New Executive Chief Officer

NECO-Student Manual

1st Edition, 2nd 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 with 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.

The following people participated in the creation of this course:

Kevin S. Brame, MA EFO
Training Specialist — Curriculum Manager
Leadership and Executive Development Programs
U.S. Fire Administration, National Fire Academy
Emmitsburg, Maryland

Stacey Harmon, MA
Instructional System Specialist
U.S. Fire Administration, National Fire Academy
Emmitsburg, Maryland

Ron Mastin
Fire Chief (retired)
Fairfax, Virgina

Jim Critchley
Fire Chief (retired)
Tucson, Arizona

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COURSE GOAL

This course was designed to develop the managerial, administrative and leadership skills necessary for first-time executice chief officers who desire a leadership position in their agency

AUDIENCE, SCOPE AND COURSE PURPOSE

This course is primarily for persons who have recently (within two years) been promoted to a position as agency head (executive chief officer) of a fire or Emergency Medical Services (EMS) agency.

The secondary are personnel who are second or third in position to assume the executive chief officer role. This includes elected or appointed personnel with fire and/or EMS agencies oversight responsibilities.

This course addresses critical knowledge and skills pertaining to the responsibilities of an executive chief officer, including such topics as local politics and the role of the executive chief officer, liability and risk management, resources management, planning, community engagement, capital asset planning and acquisition, and other key topics for first-time leaders in a new position in their agency.

The purpose of the course is to develop the managerial, administrative and leadership skills necessary for the new executive chief officer to effectively meet their obligations.

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SCHEDULE

TIME	DAY 1	DAY 2
8:00-9:15	Introduction, Welcome and Administrative	Activity 2.1: Current Event Group Presentation
9:15-9:30	*Break*	*Break*
9:30-10:45	Unit 1: Responsibilities of the Fire Chief	Unit 3: Politics
10:45-11:00	*Break*	*Break*
11:00-12:00	Unit 1: Responsibilities of the Fire Chief (cont'd)	Unit 3: Politics (cont'd)
12:00-1:00	*Lunch Break*	*Lunch Break*
1:00-1:15	Activity 2.1: Current Event Group Presentation Unit 2: Leadership and Management	Unit 3: Politics (cont'd)
1:15-1:30	*Break*	*Break*
1:30-2:45	Unit 2: Leadership and Management (cont'd)	Unit 4: Planning
2:45-3:00	*Break*	*Break*
3:00-5:00	Unit 2: Leadership and Management (cont'd)	Unit 4: Planning (cont'd)

Note: This schedule is subject to modification by the facilitators and approved by the training specialist.

SCHEDULE

TIME	DAY 3	DAY 4
8:00-9:00	Activity 2.1: Current Event Group Presentation	Activity 2.1: Current Event Group Presentation Unit 6: Financial Management and Capital Asset Planning
9:15-9:30	*Break*	*Break*
9:30-10:45	Unit 5: Liability/Risk Management	Unit 6: Financial Management and Capital Asset Planning (cont'd)
10:45-11:00	*Break*	*Break*
11:00-12:00	Unit 5: Liability/Risk Management (cont'd)	Unit 6: Financial Management and Capital Asset Planning (cont'd)
12:00-1:00	*Lunch Break*	*Lunch Break*
1:00-2:45	Unit 5: Liability/Risk Management (cont'd)	Unit 6: Financial Management and Capital Asset Planning (cont'd)
2:45-3:00	*Break*	*Break*
3:00-5:00	Unit 5: Liability/Risk Management (cont'd)	Unit 7: Human Resource Management

SCHEDULE

TIME	DAY 5	DAY 6
8:00-9:00	Activity 2.1: Current Event Group Presentation	Activity 2.1: Current Event Group Presentation Unit 8: Collaboration, Cooperation and Community Engagement (cont'd)
9:15-9:30	*Break*	*Break*
9:30-10:45	Unit 7: Human Resource Management (cont'd)	Unit 8: Collaboration, Cooperation and Community Engagement (cont'd)
10:45-11:00	*Break*	*Break*
11:00-12:00	Unit 7: Human Resource Management (cont'd)	Unit 8: Collaboration, Cooperation and Community Engagement (cont'd)
12:00-1:00	*Lunch Break*	*Lunch Break*
1:00-2:45	Unit 8: Collaboration, Cooperation and Community Engagement	Unit 8: Collaboration, Cooperation and Community Engagement (cont'd)
2:45-3:00	*Break*	*Break*
3:00-5:00	Unit 8: Collaboration, Cooperation and Community Engagement (cont'd)	Unit 8: Collaboration, Cooperation and Community Engagement (cont'd) Course Evaluation and Graduation

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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

GRADING METHODOLOGY

Each student will complete a written essay and oral presentation. These assessments will be evaluated following the course evaluation plan

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COURSE EVALUATION PLAN

Summary Evaluation Plan and Scoring Sheet

The summary evaluation plan of the “New Executive Chief Officer” (R0763) course is as follows:

Assessment Activity	Assignment	Point Score	% of Final Grade	Weighted Point Score Toward Final Grade
1	The First Year Challenges & Issues	/100	30%	
2	Current Events	/100	20%	
3	Current Event Group Presentation	/100	10%	
4	The First Year Issue Analysis	/100	30%	
5	The First Year Issue Presentation	/100	10%	
		/500	**100%**	**___/100%**

All evaluated elements must be successively completed. A minimum final course grade of at least 70 percent is required to pass this course. Enter the student’s score in the Course Grade Record.

Numerical Score	Letter Grade
100-90	A
89-80	B
79 - 70	C
69 and below	F

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NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 1

THE FIRST YEAR — CHALLENGES AND ISSUES

The New Executive Chief Officer course presents a variety of contemporary topics that address your roles and responsibilities as a new fire chief. You have been entrusted by your community with the opportunity and responsibility to exercise leadership and management for their safety and the safety of their families and businesses as well. In most cases, a new Executive Chief Officer has but a brief time to establish themselves as a credible and legitimate source of the effective exercise of management, leadership, and stewardship. To this condition, you will need to be strategic and thoughtful in your approach and efforts as well as realistic about what you can and cannot accomplish within your first year.

This is an evaluated activity and represents 30% of your total course grade.

For this evaluation you will:

1. Access on line the course syllabus at (INSERT URL) and review the course objectives and content.

2. Assess from your current position and organizational environment the topics and content of the New Executive Chief Officer course. Consider that you are preparing for a meeting with your professional mentor. Your mentor has asked you to select your **three most important** issues and/or challenges that you believe you will face within your first year as an Executive Chief Officer.

3. From your assessment create a written executive summary (maximum 3 pages with no more than one page per issue/challenge, double spaced) that outlines these issues/challenges from the perspective of the course content and answer the questions below. Be specific in your answers and include:

    a. What are the specifics of each issue (who, what, where, etc.)?

    b. Why do you perceive this issue as a challenge?

    c. Which course objectives/content is most closely aligned to your needs in addressing the issue?

4. Your paper will be due on Sunday (Day 1) 8:30 a.m. This paper will be used to aid in class dialogue and course application and an additional evaluated activity.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 1

THE FIRST YEAR — CHALLENGES AND ISSUES

COVER SHEET

Certification Statement

I hereby certify that my responses on this exam constitutes my own product, that where the language of others is set forth, quotation marks so indicate, and that appropriate credit is given where I have used the language, ideas, expressions, or writings of another.

Print Name: ________________________________

Signed: ____________________________________

Date: ______________________________________

NOTE: Below is guidance only and not to be included on the cover sheet.

- The written paper is to be no more than 3 pages double spaced, 12-point font, in Times, Arial, or Calibri font style, and no smaller than 1-inch margins on all sides.
- The paper should be free of grammatical, composition, and spelling errors. Any works of others used must be cited using APA format.
- A cover sheet (template provided above) must be completed and attached to the front of your paper.
- The evaluation rubric should be used to guide your development of this activity.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 1 RUBRIC

THE FIRST YEAR — CHALLENGES AND ISSUES

Assessment Area	Insufficient 0 points	Inadequate 15 points	Proficient 20 points	Exemplary 25 points
What are the top three issues and the specific details? (Who, what, where, etc.)	No issues presented	Only 1 issue presented with minimal specifics and is vague	2 issues presented with minimal specifics and is vague but main points could be inferred.	3 issues presented with significant specifics, so the issues are clearly evident.
Why do you perceive these issues as a challenge?	No issues presented	Only 1 issue presented with minimal specifics and is vague	2 issues presented with minimal specifics and is vague but reasons (Why?) could be inferred.	3 issues presented with significant specifics so reasons (Why?) are clearly evident.
Which course objectives/content is most closely aligned to your needs in addressing the issue?	No issues presented	Only 1 issue presented with non-specific course alignment.	2 issues presented with minimal specific course alignment.	3 issues presented with detailed course alignment.

Assessment Area: Organization, Grammar and Mechanics

Assessment Area	Insufficient 0 points	Inadequate 15 points	Proficient 20 points	Exemplary 25 points
Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition.	No issues submitted	May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion. The document is mostly organized, but instructions were not entirely followed. There are 7 to 8 errors	May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion. The document is mostly organized, but instructions were not entirely followed. There are 4 to 6 errors.	Free from errors in grammar, usage and the conventions of written English. There are 0 to 3 errors.

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NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 2

CURRENT EVENTS

The New Executive Chief Officer course includes eight units of learning that covers a broad spectrum of topics. The content of the course was derived from specific needs identified in the assessment of issues that often face the New Executive Chief Officer. The application of the course content to relevant and recent issues is critical to the growth and development of the New Executive Chief Officer. The intent of this activity is to provide an opportunity to consider the application of course content in light of specific current events and prepare for in-depth dialogue during class sessions.

This is an evaluated activity and represents 20% of your total course grade.

For this evaluation you will:

1. Access on line the course syllabus and review the course objectives and content.

2. Select four of the eight topics listed in the course syllabus to use as a focus in researching current events related to the topics.

3. For each of the four selected topics research the web or other public sourced materials and find a current event related to the topic. The event may not be older than 60 days from the start date of your class.

   NOTE: The selected events are not limited to fire and EMS issues. The application and needs of an executive in reviewing and considering challenging issues is universal.

4. After selecting the current events create a written executive summary (maximum 4 pages not to exceed one page per event - double spaced) that outlines these issues/challenges from the perspective of the course content and answer the questions below. Be specific in your answers and include:

   a. What are the specifics of each issue (who, what, where, etc.)?

   b. How does this event relate to your needs as a developing Executive Officer? Be specific

   c. Which course objectives/content is most closely aligned to this event?

   d. What is the specific source of your event? (follow APA 6th ed. citation guidelines)

5. Your paper will be due on Sunday (Day 1) 8:40 a.m. This paper will be used to aid in class dialogue and course application in additional evaluated activities.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 2

CURRENT EVENTS

COVER SHEET

Certification Statement

I hereby certify that my responses on this exam constitutes my own product, that where the language of others is set forth, quotation marks so indicate, and that appropriate credit is given where I have used the language, ideas, expressions, or writings of another.

Print Name: ________________________________

Signed: ___________________________________

Date: _____________________________________

NOTE: Below is guidance only and not to be included on the cover sheet.

- The written paper is to be no more than 3 pages double spaced, 12-point font, in Times, Arial, or Calibri font style, and no smaller than 1-inch margins on all sides.
- The paper should be free of grammatical, composition, and spelling errors. Any works of others used must be cited using APA format.
- A cover sheet (template provided above) must be completed and attached to the front of your paper.
- The evaluation rubric should be used to guide your development of this activity.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 2 RUBRIC

CURRENT EVENTS

Assessment Area	Insufficient 0 points	Inadequate 10 points	Proficient 15 points	Exemplary 20 points
What are the four issues and the specific details? (Who, what, where, etc.)	No issues presented	1 - 2 issues presented with minimal specifics and is vague	3 issues presented with minimal specifics and is vague but main points could be inferred.	4 issues presented with significant specifics, so the issues are clearly evident.
How does this event relate to your needs as a developing Executive Officer?	No issues presented	1 - 2 issues presented with minimal specifics and is vague	3 issues presented with minimal specifics and is vague, but relationship could be inferred.	4 issues presented with significant specifics, so relationship is clearly evident.
Which course objectives/content is most closely aligned to your needs in addressing the issue?	No issues presented	1 - 2 issues presented with non-specific course alignment.	3 issues presented with minimal specific course alignment.	4 issues presented with specific course alignment.
What is the specific source of your event?	No issues presented	1 – 2 issues presented with non-specific sourcing.	3 issues presented with source citations but not to APA 6th ed. standard.	4 issues presented with source citations to APA 6th ed. standards.

Assessment Area: Organization, Grammar and Mechanics

Assessment Area	Insufficient 0 points	Inadequate 10 points	Proficient 15 points	Exemplary 20 points
Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition.	No issues submitted	May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion. The document is mostly organized, but instructions were not entirely followed. There are 7 to 8 errors	May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion. The document is mostly organized, but instructions were not entirely followed. There are 4 to 6 errors.	Free from errors in grammar, usage and the conventions of written English. There are 0 to 4 errors.

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NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 3

CURRENT EVENT GROUP PRESENTATION

You have been entrusted by your community with the opportunity and responsibility to exercise leadership and management for their safety and the safety of their families and businesses as well. In your pre-course Activity #2 – Current Events, you identified current events and you related them to the course topics. Now you have had the opportunity to consider and reflect on the specific course content, activities and dialogue that may relate to your issues. Using these reflections follow the below directions to complete this evaluation activity.

This is an evaluated activity and represents 10% of your total coursed grade.

For this evaluation you will:

1. Within your assigned group you will provide an executive briefing to the group members on the current events you identified.

2. After the briefings your group will select four current events that incorporates one or more of the course topics within the following groupings:

   a. Units 1-4.
   b. Units 5 and 6.
   c. Units 6 and 7.
   d. Unit 8.

3. Using your selected events, your group will prepare an overview of each event. The overview is to include:

   a. Brief synopsis of the event.

   b. The events relationship to the course topics.

   c. What are the groups executive officer perspectives of the event?

   d. Three critical thinking questions related to the event, perspectives, or course content.

4. Starting on Monday morning, your facilitators will call on one or more groups to present their event overview and questions to the class. All members of the group must participate in the overview and question presentation. The critical thinking questions will be used by the group to prompt class dialogue. The evaluation rubric should be used to guide your development of this activity.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 3 RUBRIC

CURRENT EVENT GROUP PRESENTATION

Assessment Area	Insufficient 0 points	Inadequate 15 points	Adequate 20 points	Exemplary 25 points
Brief synopsis of the event	No issue presented	Synopsis presented lacked clarity and specificity.	Synopsis presented provided minimal clarity and specificity.	Synopsis presented provided detailed clarity and specificity.
The events relationship to the course topics.	No issue presented	Synopsis presented lacked clarity and specificity as to course topics.	Synopsis presented provided minimal clarity and specificity as to course topics.	Synopsis presented provided clarity and detailed specifics in relation to course topics.
Groups executive officer perspectives of the event	No issue presented	Perspectives presented lacked clarity and specificity.	Perspectives presented with minimal clarity and specificity.	Perspectives presented with clarity and detailed specificity.
Three critical thinking questions related to the event, perspectives, or course content.	No issue presented	One critical thinking question presented.	Two critical thinking questions presented.	Three critical thinking questions presented.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 4

ISSUE ANALYSIS

You have been entrusted by your community with the opportunity and responsibility to exercise leadership and management for their safety and the safety of their families and businesses as well. In your pre-course Activity-1 you identified three issues or challenges that may affect those responsibilities and you related them to the course topics. Now you have had the opportunity to consider and reflect on the specific course content, activities and dialogue that may relate to your issues. Using these reflections follow the below directions to complete this evaluation activity.

This is an evaluated activity and represents 30% of your total course grade.

For this evaluation you will:

1. Select one of your challenges/issues identified in pre-course Activity-1. Consider the perspective on this issue and what caused you to consider it as one of your top three concerns.

2. Given the course presentation, create an executive summary (analysis) that describes how your perspective may or may not have changed on the issue. Be specific in stating your conclusion (maximum 1 page double spaced).

3. This summary is to be written as public document that will be handed out during a public meeting simulation that you will present in Evaluation Activity # 5 – Issue Presentation.

4. Using your perspective above and the course topics/units, create a written analysis of how you will address the issue. (maximum 2 pages double spaced). Include specific reference to how and which course topics/units have influenced your analysis.

5. Your executive summary and written analysis paper will be due on Friday (Day 6) at a time determined by your facilitators.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 4

ISSUE ANALYSIS

COVER SHEET

Certification Statement

I hereby certify that my responses on this exam constitutes my own product, that where the language of others is set forth, quotation marks so indicate, and that appropriate credit is given where I have used the language, ideas, expressions, or writings of another.

Print Name: ________________________________

Signed: ___________________________________

Date: _____________________________________

NOTE: Below is guidance only and not to be included on the cover sheet.

- The written paper is to be no more than 3 pages double spaced, 12-point font, in Times, Arial, or Calibri font style, and no smaller than 1-inch margins on all sides.
- The paper should be free of grammatical, composition, and spelling errors. Any works of others used must be cited using APA format.
- A cover sheet (template provided above) must be completed and attached to the front of your paper.
- The evaluation rubric should be used to guide your development of this activity.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 4 RUBRIC

ISSUE ANALYSIS

Assessment Area	Insufficient 0 points	Inadequate 30 points	Adequate 35 points	Exemplary 40 points
An executive summary (analysis) that describes how your issue perspective may or may not have changed. Be specific in stating your conclusion	No issue presented	Summary presented lacked clarity and specificity.	Summary presented provided minimal clarity and specificity on perspective status.	Summary presented provided clarity and specificity on perspective status
An analysis of how the issue will be addressed with specific reference to how and which course topics/units have influenced the analysis.	No issue presented	Analysis presented lacked clarity and specificity.	Analysis presented provided minimal clarity and specificity in relation to course topics.	Analysis presented provided clarity and detailed specifics in relation to course topics.

Assessment Area: Organization, Grammar and Mechanics

Assessment Area	Insufficient 0 points	Inadequate 5 points	Adequate 10 points	Exemplary 20 points
Organization, Grammar and Mechanics: Diction, sentence structure and spelling. Complies with APA Sixth Edition.	No issue or presentation	May have errors in grammar, usage or the conventions of written English; these errors may lead to some confusion. The document is mostly organized, but instructions were not entirely followed. There are 7 to 8 errors	May have a few errors in grammar, usage and the conventions of written English; these errors do not cause confusion. The document is mostly organized, but instructions were not entirely followed. There are 4 to 6 errors.	Free from errors in grammar, usage and the conventions of written English. There are 0 to 3 errors.

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NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 5

ISSUE PRESENTATION

A significant responsibility of an executive officer is preparing succinct presentations to a wide variety of audiences on many subjects. In Evaluation Activity # 4 – Issue Analysis, you selected one issue or challenge that you are facing and then created a written executive summary and analysis. That selection now serves as the basis for creating and presenting a brief oral presentation.

This is an evaluated activity and represents 10% of your total course grade.

For this evaluation you will:

1. Review your executive summary and written analysis from Evaluation Activity # 4.

2. Prepare a brief and succinct oral presentation (5-7 minutes maximum) on your analysis.

3. The presentation must provide clarity of the issue and be specific as to how your perspective may or may not have changed on the issue. Be specific in stating your conclusion.

4. You will use your one-page analysis as a handout for the audience. Be prepared to answer questions about your issue.

5. You may use no more than 5 PowerPoint slides.

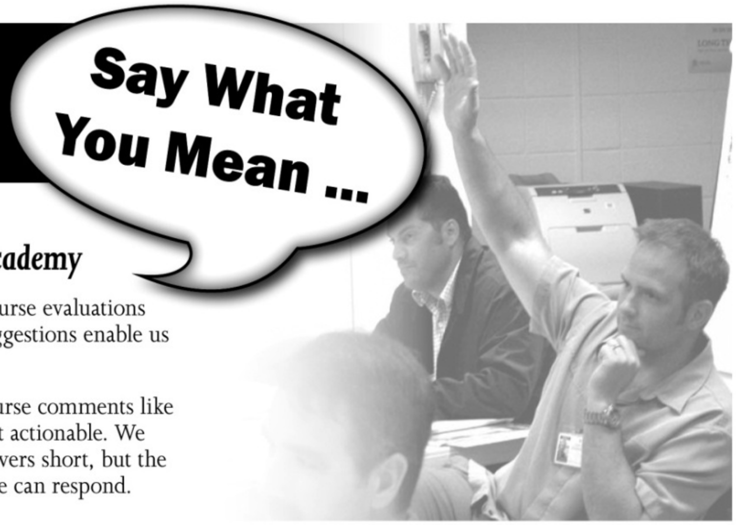
6. Your presentation will be due on Friday (Day 6) at a time determined by your facilitators.

NEW EXECUTIVE CHIEF OFFICER EVALUATED ACTIVITY 5 RUBRIC

ISSUE PRESENTATION

Assessment Area	Insufficient 0 points	Inadequate 30 points	Adequate 40 points	Exemplary 50 points
Deliver a 5 to 7-minute oral presentation	No issue presented	Presentation presented was less than 5 minutes or exceeded 9 minutes.	Presentation was exceeded 7 minutes but was less than 9 minutes	Presentation was within 5-7 minutes.
The presentation has clarity of the issue and specific as to how perspectives may or may not have changed on the issue. A specific conclusion is stated.	No issue presented	Analysis presented lacked clarity and specificity.	Analysis presented provided minimal clarity and specificity.	Analysis presented provided clarity and detailed specifics.

A Student Guide to End-of-course Evaluations



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.

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UNIT 1: RESPONSIBILITIES OF THE EXCUTIVE CHIEF OFFICER

TERMINAL OBJECTIVE

The students will be able to:

1.1 Articulate the executive chief officer's scope of duties, responsibilities, roles, and leadership behaviors.

ENABLING OBJECTIVES

The students will be able to:

1.1 Define the executive chief officer's role.

1.2 Explain the executive chief officer's 10 responsibilities.

1.3 Describe five performance areas for which an executive chief officer is held accountable.

1.4 Differentiate between the leadership roles of the executive chief officer and subordinate positions.

1.5 Explain the nine leadership behaviors of successful executive chief officers.

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FEMA

U.S. Fire Administration

UNIT 1: RESPONSIBILITIES OF THE EXECUTIVE CHIEF OFFICER

Slide 1-1

TERMINAL OBJECTIVE

Articulate the executive chief officer's scope of duties, responsibilities, roles, and leadership behaviors.

Slide 1-2

ENABLING OBJECTIVES

- Define the executive chief officer's role.
- Explain the executive chief officer's 10 responsibilities.
- Describe five performance areas for which an executive chief officer is held accountable.
- Differentiate between the leadership roles of the executive chief officer and subordinate positions.
- Explain the nine leadership behaviors of successful executive chief officers.

Slide 1-3

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ACTIVITY 1.1

Introductions

Purpose

Create opportunity and challenges to explore areas of common thought as well as diverse perspectives in the responsibilities of an executive chief officer.

Directions

1. On a blank sheet of paper write down as rapidly as possible on one side of the paper your initial thoughts of the responsibilities of an executive chief officer you considered when you decided to apply for the position of executive chief officer.

3. On the opposite side of the paper as rapidly as possible write down your two most significant reflections or thoughts of the responsibilities of an executive chief officer that occurred at the end of your first month on the job.

4. Your facilitator will form groups of five or six and have you share your written reflections.

5. Reconvene into a large group and introduce yourself (name, agency, city/county, state) and state what your most significant take away was from the initial engagement with your fellow students.

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I. EXECUTIVE CHIF OFFICER'S ROLE AND RESPONSIBILITIES

ROLE OF THE EXECUTIVE CHIEF OFFICER

Lead and administer the human, financial and physical resources of the department so that the mission of the organization is accomplished.

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A. Role of the executive chief officer.

Explain the role of the executive chief officer is to lead and administer the human, financial and physical resources of the department so that the mission of the organization is accomplished.

EXECUTIVE CHIEF OFFICER'S RESPONSIBILITIES

- Operational readiness.
- Health, wellness and safety.
- Strategic risk management.
- Human, fiscal and capitol resources.
- Legal compliance,

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B. Responsibilities of the executive chief officer.

1. Ensure operational readiness of the department.

   a. Operational readiness involves the department's ability to respond to emergencies and perform other assignments.

   b. Operational readiness includes the preparedness of several department programs.

c. Training is one of the most important elements of operational readiness. Responders must be adequately trained so that they can perform their assigned duties safely, effectively and efficiently.

- Training requirements may be established by the local department, state agencies or federal law.

- National Fire Protection Association (NFPA) professional standards for various positions provide guidance for job performance requirements (JPRs) and requisite knowledge and skills.

- The training may be delivered internally by department training officers or by other training agencies, such as state training, community colleges, etc.

d. Maintenance of apparatus, tools and equipment. The maintenance is generally performed by department personnel. Apparatus must be able to respond whenever an alarm is received.

e. Operational readiness also includes adequate staffing. Staffing is part of another responsibility, but it affects operational readiness.

