLE LEVEL OF RISK (cont'd)

- Prepare a report that includes:
  - Executive summary.
  - Body of report (include charts/graphs).
  - Recommendation for action.

Slide 6-59

3. The information listed above should be formatted into a report that includes:

    a. An executive summary.

    b. Body of report with charts/graphs.

    c. Recommendation for action.

4. The report should be understandable and build a case for action and/or justify the existence of a service.

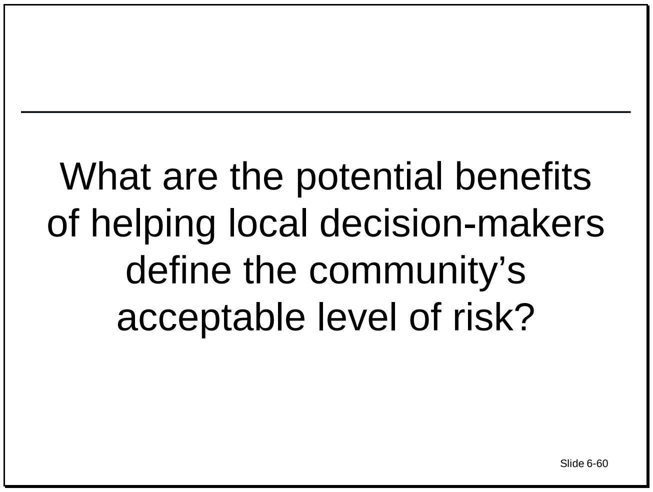
5. The process culminates when the community's decision-makers and governing body decide what actions will be taken.

K. Fire department leaders must understand that they are not independently responsible for setting their community's acceptable level of risk from fire or preventable injury.

   1. The emergency services present the facts and proposed plan of action that includes options for decision-makers to consider.

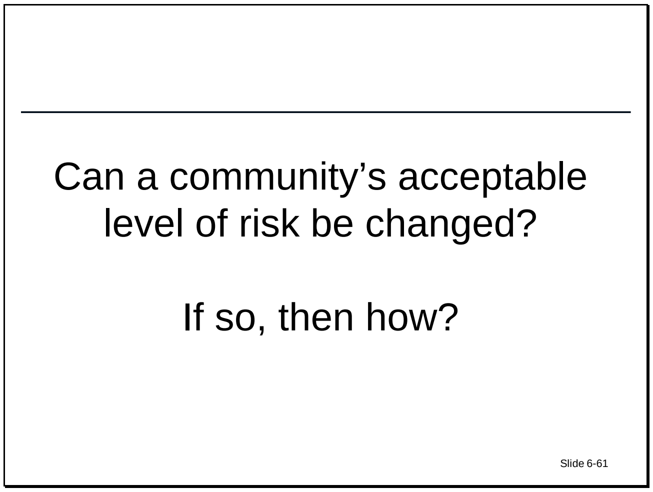
   2. Decision-makers and the local governing body perform a cost-benefit analysis to ultimately decide on the amount of resources that will be dedicated to the process.

L. Through the use of a comprehensive and well-constructed process, fire department leadership can help facilitate a realistic and acceptable level of risk.



What are the potential benefits of helping local decision-makers define the community's acceptable level of risk?

Slide 6-60



Can a community's acceptable level of risk be changed?

If so, then how?

Slide 6-61

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ACTIVITY 6.2

Helping Decision-makers Determine an Acceptable Level of Risk

Purpose

You will facilitate the process of helping decision-makers determine a community's acceptable level of risk for a specific risk issue.

Directions

1. This is a large group activity that includes several parts.

2. The fire risk (or combination of risks) identified during Activity 6.1 will be the focus of this activity.

Part 1

1. The class at large is to develop an intervention strategy for the fire risk (or combination of risks) identified during Activity 6.1. The strategy is expected to incorporate use of multiple interventions.

2. This process will begin with development of a problem statement, goal and outcome objective for the intervention strategy.

   The problem is: ____________________________________.

   The goal is to: ______________________________________.

   By this date, _____, there will be a ___ percent reduction in the occurrence of _____ in the city of Breezewood.

3. Next, the instructors will help the class at large develop a **draft** prevention/intervention strategy for the specific risk(s) that includes **each** of the following components:

   a. Public education.

   b. Inspection and use of code enforcement.

   c. Investigation and law enforcement.