2. Ensure health, wellness and safety of department personnel.

a. The health, wellness and safety of department personnel is the most critical responsibility for any executive chief officer.

b. NFPA 1582, *Standard on Comprehensive Occupational Medical Program for Fire Departments* identifies the medical requirements for firefighters. It may be adopted locally or by the state in some cases. Until it is adopted, it is only a guideline.

c. A department wellness coordinator can help implement wellness programs that improve the health of all personnel regardless of assignment or risk.

d. Every department must have a trained cadre of Safety Officers. The role of Safety Officers may vary, but they are responsible for safety operations at emergencies.

e. Health, wellness and safety SOPs and department policies should be developed and adopted. Once adopted, it is the responsibility of the executive chief officer to ensure that procedures and policies are implemented and enforced.

3. Strategic community risk management.

   a. The executive chief officer should proactively manage the community's risk instead of relying only on emergency response. Emergency response is just one strategy for managing the risk.

   b. Strategic community risk management incorporates on going assessment of risk and vulnerabilities in order to determine strategies for preventing and mitigating incidents.

   c. Another important strategy is enforcement of fire codes, public education, and fire investigation.

   d. Preplanning identifies the highest risks in the community and provides a response plan in case of emergencies.

   e. In some communities, a department may be tasked with managing other hazards, such as medical emergencies, hazardous materials emergencies, etc.

   f. Managing risk should be a cooperative effort involving other local and state agencies, such as law enforcement, emergency management and public works.

4. Administer the department's human, financial and physical resources.

   a. The human resources involve recruiting, selecting and hiring qualified personnel. This also involves evaluating the performance of current personnel.

   b. Financial responsibility includes administering the department's budget. This includes financing, budgeting and reporting. Also, this requires the executive chief officer to work with other city officials.

   c. Physical resources include buildings, apparatus and other infrastructure. The executive chief officer is responsible for identifying what is needed in order to meet the department's mission, and then the chief needs to obtain those physical resources.

   d. The executive chief officer must develop and adopt policies that guide the administration of the resources.

5. Ensure compliance with local, state and federal laws and regulations.

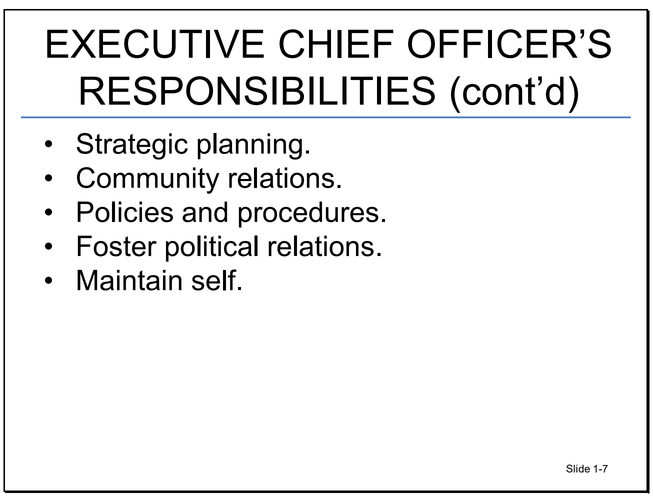
   a. As the senior official in the fire department, the executive chief officer is responsible for ensuring that all applicable laws and regulations are met. This includes ensuring that department policies and procedures are in compliance with applicable laws and regulations.

   b. The executive chief officer must be familiar with the laws that affect the fire department. The executive chief officer should work with the city, district or county's legal counsel on all legal matters.

   c. Professional organizations, such as the State Chief's Association, may provide training on legal issues. These organizations also provide a peer network.

   d. When a legal issue arises, the executive chief officer must work with other appointed officials who may have an interest in the issue.

   e. Failure to ensure compliance with applicable laws and regulations may led to the executive chief officer being found negligent or perhaps even grossly negligent. These findings may have a significant impact professionally, personally and financially.



6. Create and maintain a strategic plan for the department.

   a. The strategic plan charts a course for the department's activities and services. The plan establishes priorities for the department.

   b. The strategic plan is built on the mission and charter of the fire department as well as on the goals of the local government.

c. The strategic plan addresses all the major aspects of fire department operations.

d. All members of the department should have involvement in the development of the strategic plan.

e. The strategic plan should be updated annually.

7. Promote positive community relations.

a. The effectiveness and success of the department is tied to the quality of the relationship that the department has with the community.

b. The executive chief officer and department must work with members of the community and the community organizations. This helps the executive chief officer understand the needs of the community.

c. The executive chief officer should be involved with community organizations, such as Lions Club, Rotary Club or chamber of commerce. This involvement can provide the executive chief officer with access to community leaders.

d. Community relations also involve developing and maintaining mutual-aid agreements and maintaining relationships with fire officials from other departments.

8. Administer department policies and procedures.

a. The executive chief officer is responsible for the development, adoption and enforcement of the department policies and procedures.

b. Policies and procedures assist with decision-making and guide operations.

c. The adoption process must meet local requirements, state law, etc.

d. Policies and procedures must be based on current standards, codes and laws.

9. Foster positive relationships with other appointed and elected officials.

a. The executive chief officer is responsible for building these relationships. If the chief is new, the relationships may be new.

b. The executive chief officer should learn about the personal and professional agendas of elected and senior appointed officials.

c. By attending meetings of elected officials, the executive chief officer becomes acquainted with the officials and understands the local political process.

d. Appointed and elected officials should be provided with regular updates on fire and EMS department activities and achievements.

e. The executive chief officer should always cooperate with appointed and elected officials. Resistance reduces trust and credibility and may have a negative impact on department funding and status with influential community members.

10. Maintain self.

a. Professional competence requires the completion of training and education courses. These can include local training, college courses and NFA programs.

b. A job description identifies the required level of training and experience for the executive chief officer. Other requirements can be found in NFPA 1021, *Standard for Fire Officer Professional Qualifications*.

c. The State Chief's Association may provide training courses. Also, participation in the association helps build a peer network and brings professional credibility.

d. When available, the executive chief officer should obtain professional certifications, such as Fire Officer 3 or 4 or Chief Officer designation.

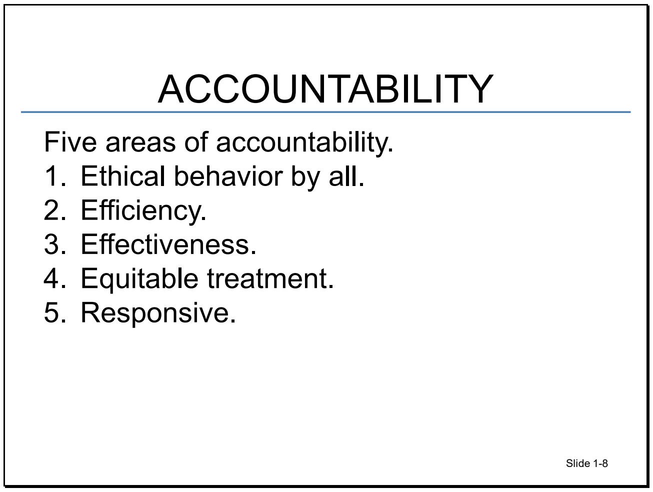
e. Credibility also requires ethical behavior, keeping commitments, etc.

f. Develop a life-work balance plan to help maintain self.

C. Accountability.

1. There are five areas of accountability that the community has for the fire department. These areas of accountability are used to evaluate the performance of the executive chief officer.

2. The community, specifically elected and senior appointed officials, will hold the executive chief officer accountable for successfully meeting these expectations.



3. Five areas of accountability.

    a. Ethical behavior by members of the department. The public expects all members of the fire department to act ethically, especially the executive chief officer. A breach of ethical conduct can immediately destroy a trusting relationship, resulting in a loss of influence both inside and outside the department.

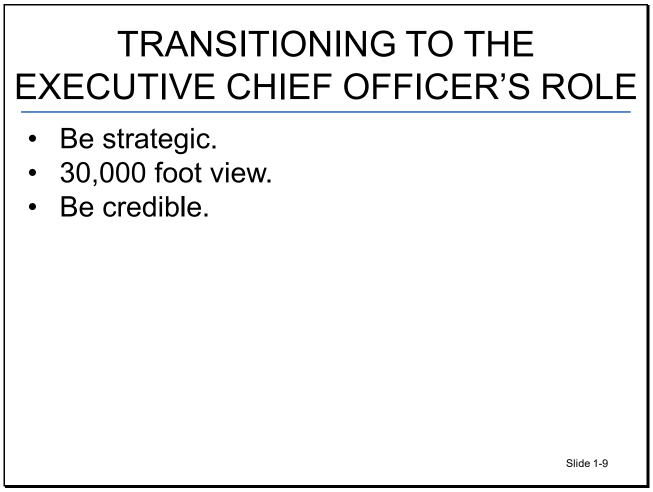
    b. Efficiency of the department. The public expects the executive chief officer to wisely and prudently use the resources provided. Any waste, even if just perceived, is seen as a lack of efficient operation.

    c. Effectiveness of the department. The public expects the fire department to be effective during operations and service delivery.

    d. Equitable treatment of all citizens. Citizens, especially minorities and the economically disadvantaged, expect to be treated equitably. In other words, these groups expect to receive the same types and quality of services as any other group in the community.

    e. Responsive to needs and requests for assistance. The public expects the fire department to be responsive to requests for assistance. This includes both emergency and nonemergency situations. This is something that is most affected by the individual companies in the neighborhood.

II. TRANSITIONING TO THE EXECUTIVE CHIEF OFFICER'S ROLE



A. The executive chief officer leads at a different level than other officers in the department. The executive chief officer must lead at the strategic level (i.e., the big picture level). To be effective, the executive chief officer must have the mindset of a strategic leader.

B. The first objective of most new executive chief officers is to establish credibility within the department and with senior appointed and elected officials.

1. This means setting themselves apart from the previous executive chief officer so that they are clearly recognized as the department's leader and senior official.

2. New executive chief officers often take a critical position toward current procedures and policies. In some cases, the new executive chief officer begins changing policies immediately.

3. As the new executive chief officer begins to make changes, department members feel stress about the changes and the impact of those changes to them personally.

4. The greater the difference between the new direction of the chief and the needs of the department members, the greater the stress and the more likely there will be resistance to the new direction.

5. It is very beneficial for the new executive chief officer to be properly trained prior to assuming the duties of chief. The chief will be more confident as a result of the training, as well as being better equipped to meet the responsibilities of the position.

AREAS OF INTERACTION DURING TRANSITION

- Partnering in decision-making.
- Focusing on success.
- Allow new executive chief officer to be challenged.
- Providing support to all.

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C. Four areas of interaction between the executive chief officer and department members are critical for a successful transition.

1. Partnering in decision-making.

   a. The new executive chief officer should seek input on major issues from those affected by the potential changes.

   b. Time must be taken to listen to department members to better understand the issues most important to the members.

   c. Decisions by the new executive chief officer must be made based on facts and accurate data.

2. Focusing on successful implementation of new changes.

   a. The new executive chief officer must trust department leaders to implement the new changes, policies, etc.

   b. The key is clear communication to department personnel on the reason for the change and the expected results. This places a focus on results instead of the implementation process.

   c. Implementation decisions should be delegated to qualified officers and department leaders.

3. Allowing the new executive chief officer to be challenged when appropriate.

   a. The executive chief officer is well-served by allowing personnel to give feedback on ideas that they believe to be impractical.

b. Honest interaction will also bring new information and ideas that may benefit the department.

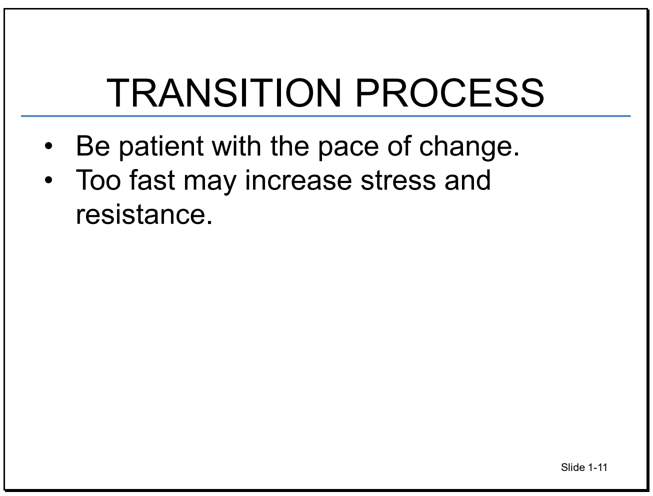
c. Feedback must be presented professionally and focus on issues rather than agendas.

4. Providing support to the new executive chief officer.

a. The new executive chief officer must create an environment that fosters communication and allow for requesting assistance as needed.

b. Department officers and leaders must implement changes as intended and directed.

c. Department officers and leaders should inform the new executive chief officer early regarding issues that may become a problem, allowing proactive interventions.

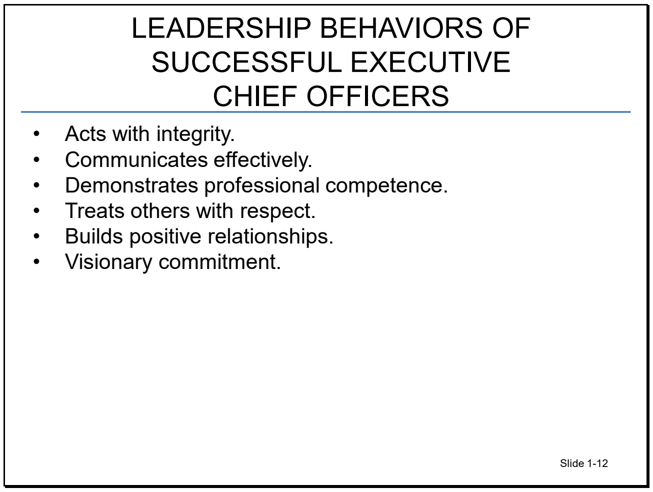


D. The transitioning process takes time, sometimes several months.

1. During this time, the new executive chief officer must be patient with the pace of change.

2. Trying to make change too fast will increase stress and the resistance by department members.

III. LEADERSHIP BEHAVIORS OF SUCCESSFUL EXECUTIVE CHIEF OFFICERS



A. Acts with integrity.

1. The executive chief officer must act ethically and with integrity both on- and off-duty. The executive chief officer, especially in a small community, is observed and scrutinized every day, all day.

2. Integrity includes acting ethically, being moral, keeping confidences, and remaining truthful in relationships.

3. Integrity also includes having the courage to stand up for what is right, even when it may bring criticism from others.

4. The executive chief officer is a role model for department members, especially for following the regulations and policies. At all times, and in every situation, the executive chief officer must adhere to the same standards and expectations to which others are held accountable. In fact, the executive chief officer should hold himself or herself to an even higher standard of conduct.

B. Communicates effectively.

1. Effective communication is necessary for the executive chief officer to be able to reach and influence staff members, community leaders and officials.

2. Effective communication involves being able and willing to listen to others, speak articulately, and write with proper grammar and spelling.

3. As part of communication, the executive chief officer should seek out input from others on department issues and major decisions.

4. Keeping the staff informed on department activities and issues, especially during periods of change, is critical for success.

5. It is imperative that social media be engaged responsibly throughout the organization.

C. Demonstrates professional competence as a executive chief officer.

1. The department staff will constantly evaluate the executive chief officer's competence. Firefighters and EMS personnel will tend to respect the judgment of an executive chief officer whom they believe is competent.

2. The executive chief officer should participate in professional development courses and programs. The training and education should focus on the skills needed as a executive chief officer.

3. Another measure of professional competence is participation in professional organizations, such as IAFC, the state fire chiefs' organization, etc. These organizations may also offer professional development courses and professional certifications.

4. When available, the executive chief officer should work toward professional certifications and educational degrees that demonstrate continued growth.

D. Treats others fairly and with respect.

1. The executive chief officer respects the values and beliefs of others regardless of race, creed, gender, etc.

2. Everyone is treated fairly and impartially, without bias or prejudice.

3. The executive chief officer is consistent in demeanor and avoids any public criticism of others.

E. Builds positive relationships with staff, citizens and other officials.

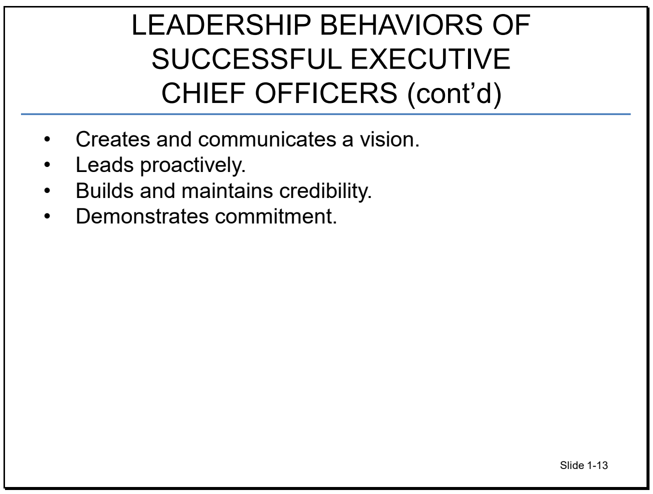
1. To be successful, the executive chief officer must build a local network that can support the fire department and its programs.

2. The executive chief officer must become active in the community to learn about the needs of the community and to build a relationship with community leaders. These relationships can build support of the fire department.

3. With all stakeholders, the executive chief officer must have a win-win philosophy and seek areas in which the fire department can work cooperatively with other agencies, departments and organizations.

4. The executive chief officer must attend and participate in meetings of senior appointed and elected officials, including regular meetings of the authority having jurisdiction (AHJ) over the fire department.

5. Consider social media to be both a positive and negative influence. It must be managed.



F. Creates and communicates a vision for the department.

1. The vision is the executive chief officer's road map for the future of the department. The new executive chief officer must have a plan to move the department forward from the current status quo.

2. The vision must be based on the goals and needs of the community and include input from department members.

3. The executive chief officer is responsible for integrating the vision into the department's programs, services and procedures.

4. It is critical that the executive chief officer frequently communicate the vision to department members, community decision-makers and stakeholders.

5. Social media can be of value to promote the organizational vision both internally and externally.

G. Leads proactively.

1. The executive chief officer must be a capable decision-maker. This means acting decisively and proactively.

2. By being a proactive leader, the executive chief officer anticipates issues and community needs and takes action before the issues and needs become critical.

H. Builds and maintains credibility.

1. Credibility is developed by sound decision-making, keeping commitments and leading department successes.

2. The executive chief officer makes decisions based on data, facts and objective input from respected officers and community leaders. When this is done, the quality of decisions improves and mistakes are reduced.

3. The executive chief officer takes responsibility for actions and decisions and, when necessary, remains accountable for errors in judgment.

4. The public expects the executive chief officer to accept responsibility for the performance of the department and its members.

5. The executive chief officer acknowledges the hard work and successes of others and always gives credit where credit is due. In addition, the executive chief officer acts with humility.

I. Demonstrates commitment to the department members, the organization and the community.

1. The executive chief officer is hardworking and dedicates the time and energy necessary to meet the responsibilities of the position. In this regard, his or her work ethic is a positive model for others in the department.

2. The decisions made, programs implemented and services provided are intended to serve the community and improve the quality of life.

3. The health and safety of the department members are always considered during decision-making.

4. The executive chief officer is a strong advocate for the department and its members and for community fire protection.

5. The executive chief officer serves the community through participation in local organizations, such as Lions Club, Rotary Club, chamber of commerce, etc.

IV. SUMMARY

FEMA

U.S. Fire Administration

SUMMARY

- Executive chief officer's role and responsibilities.
- Transitioning to the executive chief officer's role.
- Leadership behaviors of successful executive chief officers.

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APPENDIX

RESOURCES

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Resources

Governmental Agencies and Resources

1. USFA: www.usfa.fema.gov/.

   As an entity of the Department of Homeland Security's (DHS's) Federal Emergency Management Agency (FEMA), the mission of USFA is to provide national leadership to foster a solid foundation for our fire and emergency services stakeholders in prevention, preparedness and response. USFA provides many services that are valuable for a fire chief, including reports from research on fire service issues, fire safety education materials, reports on significant incidents, and data on fires taken from NFIRS and other sources. Resources are constantly being added to the USFA website.

2. NFA: www.usfa.fema.gov/nfa/.

   The mission of NFA is to promote the professional development of the fire and the emergency response community and its allied professionals. NFA supports state and local training organizations to fulfill their obligation to the career and volunteer fire and emergency services. NFA also develops, delivers and manages educational and training programs having a national focus that is outside state and local training missions or exceeds state and local capabilities because of cost or audience. The programs are designed to support DHS and FEMA goals to help state and local response agencies prevent, mitigate, prepare for and respond to local, regional and national emergencies.

   There are several training programs that are specifically designed for fire chiefs. The best known is the Executive Fire Officer Program (EFOP). This four-year program provides intensive training in several areas that are critical for the success of every fire chief. There are numerous other resident and nonresident courses that are of value to fire chiefs and senior leaders. A description of the courses, the training calendar, and other training resources are available on the website.

3. FEMA: www.fema.gov/.

   FEMA's mission is to reduce the loss of life and property and protect communities nationwide from all hazards, including natural disasters, acts of terrorism, and other man-made disasters. FEMA leads and supports the nation in a risk-based, comprehensive emergency management system of preparedness, protection, response, recovery and mitigation. FEMA is not the team, but part of a team. That team includes federal partners; state, tribal and local officials; the private sector; nonprofits and faith-based groups; and the general public.

   Numerous training programs are available for local emergency responders through FEMA. Most programs are delivered by each state's emergency management agency. There are courses available through FEMA's Emergency Management Institute (EMI) in Emmitsburg, Maryland. These courses are similar to those offered at NFA, but with a focus on emergency management and leadership of that function at the local level. Independent study courses are also available through EMI.

4. National Institute for Occupational Safety and Health (NIOSH): www.cdc.gov/niosh/fire/.

   NIOSH is the federal agency responsible for conducting research and making recommendations for the prevention of work-related injury and illness. The mission of NIOSH is to generate new knowledge in the field of occupational safety and health and to transfer that knowledge into practice for the betterment of workers. To accomplish this mission, NIOSH conducts scientific research, develops guidance and authoritative recommendations, disseminates information, and responds to requests for workplace health-hazard evaluations.

   Each year, an average of 100 firefighters die in the line of duty. To address this continuing national occupational fatality problem, NIOSH conducts independent investigations of firefighter LODDs. This Web page provides access to NIOSH investigation reports and other firefighter safety resources.

5. National Institute of Standards and Technology (NIST): www.nist.gov/.

   The mission of the building and fire research programs at NIST is to anticipate and meet the measurement science, standards and technology needs of the U.S. building and fire safety industries in areas of critical national need. NIST's fire-related research has resulted in advances in fire protection technology and a greater understanding of fire dynamics and methods for protecting firefighters. Numerous research reports and DVDs are available through NIST, all of which can be used to supplement firefighter training.

6. State fire service training agencies: www.usfa.fema.gov/pocs/.

   Every state has an agency that is responsible for providing or facilitating the training of firefighters. The specific agency varies and may include the state fire marshal's office, state university, or an independent training agency. NFA works through these agencies to deliver nonresident courses. A list of the state training agencies is available on this website.

7. NFIRS: www.nfirs.fema.gov/.

   The National Fire Data Center (NFDC) in the USFA gathers and analyzes information on the magnitude of the nation's fire problem, as well as its detailed characteristics and trends. USFA also develops uniform data reporting methods and encourages and assists state agencies in developing and reporting data. In order to carry out this mission, NFDC has established NFIRS.

   Within NFIRS, participating local fire departments fill out incident, casualty and optional reports for fires and other incident types as they occur. They forward the completed incidents via paper forms or computer files to their state office, where the data are validated and consolidated into a single computerized database. Feedback reports are generated and forwarded to the participating fire departments. Periodically, the aggregated statewide data is sent to NFDC at the USFA to be released and included in the national database. This database is used to answer questions about the nature and causes of injuries, deaths and property loss resulting from fires. The information is disseminated through a variety of means to states and other organizations. NFIRS is a model of successful federal, state and local partnership. The database constitutes the world's largest national annual collection of incident information.

9. National Fire Department Census Database: apps.usfa.fema.gov/registry.

   USFA's National Fire Department Census provides an online address listing of over 26,500 U.S. fire departments as well as some basic information about each fire department. The purpose of this census, which is ongoing, is to create and maintain a national database for use by USFA to conduct special studies that will guide program decision-making and to improve direct communication with individual fire departments. Our colleagues in the fire protection and prevention communities, allied professions, and the general public will be able to use the database for similar purposes. Please take a few moments to ensure that your department's information is up-to-date by visiting the National Fire Department Census Web page (apps.usfa.fema.gov/census/) and providing updates by selecting the "Change Listing" page.

Nongovernmental Organizations

1. NFFF: www.firehero.org/.

   Congress created NFFF to lead a nationwide effort to honor America's fallen firefighters. Since 1992, the nonprofit foundation has developed and expanded programs that fulfill that mandate. Their mission is to honor and remember America's fallen fire heroes and to provide resources to assist their survivors in rebuilding their lives.

   Each October, the foundation sponsors the official national tribute to all firefighters who died in the line of duty during the previous year. Thousands attend the weekend activities held at NFA in Emmitsburg, Maryland. The weekend features special programs for survivors and coworkers along with moving, public ceremonies.

   When a firefighter dies in the line of duty, the foundation provides survivors with a place to turn. Families receive emotional assistance through a Fire Service Survivors Network that matches survivors with similar experiences and circumstances. Families receive a quarterly newsletter and specialized grief publications. The website provides extensive information on survivor benefits, foundation programs and other resources. Spouses, children and stepchildren of fallen firefighters are eligible for scholarship assistance for education and job training costs.

   Under a Department of Justice (DOJ) grant, the foundation offers training to help fire departments handle a line-of-duty firefighter death. Departments receive extensive preincident planning support. Immediately after a death, a Chief to Chief Network provides technical assistance and personal support to help the department and the family.

With the support of fire and life safety organizations, the foundation has launched a major initiative to reduce firefighter deaths. The goal is to reduce line-of-duty firefighter deaths by 25 percent in five years.

2. NVFC: www.nvfc.org/.

NVFC is the leading nonprofit membership association representing the interests of the volunteer fire, EMS and rescue services. NVFC serves as the voice of the volunteer in the national arena and provides invaluable tools, resources, programs and advocacy for first responders across the nation.

The mission of NVFC is to provide a unified voice for volunteer fire/EMS organizations. This mission is accomplished by representing the interests of volunteer fire/EMS organizations in the U.S. Congress and federal agencies, promoting the interests of state and local organizations at the national level, promoting and providing education and training for volunteer fire/EMS organizations, providing representation on national standards-setting committees and projects, and gathering information from and disseminating information to the volunteer fire/EMS organizations.

3. IAFC: www.iafc.org/.

IAFC represents the leadership of firefighters and emergency responders worldwide; its members are the world's leading experts in firefighting, EMS, terrorism response, hazardous materials spills, natural disasters, search and rescue, and public safety policy. Since 1873, IAFC has provided a forum for fire and emergency service leaders to exchange ideas, develop professionally, and uncover the latest products and services available to first responders.

The mission of IAFC is to provide leadership to current and future career, volunteer, fire-rescue and EMS chiefs; chief fire officers; Company Officers (COs); and managers of emergency service organizations throughout the international community through vision, information, education, services and representation to enhance their professionalism and capabilities.

IAFC provides numerous training and leadership resources, including regional and national conferences on fire service leadership topics, reports on issues, and model policies and programs that can be adopted by local fire departments.

4. Volunteer & Combination Officers Section (VCOS), IAFC: www.vcos.org/.

VCOS was formed in 1994 as the "Volunteer Chief Officers Section." The name was later changed to the "Volunteer & Combination Officers Section" to further accentuate the significant trend of the growth of combination fire departments. The mission of VCOS is to provide chief officers who manage volunteers within a volunteer or combination fire, rescue or EMS delivery system with information, education, services and representation to enhance their professionalism. Numerous educational programs and national conferences are available through VCOS.

5. NFPA: www.nfpa.org.

   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. The world's leading advocate 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.

   Sponsoring a variety of life-saving campaigns and training programs, NFPA devotes much of its efforts to protecting lives and property through education. The organization provides many resources for fire, electrical and life-safety instructions. NFPA is the premier resource for fire data research and analysis. This data helps guide educational outreach, support the work of NFPA technical committees, and frame the fire-loss picture for organizations, the media and the general public.

   Led by NFPA staff and other nationally recognized experts, NFPA seminars provide insight into the meaning, intent and proper application of fire and electrical safety codes. NFPA administers professional certification programs, including Certified Fire Protection Specialist, Certified Fire Inspector, and Certified Fire Plans Examiner. Each June, the NFPA Conference and Expo fosters the exchange of ideas among association members. New and revised NFPA codes and standards are also discussed and voted upon at these meetings. NFPA develops dozens of texts, guides and other materials that target firefighter and other first responder safety and health.

6. International Society of Fire Service Instructors (ISFSI): www.isfsi.org/.

   ISFSI leads fire and EMS instructors in their efforts to reduce firefighter fatalities and injuries, increase firefighter safety, and improve the profession through education and training. ISFSI supports instructors through educational opportunities, networking, mentoring programs, leadership opportunities, instructional resources and legislative representation.

   ISFSI is a member organization that draws on the talents and skills of its membership, and there are a variety of ways to become involved in the organizational mission. ISFSI committees focus on the administration of the organization, professional development of instructors, improved firefighter safety, and research into future fire suppression techniques. ISFSI also focuses on representing its members in the political arena on the state and national level.

7. Center for Public Safety Excellence (CPSE): https://cpse.org.

   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 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).

CPSE serves as the governing body for organizations that offer accreditation, education and credentialing services to first responder and fire service industry professionals and agencies.

CPC offers several designation programs, including Chief Fire Officer, Chief Medical Officer, Fire Marshal and Fire Officer. CPC developed these designations using a model that looks at the "whole" officer. Achieving the designation requires a strong educational background; diverse participation in emergency services at the local, state and national level; and demonstrated involvement in the broader community, all validated by emergency services peers.

8. National Association of State Fire Marshals (NASFM): www.firemarshals.org/.

   The mission of NASFM is to protect human life, property and the environment from fire and to improve the efficiency and effectiveness of state fire marshals' operations. NASFM provides assistance to local fire departments on fire prevention issues and projects through the respective state fire marshal's office.

9. International City/County Management Association (ICMA): icma.org.

   The ICMA's mission is to create excellence in local governance by developing and fostering professional local government management worldwide. ICMA develops and advances professional local government management to create sustainable communities that improve lives worldwide. ICMA provides member support, publications, data and information, peer- and results-oriented assistance, and training and professional development to nearly 9,000 city, town and county experts as well as other individuals and organizations throughout the world.

   ICMA offers a wide range of services to its members and the local government community. The association is an internationally recognized publisher of information resources ranging from textbooks and survey data to topic-specific newsletters and e-publications. ICMA provides technical assistance to local governments in emerging democracies, helping them to develop professional practices and ethical, transparent governments. ICMA assists local governments in the U.S. through programs like the Center for Performance Measurement, the Smart Growth Network, and other programs that focus on specific areas of need.

10. Volunteer Firemen's Insurance Services (VFIS): www.vfis.com.

   VFIS provides quality programs to keep up with new equipment and techniques. VFIS customers benefit from the programs, which are available at little or no cost. VFIS offers a wide range of valuable educational materials, including manuals, CD-ROMs, posters, PowerPoint presentations and videos. Each program is accompanied by appropriate print and/or video materials. VFIS' seminars and workshops are conducted on a regional basis throughout the year, with many offered at instructor as well as participant levels. There are additional training resources available on the website, including a section called "Tailboard Training" that has lesson plans for short classes on timely fire service topics.

11. International Association of Fire Fighters (IAFF): htttps://client.prod.iaff.org.

    The IAFF is the driving force behind nearly every advance in the fire and emergency services in the 21st century. With headquarters in Washington, DC, and Ottawa, Ontario, the IAFF represents more than 316,000 full-time professional fire fighters and paramedics in more than 3,400 affiliates. IAFF members protect more than 85 percent of the population in communities throughout the United States and Canada. The IAFF is also one of the most active lobbying organizations in Washington, DC. The IAFF Political Action Committee, FIREPAC, is among the top one-half of one percent of the nearly 6,000 federally registered PACs in the country.

12. Fire Department Safety Officers Association (FDSOA): https://www.fdsoa.org.

    The Fire Department Safety Officers Association was established in 1989 as a non-profit Association, incorporated in Massachusetts. In 2013, the offices moved to Michigan. Its mission is to promote safety standards and practices in the fire, rescue and emergency services community. The Association is led by a volunteer Board of Directors and has a small staff to handle the day to day operations. It is the Association dedicated to the issues that affect your critical role as Safety Officer in protecting and promoting the safety and health responsibilities you have to your department, your community and yourself. In fact, so critical is the role of the Safety Officer in every department in the country, that in a very short time in order to be a qualified Safety Officer, certification may be required. FDSOA works to help you achieve proficiency, promote the recognition of your skills and secure your future.

13. Vision 20/20 — National Strategies for Fire Loss Prevention (Vision 20/20) https://strategicfire.org/.

    Vision 20/20 is a project hosted by the Institution of Fire Engineers (IFE) – USA Branch (IFE-USA), a 501(c) (3) non-profit global organization.

    Vision 20/20 Project is guided by a coalition of national organizations and experts exemplifying how collaboration, communication, and commitment to data-based solutions saves lives and property.

    Previous national plans for fire protection have had a great deal in common. President Truman's 1947 Report on Fire Prevention, to the landmark report America Burning, first completed in 1973, and subsequent national reports from Wingspread, Solutions 2000 and others, a common theme for increasing efforts in fire prevention is always emphasized as a key component to the fire safety problem in the United States.

    Still, fire safety efforts continue to be under-funded and under-staffed in almost all fire departments. This approach results in more fires, loss of life and property damage that may normally occur under a different approach of "prevention first."With funding from the U.S. Department of Homeland Security Assistance to Fire Fighters Fire Prevention and Safety Grant program, the Institution of Fire Engineers US Branch has established a steering committee comprised of noted fire service and related agency leaders to guide a national strategic planning process for the fire loss prevention that results in a national plan that will coordinate activities and fire prevention efforts.

What is different about this plan? This project involves a large number of participants representing all areas of fire prevention as well as other advocates and stakeholders to the plan and its recommended outcomes.

This project is committed to action, with a few strategic recommendations being converted to a national plan that stakeholders will be asked to support with documentation of specific actions and benchmarks instead of a long list of recommended practices that everyone agrees are important (but then never get completed).

This project will not create recommendations in a vacuum. Other existing efforts that have identified significant progress toward achieving prevention goals will be taken into account to avoid competing efforts.

14. International Association of Arson Investigators (IAAI): https://www.firearson.com/.

The International Association of Arson Investigators® (IAAI®) is an international professional association of more than 9,000 fire investigation professionals, united by a strong commitment to suppress the crime of arson through professional fire investigation.

The IAAI serves as the global resource for those working in and associated with the fire, arson, and explosion investigation profession with respect to fire safety and prevention; arson investigation, determination, and prosecution; and fire loss claims and litigation.

The IAAI provides active support to fire, arson, and explosion investigation professionals through leadership in education, training, professional development, certification, networking, advocacy, and the provision of resources.

The IAAI is committed to:

- Bringing together for mutual benefit those public officials and private persons engaged in fire and explosion investigation, fire prevention, fire loss reduction, and arson prosecution;
- Cooperating with public agencies and private organizations to further the advancement of fire and explosion investigation through the development and implementation of education and training programs, the administration of professional certifications, the promotion and facilitation of research, the exchange of scientific and technical information and resources, and the encouragement of networking among industry professionals; and
- Maintaining high professional standards of conduct among members, and to continually strive to eliminate all factors which interfere with the administration of justice.

Websites

1. www.firechief.com.

   This website is created by the publishers of Fire Chief magazine. There are numerous valuable resources available to the fire chief, including a section on leadership that includes management and administration information. There is a section with the latest fire service news as well as selected articles from current and past editions of Fire Chief magazine also available.

2. www.firehouse.com.

   This website is created by the publishers of Firehouse magazine and contains several sections that are helpful to fire chiefs. The latest fire service news is provided along with blogs by well-known fire service authors and leaders. Frequent webcasts and podcasts on a variety of topics are available. Also, under the Training Drills section are easy-to-use lesson plans available for weekly and monthly training sessions.

3. www.fireengineering.com.

   This website is created by the publishers of Fire Engineering magazine. The site provides the latest fire service news. Sections are provided on a variety of topics, including leadership. Within the leadership section is a section on volunteer issues. There are numerous training resources provided along with blogs of current fire service leaders. The latest articles in Fire Engineering are also available.

4. www.jems.com.

   This website is made by the publishers of the Journal of Emergency Medical Services (JEMS). It provides the latest news from the EMS field. There are numerous training resources available, and there is a section on leadership and administration. Articles from JEMS are available.

5. www.firefighterclosecalls.com.

   This website provides the latest in health and safety news for the fire service. It is well-known for two sections: Close Calls and The Secret List. There are also training resources available and a section with videos from fires.

   The Secret List is an independent newsletter produced since 1998 by Chief Billy Goldfeder in an effort to bring forward the issues involving injury and death to the fire service (issues that are often ignored, quickly forgotten, or just not talked about).

   The Secret List is emailed at no charge and produced as time allows. With the attitude that in order to survive the dangers of the job, firefighters must learn how they have had “close calls” and even been injured or killed, The Secret List brings forward issues in an effort to enforce that philosophy and get firefighters to refocus on “what’s important.”

6. www.respondersafety.com.

This website provides information from the Emergency Responder Safety Institute (ERSI). Created as a Committee of the Cumberland Valley Volunteer Firemen's Association (CVVFA), ERSI serves as an advisory group of public safety leaders and transportation experts committed to reducing deaths and injuries to America's emergency responders. ERSI is dedicated to the safety of these men and women by engaging in and promoting activities that include developing educational material to support responder safety training; promoting the National Unified Goal (NUG) for Traffic Incident Management (TIM), including responder safety; safe, quick clearance and interoperable communications; encouraging the development of TIM Teams; promoting collaboration, communication and cooperation among the nation's emergency responders; and keeping emergency responders up-to-date on national rules, regulations and trends related to safe roadway incident operations.

UNIT 2: LEADERSHIP AND MANAGEMENT

TERMINAL OBJECTIVE

The students will be able to:

2.1 Identify techniques of leadership as they relate to change management, professional development, work ethics and setting priorities.

ENABLING OBJECTIVES

The students will be able to:

2.1 Identify the benefits of change management and succession planning.

2.2 Identify professional development opportunities to meet certification and accreditation requirements.

2.3 Describe the values and motivations of a multigenerational workforce.

2.4 Describe methods for maintaining leadership balance.

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FEMA

U.S. Fire Administration

UNIT 2: LEADERSHIP AND MANAGEMENT

Slide 2-1

TERMINAL OBJECTIVE

Identify techniques of leadership as they relate to change management, professional development, work ethics and setting priorities.

Slide 2-2

ENABLING OBJECTIVES

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- Identify professional development opportunities to meet certification and accreditation requirements.
- Describe the values and motivations of a multigenerational workforce.
- Describe methods for maintaining leadership balance.

Slide 2-3

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ACTIVITY 2.1

Current Events Group Presentation

Purpose

To provide an opportunity to consider the application of course content in light of relevant and recent issues that represent critical growth and development opportunity and dialogue for the new executive chief officer.

Directions

1. Within your assigned group you will provide an executive briefing to the group members on the current events you identified.

2. After the briefings your group will select four current events that incorporates one or more of the course topics within the following groupings:

   a. Units 1-4.

   b. Units 5 and 6.

   c. Units 6 and 7.

   d. Unit 8.

3. Using your selected events, your group will prepare an overview of each event. The overview is to include:

   a. Brief synopsis of the event.

   b. The events relationship to the course topics.

   c. What are the groups executive officer perspectives of the event?

   d. Three critical thinking questions related to the event, perspectives, or course content.

4. Starting on Monday morning, your facilitators will call on one or more groups to present their event overview and questions to the class. All members of the group must participate in the overview and question presentation. The critical thinking questions will be used by the group to prompt class dialogue.

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ACTIVITY 2.2

Leadership Balance Self-Examination

Purpose

To provide you with an opportunity to reflect on your life areas and balance.

Directions

1. You will work individually and reflect on the following questions as you apply them personally. You will not be asked to share your findings; they are for your own reflection. The activity will take 20 minutes.

2. Professional life.

   a. What are your professional strengths?

   b. What professional accomplishments are you most proud of?

   c. What technical capabilities and leadership skills helped you achieve those accomplishments?

   d. In what areas do you need to consider expanding your professional expertise?

   e. What are your professional goals for the next year? Next five years?

   f. How well does your professional life integrate with the other areas of your life? Do any conflicts exist?

3. Family life.

   a. What is your current role regarding raising or caring for children? What changes do you anticipate regarding this role in the next year? Next five years?

   b. What role do you anticipate for yourself regarding care for parents or other aging relatives?

   c. How does your family situation fit into your other life areas (professional, community and personal)? Any conflicts?

   d. What do you feel are your most important family needs at this time? Are there any conflicts with these and your other life areas?

4. Community life.

   a. In what community activities have you participated in the past?

   b. Which community activities give you the most satisfaction?

   c. Name one community accomplishment of which you are most proud. Why did this accomplishment bring you particular satisfaction?

   d. What are your future goals regarding community service?

   e. How do community activities fit in with your other life areas?

5. Personal life.

   a. What things do you like to do? Why?

   b. Which of these are done with others? Why? Which do you prefer to do alone? Why?

   c. If you were to eliminate one activity from your life that you know is potentially destructive to achieving your goals, what would it be?

   d. What things do you have the talent for doing well?

   e. How important to you are health and fitness, social relations, spiritual activities, personal development, and leisure?

   f. How do these things fit with the other areas of your life? Are there any conflicts?

I. LEADERSHIP BALANCE

LEADERSHIP BALANCE

- Work ethic is the standard of conduct and performance.
  - Completing assigned or expected responsibilities correctly and on time.
  - Making sound business decisions.
  - Accountable for all behaviors.
  - A function of one's character.

Slide 2-6

A. Work ethic.

1. The standard of work conduct and performance you hold yourself accountable to.

2. Getting assigned or expected responsibilities accomplished correctly and on time.

3. Making sound business decisions that promote the organization, its mission and its employees.

4. Accountability for all behaviors, both at work and away from work.

5. No dual standards of behavior.

6. Work ethic is a function of one's character.

LEADERSHIP BALANCE (cont'd)

- The Six Pillars of Character®.
  1. Trustworthiness.
  2. Respect.
  3. Responsibility.
  4. Fairness.
  5. Caring.
  6. Citizenship.

Slide 2-7

B. The Six Pillars of Character® (Josephson Institute).

1. **Trustworthiness** is honesty, commitment, reliability and loyalty.

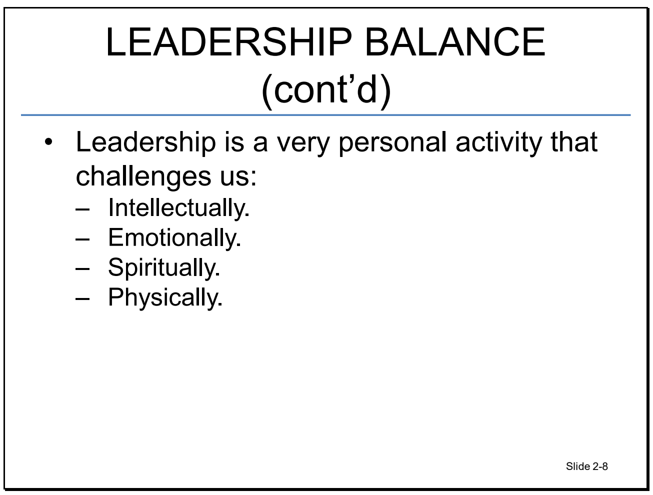
2. **Respect** is tolerance for yourself and others.

3. **Responsibility** is perseverance, self-discipline, accountability, and setting a good example.

4. **Fairness** means being open-minded and avoiding blame.

5. **Caring** is kindness, compassion, gratitude and forgiveness.

6. **Citizenship** is cooperating with others, community involvement and respect for authority.



C. Exercising effective leadership is, at heart, a very personal activity.

1. It challenges us intellectually, emotionally, spiritually and physically.

2. We all must learn to manage our hungers.

LEADERSHIP BALANCE (cont'd)

- To remain an effective leader, we must pay attention to ourselves and our own needs.
  - Power and control.
  - Affirmation and importance.
  - Intimacy and delight.

Slide 2-9

D. As an effective leader, you must pay attention to and be aware of your needs and exercise the ability to manage them.

1. Power and control.

2. Affirmation and importance.

3. Intimacy and delight.

LEADERSHIP BALANCE (cont'd)

- The emotions of leadership can also generate temptations.
  - Invitations to accrue power over others.
  - Appeals to your own sense of importance.
  - Opportunities for emotional and sexual satisfaction.

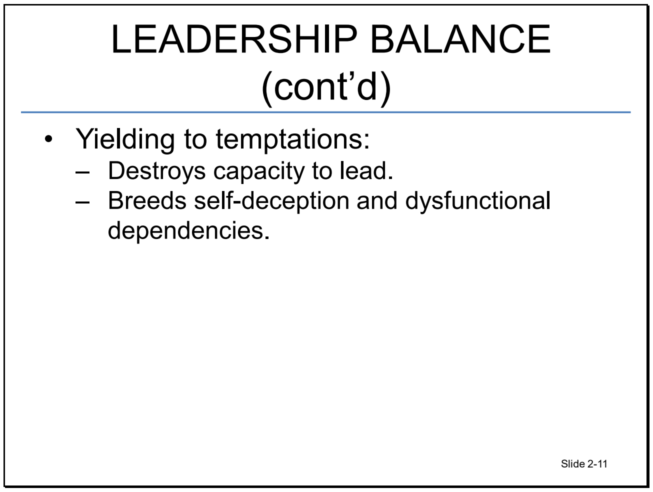
Slide 2-10

E. To be an effective leader, we must connect to the emotions that accompany leadership, which can also generate a host of temptations that we must be careful not to yield to personally.

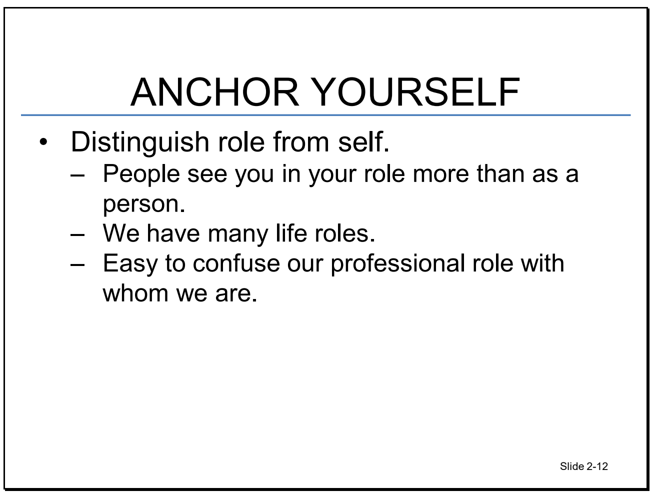
1. Invitations to accrue power over others.

2. Appeals to your own sense of importance.

3. Opportunities for emotional and sexual satisfaction.



4. Yielding destroys our capacity to lead, and our leadership can become dysfunctional.

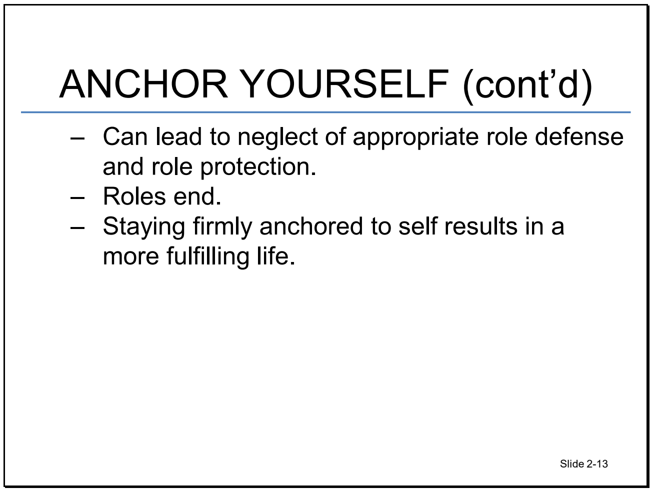


F. Anchor yourself by distinguishing your role from yourself.

1. People see you in your role more than they see you as a person.

2. We have many life roles (e.g., son, daughter, student, parent, aunt, uncle, friend, professional, neighbor, etc.).

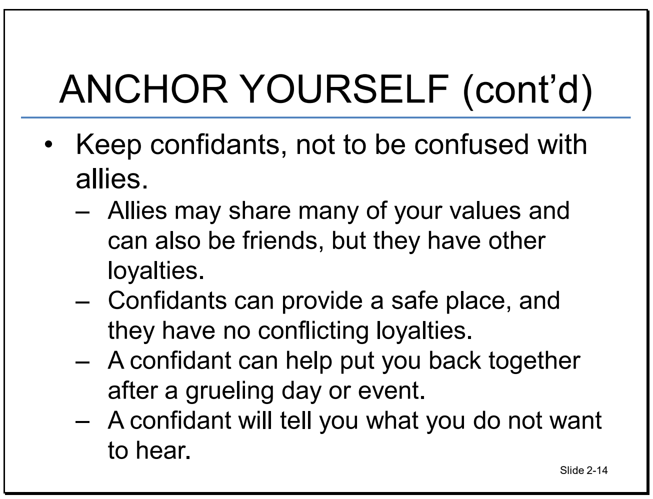
3. It is very easy to confuse our professional role with whom we are as a person (self).