4. The strategy will be developed in a broad-based general format. Your class is allotted 30 minutes for the above tasks.

Part 2

1. Economic conditions are improving in Breezewood. Property values are rising, and the tax base is increasing. The next budget cycle is approaching.

2. Mayor and Council know that the Breezewood Fire Department (BFD) prevention bureau has been working on a prevention and mitigation strategy to address a priority fire issue.

3. The fire chief has been directed to prepare a presentation that will be delivered at a council work session. The presentation is to include the following:

    a. An overview of the priority risk(s), root causes and its current/projected impact on Breezewood.

    b. A strategy to prevent/mitigate the problem.

        - The fire department **must** articulate how the proposed strategy will use combined interventions to address the problem.

        - It must also explain how line staff of the BFD will be assisting the bureau with the strategy.

    c. A proposed budget for the strategy. Limit the summary to total personnel costs, total annual operating costs and total one-time capital outlay expenses.

    d. An explanation of how the intervention strategy will be evaluated by the BFD. This must include the planning phase, implementation, operation and long-term impacts/outcomes.

    e. A discussion on how the intervention strategy will be marketed to the community. Include not only those affected by the problem but also those who may be impacted by any public policies that are proposed.

    f. A projection of what may happen if nothing is done about the risk.

    g. An optional (less costly) course of action for consideration in case the mayor and Council rejects the initial proposal.

4. The presentation will be made at a work session of the Breezewood mayor and Council. There will be no public comments or vote by Council at the meeting. It is an information-sharing meeting and will be televised to the public at large.

    a. Creation of a brief PowerPoint presentation to support the effort is encouraged.

    b. You should review the profiles of the city staff members prior to developing the presentation strategy.

5. The chief and fire marshal should provide leadership of the development process. The chief and fire marshal are encouraged to assign small teams of students to develop the various components of the presentation. You are allotted 60 minutes for this work.

Part 3

1. The class will participate in a mock facilitation process to help Breezewood decision-makers define an acceptable level of risk for the issue being addressed.

   Note: The acceptable level of risk will eventually be reflected by the level of support that the Council ultimately approves at a later date.

2. Your class will be asked to play the roles of the various fire department staff to include:
   a. Fire Chief (already selected).
   b. Fire Marshal (already selected).
   c. Public Educator.
   d. Inspector/Investigator One (to speak on engineering, public policy and codes).
   e. Inspector/Investigator Two (to speak on fire investigation and law enforcement).

3. In addition, you may volunteer to assume the role of:
   a. City Administrator.
   b. Finance Director.
   c. Council Members Two and Three.

   Note: One instructor will be the mayor; the other will be a vocal council member one.

4. You should be aware that:
   a. The fire department administration, union and volunteer association have agreed to work collaboratively on the intervention strategy.
   b. The fire chief and fire marshal will be the leading represetatives for the fire department. However, they **must involve the prevention bureau members** in the presentation.
   c. The fire prevention/risk-reduction bureau members will each be expected to explain why their respective component is important and how it will function.

    d. Mayor and council members, the city administrator and finance director will be asking the fire department members questions **after** the presentation. The presentation by the BFD **should not be interrupted** by questions.

5. If you did not volunteer for a role, take notes on the following:

    a. List examples of strategies presented in the MEFPP course that are being exhibited in the presentation.

    b. List examples of potential missed opportunities by the BFD.

    c. Provide suggestions of what the BFD may have considered doing differently.

    d. Identify the "take away" points (learning outcomes) that everyone should glean from this activity.

6. You are allotted 30 minutes for Part 3 of this activity.

7. You are allotted 10 minutes for the debriefing.

Profile of City Staff Members

Mayor

The mayor is 45 years old and in his or her first year of a second four-year term in office. He or she is extremely concerned about the current fire problem in Breezewood. He or she is receiving moderate pressure from Chamber of Commerce members (and other groups) to do something about all the fires that are occurring in the city. He or she is a known BFD supporter who is very fiscally responsible. BFD has learned that the mayor has been lobbied hard by the property owner association about the fire codes in Breezewood and their impact on rental properties.

City Administrator

This person is 45 years old and in his or her second term as city administrator. His or her job is to help facilitate the discussion between the mayor and Council/BFD. The administrator is a levelheaded person who likes to help the mayor keep meetings moving and reach positive win/win outcomes.