4. Failure to distinguish role from self can lead to neglect of the appropriate levels of role defense and role protection.

5. Remember, roles end.

6. Staying firmly anchored to self and values will help you weather the storms of leadership, as well as lead a more fulfilling life.



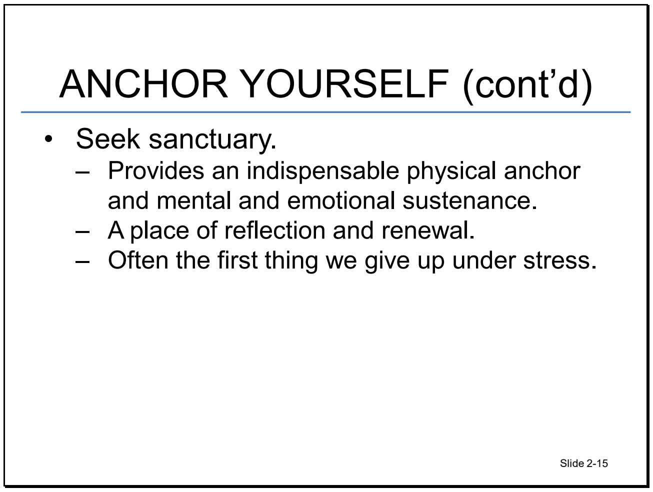
G. Keep confidants, and don't confuse them with allies.

1. Allies may share many of your values and strategies, and can also be friends, but they have other loyalties besides you.

2. Confidants can provide a safe place to say whatever is on your mind or heart; they have no conflicting loyalties.

3. A confidant can help put you back together after a grueling day or event.

4. A confidant will tell you what you do not want to hear and cannot hear from anyone else.

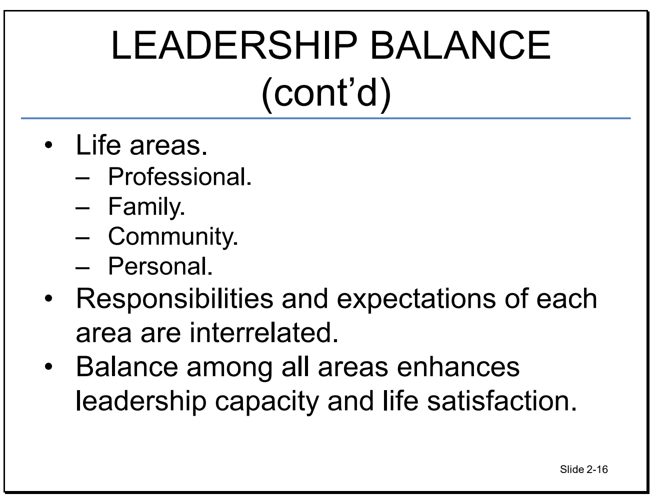


H. Seek sanctuary.

1. A readily available sanctuary provides an indispensable physical anchor and source of mental and emotional sustenance. Some examples are a walking/jogging path, park, chapel, beach, coffee at a friend's kitchen table, etc.

2. It should be a place where you can reflect and renew yourself.

3. Often the first thing we give up under stress.



I. As leaders, we all have four major life areas. Sometimes responsibilities and expectations overlap, and we need to find a balance.

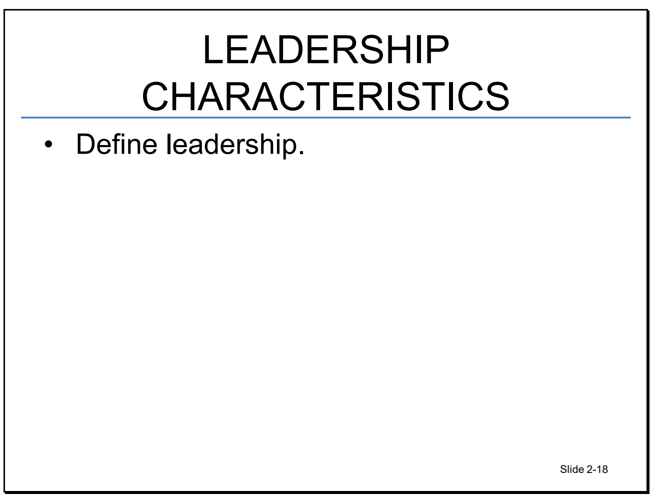
1. Professional.

2. Family.

3. Community.

4. Personal.

II. LEADERSHIP CHARACTERISTICS



A. The definition of leadership is the ability to influence others to achieve a desired goal or outcome (Jenaway).

LEADERSHIP CHARACTERISTICS (cont'd)

- Traditional leadership styles versus contemporary leadership styles.

Slide 2-19

B. Examples of traditional leadership styles.

1. **Autocratic** or **authoritarian.**

   a. All decision-making is done by the leader without any input or consideration from subordinates.

   b. Facilitates quick decision-making.

2. Can be effective, particularly in situations where there is little or no discretionary time available to be **democratic** or **participative.**

   a. This model is based on the leader sharing decision-making responsibilities with members of the group or organization.

   b. Promotes shared interests.

3. **Task-oriented** — leader is focused on productivity goals and deadlines.

4. **Relationship-oriented** — leader is more focused on developing the team and members' interrelationships than meeting deadlines or productivity goals.

5. **Collaborative** or **engaging.**

   a. Both the leader(s) and employees engage to understand existing conditions and how they can collectively work to address them.

   b. Promotes better understanding of interests and concerns, as well as acceptance of change.

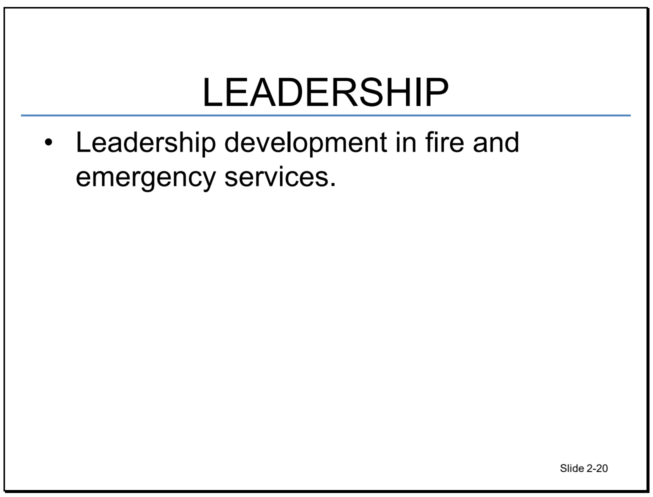
6. **Transactional** — based on the exchange of rewards between the leader and followers.

7. **Transformational** — based on achieving important changes in the values, attitudes and performance of subordinates.

C. Contemporary leadership.

1. Differing leadership styles have become necessary to motivate and address the differing interests, priorities, learning methods, communication needs, technology skills and expectations of modern multigenerational organizations.

2. Situational leadership is the art of applying specific leadership techniques based on the situation and those involved (Jenaway).



D. Leadership development in fire and emergency services.

1. Historically not addressed until well into a prospective leader's career.

2. Research suggests that effective leadership in the fire service is developed by a variety of experiences (Jones):

a. Early leadership opportunities.

b. Relationship development.

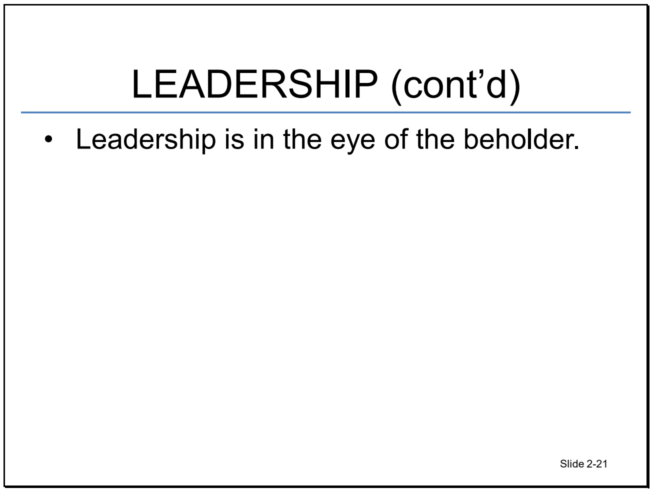
c. Political involvement.

d. Hardship.

e. Observation of leaders.

f. New program involvement.

g. Working without authority.



E. The true definition of leadership is in the eye of the beholder (Jenaway).

1. You know it when you see it.

2. You know when it is absent.

F. Research also indicates that current and future fire service employees expect leadership qualities not necessarily seen in current leaders (Jones).

1. Open to change.

2. Confident and positive.

3. Have passion and vision.

4. Motivate and inspire.

5. Give credit to others.

6. Be fair; don't play favorites.

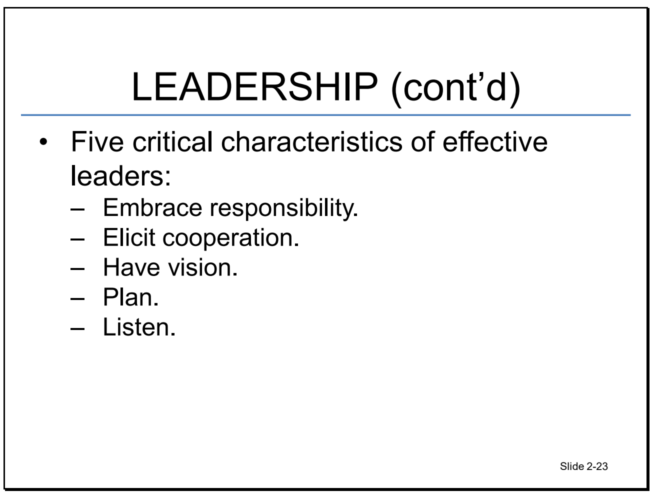
7. Willing to fail.

8. Experienced.

9. Dependable.

10. Discipline when needed.

11. Communicate, communicate, communicate.



G. Five critical characteristics of an effective leader (Jones).

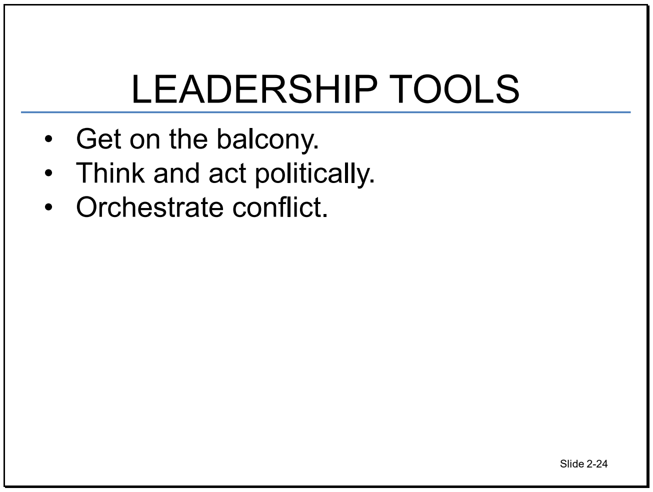
1. Embraces responsibility.

2. Elicits cooperation.

3. Has vision.

4. Plans.

5. Listens.



H. Other tools of effective leadership (Heifetz and Linsky).

1. Get on the balcony.

a. Periodically distance yourself from the fray to maintain a clear perspective of reality and the bigger picture.

b. Enables you to observe the subtleties that often slip by unnoticed.

c. The most difficult element to notice objectively is what you are doing as the leader.

2. Think and act politically.

a. Politics is the art of influencing public policy.

b. Influence is established through personal relationships.

c. For effective leaders, the critical resource is access.

d. Great care should be taken to create and nurture networks of people whom you can call on, work with, and engage in addressing the issues at hand.

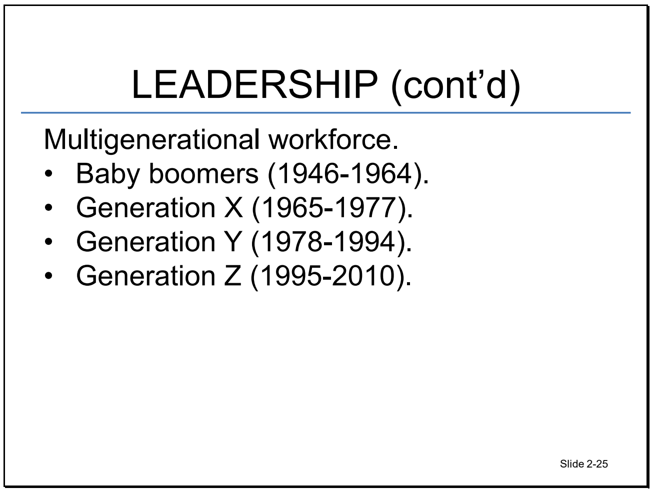
e. Experienced politicians know that the nature and quality of connections is more important than almost any other factor in determining results.

3. Orchestrate conflict — control the temperature.

a. Raise the heat — without some distress, there is no incentive to change.

b. Lower the heat as necessary to reduce a counterproductive level of tension.

c. Goal is to maintain a state of constructive disequilibrium — the productive range of conflict between the threshold of learning and the limit of tolerance.



I. Multi generations in the modern workforce with differing values, ideas, attitudes, behaviors, expectations, habits, motivational buttons, and ways of getting things done and communicating.

1. Baby boomers.

   a. Born 1946 to 1964.

   b. Largest generation in the country today.

   c. Typically grew up amid economic prosperity, suburban affluence, and strong nuclear families with stay-at-home moms.

2. Generation X.

   a. Born 1965 to 1977.

   b. Grew up as "latchkey" kids in a world of divorce and working moms.

3. Generation Y ("Millennials").

   a. Born 1978 to 1994.

   b. Raised with a great deal of attention and high expectations from parents.

4. Generation Z.

Born after 1995.

J. Generational differences.

1. Values.

a. Baby boomers.

- Individuality.
- Tolerance.
- Change agents.
- Competition.
- Excellence.
- Relationships.
- Hard work.

b. Generation X.

- Pragmatism.
- Independence.
- Entrepreneurism.
- Flexibility.
- Adaptability.
- Outcomes.

c. Generation Y.

- Authenticity.
- Autonomy.
- Technology.

- Multitasking.
- Collectivism.
- Education.

d. Generation Z.

- Passionate.
- Responsible.
- Independent.
- Collaborative.
- Open-minded.
- Confident.

2. Relationships with authority.

a. Baby boomers.

- Challenge authority.
- Respect seniority and work titles.

b. Generation X.

- Unimpressed by authority.
- Technological competence more important than seniority or title.

c. Generation Y.

- Respects competent authority.
- Technological competence more important than seniority or title.

d. Generation Z.

- Needs feedback.
- Concerned with human rights.

3. Learning and problem-solving.

   a. Baby boomers.

      - Learn only as much as they can tolerate.
      - Prefer facilitated learning.
      - Solve problems horizontally.
      - Prefer guarded communications.

   b. Generation X.

      - Learn only as much as necessary to meet their needs.
      - Prefer independent learning and problem-solving.
      - Prefer "hub and spoke" communications.

   c. Generation Y.

      - Prefer and expect continuous learning.
      - Prefer collaborative learning methods, problem-solving and communications.

   d. Generation Z.

      - Desires mentorships.
      - Believes a well-educated mind is needed to solve issues.
      - Likes on-line training.

4. Workplace factors.

   a. Baby boomers — team-informed decisions, "get out of the way" leadership style, prefer feedback annually, unsure on some technology, job change is a setback, motivated by recognition and advancement.

   b. Generation X — team-included decisions, "coach" leadership style, prefer feedback daily/ weekly, unable to do work without technology, job change is necessary, motivated by work project flexibility.

c. Generation Y — team decisions, partner leadership style, on-demand feedback, unfathomable to work without technology, job changes are expected, motivated by avenues for education and skill building.

d. Generation Z — will be loyal to employers if mentoring and training provided, wants projects that they can be passionate about, needs feedback, prefers anytime/anywhere work environment.

MENTORING

- Personal and professional relationship.
- Formal mentoring.
- Informal mentoring.

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K. Mentoring.

1. Most successful leaders have benefitted from one or more mentoring relationships.

2. Mentoring is a professional relationship in which a more senior or experienced person (mentor) assists a less experienced person (mentored) in developing specific skills and knowledge that will enhance the less-experienced person's professional and/or personal growth.

3. Mentoring characteristics.

   a. Takes place outside of a line manager and employee relationship, at the mutual consent of a mentor and the person being mentored.

   b. Is career-focused or focuses on professional development that may be outside a mentee's area of work.

   c. The mentoring relationship is personal; a mentor provides both professional and personal support.

   d. Relationship may be initiated by a mentor or created through a match initiated by the organization.

e. Relationship crosses job boundaries.

f. Relationship may last for a specific period of time in a formal program, at which point the pair may continue in an informal mentoring relationship.

L. Formal mentoring.

1. Goals are established from the beginning by the organization and the mentored.

2. Outcomes are measured.

3. Access is open to all who meet program criteria.

4. Mentors and mentored are paired based on compatibility.

5. Training and support in mentoring is provided.

M. Informal mentoring.

1. Goals of the relationship are not specified.

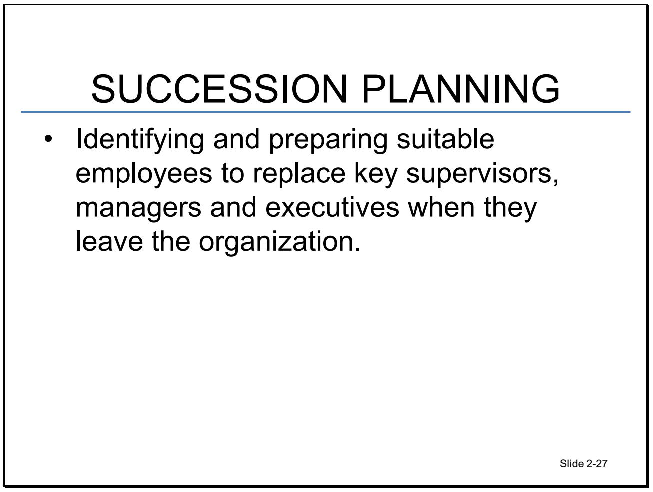
2. Outcomes are not measured.

3. Access is limited and may be exclusive.

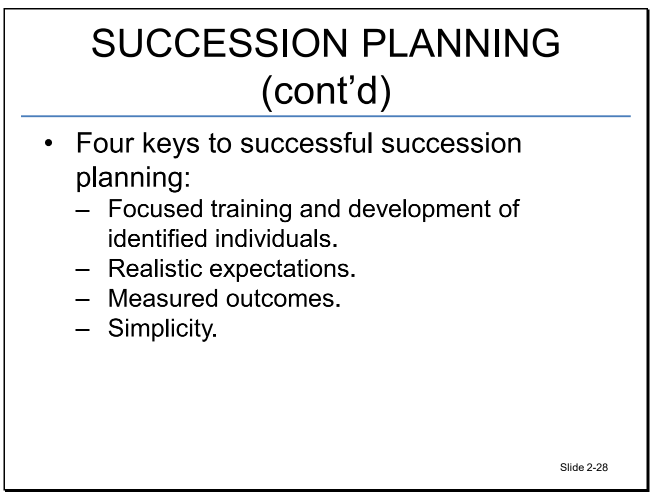
4. Mentors and mentored self-select on the basis of personal chemistry.

5. Mentoring lasts a long time, sometimes a lifetime.

6. The organization benefits indirectly, as the focus is exclusively on the mentored.



N. Succession planning is the process of identifying and preparing suitable employees to replace key supervisors, managers and executives when those incumbents retire or otherwise leave the organization.



O. Four keys to successful succession planning:

1. It requires focused training and development of identified individuals to take on more responsibility in the organization in the short to midterm; consider changing the phrase to "succession development."

2. Stay realistic about expectations and future roles.

3. Measure outcomes, not processes.

4. Keep it simple.

SUCCESSION PLANNING (cont'd)

- Why succession planning fails:
  - Based on past experience.
  - Focused solely on replacement of the head of the organization.
  - Failure to involve the policymaking body.
  - Human capital roadblocks.
  - Not part of the organizational culture.
  - Wrong people making the decisions.

Slide 2-29

P. Why succession planning fails:

1. Planning for the future based on past experience.

   a. Identification of prospective future leaders should be based on future organizational goals rather than current or past goals.

   b. Succession development should be aligned with the long-term strategic vision of the organization.

2. Succession planning focused solely on the head of the organization (CEO, director, chief, etc.).

   a. Succession development should involve all leadership positions in the organization.

   b. When one person moves up, it creates a ripple effect.

3. Failure to involve the policymaking body.

   a. In some organizations, the policymaking body has final approval for appointment to key leadership positions.

   b. Successful succession plans involve an organization's policymaking body in the planning process as applicable.

4. Human capital roadblocks.

   a. When successful leaders top out, it prevents the next generation from moving up.

b. Consider creating new positions, collaborative opportunities and “stretch” assignments so that development of future leaders continues in these situations.

5. Succession or development planning is not part of the organizational culture.

a. Occurs when there is no incentive for mentoring.

b. Incumbent upon the organizational leader (CEO, director, chief, etc.) to facilitate change by making identification and development of future leadership talent a performance expectation for all current organizational leaders.

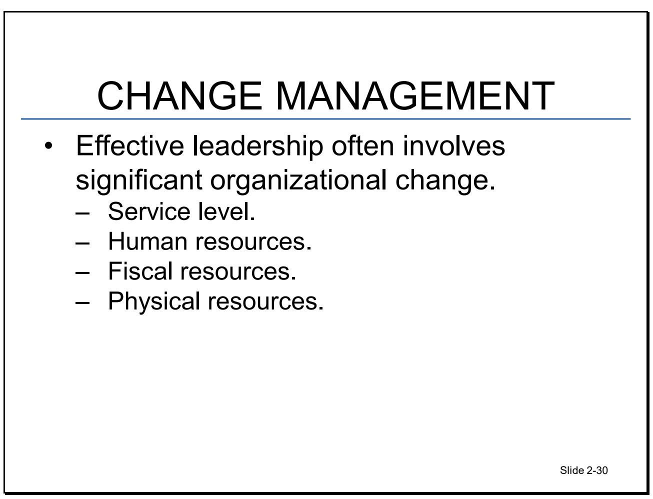
c. Consider aligning compensation or other benefits to this performance goal.

6. The wrong people making the decisions relative to future leadership.

a. CEOs are often not the best people to choose their successor.

b. Focus is often on preserving the current legacy rather than moving the organization toward future strategic goals.

III. CHANGE MANAGEMENT



A. Effective leadership in a contemporary fire or Emergency Medical Services (EMS) agency almost always will involve some significant level of organizational change (e.g., service level, human resources, financial resources, physical resources, etc.). How change is initiated and managed can influence the outcome.

CHANGE MANAGEMENT
(cont'd)

- Reactive change.
  - In response to an event or situation.
- Planned change.
  - Traditional or long-term planning.
  - Strategic planning.

Slide 2-31

B. Types of organizational change.

1. Reactive — in response to an event or situation that has already occurred.

2. Planned.

   a. Traditional or simple long-term planning.

   b. Assumes that the future can be extrapolated from the present and/or past.

   c. Strategic planning.

   d. Involves a deliberate effort to consider a variety of outcomes and develop options for meeting each of them.

   e. Leads to very different outcome(s) than those obtained from simple or traditional long-range planning.

C. Change management curves can be a leadership tool.

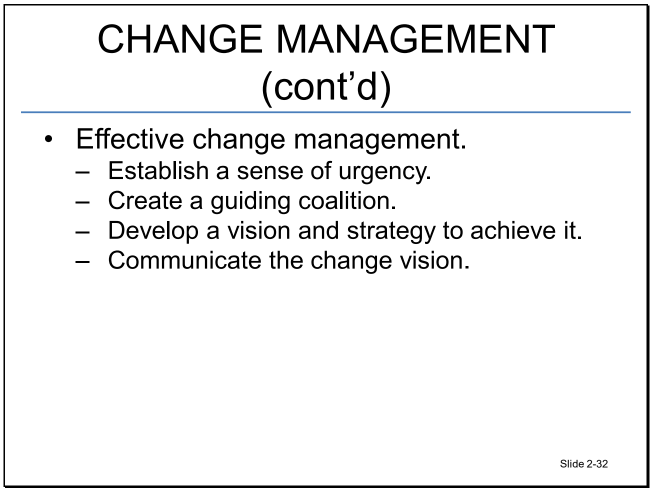
They are mostly based on the four stages people often go through when confronted with change (same as when confronted with dying and death stages).

1. Denial — even well-executed organizational changes are met with some resistance.

2. Anger — referred to as the "danger zone" for organizational change management. If this stage is poorly managed, desired changes will likely not occur; crisis is a likely result.

3. Acceptance — people begin to see successes or understand the reason and/or value of the desired change.

4. Commitment — the change is anchored in the new behavior.



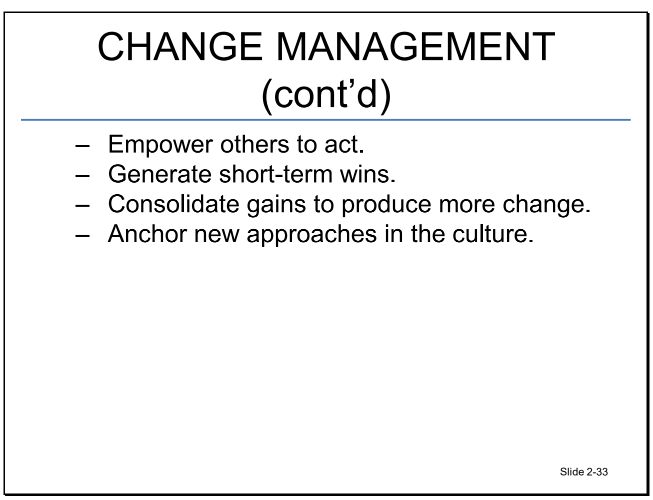
D. Eight steps of effective change management curve (Kotter).

1. Establish a sense of urgency.

2. Create a guiding coalition.

3. Develop a vision and strategy to achieve it.

4. Communicate the change vision.



5. Empower others to act.

6. Generate short-term wins.

7. Consolidate gains to produce more change.

8. Anchor new approaches in the culture.

ACTIVITY 2.3

Examining Organizational Change Management

Purpose

To examine the effectiveness of change management within your organizations.

Directions

1. The facilitator will assign you to small groups of three to five students. To the extent possible, those of you from the same organization should be assigned to different small discussion groups.

2. Within each small group, identify and record at least one or more recent significant changes within your own organizations (record on an easel pad).

3. As a group, select one organizational change from those identified, and examine the effectiveness of the change management process by answering the following questions:

    a. What was the nature of the organizational change?

    b. How long did the change process take?

    c. Has the change been successfully implemented?

    d. Was the change effectively managed? If yes, how? If no, what was missing?

    e. Has the change become part of the organizational culture?

4. Select a representative to present your group's findings to the entire class for discussion.

5. The entire activity should take no more than 30 minutes.

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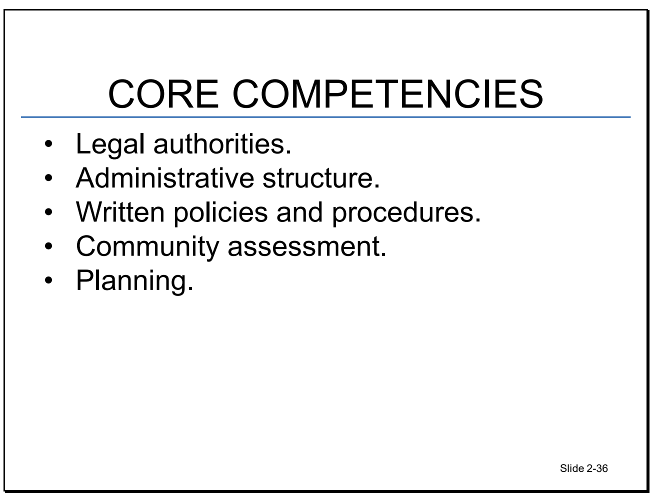
IV. PROFESSIONAL DEVELOPMENT

A. Core competencies.

B. A core competency is a combination of observable and measurable knowledge, skills, abilities and personal attributes that are considered important for effectiveness as a leader.



C. Core competency examples for a fire or EMS agency chief.

1. Understanding of the legal authorities surrounding the establishment of a fire or EMS agency or organization.

2. Establishment of an administrative structure and environment that effectively achieves the agency's or organization's mission and purpose.

3. Establishment of written policies and procedures that effectively guide the agency or organization, implement programs and services, and appropriate the financial resources necessary to effectively achieve the agency's or organization's mission or purpose.

4. Effective assessment of community characteristics and historical data to identify fire and nonfire hazards and related risks, as well as establish organizational goals and objectives to reduce those risks.

5. Development of an effective strategic plan that identifies long-term organizational goals and objectives, as well as the resources necessary to achieve them.

CORE COMPETENCIES (cont'd)

- Process to evaluate progress.
- Financial planning and management.
- Allocation of fiscal resources.
- Capital asset planning and management.
- Workplace safety.
- Physical resource management.
- Human resource management.

Slide 2-37

6. Establishment of a process to assess, measure and evaluate the attainment of progress toward completion of specific objectives and overall system performance.

7. Effective financial planning and resource allocation. Effective financial management involving budgeting and controls, with sound recording, reporting and audit practices.

8. Appropriate allocation of financial resources to support the organizational mission and long-term goals and objectives, as well as maintain quality of programs and services.

9. Development and implementation of a program that effectively identifies the capital assets necessary to achieve the organization's mission, long-term goals and objectives, and programs and services, including a schedule for planned replacement and renewal of those resources as needed.

10. Establishment of a safety program that achieves the organization's goals and objectives and complies with state and federal safety regulations.

11. Establishment of a program for the inspection, testing, preventive maintenance, repair and replacement of equipment and motorized vehicles.

12. Establishment of personnel practices consistent with local, state and federal statutory and regulatory requirements.

13. Establishment of an effective recruitment, selection, retention and promotion program.

14. Establishment of personnel policies and procedures guiding both administrative and personnel behavior.

15. Effective employer and employee relations.

16. Establishment of an effective risk management program designed to protect the organization and personnel from unnecessary injuries or losses from accidents or liability.

17. Establishment of a training program that effectively addresses organizational needs.

18. Establishment of an effective emergency communications system.

19. Establishment of appropriate administrative services necessary to support the organization.

20. Effective relationships with external partners and stakeholders.

PROFESSIONAL DEVELOPMENT (cont'd)

- Developing core competencies:
  - Education.
    - Undergraduate degree.
    - Graduate degree.
    - Executive Fire Officer Program (EFOP).
  - Certifications.

Slide 2-39

D. Developing and maintaining core competencies.

1. Education: undergraduate degree, graduate degree, Executive Fire Officer Program (EFOP).

2. Certifications: state-based programs, Chief Fire Officer — Center for Public Safety Excellence (CPSE).

PROFESSIONAL DEVELOPMENT (cont'd)

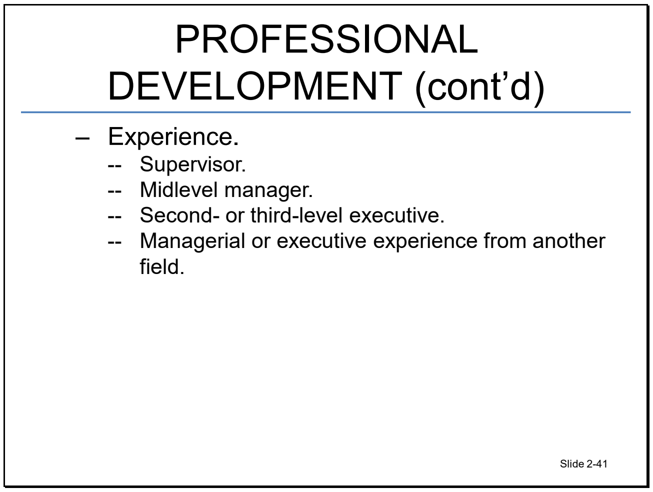
- Informal professional development.
  - Mentoring.
  - Coaching.
  - Internships.
  - Projects outside organization.

Slide 2-40

3. Informal professional development.

   a. Mentoring, coaching (differs from mentoring in that it is function-based not relationship-based).

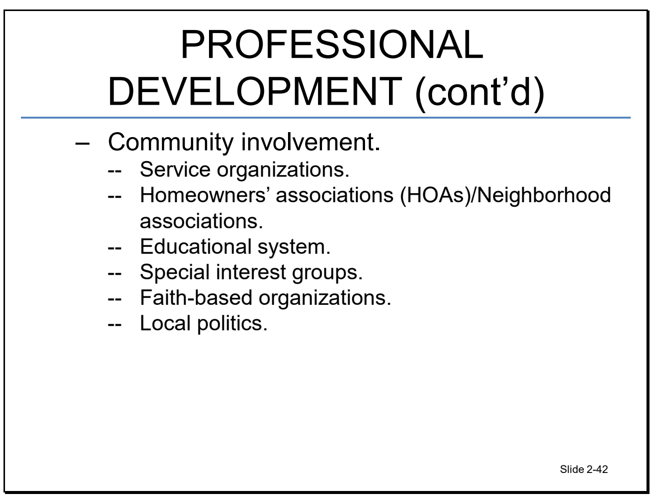
   b. Internships, project involvement outside your agency or organization.



4. Experience.

   a. Supervisor, midlevel manager, second- or third-level executive.

   b. Managerial or executive experience in another field.



5. Community involvement.

   a. Service organizations, homeowners' associations (HOAs), neighborhood associations, educational system.

   b. Special interest groups, faith-based organizations, local politics.

PROFESSIONAL DEVELOPMENT (cont'd)

- Agency accreditation (Commission on Fire Accreditation International (CFAI)/Center for Public Safety Excellence (CPSE)).
  - Peer assessment of 10 organizational competencies:
    - -- Assessment and planning.
    - -- Essential resources.
    - -- External system resources.
    - -- Financial resources.
    - -- Goals and objectives.

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PROFESSIONAL DEVELOPMENT (cont'd)

- -- Governance and administration.
- -- Human resources.
- -- Physical resources.
- -- Organizational programs.
- -- Training and competency.

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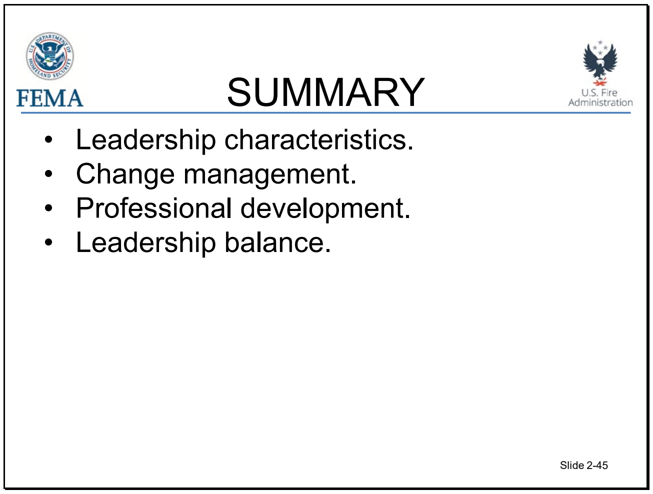
6. Agency accreditation (Commission on Fire Accreditation International (CFAI), Center for Public Safety Excellence (CPSE)).

   a. Peer assessment of agency competencies based on 10 best-practice areas (assessment and planning, essential resources, external system resources, financial resources, goals and objectives, governance and administration, human resources, physical resources, organizational programs, and training and competency).

   b. Accreditation is valid for five years.

V. SUMMARY


FEMA
SUMMARY
U.S. Fire Administration
• Leadership characteristics.
• Change management.
• Professional development.
• Leadership balance.
Slide 2-45

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UNIT 3: POLITICS

TERMINAL OBJECTIVE

The students will be able to:

3.1 Explain how a successful executive chief officer navigates the local political environment to effectively influence public policy.

ENABLING OBJECTIVES

The students will be able to:

3.1 Define politics and public policy in the local environment.

3.2 Define the local political organization.

3.3 Identify the local formal and informal power base(s).

3.4 Differentiate power from influence.

3.5 Explain the role of collaboration and negotiation in the political process.

3.6 Identify four leadership principles necessary to be effective in a political environment.

3.7 Explain how to effectively build and maintain political equity.

3.8 Identify the eight steps of effective change management.

3.9 Explain the executive chief officer's role relative to the local political process and public policy.

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FEMA

U.S. Fire Administration

UNIT 3: POLITICS

Slide 3-1

TERMINAL OBJECTIVE

Explain how a successful executive chief officer navigates the local political environment to effectively influence public policy.

Slide 3-2

ENABLING OBJECTIVES

- Define politics and public policy in the local environment.
- Define the local political organization.
- Identify the local formal and informal power base(s).
- Differentiate power from influence.
- Explain the role of collaboration and negotiation in the political process.

Slide 3-3

ENABLING OBJECTIVES (cont'd)

- Identify four leadership principles necessary to be effective in a political environment.
- Explain how to effectively build and maintain political equity.
- Identify the eight steps of effective change management.
- Explain the executive chief officer's role relative to the local political process and public policy.

Slide 3-4

I. POLITICS AND PUBLIC POLICY

POLITICS AND PUBLIC POLICY

- Politics is the art of building and using influence to achieve a goal.
- Public policy is the set of laws, standards, policies and procedures that direct the actions of public officials and employees.

Slide 3-5

A. Politics is the art of building and using influence to achieve a goal.

1. Because politics involves human relationships, it is not a well-defined science. It is rather a skill that is learned through experience. This is the "art" of politics.

2. Politics requires establishing influence through relationships; no relationship, no influence.

3. Affecting public policy is ultimately the goal of local politics.

B. Public policy is the set of laws, standards, policies and procedures that direct the actions of public officials and employees.

1. Public policy is developed by elected and appointed officials, including the department heads of emergency services agencies.

2. Public policy embodies not only what the local government does, but also what it deliberately does **not** do.

3. Public policy is always political in nature. It may not be the product of analysis, facts or a rational approach.

4. All services and tasks performed by a public safety agency are the result of some level of public policy.

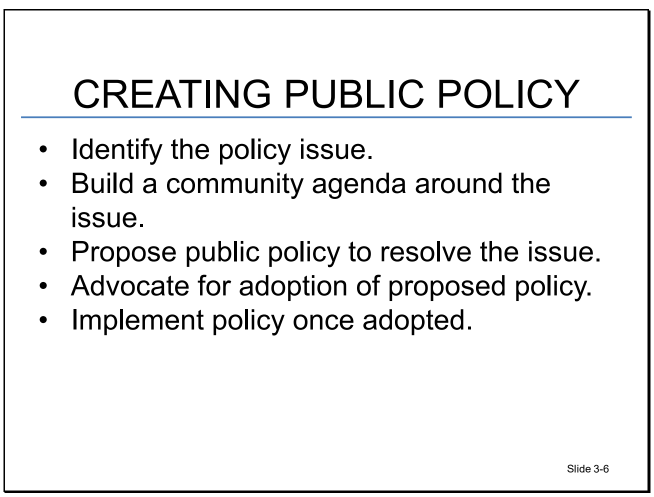
5. Local officials and employees administer public policy.

   a. Local officials often exercise significant discretion in day-to-day operations.

      - Example: fire apparatus staffing.

   b. Allows for more responsive services.

   c. Increases potential for greater inconsistency in service delivery.



C. Creating public policy.

1. Identify the policy issue.

   a. Often occurs as a result of an event or recognized problem.

   b. Some issues brought forward by concerned citizens.

   c. Analysis of the issue is usually very beneficial prior to moving to the next step.

2. Build a community agenda around the issue.

   a. Policymakers judge the merits of a proposed policy in political terms. (What does this mean to my constituents?)

   b. When a policy issue has the support of the community and/or key stakeholders, it is more likely to be supported politically.

   c. The executive chief officer's involvement in building the community agenda will depend on the relationship between the policy issue and the fire agency. In some cases, the executive chief officer will be the official leading the process; in other cases, he or she may serve a supporting role to another government official.

   d. During this process, the most feasible solutions to the issue are identified and promoted. These solutions are addressed through proposed public policy.

3. Propose public policy to resolve the issue.

4. Advocate for adoption of proposed policy.

   Local law establishes the public policy adoption process; most public policies require adoption by elected officials or voters of the jurisdiction.

5. Implement policy once adopted.

   a. Once adopted, it is the executive chief officer's responsibility to ensure implementation.

   b. Training is an essential element of implementation.

   c. The reason for the policy and benefits to the community are critical elements.

II. THE LOCAL POLITICAL ENVIRONMENT

POWER AND INFLUENCE

- Power is the ability to influence people's behavior and get them to act in a certain manner.
  - Legitimate power.
  - Reward power.
  - Coercive power.
  - Expert power.
  - Referent power.

Slide 3-7

A. Power and influence.

1. Power is the ability to influence people's behavior and get them to act in a certain manner.

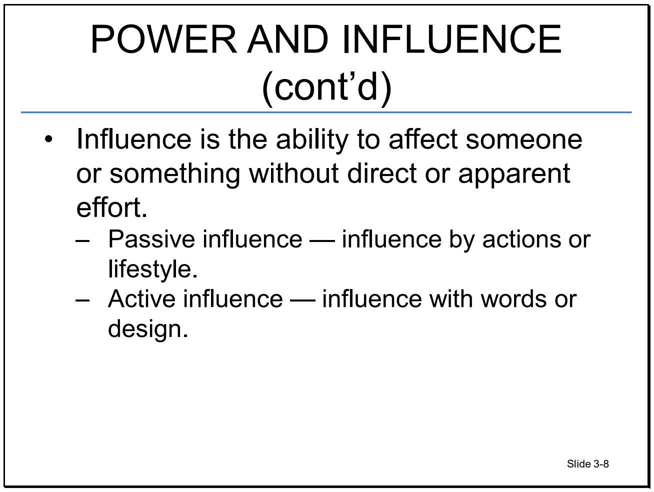
   a. Legitimate power — the authority an executive chief officer has by virtue of his or her position in the organization.

   b. Reward power — the authority to give or reduce tangible rewards to subordinates (promotions, raises).

   c. Coercive power — the authority to punish; opposite of reward power (disciplinary actions).

   d. Expert power — the authority given to a person with special abilities or skills. (A fire marshal has expert power due to his or her knowledge of fire codes.)

   e. Referent power — the power given when employees respect the department head for his or her leadership, admiration and loyalty. An executive chief officer may develop referent power over time due to his or her success in the local political environment.



2. Influence is the ability to affect someone or something without direct or apparent effort.

   a. Passive influence — influence by actions or lifestyle.

   b. Active influence — influence with words or design.

B. Political power and influence.

1. Politics is based on the use of power and influence to advance goals and meet specific needs. These may be small issues or a large policy issue that requires voter approval.

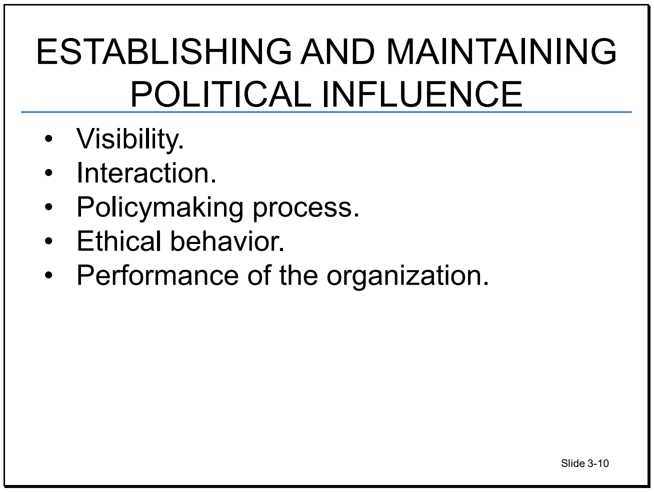
2. Political power is the ability to influence public policy. The executive chief officer must be able to work within the local political environment, the world of power and influence, in order to achieve community and organizational policy goals.

3. Power and influence vary with each community and may also vary within the same community, depending on the policy issue.

    a. Specific stakeholders who are affected by the issue.

    b. Impact of the issue on the community.

    c. Internal versus external policy.



C. Establishing and maintaining political influence.

1. Visibility — the executive chief officer must be visible in the community and be recognized by citizens, officials and community leaders as the leader and person in charge of the organization.

2. Interaction — the executive chief officer must interact with decision-makers, elected officials and community leaders. This can be in the normal course of business, community groups, etc.

3. Policymaking process — the executive chief officer is expected to be involved in this process as the organizational leader. This involvement allows him or her to build credibility with officials. Credibility is critical to gaining influence.

4. Ethical behavior — the executive chief officer must behave ethically, both on- and off-duty. Ethical breaches, even when they are just the public's perception, challenge his or her influence.

5. Performance of the organization — the community and elected and appointed officials expect the organization to be effective in meeting its mission. The community holds the department head accountable for that effectiveness. An effective organization increases influence.

WHY SOME CHIEFS SUCCEED • Positive relationships. • Credibility. • Respect. • Engaged. Slide 3-11

D. Why some executive chief officers succeed and others fail to gain political influence:

1. Positive relationships — successful leaders focus on the positive in people, and their relationships are based on this.

2. Credibility — successful leaders always have a high level of trust within the community and political environment.

3. Respect — successful leaders are respected within the community.

4. Engaged — successful leaders are engaged with the community, political leaders and their organization.

FORMAL POLITICAL POWER STRUCTURE • Involves elected and appointed officials. • Acts within constraints of laws, codes and ordinances. • Influenced by the informal political power structure. • Influenced by community groups and business interests. Slide 3-12

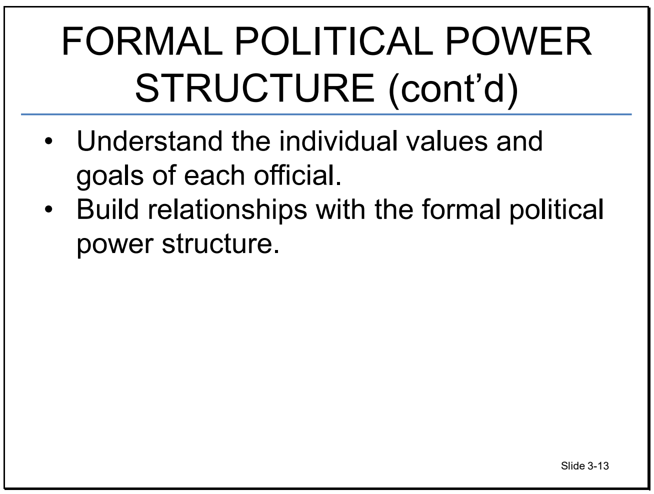
E. Formal political power structure.

1. The formal political power structure involves elected and appointed officials who are tasked with establishing and managing public policy; in some communities, recognized community leaders, such as officers of public organizations (chamber of commerce), form or are a part of the formal political power structure.

2. The formal political power structure acts within the constraints of local laws, codes and ordinances.

3. The formal political power structure is influenced by the informal political power structure.

4. Community groups, business interests, etc. strongly influence the formal power structure when focused on specific local issues.



5. The executive chief officer should understand the individual values and goals of each elected and appointed official.

   a. This provides insight into how each will respond to different public policy issues.

   b. Typically, there are specific elected and appointed officials who have more political influence than others.

   c. This may be due to tenure in office, popularity with citizens and interest groups, the constituency represented, etc.

6. Build relationships with the formal political power structure.

   a. Attend meetings of the formal power structure (board of directors, commissioners, council, etc.).

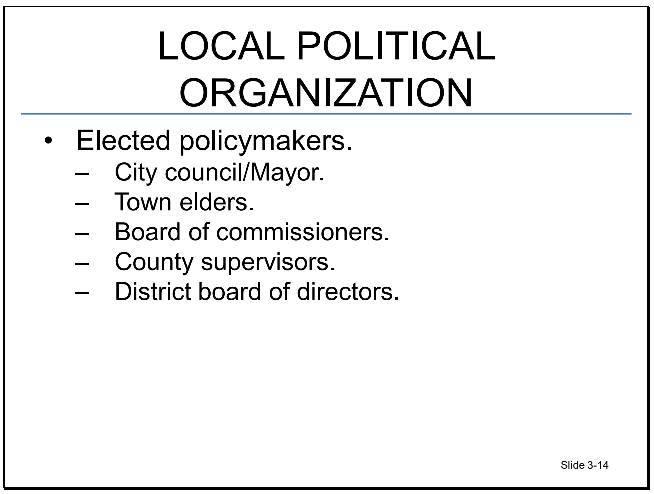
b. Provide regular reports on organizational issues to elected/ appointed officials.

c. Meet personally with elected/ appointed officials as appropriate.

d. Invite officials to attend organizational functions, visit stations, and see operations.

e. Participate in community organizations.

f. Be visible at community events.



F. The local political organization.

1. Elected policymakers.

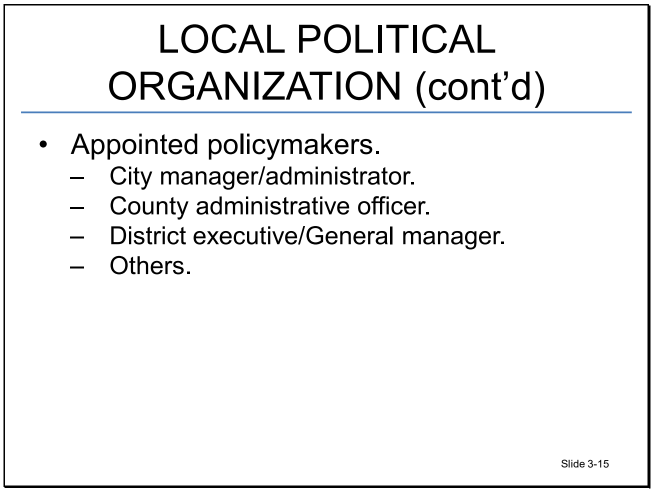
a. City council/Mayor.

b. Town elders.

c. Board of commissioners.

d. County supervisors.

e. District board of directors.