Finance Director

This person is 55 years old and has been the finance director for 26 years. He or she has lived through the good and bad times in Breezewood. He or she is well-known for cautioning the council about spending. The finance director lives in Breezewood and often speaks vocally that he or she wants it to be a safe and vibrant city.

Council Member One

He or she is 32 years old and two years into a first term in office. His or her platform has been getting new businesses to locate in Breezewood. He or she is pleased that the tax base is increasing. He or she is a vocal person and known to generally be a BFD supporter. This is the council member who pledged $25,000 to help support the start of a home visitation program. The BFD knows this council member is very concerned about the loss of life, property and community vitality in Breezewood. The department also knows that he or she will support restoring fire department staffing **if** all the factions (subcultures) of the BFD participate in what appears to be a viable prevention strategy.

Council Member Two

He or she is 50 years old and in his or her first term as a council member. He or she was elected on the promise to constituents to help resurrect Breezewood and restore a strong economic climate that would create a larger tax base. BFD knows this council member has been lobbied hard by the property owners about advancing fire codes and regulations. This council person is very fair and ethical. He or she understands that there are two sides to every story. He or she has a particular interest in eradicating crime in Breezewood.

Council Member Three

He or she is 29 years old and in a first term as a council member. He or she was elected on the promise to constituents to bring a better quality of life to the citizens of Breezewood. Like council member two, he or she is passionate about reducing crime in the city. The BFD feels that he or she may favor such issues over those that are fire- or injury-related.

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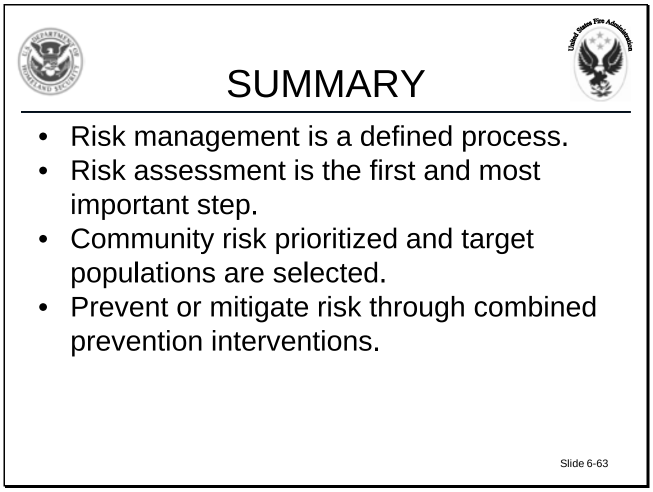
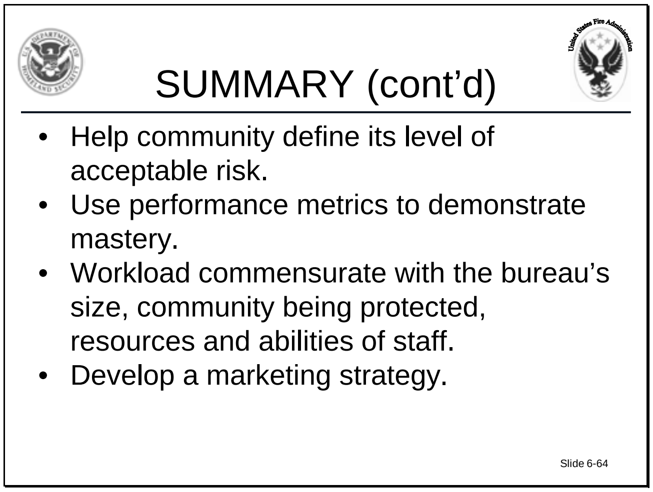
XI. SUMMARY



SUMMARY

- Risk management is a defined process.
- Risk assessment is the first and most important step.
- Community risk prioritized and target populations are selected.
- Prevent or mitigate risk through combined prevention interventions.



SUMMARY (cont'd)

- Help community define its level of acceptable risk.
- Use performance metrics to demonstrate mastery.
- Workload commensurate with the bureau's size, community being protected, resources and abilities of staff.
- Develop a marketing strategy.