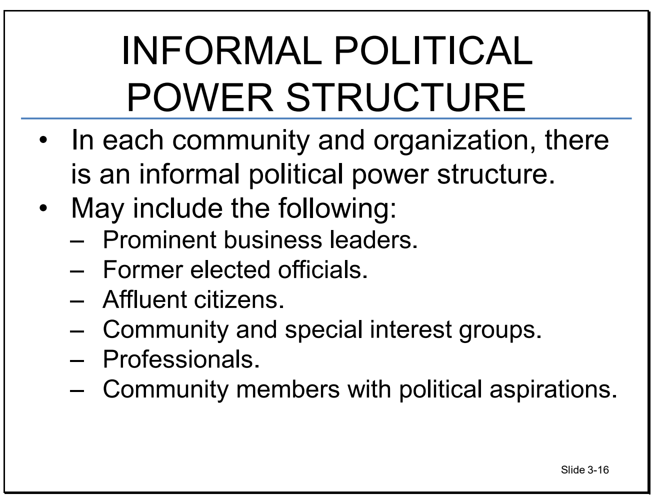
2. Appointed policymakers.

   a. City manager/administrator.

   b. County administrative officer.

   c. District executive/General manager.

   d. Others.



G. Informal political power structure.

1. In each community and organization, there is an informal political power structure that significantly affects public policy decisions.

2. The informal political power structure may include the following:

   a. Prominent business leaders.

b. Former elected officials.

c. Affluent citizens.

d. Community and special interest groups.

e. Professionals (accountants, attorneys, physicians, etc.).

f. Community members with political aspirations.

INFORMAL POLITICAL POWER STRUCTURE (cont'd)

- The fire chief may have direct access.
- Any external public policy initiative must have the support of the informal power structure.
- May be a great benefit or a strong obstacle.
- In order to be politically effective, the fire chief must understand and respect the informal power structure within the community.

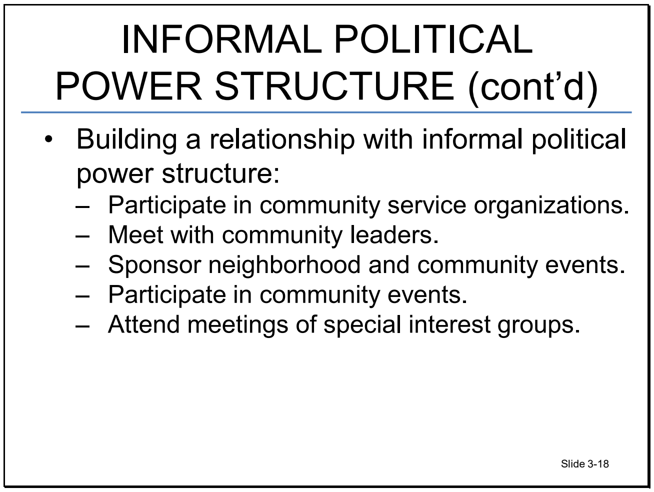
Slide 3-17

3. The executive chief officer may have direct access to the informal power structure through community activities, groups and relationships.

4. Any external public policy initiative must have the support of the informal power structure. The formal power structure waits to determine the position of the informal power structure prior to taking political action on the issue.

5. Just as the informal power structure may be a great benefit to the department or agency's policy agenda, it can also be a strong obstacle to the policy agenda if it is viewed as detrimental to the members of the power structure.

6. In order to be politically effective, the executive chief officer must understand and respect the informal power structure within the community.



7. Building a relationship with the community's informal political power structure:

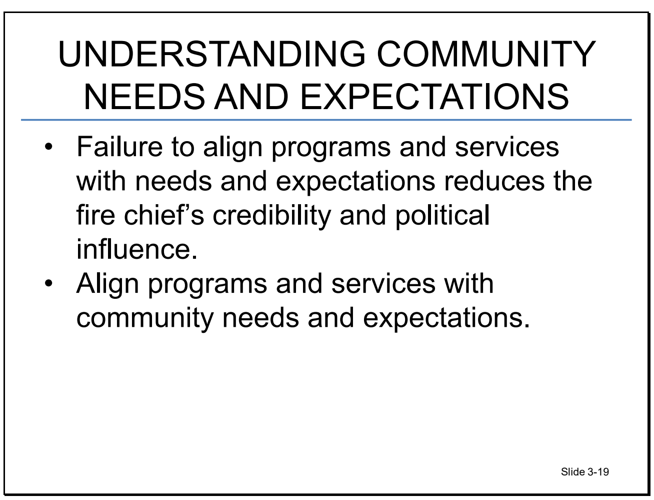
   a. Participate in community service organizations.

   b. Meet with community leaders to discuss public safety policy issues.

   c. Sponsor neighborhood and community events, such as safety fairs, station tours, citizen academies, etc.

   d. Participate in community events.

   e. Attend meetings of special interest groups to learn about perspectives, needs and political agenda(s).



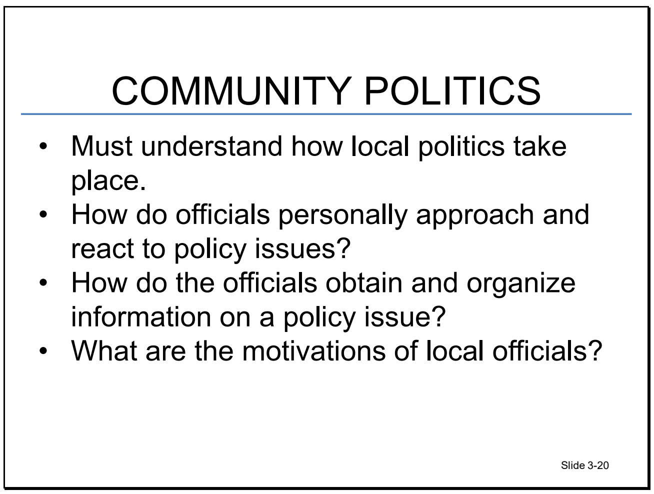
H. Understanding community needs and expectations.

1. Failure to align programs and services with needs and expectations reduces the executive chief officer's credibility and political influence.

    a. To be effective politically, the executive chief officer must understand the needs and expectations of the community and its various interest groups.

    b. This requires the executive chief officer to be actively engaged with the community and its leaders.

2. A key political and administrative role of the executive chief officer is to align the department's programs and services with the community's needs and expectations.



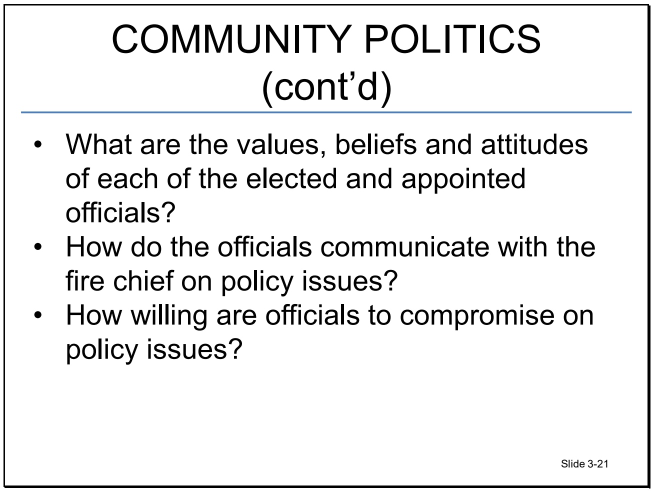
I. Community politics.

1. The executive chief officer must understand how local politics take place. This goes beyond the governmental process of policymaking. It is how elected and senior appointed officials approach the political process.

2. How do officials personally approach and react to policy issues? For example: quick to make decisions, seek alternative views, etc.

3. How do the officials obtain and organize information on a policy issue? For example: seek citizen input, rely on staff for information and recommendations, do research on their own, meet with community leaders and stakeholders, etc.

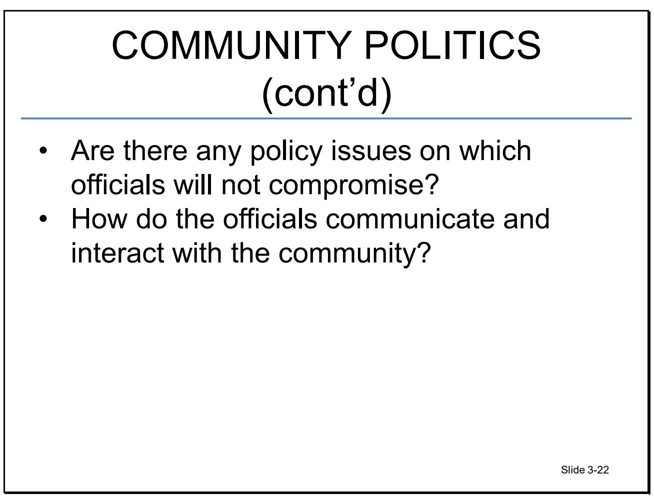
4. What are the motivations of local officials? For example: What are they trying to accomplish with policymaking? Do they have pet projects? What issues are they eager to support? etc.



5. What are the values, beliefs and attitudes of each of the elected and appointed officials? For example: Are they conservative, social advocates? etc.

6. How do the officials communicate with the executive chief officer on policy issues? For example: directly through the city manager, indirectly through stakeholders or community leaders, in writing or in person, etc.

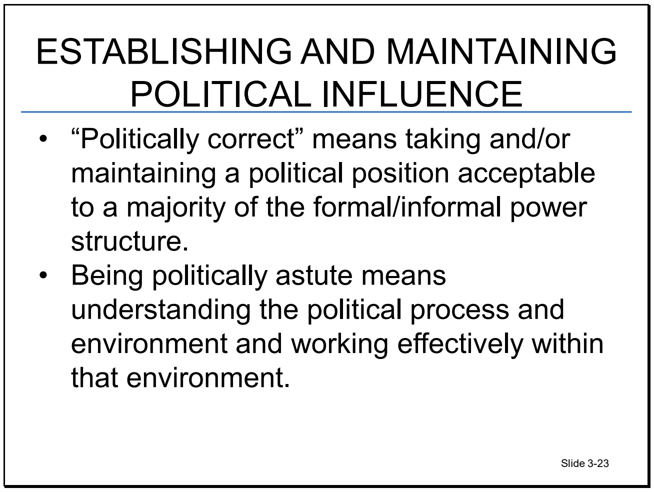
7. How willing are officials to compromise on policy issues?



8. Are there any policy issues on which officials will not compromise? Why will they not compromise? For example: any policy that increases taxes, any policy that increases regulation, etc.

9. How do the officials communicate and interact with the community? For example: attend local community meetings, websites, social media, participation in local organizations, etc.

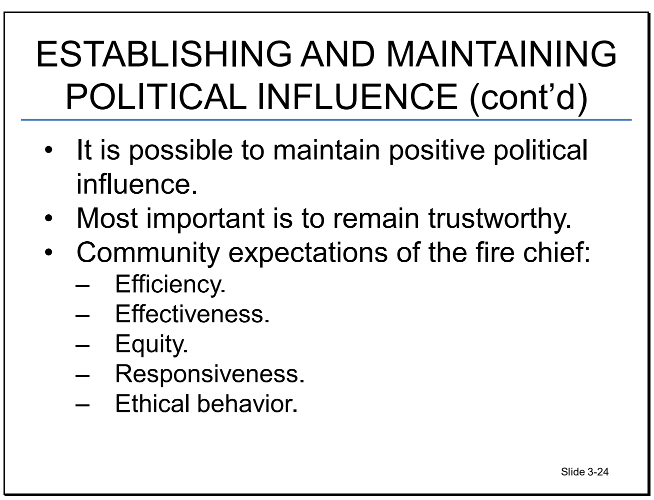
III. ESTABLISHING AND MAINTAINING POLITICAL INFLUENCE



A. Establishing and maintaining political influence.

1. "Politically correct" means taking and/or maintaining a political position acceptable to a majority of the formal/ informal power structure; it involves knowing what is politically acceptable at the moment. This approach may not support the policy issue or effective fire protection. Being politically correct may appeal to some groups, while others may view it as a weakness.

2. Being politically astute, on the other hand, means understanding the political process and environment and working effectively within that environment to influence policy issues regardless of the group, values, political correctness, etc.



3. It is possible to maintain positive political influence even though your policy initiative fails.

Example: An executive chief officer requests funding for a new program. He or she provides sound justification, has community support, and advocates for the initiative in a professional and politically astute manner. The initiative fails due to budget constraints. The executive chief officer's professionalism and justification create a positive impression on the elected officials, leaving future funding of the program a viable option.

4. Most important is to remain trustworthy in the community's perception.

5. Community expectations of the executive chief officer:

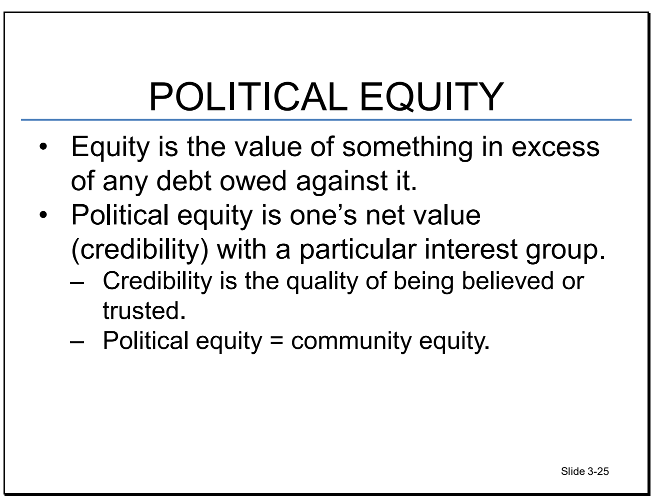
   a. Efficiency — the public expects the executive chief officer to use resources wisely and prudently; any waste or misuse, even if just perceived, is seen as an inefficient operation.

   b. Effectiveness — the public expects the executive chief officer to provide effective services and conduct effective operations.

   c. Equity — citizens, especially minorities and the economically disadvantaged, expect to be treated equitably; these groups expect to receive the same types and quality of services as any other group in the community.

   d. Responsiveness — the public expects the executive chief officer to be responsive to community needs and requests.

   e. Ethical behavior — the public expects the executive chief officer to act ethically; a breach of ethical conduct can immediately destroy a trusting relationship and result in loss of political influence.



B. Political equity.

1. Definition of "equity."

   Equity is the value of something (asset or interest) in excess of any debt owed against it; it is the net value of a property or asset.

2. Definition of "political equity."

   a. Political equity is one's net value (credibility) with a particular interest group.

   b. Credibility is the quality of being believed or trusted.

   c. Political equity = community equity.

POLITICAL EQUITY (cont'd)

- Virtually everyone has personal or group interests and priorities to promote.
- Special interest groups:
  – Have common interest(s) or goals.
  – Influence public policy within a community.

Slide 3-26

3. Virtually everyone whom a executive chief officer interacts with has personal or group interests and priorities to promote.

   a. For a executive chief officer, every interaction has a real or potential political element.

   b. Political priorities of some elected officials may not be in alignment with the goals and priorities of some community interest groups.

4. Special interest groups.

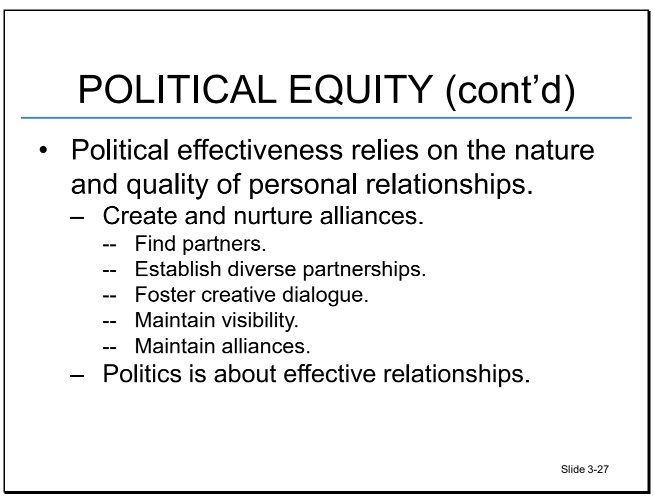
   a. Have common interest(s) or goals. Examples:

      - Business groups.

      - Education groups.

- Religious groups.
- Service organizations.
- Industry.
- Military.
- Recreation groups.
- Resident (homeowner) groups.
- Health care groups.
- Government groups.
- Elected officials.

b. Special interest groups influence public policy within a community.



5. As in one's personal life, political effectiveness relies on the nature and quality of personal relationships.

"For leaders attempting to move an issue forward, the merits of a cause and the strategy to move it forward are relevant but not controlling; the critical issue is access, and the greatest care should be directed toward creating and nurturing networks of people with whom you can call on, work with, and engage in addressing the issue at hand" (Heifetz and Linsky, 2002).

a. The key is to create and nurture alliances:

- Find partners.
  - -- Even leaders with great authority and vision need partners to bring about significant change.
  - -- Strengthen yourself and your initiatives.
  - -- Finding real partners takes considerable time and energy.
- Establish diverse partnerships.
  - -- Creating change requires a leader to move beyond his or her own constituents and followers.
  - -- Create access to factions (interest groups) other than your own.
  - -- Engage the voices of dissent.
- Foster creative dialogue.
  - -- Nurture communication and interaction across all formal and informal boundaries.
  - -- Foster and value independent thinking.
  - -- No position or solution is sacred.
  - -- Encourage and support those who ask uncomfortable questions or challenge the status quo.
- Maintain visibility and connectivity within the community.
  - -- Be active within the “communities” you serve.
  - -- Attend community events and meetings.
  - -- Maintain equitable visibility among all key interest groups.
  - -- Don’t avoid groups opposed to your ideas.

- Maintain alliances.

  -- Reciprocity is key to any successful relationship.

  -- Relationships usually fade or die if only one party undertakes the effort required to maintain it.

  -- Planning and commitment are essential to sustain political alliances.

  -- Keep your commitments.

  -- Personal integrity is essential to maintain effective alliances.

  -- Effective alliances (relationships) are essential to political success (and often survival).

b. Politics is ultimately about effective relationships. Failure to establish and maintain an effective alliance with one or more stakeholders/interest groups will affect your effectiveness with others.

C. Collaboration and negotiation.

1. Collaboration involves working together to create a joint effort.

   a. Build trust, and you can build partnerships.

   b. In the political process, it is important to know what the common interests are of each party.

   c. Collaboration is an avenue to discover the informal political power brokers.

2. Negotiation is the attempt to reach a mutually agreeable or desired result.

   a. Avenue to gain consensus.

   b. To be successful, both sides must feel they have an equal level of input.

   c. Must understand collaboration in order to become skilled at negotiation.

3. Collaboration and negotiation are both essential elements of the political process.

ACTIVITY 3.1

Establishing and Maintaining Political Influence

Purpose

To identify current issues within your community and/or organization with public policy implications, to identify the formal and informal power structures relative to the public policy issue(s), and to evaluate the current executive chief officer's ability to influence those formal and informal power structures.

Directions

1. Within your assigned small group, discuss the following:

   a. Given the issue you selected in Activity 1.1, what are the public policy implications of this issue within your community and/or organization?

   b. What are the formal and informal power structures within your community and organization relative to those public policy issues?

   c. Does the current executive chief officer have sufficient political awareness and credibility to influence the formal/informal power structures?

2. Each group is to select one example from those discussed.

3. Use the easel pad to record the following:

   a. Community/Organizational issue with public policy implications.

   b. Specific people/positions holding formal political power relative to the policy issue.

   c. Specific people/positions holding informal political power relative to the policy issue.

   d. Whether the executive chief officer has the ability to influence both the formal and informal powers relating to this issue, and why.

4. You have 10 minutes to complete this section of the activity.

5. Each small group is to select a representative to present the group's findings to the class.

6. Complete the entire activity within 20 minutes.

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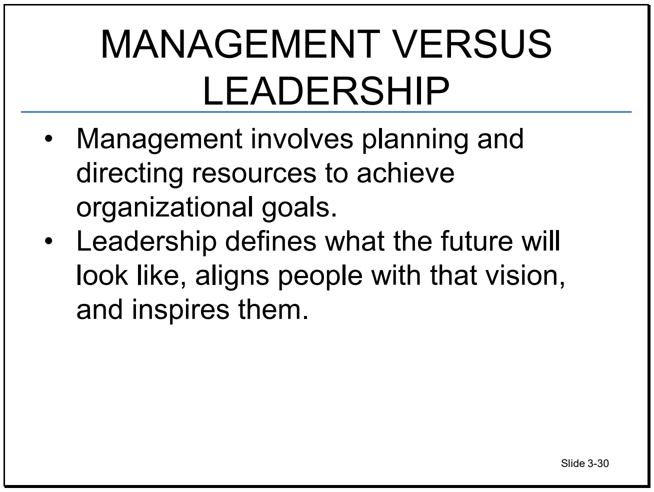
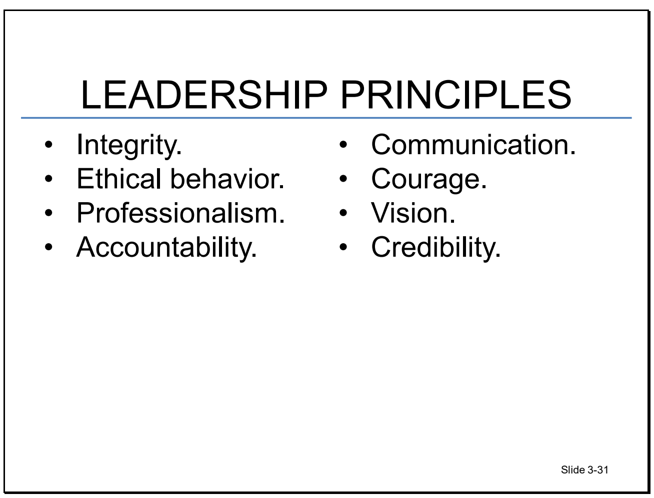
IV. LEADERSHIP AND THE POLITICAL PROCESS



A. Management versus leadership.

1. Management involves planning and directing resources to achieve organizational goals effectively and efficiently (power).

2. Leadership defines what the future will look like, aligns people with that vision, and inspires them to make the future a reality in spite of the obstacles (influence).



B. Leadership principles essential to effectiveness in the political environment.

1. Integrity — being honest, morally principled. Includes admitting to mistakes.

2. Ethical behavior — adhering to a high standard of behavior, both on- and off-duty. The community generally holds its leaders accountable to the highest ethical standards, and a breach of ethics results in a significant loss of credibility and influence.

3. Professionalism — representing the position as one worthy of respect, knowledgeable in all of the unique facets of the position and the abilities required of it.

4. Accountability — accepting responsibility for one's actions and the actions of the organization.

5. Communication — sharing/exchanging information openly and effectively; this is the most important attribute a leader can possess.

6. Courage — possessing the strength and confidence to face fear or difficulties and persevere for the benefit of the organization.

7. Vision — being innovative, having foresight, the ability to use creativity to one's advantage. A leader must have the ability to clearly see the organization's position, see where it can be in the future, and effectively convey that vision to others.

8. Credibility — being trustworthy, believable, honest.

    a. Essential quality for an executive chief officer.

    b. Keys to credibility:

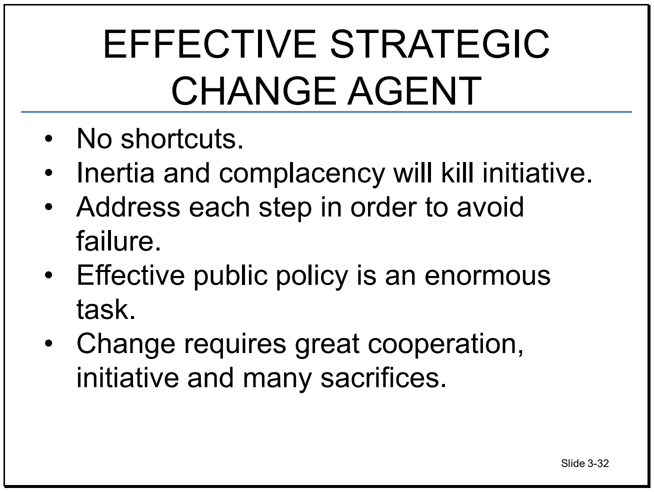
        - Keep commitments.

        - Strong core values and convictions.

        - Professional demeanor.

        - Ethical behavior.