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GLOSSARY

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GLOSSARY

Acceptable Level of Risk	The level of human loss and property loss that can be tolerated by an individual, household, group, organization, community, region, state or nation.
Active Fire Protection System(s)	Fire protection equipment and devices designed, installed and maintained to function in the event of an emergency to detect, report, confine, control or suppress a fire. Including, but not limited to, automatic sprinkler systems, automatic and manual fire detection and alarm systems, specialty fire suppression systems, and smoke management/smoke control.
Adaptive Change	Change management that entails changing an organization incrementally in response to internal or external pressures.
All-Channels Information Model	Depicts decentralized information flow resulting in low levels of information control. This is common in work environments where information is distributed to many employees utilizing a self-directed team.
American Community Survey	A study/survey that is an ongoing task of the U.S. Census Bureau; it is mailed to over 3 million U.S. residents annually. The survey collects data about **how** people live.
American Fact Finder	A tool provided by the U.S. Census Bureau that displays data collected during the ongoing American Community Survey.
Anecdotal Information	A collection of data that people tell you about a specific topic.
Annual Operating Budget	The public budget that identifies all the projected expenditures for a fiscal year required to keep the government and/or department operating on a day-to-day basis.
Authority Having Jurisdiction (AHJ)	The National Fire Protection Association (NFPA) defines an AHJ as the agency with official authority and duty to enforce compliance with a standard or code, and to approve the use of systems, strategies, practices, procedures, protocols, plans, methods, machines, facilities and installations.
Baby Boomers	Born between the years of 1946-1964.
Benchmarking	Comparing staff/organizational performance to a desired standard of performance.

Bridge People	Individuals who are able to span the gap between subcultures and the department at large by facilitating information exchange and dialogue.
Capital Budget	The public budget that identifies the expenditures for large-scale durable infrastructure projects, goods or services.
Census Tracts	Defined geographical areas with in a city, town, county or village. Each census tract carries a numerical identification.
Center for Public Safety Excellence (CPSE)	The CPSE promotes the continuous quality improvement of fire and emergency service agencies that serve communities worldwide by providing training and career resource information. As a nonprofit, 501(c)(3) corporation, CPSE supports and encourages agencies and personnel to meet international performance standards through various programs and the work of two commissions: the Commission on Fire Accreditation International (CFAI) and the Commission on Professional Credentialing (CPC).
Coalitions	Teams that can provide technical skills or additional resources to deliver positive impact on reaching a set goal.
Coercive Power	Output of staff understanding that someone within the organization (or community) has the ability to apply a form of punishment.
Community Risk Assessment	A fact-based objective student of local risks; it is the first and most important step toward deciding priority risk issues and target populations to address.
Consultation	Offering inclusion of participation in justification, planning and decision-making to gain support.
Cost-benefit Analysis	Provides two measures of interest to the fire prevention manager. The first measure is that of efficiency. The second threshold that must be crossed is the comparative production from the unit of work.
Culture	A person's or group's assumptions, beliefs and values which often result in characteristic behavior.
Decennial Census	A study performed every 10 years to determine the number of people who live in a community.

Emotional Intelligence	The ability to identify, manage and use one's emotions to communicate effectively and have a positive impact on the relationships in life.
Environmental Scanning	The process of studying the environment of the organization and community to identify both strengths and potential threats that could impact forward progress of the unit.
Enterprise or Utility Budgets	Dedicated to services or goods provided by the government to clearly identifiable recipients as opposed to public goods.
Ethics	"The discipline dealing with what is good and bad and with moral duty and obligation; a set of moral principles; a theory or system of moral values; the principles of conduct governing an individual or a group; a guiding philosophy; a consciousness of moral importance" ("Ethics," n.d.).
Exchange	Offers an exchange of favors or indicates a willingness to reciprocate if the target helps to accomplish some specific task (Yukl, et al., 1993).
Expert Power	Derived from special knowledge, expertise or information that is particularly valued by others within the organization.
Fire and Emergency Services Higher Education (FESHE)	An organization of postsecondary institutions to promote higher education and to enhance the recognition of the fire and emergency services as a profession to reduce loss of life and property from fire and other hazards.
Fire Prevention/Risk-Reduction Bureau	The division or unit that is responsible for fire prevention and community risk reduction.
Fiscal Policy	The system of rules used by the jurisdiction's government to develop its budget, manage its expenditures and revenues, and account for its actions to the citizenry.
Formative Evaluation	Utilized during the planning stage of program development when a program anticipates a major revision or when a program is having problems. It can ascertain whether all appropriate steps of program development are being followed and how the effort is progressing.
Full Costing	A budgeting methodology that captures all the direct and indirect costs needed to provide or support a particular program.

Funding Stream	The flow of monies from a given source that supports a particular government department or program.
Gatekeepers	Can be anyone in the organization that controls the release of information, from the lowest levels of the organization to the executive officer of the department.
Generation X	Born between the years of 1965-1980.
Generation Y	Born during the years of 1981-1994.
Group Polarization	Groups that oppose one another take actions that may cause organizational dysfunction, stymie professionalism, credibility, growth and service capabilities.
Hard Influencing Tactics	Exerting pressure on people or groups in an attempt to intimidate them into changing behavior.
Hidden or Underserved Populations	Groups that may not (for whatever reason) have received (or refused) services from a community, organization or group.
Impact Evaluation	Utilized during the implementation and delivery stages of a program. It measures changes in target populations' knowledge levels, attitudes and behaviors. It also measures changes to physical environments such as homes, the workplace, public assembly, and community infrastructure.
Information Control	The manipulation of access to information for the purpose of influencing employees' behavior.
Ingratiating	Uses praise, flattery and friendly or helpful behavior to soften the target before asking for something (Yukl, et al., 1993).
Inspirational Appeals	Building support by appealing to others' emotions and values.
Institutional Integrity	The strength, unity, clarity and purpose that upholds and sustains all of the elements of the organization and helps it to achieve its mission (Bracher Center for Integrity in Leadership, 2012).
Institutionalized Risk Reduction	The organization at large provides tangible support for risk reduction in the form of time, people, funding, positive attitudes, etc.

Integrated Prevention Interventions	Combining the use of public education, engineering/technology, enactment and enforcement of policy, economic incentives and emergency response so the entire spectrum of interventions are used in tandem to prevent or mitigate a specific risk issue.
International Code Council (ICC)	The ICC is a member-focused association dedicated to helping the building safety community and construction industry provide safe, sustainable and affordable construction through the development of codes and standards used in the design, build and compliance process.
Job Performance Requirement (JPR)	A written statement that describes a specific job task, lists the items necessary to complete the task, and defines measurable or observable outcomes and evaluation areas for the specific task (NFPA, 2012, p. 6).
Knowledge, Skills and Abilities (KSAs)	A list of special qualifications and personal attributes that you need to have for a particular job.
Legitimate Power	Also known as positional, authority or formal power, this is derived from the positional status within the organizational chart.
Legitimating	Using your power as a supervisor to exert pressure and force compliance within the organization.
Line-item Budget	A type of public budget that lists all expenditures individually and groups these expenditures into broad categories.
Mentoring	Assists with the transference of knowledge across the organization. Uses a one-on-one, mentor/mentee relationship.
Morals	"Of or relating to principles of right and wrong in behavior; expressing or teaching a conception of right behavior; conforming to a standard of right behavior; sanctioned by or operative on one's conscience or ethical judgment" ("Moral," n.d.).
National Fire Incident Reporting System (NFIRS)	A national fire data collection system that allows local fire departments to forward fire incident data to a state coordinator; the coordinator collates statewide fire incident data and reports information to the U.S. Fire Administration (USFA).

National Fire Protection Association (NFPA)	The mission of the international nonprofit NFPA, established in 1896, is to reduce the worldwide burden of fire and other hazards on the quality of life by providing and advocating consensus codes and standards, research, training and education. NFPA is one of the world's leading advocates of fire prevention and an authoritative source on public safety. NFPA develops, publishes and disseminates more than 300 consensus codes and standards intended to minimize the possibility and effects of fire and other risks.
NFPA 1031	Standard for Professional Qualifications for Fire Inspector and Plan Examiner.
NFPA 1033	Standard for Professional Qualifications for Fire Investigator.
NFPA 1035	Standard for Professional Qualifications for Fire and Life Safety Educator, Public Information Officer, and Juvenile Firesetter Intervention.
NFPA 1037	Standard for Professional Qualifications for Fire Marshal.
NFPA 1730	Standard on Organization and Deployment of Code Enforcement, Plan Review, Fire Investigation, and Public Education Operations to the Public.
Organizational Assessment	A diagnosis of how the organization or subunit is currently functioning; the assessment identifies gaps between what is and what should be; it seeks long-term solutions rather than solving short-term problems.
Organizational Politics	People or groups working to influence decision-makers so actions are taken to support the person or group's goal.
Organizational Power	The capacity of a person, team or organization to influence others (Northouse, 2010, p.300).
Outcome Evaluation	Measures change over the long term. It seeks to determine if risk-reduction programs, services and strategies are reducing occurrences of specific incidents, reducing loss in terms of life and property, and improving overall wellness and community vitality.
People-Related Data Evaluation	Explores community demographics, the human component of involvement in risk incidents, and factors associated with vulnerability to risk.