V. STRATEGIC CHANGE MANAGEMENT



A. Effective strategic change agent.

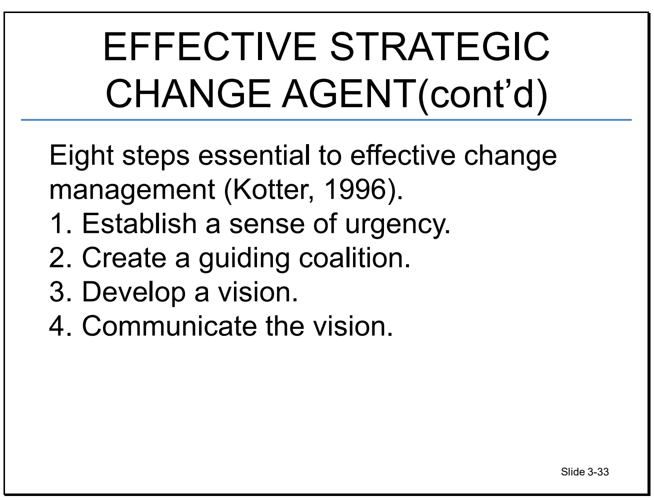
1. There are no shortcuts to this process.

2. Inertia and complacency will kill the change initiative.

3. Change initiatives that fail to effectively address each step in order will rarely make it to the finish line successfully.

4. Realize that affecting major public policy or organizational change is an enormous task.

5. Change requires great cooperation, initiative and many sacrifices.



B. Eight steps essential to effective change management (Kotter, 1996).

1. Establish a sense of urgency.

    a. Establishing a sense of urgency is crucial to gaining needed cooperation.

    b. Timing (ripeness) of an issue is an important factor in creating the urgency.

    c. If a large enough group of affected people doesn't feel the same sense of urgency, the momentum for change will almost inevitably die short of the finish line. People will find ingenious ways to withhold cooperation from a process that they sincerely believe is unnecessary or wrongheaded.

    d. Establishing a sense of urgency requires removing the sources of complacency or at least minimizing their impacts on the change initiative.

2. Create a guiding coalition.

    a. No one individual can effectively manage all of the essential change management principles alone.

    b. Successful transformations require a strong coalition of supporters and advocates with the right composition and level of trust and a shared objective.

    c. Effective leaders and managers, working together in tandem, are critical to success; managers keep the change process under control while leaders drive the change.

3. Develop a vision.

    a. Clarifies the general direction for change.

    b. Motivates people to take action in the right direction.

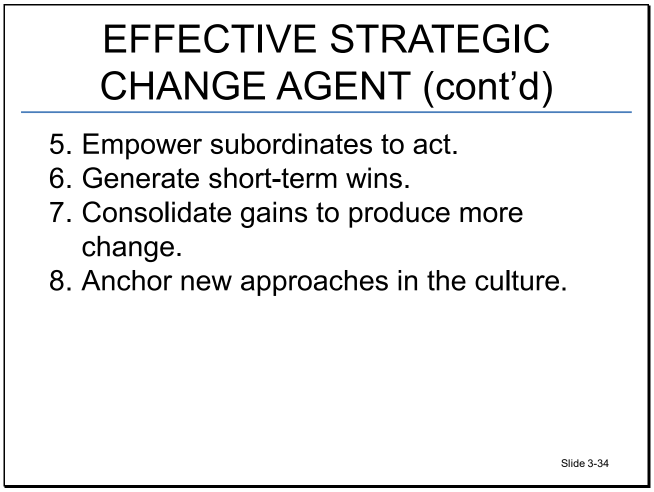
    c. Helps coordinate the actions of different people in a remarkably fast and efficient manner.

4. Communicate the vision.

    a. The power of a vision is unleashed only when most of those involved have a common understanding of its goals and direction.

b. Accepting a future vision can be a challenging intellectual and emotional task.

c. Humans, especially well-educated ones, buy into something only after they have had a chance to wrestle with it.



5. Empower subordinates to act.

   a. Extremely few internal transformations are successful without broad organizational assistance.

   b. Employees cannot and will not help if they feel powerless.

   c. Effective implementation of Steps 1-4 already does a great deal to empower subordinates.

6. Generate short-term wins.

   a. Provide evidence that the sacrifices of change are worth it.

   b. Reward change agents with a pat on the back.

   c. Help fine-tune the vision and strategies.

   d. Build momentum.

7. Consolidate gains to produce more change.

   a. Irrational and political resistance to change never fully dissipates.

   b. Easing up after short-term wins loses critical momentum and opens the door to regression.

8. Anchor new approaches in the culture.

   a. Cultural change comes last, not first.

   b. New approaches usually sink into a culture only after it's very clear that they work and they are superior to old methods.

   c. May involve turnover.

VI. THE EXECUTIVE CHIEF OFFICER'S ROLE IN THE LOCAL POLITICAL PROCESS AND PUBLIC POLICY

EXECUTIVE CHIEF OFFICER'S ROLE IN PUBLIC POLICY

- Identify public policy issues based on community needs and the organization's mission.
- Build a community agenda around proposed public policy issues.
- Communicate community needs to elected and appointed decision-makers.
- Propose public policy solutions that will resolve the issues.

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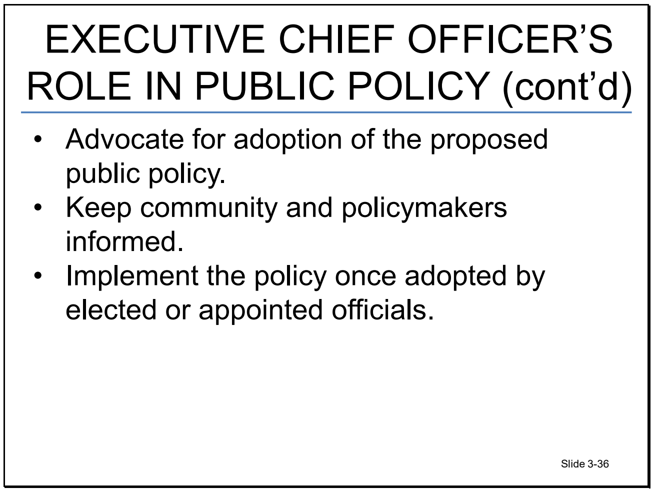
A. Executive chief officer's role in public policy.

   1. Identify public policy issues based on community needs and the organization's mission.

   2. Build a community agenda around proposed public policy issues.

   3. Communicate community needs to elected and appointed decision-makers.

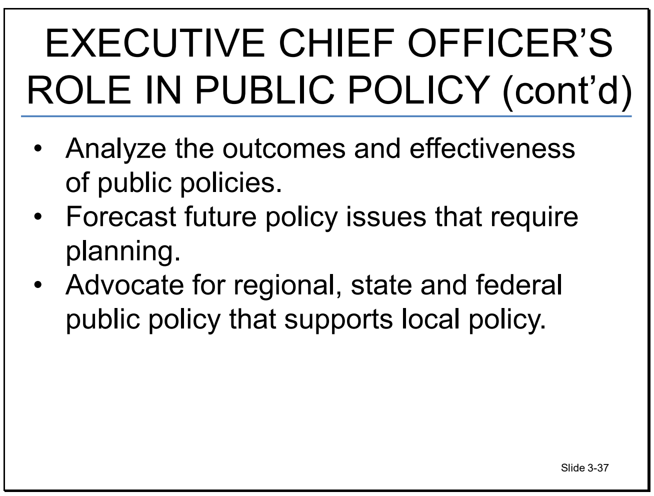
   4. Propose public policy solutions that will resolve the issues.



5. Advocate for adoption of the proposed public policy.

6. Keep community and policymakers informed.

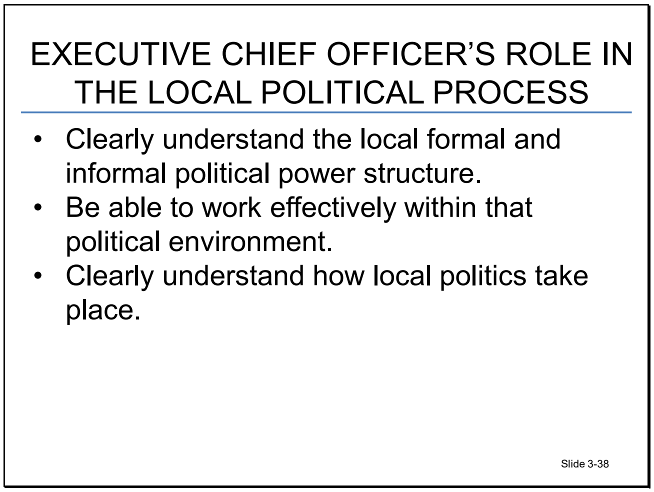
7. Implement the policy once adopted by elected or appointed officials.



8. Analyze the outcomes and effectiveness of public policies.

9. Forecast future policy issues that require planning.

10. Advocate for regional, state and federal public policy that supports local policy.



B. Executive chief officer's role in the local political process.

1. Clearly understand the local formal and informal political power structure.

2. Be able to work effectively within that political environment to establish and maintain political influence.

3. Clearly understand how local politics take place and how local policymakers:

   a. Approach and react to policy issues.

   b. Obtain and organize policy issue information.

   c. Are motivated politically by personal values, beliefs and attitudes.

   d. Communicate with public officials on policy issues.

   e. Communicate and interact with the community.

4. Understand community needs and expectations.

   a. Various interest groups.

   b. Align organizational programs with community needs and expectations.

5. Build and maintain political equity.

6. Be politically astute.

7. Be an effective change agent.

VII. SUMMARY

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APPENDIX

CHECKLIST

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EXECUTIVE CHIEF OFFICER'S ROLE IN PUBLIC POLICY

- ☐ Identify public policy issues based on community needs and the organization's mission.
- ☐ Build a community agenda around proposed public policy issues.
- ☐ Communicate community needs to elected and appointed policymakers.
- ☐ Propose public policy solutions that will resolve the issues.
- ☐ Advocate for adoption of the proposed public policy.
- ☐ Keep the community and policymakers informed.
- ☐ Implement the policy once adopted by elected or appointed officials.
- ☐ Analyze the outcomes and effectiveness of public policies.
- ☐ Forecast future policy issues that require planning.
- ☐ Advocate for regional, state and federal public policy that supports local policy.

EXECUTIVE CHIEF OFFICER'S ROLE IN THE LOCAL POLITICAL PROCESS

- ☐ Clearly understand the local formal and informal political power structure.
- ☐ Be able to work effectively within the political environment to establish and maintain political influence.
- ☐ Understand how local politics take place and how local policymakers operate and make public policy decisions.
- ☐ Understand community needs and expectations.
- ☐ Build and maintain political equity.
- ☐ Be politically astute.
- ☐ Be an effective change agent.

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UNIT 4: PLANNING

TERMINAL OBJECTIVE

The students will be able to:

4.1 Assess the component of an effective strategic plan.

ENABLING OBJECTIVES

The students will be able to:

4.1 Describe four types of analytical strategies.

4.2 Explain what strategic planning means.

4.3 Differentiate between goals and objectives.

4.4 Define performance audit.

4.5 Identify the resources needed to create an effective strategy.

4.6 Use formats described in this unit to develop an implementation plan.

4.7 Perform a gap analysis of services identified during strategic modeling.

4.8 Describe how to sustain the strategic plan.

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FEMA

U.S. Fire Administration

UNIT 4: PLANNING

Slide 4-1

TERMINAL OBJECTIVE

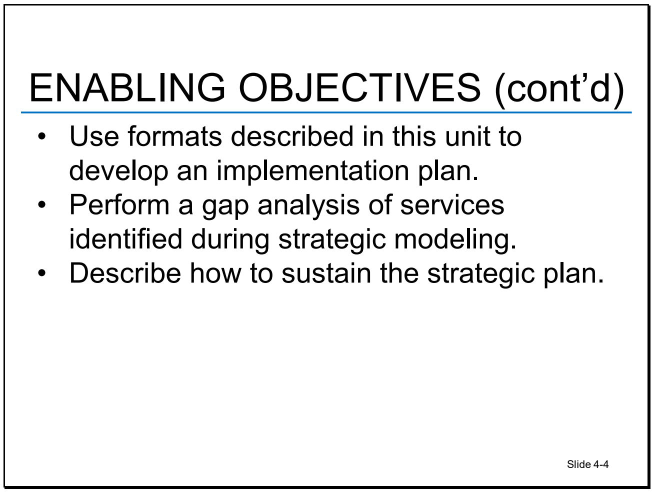
Assess the components of an effective strategic plan.

Slide 4-2

ENABLING OBJECTIVES

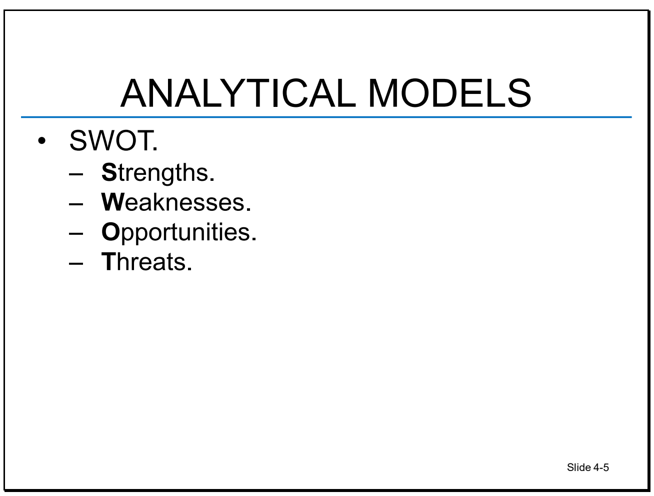
- Describe four types of analytical strategies.
- Explain what strategic planning means.
- Differentiate between goals and objectives.
- Define performance audit.
- Identify the resources needed to create an effective strategy.

Slide 4-3



I. NATIONAL FIRE INCIDENT REPORTING SYSTEM STAFF PRESENTATION

II. THE STRATEGY OF PLANNING



A. Analytical models.

The Strengths, Weaknesses, Opportunities, Threats (SWOT) model is an analytical method to determine the organization's strong and weak points, how it could improve, and what items could impede that improvement.

1. Strengths: Evaluate and point out the strengths of the organization.

2. Weaknesses: Identify the weak spots within the organization.

3. For both strengths and weaknesses, evaluate the organization's:

a. People and their skills.

b. Processes and the standard operating guidelines (SOGs).

c. Reputation within the community.

d. Resources (include their relevance and age).

e. Performance standards.

f. Infrastructure.

g. Support groups.

4. Opportunities: Identify opportunities that exist because of the organization's strengths and weaknesses.

5. Threats: Outline the known threats to the organization.

6. For both opportunities and threats, evaluate the organization's:

   a. Customers.

   b. Environment.

   c. Culture or demographics reputation within the community.

   d. Economy resources (include their relevance and age).

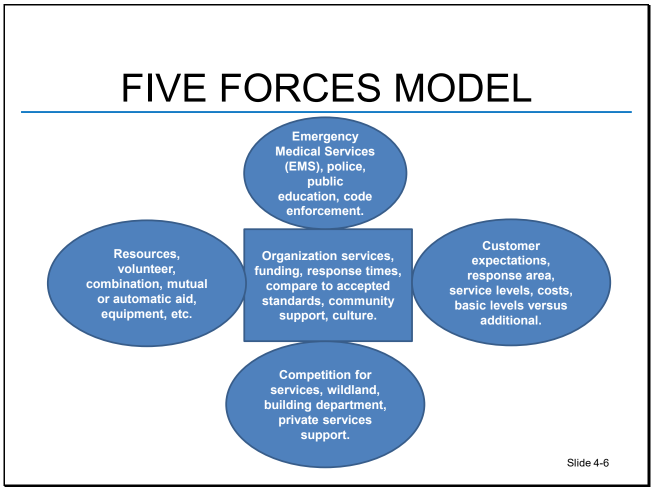
   e. Legal requirements.

   f. Changing technology.

   g. Grant opportunities.

   h. Competition.

   i. Changing political influence (board members, city council and new businesses in the community).



B. Five Forces model.

1. The fire and EMS industry is at the center of the analytical chart.

   a. Compare how your organization conducts similar services.

   b. Identify the services you offer and compare to other organizations.

   c. Assess how you perform those services, response times, public support, funding, etc.

2. The circle above the center should include what services are available to your community from other sources (the competition).

   a. Police, code enforcement and public education.

   b. Identify and outline others who also have an interest in fire and life safety.

   c. EMS services are public or private.

   d. Name other services, such as medical, public works, utilities, etc.

3. Determine whether there is competition to your organization or levels of service. This should be in the circle below the center.

   a. Private EMS, including transport.

   b. Code enforcement or planning by building division.

   c. Wildland education, suppression and legislation.

4. Define your resources and what effect they have on your operation and others. This should be in the circle to the left.

   a. Volunteer and combination departments — categorize your members and what they do for your community away from the organization.

   b. Career, volunteer and combination — evaluate levels of professionalism.

      - Training.

      - Certification.

      - Diverse skills.

   c. Determine if there are sufficient resources (equipment, personnel, etc.).

   d. Pinpoint services that are available to your community from outside your organization that you command.

      - Mutual or automatic aid.

      - Professional contacts.

5. Identify your customers and what influence they have on your organization. This should be to the right of the center.

6. Outline the area that you serve in terms of population and geography.

   a. Costs and logistics of switching to an organization different from yours.

   b. Identify services that your community expects at a minimum.

   c. Define services you provide over the minimum.

   d. Response time versus service level.

      - Do not focus on response times if other services are affecting your ability to respond.

      - Look at who dispatches you and ask when the clock starts and ends.

- If other services are important to your community, then maybe a four-minute response is not applicable. Those services may also be necessary if a desired response time is more important.

C. Business Level Strategy model.

Cost or differentiation.

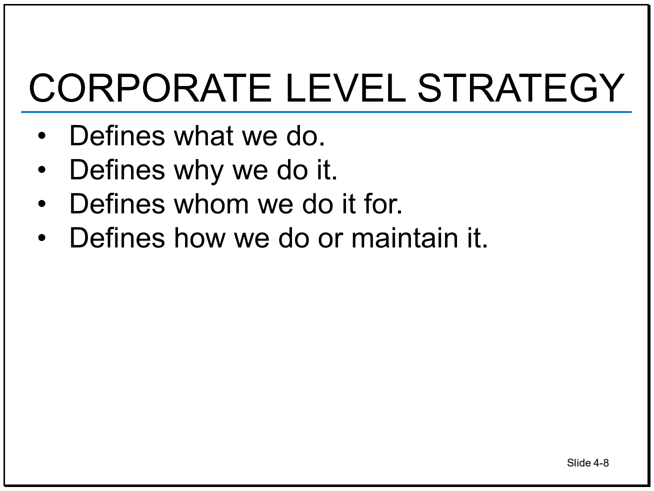
1. Making the organization as efficient as possible, in terms of cost-benefit. (Use metrics such as costs, measuring the financial cost per call based on existing budget, or how much does an ambulance transport cost for the level of service provided?)

2. Maintaining rigid standards of performance. (This could include an operational guideline, such as a five-minute response.)

3. Strategic planning emphasizes controlling costs.

4. Value of the organization emphasizes unique services (may include fire prevention, saving community money by making buildings safer).

5. Strategies focus on customer service and innovative technology. (How can the organization do it better or cheaper, or is there a need for something by the public that the organization can do with existing resources or minimal cost?)



D. Corporate Level Strategy model.

Recognize what you do, whom you do it for, and how you can maintain service.

1. Assess the services in terms of performance, scope, level of effort and quantity.

2. Recognize how many people and how large of an area you serve.

3. Assess the effectiveness of marketing your services.

4. Analyze if the organization's strategy specifies the correct level of service.

5. Choose a service that we can excel at and concentrate on that level of service.

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ACTIVITY 4.1

Analyze This

Purpose

To use various analytical strategies.

Directions

1. The facilitator will assign each group a scenario to analyze.

2. Each scenario depicts a fictitious organization and some of the data needed for strategic development.

3. Follow the directions for each scenario, and choose someone from the group to report the results of the group's analysis.

4. You are allowed 10 minutes to analyze the scenario.

5. You will have 10 minutes to brief your results to the class. Select a representative from your group to give the briefing.

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ACTIVITY 4.1 (cont'd)

Analyze This

Scenario 1

Using a SWOT analysis, list a strength, weakness, opportunity and threat to this organization.

The Wopperloo County Emergency Medical Service (WCEMS) has provided EMS and transport to the community of Wopperloo for 25 years. They have a reputation as a professional service and a cooperative agreement with the local community college to assist with the training and education of emergency medical technician (EMT) and paramedic students. This agreement has resulted in several of the graduating students obtaining employment with WCEMS, which also validates the community college's program. A neighboring university system approximately 5 miles away has been made aware of the community college's partnership program and would like to expand the program to a four-year degree. WCEMS operates three ambulances 24 hours a day and an interfacility transport unit that takes patients from their residence to physicians' offices or hospitals when requested. The interfacility unit is not equipped to transport patients in wheelchairs, which has caused some of their customers to seek alternative transportation for their physician-requested appointments.

Because of the volume of work, it is difficult for WCEMS to find enough time to provide training for their employees. Employees complain that they have to use their personal time to get continuing education for certification. The volume of work in Wopperloo County keeps the WCEMS solvent, and the revenue has allowed WCEMS to purchase two extra ambulances as reserves. WCEMS also uses their popularity as a professional organization to underwrite the cost of hosting a CPR day event in Wopperloo County. At this event, the WCEMS employees and staff teach CPR to the residents of Wopperloo.

If there is a criticism about WCEMS that refuses to go away, it stems from billing. Some of the customers complain that WCEMS charges too much for ambulance transport. A few of the citizens have suggested to the Wopperloo County Commissioners that it would be less expensive to sign a contract with a private ambulance service. They have spoken with other communities and some of them have private services that charge as much as $100 less than WCEMS per transport. They want the commissioners to solicit bids from a private service to compare fees.

Scenario 2

Using the Five Forces model, list at least two examples of complimentary data needed for a Five Forces flow chart. List two each for the organization and two for other services available, and any competitors, the resources within the organization, and customers or influences on the organization.

The HotandTot Fire Protection District (FPD) operates seven stations in a 50 square mile area of Toocool County. The district employs 60 career employees, 21 of whom are paid on-call and 12 reserves classified as cadets in training. The cadets can observe or assist with station duties but cannot respond to emergencies. The district is funded for salaries and basic operational costs through property taxes collected by the county. However, when large equipment purchases are needed, such as apparatus or stations, a special assessment in the form of a bond is required. This necessitates a vote of the people in Toocool County. Because of the size of the district, three of the stations have an average response time of nine minutes or more. The district has set a goal of eight minutes for emergency response. Four of the stations have structure response engines with three personnel assigned to the station. There are two stations that are wildland stations with a brush rig and water tender. These stations have two personnel assigned to them. One station has a 75-foot quint and a medium rescue, cross-staffed with three personnel. Some of the firefighters are EMTs, and the department has considered training all employees to become EMT certified and become a first responder level service.

The HotandTot FPD has mobile data terminals in every piece of apparatus, which helps with mapping, but the preplans are often outdated because the code enforcement and plan reviews are completed by the county building division, and they don't preplan the structures. The HotandTot FPD asks the officers in each station to develop preplans and add them to the system when time allows. Toocool County Health Department delivers an annual fire education program to first-grade students every October. That is the extent of the fire and life safety that is done in the district since the FPD does not have a prevention division.

The local EMS is provided by Professional Private Ambulance (PPA) Company. PPA is a national company that has a contract with Toocool County, and they deliver service through six mobile ambulances. PPA has asked the state Division of Forestry to be licensed to provide EMS for wildland incidents in the state. It is rumored that PPA is going to ask the county commissioners to station three of their ambulances in HotandTot FPD stations to provide a faster response in some areas of the county. You have learned this from two of the paid on-call firefighters who work for PPA.

One of the paid on-call firefighters is a Division of Wildlife officer and volunteers with your organization on weekends. She has informed you that the Department of Natural Resources (DNR) purchases brush trucks and water tenders and gives them to local FPDs in the area to use and house for their own use. They expect the FPDs to release them when the DNR needs to use them for wildland fires in the state. She thinks this may benefit the HotandTot FPD for future apparatus needs.

Scenario 3

Using the Business Level Strategy model, offer one cost-saving control measure or program that could be considered by the Bottomline City Council to help control costs and improve efficiency. Also consider a unique process or program that Bottomline could adopt or incorporate to distinguish the fire department as a professional organization. This unique service should influence the city council, citizens and residents for its importance to the community. It should be something the community would value and prize as a service that they would regret losing.

The Bottomline Fire Department operates in a thriving industrial community of about 23,000 residents. There is a business park housing three very large factories that employ many of the residents of Bottomline. The city of Bottomline has a strong mayor, good government, and a council of six elected representatives. All but the mayor and one of the council members are employees of the factories. The Bottomline Fire Department operates from three fire stations and supplies fire suppression, emergency medical response with paramedics on the engines, and fire prevention services. EMS transport is provided by the local hospital.