Performance Metrics	Describe how a person, group or organization will demonstrate mastery of an objective.
Personal Appeals	Making a plea based on friendship or loyalty.
Personal Character	"The stable and distinctive qualities built into an individual's life which determines his or her response regardless of circumstances" (Drexel University, n.d., p. 1).
Pressure Tactics	Utilizing threats and demands to influence behavior.
Prevention Advocacy Resources and Data Exchange (PARADE)	The PARADE program is a regionally based network designed to foster the exchange of fire-related prevention/protection information and resources among federal, state and local levels of government. The PARADE network is modeled in approach and mechanism after the National Fire Academy's (NFA's) highly successful TRADE (Training Resources and Data Exchange) program.
Problem-Related Data Evaluation	Explores the occurrence of incidents.
Process Evaluation	Utilized during the implementation and delivery stages of a program. It can identify how well a program is reaching its target population, monitor staff performance, and obtain feedback from customers.
Public Budget	The public document that identifies spending priorities, revenues and amounts of an individual government agency or overall government in a jurisdiction. Public budgets can take several forms.
Public Policy	Ordinances or laws that require people to take specific actions. A course of action taken by public officials and/or government in response to a perceived problem.
Qualitative Data	Data that comes from what people tell you about incidents, living conditions, impact created by programs, etc.
Quality Assurance/ Quality Improvement Program	Entails initiating a retrospective review or inspection of services or processes that systematically identifies and resolves problems.
Quantitative Data	Statistics that are collected and analyzed.

Quid Pro Quo	An age-old concept that involves delivering a favor or advantage in exchange for something in return.
Rational Persuasion	Attempting to convince others with logical arguments, reason and evidence of fact.
Referent Power	The perception of likeability, respect or identification with someone.
Relationship Management	Building strong relationships that are centered on mutual respect and trust.
Reward Power	Derived from a person's ability to control the distribution of rewards that are valued by organizational staff.
Risk	The probability that an event will occur.
Risk Exposure	Measures the overall threat of the risk, combining the likelihood of actual loss (probability) with the magnitude of the potential loss (impact) into a single numeric value.
Risk Impact	An estimate of the severity of adverse effects, the magnitude of a loss, or the potential opportunity cost should a risk be realized.
Risk Management	A defined process of identifying, assessing and prioritizing risks.
Risk Probability	A measure (expressed in a numerical value) of the likelihood that the consequences described in a risk statement will actually occur.
Risk Sequencing	A risk analysis technique that can build a storybook (per se) of how the risk being studied develops, occurs and impacts target groups.
Self-Awareness	Understanding how one's values, beliefs and emotions impact one's own behavior.
Self-Management	One's ability to keep emotions in check and react appropriately even under difficult situations.
Service-Based Budget	A type of public budget that groups expenditures by the service or program provided by the government agency.

Social Awareness	Having genuine concern for the feelings of others; understanding another person’s needs and desires.
Soft Influencing Tactics	Friendly, non-coercive attempts at making measurable change in attitudes, values, beliefs or behaviors (Kovack, 2008).
Stagnant Organizational Culture	A culture that often resists change and fights hard to maintain status quo.
Stakeholders	People or groups that have a vested interest in a subject.
Subcultures	Groups of people within an organization that share similar assumptions, attitudes, beliefs and values.
Succession Planning	A systematic approach of assessing, identifying and developing internal candidates to assume key roles and leadership positions within the organization.
Traditionalists	Born between the years of 1925-1945.
U.S. Census Bureau	Is the leading source of quality data about the nation’s people and economy.
Voluntary Compliance	When a person complies with a public policy on his or her own without the need for enforcement actions.

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