The Fire Prevention Division has two employees who review new business plans and inspect all the businesses in Bottomline on an annual basis. They are certified code enforcement officers. The department has a goal of inspecting every business annually for compliance. This has proved difficult because there are only two enforcement officers and one must remain in the office to receive plans from developers, should they come in during normal work hours. Neither officer is trained in fire and life safety education, so the department relies upon the firefighters in the stations to educate the students in the five elementary and the one middle and high school in the community.

The department has met the goal of a five-minute response from all responding stations for 12 years, with an average time of 4.48 minutes being the norm. The unincorporated district that surrounds Bottomline is protected by a FPD that is an all-volunteer department covering approximately 18 square miles. Bottomline has a mutual-aid agreement with this district. The mutual-aid agreement does not require EMS response from Bottomline, but there have been several requests by the district for Bottomline to send engines for EMS response in severe cases. This is a point of contention for the city council, as they have pointed out to you that Bottomline citizens and residents pay for the Bottomline Fire Department to provide services to the city and not the unincorporated district. They have expressed their concern that Bottomline Fire Department should only respond into the unincorporated area for structure response and nothing else because of costs.

The Fire Prevention Division generates about $55,000 per year in building permits. The prevention salaries total $150,000 with benefits.

The cost per call based upon a staff of three per engine company is $186 per call, based upon an average of eight calls per shift at $62 per hour times 24-hour shift. Apparatus cost on average $23 per day.

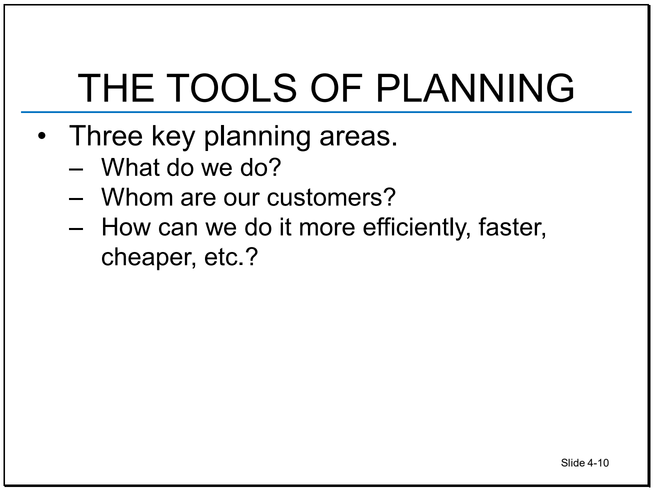
Scenario 4

Using the Corporate Level Strategy model, list what level of service or specific services are being provided by the organization. Indicate how this information is useful in marketing the department to its residents. Indicate whether there are measures of efficiency or improvement that could be added to enhance the service. Choose another level of service that might be implemented or improved as an alternative if the previously identified services were to be deleted or diminished.

The Important Fire Department has been in service for over 75 years and served the community of Necessary diligently since its beginnings as an all-volunteer organization to the present. The department is now an all-career department of 31 employees. The department operates from two stations, each staffed with four personnel and one engine company. One station house is a water tender, and the other is a light rescue unit. Both of these units respond only when dispatched. The tender is used to respond to areas of the community that do not have hydrants, and the rescue unit is taken to vehicle accidents that might require extrication. Those responses send three on the engine and the fourth employee drives the requested specialty unit. The Important Fire Department trains daily, and the employees have averaged over 22 hours per person per month for several years. The city of Necessary has an Insurance Services Office rating of 3, in part due to the training levels, the communication services provided by the county-owned dispatch center shared with the local sheriff's department, and an ability to deliver adequate water at Insurance Services Office standards to all the residents of Necessary, even those without hydrants. The department responds to approximately 2,000 emergencies annually, with 70 percent of them being EMS-related. The department requires that all the firefighters are EMT certified, and the department maintains a first responder level license. The 22,000 people in Necessary have always been supportive of the Important Fire Department, however, because of the recent downturn in the economy, some people have lost their jobs. The city's ability to collect property taxes (which funds the city's services) has been diminished by a combination of foreclosures, business closures and reduced property values, which lowered the amount of the collected property tax. This has forced the city council to consider cutting the fire department and other city services to an affordable level.

The department has a Department Vision Statement that states it will respond to all emergencies in the city's boundaries within five minutes, 90 percent of the time. The fire department has averaged four minutes and 40 seconds consistently since the addition of the second fire station 11 years ago. The original station was built 38 years ago and is in a good location, but it is not very energy efficient. The department's lone reserve engine is a 1972 model, and the department was hoping to purchase a replacement in the next two years. The frontline engines are 8 and 13 years old. The 13-year-old unit has had some mechanical issues in the past two years that have been costly and forced the department to rely on the '72 model more than once. The present department budget is $2,500,000. The city council believes they need to cut the budget or operational costs by 10 percent to balance the budget. The emergency medical response in the community is delivered by a local private service that transports about 1,600 people a year. They bill $500 per transport and receive about 40 percent of the billable costs annually from their patients. The Important Fire Department goes to most of the EMS calls in Necessary, but it does not charge for the first responder service, nor does it receive any compensation from the local service provider.

III. THE TOOLS OF PLANNING



A. There are three key areas.

1. We encounter many areas of community service in our daily activities.

a. Not just fire suppression or EMS. Consider everything in the organization that it takes to operate.

b. Fire.

c. Rescue.

d. Fire prevention.

e. Public education.

f. Life safety education.

g. Code enforcement.

h. Business inspections, etc.

2. Our customers include everyone in the community.

a. Citizens.

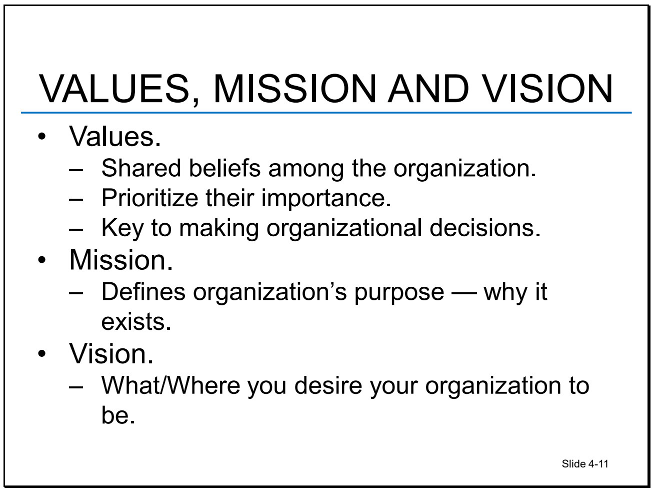
b. Businesses.

c. Aid partners, such as mutual aid, law enforcement, water and street services, and educational institutions, etc.

3. We should continually assess how we can improve by doing our jobs more efficiently, faster, cheaper, etc.

    a. The key to all the points of the values, mission and vision is that they must be shared by the organization.

    b. If the strategic plan cannot be related to the entire organization and everyone does not share the vision with enthusiasm, then there is little chance of success in implementing the strategic plan.



B. Values, mission and vision.

1. Values should be shared beliefs among the organization.

2. Prioritize their importance.

3. Values are key to making organizational decisions.

4. The mission should simply define the purpose of the organization.

5. A mission should define why we exist.

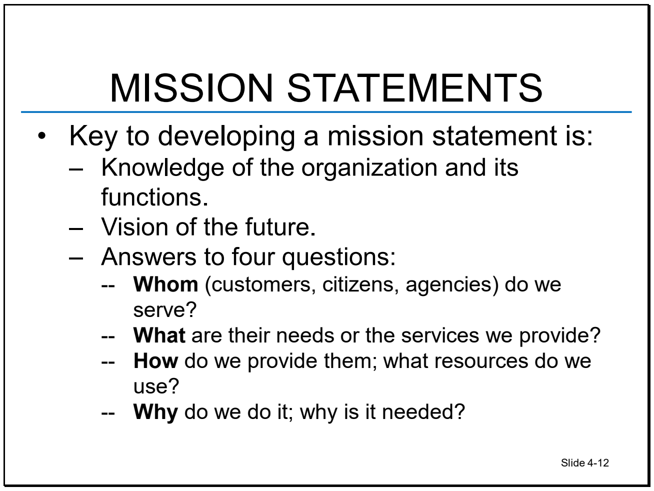
6. Vision is a long-term view of the organization's future.

    a. Long-term means different things to different people.

    b. The culture or values of the organization's strategic team may come into play here.

    c. Organizations need to define long-term: three, five or ten years.

    d. Be mindful that in order for the plan to have measurements, they must be reasonable.



C. Mission statements versus vision statements.

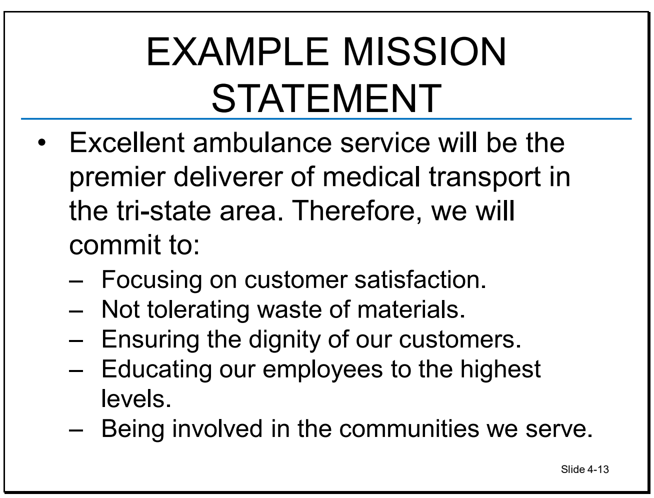
1. A key to the process of developing a mission statement is the knowledge of the organization and its functions as they presently exist, a vision of the future, and then the answers to the following:

a. Identify the customers, citizens or agencies we serve.

b. Define the needs or the services we provide them.

c. Pinpoint what we provide them and assess which resources are used.

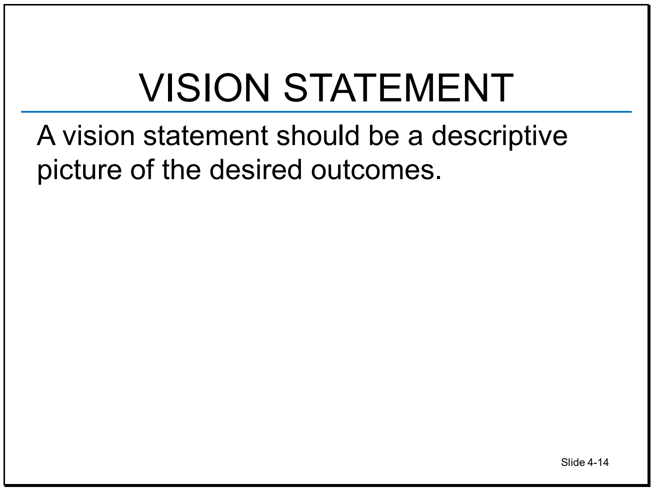
d. Recognize the reasons for being part of the community in which we serve.



2. Organizations often combine goals and objectives into a vision statement.

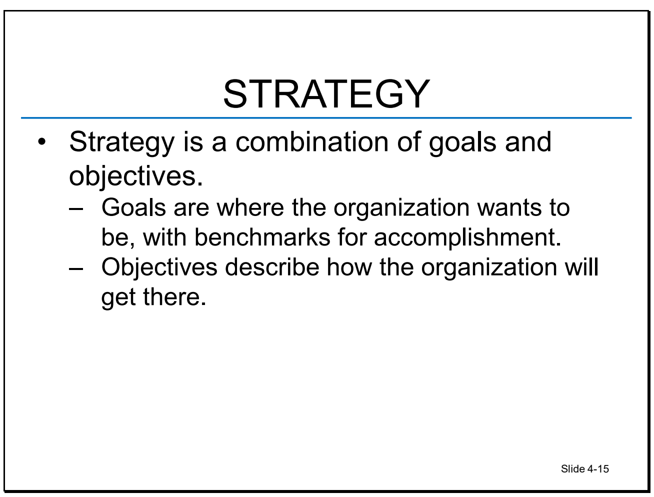
3. Organizations may begin with a vision and mission and then create goals and objectives.

   a. A mission statement is a rationale for what we do now and in the future.



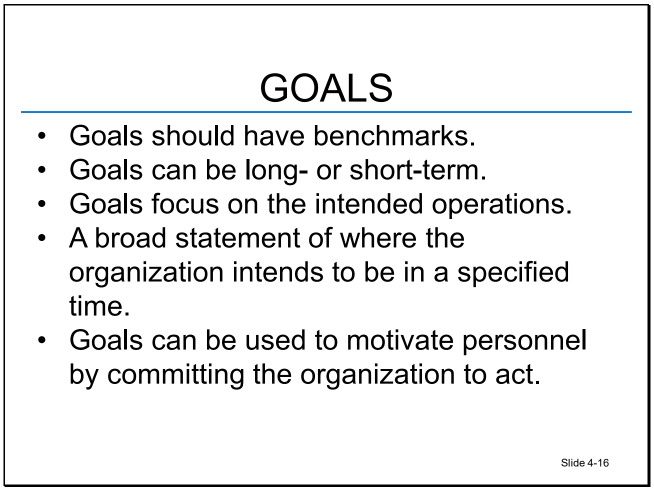
   b. A vision statement should be a descriptive picture of the desired outcome(s).

   c. Vision statements provide a set of principles on which the organization makes decisions. It helps the operations of the organization.



D. Strategy.

1. Strategy is a combination of goals and objectives.



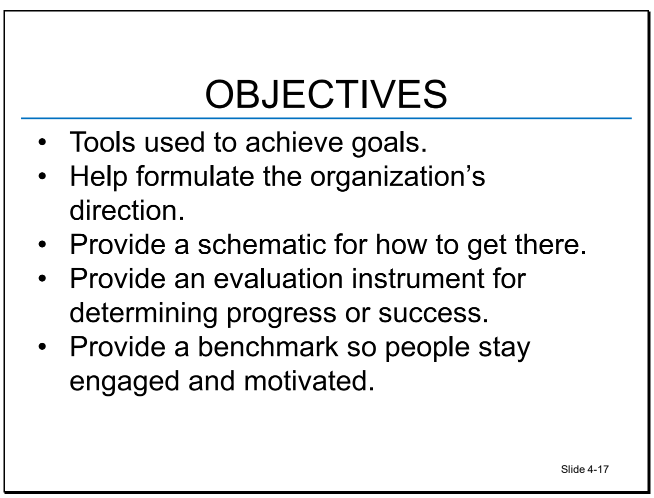
2. Goals are end points, such as what the organization is striving to attain.

   a. Goals should be written with the end point in mind. They should answer where the organization wants to be.

   b. Include benchmarks to measure success or time-specific goals for consistency.

   c. Goals may be long-term or short-term depending upon the organization's objectives.

   d. Goals can be used to motivate the organization by indicating a direction or desired achievement shared by employees.



3. Objectives are the tools used to achieve those goals. Objectives should be written using the **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**imeframed (SMART) criteria.

a. Developing objectives to achieve goals and guide activities is important.

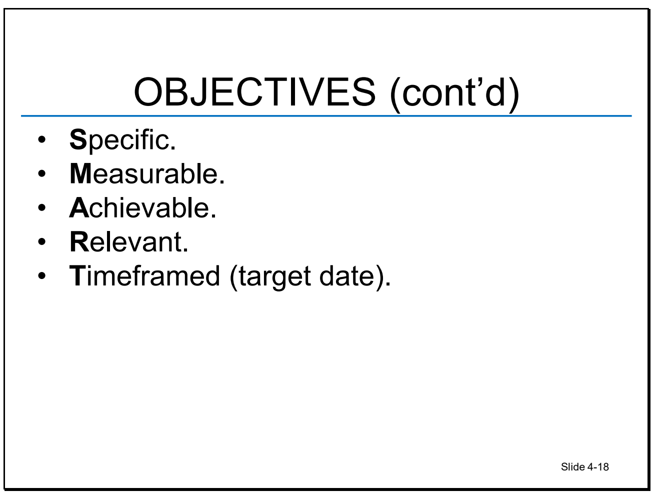
- They help formulate the direction that the organization is going toward. They must be specific.

- They provide a schematic for how to get there. Therefore, they must be achievable as well as relevant in achieving success.

- They provide an evaluation instrument for determining progress or success. Therefore, they must have a benchmark or measurable component to determine achievement.

b. They provide a benchmark of measurement so that people stay engaged and motivated. This requires that they be time-driven.

4. Goals support the mission, and objectives support achievement of goals.

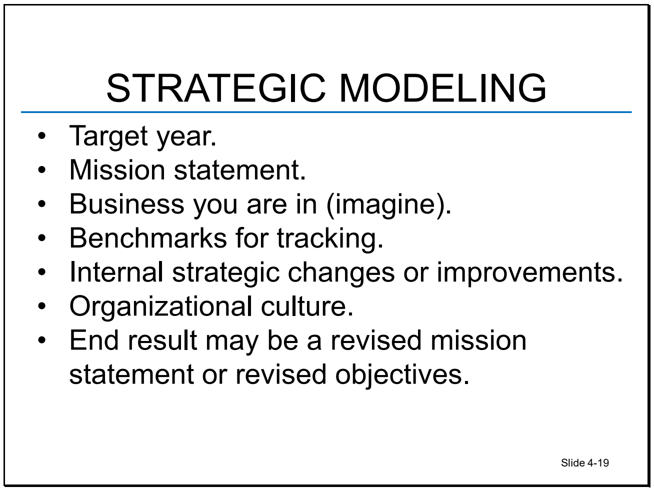


5. Objectives are end points, such as what the organization is striving to attain.

a. Objectives should be written using the SMART criteria.

b. Written objectives using SMART include having specifics that are measurable and demonstrating how they are achievable, relevant and timeframed, or in this case, have targeted dates.

IV. STRATEGIC MODELING



A. Strategic modeling is the detail of an agreed upon plan that predicts the future for the organization. It forecasts that future in understandable, measurable and sustainable terminology.

B. Targeting.

1. Choose a target year.

2. Review the mission statement.

C. Expectation from strategic modeling.

1. Based on the current business, imagine the perfect business and describe the organization.

2. Successful benchmarks used for tracking.

a. Discussed in "The Balanced Scorecard" (Kaplan and Norton, 1996).

b. Finances: This requires accurate data. Use metrics such as cost versus benefit or risk assessment.

c. Processes or procedures and service levels.

d. Customers.

- Customers are measured by satisfaction of your services and remember to separate the services as they are measured.

- As a comparison, customers may express satisfaction with fire suppression or EMS, but less so with code enforcement.

- Also, you must measure how to retain customers and identify new customers. Your services should address who receives them and why they need them.

e. Learning and growth.

- Learning and growth measurements are the keys to improvement for any organization. What is your employee's attitude toward change, retraining, improvement and new technology?

- Remember it is not just how many employees are needed, but also how qualified the personnel are.

- A benchmark or an objective to support a mission could involve retraining or adding an additional skill to the organization.

3. Internal strategic changes or improvements.

a. A well-developed strategic plan will root out changes that need to be made within the organization in order to proceed successfully and allow sustainability.

b. Internal changes needed to proceed with the mission.

4. The organizational culture.

a. The emergency services field has had a traditional resistance to change. When dealing with a culture that offers resistance, the strategic development team has three choices.

- Design a future that will align with the culture in place at the time and hope that personnel changes in the near future will embrace the strategic plan.

- Develop a plan that moves the culture to a place the organization wants to be by a target date and plan changes according to the time frame agreed upon.

- Create a separate operational plan within the organization. Place key personnel in a position to learn and adapt to the new strategies separate from the operations of the organization, and when the target date arrives, have the people and procedures ready to change over.

b. The key to business modeling or scenario-based planning is honesty. The team must look at the data of the organization with an unbiased eye.

c. Many an organization has become extinct because they believed they would always be irreplaceable or necessary.

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ACTIVITY 4.2

Using Success Indicators for Strategic Modeling

Purpose

To reinforce strategic modeling.

Directions

1. The facilitator will divide the class into groups.
2. The facilitator will assign each group a scenario to analyze.
3. Read the scenario, and as a group answer the questions asked in the last paragraph of each scenario.
4. You will have 10 minutes to evaluate.
5. You will have 10 minutes for presentations.

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ACTIVITY 4.2 (cont'd)

Using Success Indicators for Strategic Modeling

Scenario 1: New Customer

The community of Progress is protected by the Doitall Fire, Rescue, Emergency Medical Services (FREMS) Department and has experienced a significant increase in incendiary-related fires caused by juveniles under the age of 13. A group of representatives from neighborhood homeowners' associations (HOAs), members of the local Parent Teacher Associations (PTAs), and a couple of members from the town council have expressed concerns. Data from the National Fire Incident Reporting System (NFIRS) used by Doitall FREMS demonstrates an increase of 25 percent in fires set by juveniles over the last three years. The HOA representatives are fearful of their property values being reduced because of the rash of fires, the PTA is demanding action from the schools and the community government to prevent further fires caused by juveniles, and the members of the town council are asking who is responsible for the solution, the Doitall FREMS or law enforcement.

No one in the Doitall Department has training in juvenile firesetter intervention. There is no fire educator on the Doitall Department, nor is there a cause and origin investigator on the department. The fires in progress are investigated by the local sheriff's department.

The present budget is sufficient for the number of personnel presently employed, and the operations budget is sufficient to maintain present services; however, the expenditures for the past two years have matched the budgeted revenues almost exactly. This leaves very little margin for error. The department's fleet of vehicles is on a 10-year replacement plan, and ambulances are replaced every four years. The fire prevention bureau has a staff of two, and they provide code enforcement only.

Overall, the department has received favorable reviews from citizen surveys with the last survey completed two years ago. The targeted response time for arriving first units of five minutes has been achieved for the last five years.

The Doitall FREMS Department strives to provide a professional delivery of fire suppression, rescue, and EMS to the citizens of Doitall in the fastest manner available and with the most up-to-date equipment and technology, **resulting in complete customer satisfaction.**

Identify the new and old customers in this scenario. Determine the categories of customers. Include potential customers if the goals of the department were expanded to include a new service.

Scenario 2: Benchmarks for Tracking (Financial)

The city of Sharp is a bedroom community with a downtown that is approximately three blocks long. The retail heart of Sharp resides in those three blocks and provides the large majority of revenue to the community through sales tax. Most of the citizens of Sharp work in a neighboring metro area and travel to work daily. The community does have an elementary school, but middle-school and high-school students are bused to the metropolitan school district. A contracted building inspector reviews building permits and new construction permits.

The Cutting Edge VFD has an annual budget of $12,000, which is a return on a portion of the sales tax revenues specifically collected for public safety. The department operates a 15-year-old pumper and a 9-year-old tender. The department has 18 volunteers, 15 of whom have been members for over 10 years. Of the veteran members, three are approaching the age where retirement is a strong possibility in the next two years.

The fire station is a converted gas station that was originally built in the 1950s. It has heating issues in the winter and is considered a drafty building. On more than one occasion, the heat has malfunctioned and the station's water pipes have frozen, as well as the fire engines' water supply lines. There is no tower to dry hoses, and there is no space for a meeting room or training. The department uses the local elementary school for meetings and conducts training at one of the firefighter's farms.

With a staff of dedicated volunteers, the Cutting Edge VFD protects the citizens of Sharp from the dangers of fire by staying **physically prepared and adequately trained.** The department **maintains their equipment to national standards,** trains the volunteers according to state protocols, and adopts the current national fire codes.

Determine the benefits to the community received from the $12,000 annual budget. Determine if there are possible revenue sources that can be achieved by building or remodeling the station. What potential costs will need to be addressed in order to replace the three retiring members?

Scenario 3: Business Processes and Procedures

The community of Snowball is a very old, traditional community where many of the families that reside have lived for generations. The downtown, which includes the courthouse, houses the Division of Public Safety and is 100 years old. The utilities in the old building were brought up to code 20 years ago. The lack of sufficient electrical receptacles causes many of the desks situated in the departments to share a Ground Fault Interrupter (GFI) extension cord. This forces many of the desks to be located in close proximity to one another and allows for little personal privacy. There is a need for storage space since the division maintains many old files that were printed on paper. Some of these files are 30 or 40 years old, and the division has a limited number of computers because of the lack of adequate receptacles needed to operate a computer and monitor power cords.

The fire and police departments have newer vehicles, and the equipment replacement plan is sufficient to keep up with the need; however, they lack the ability to add modern technology, such as mobile data terminals or laptop devices, because there is no connectivity available at the courthouse to communicate with the units. The Division of Public Safety uses an older Ultra High Frequency (UHF) radio system that works fine in Snowball, but it does not have the ability for law enforcement units or fire units to communicate with neighboring departments or state agencies.

Much of the recordkeeping for Snowball is kept on computer disks from a personal computer because the community does not have the ability to store large amounts of information. Clerical positions in Snowball have a high turnover in personnel because the skills and training for acquiring new skills are limited by the technology used in Snowball and the community's governing body's lack of support to send people for training that is (in their view) unnecessary for the type of system currently used by Snowball. The Snowball Division of Public Safety employs qualified people who protect the citizens of Snowball. This includes protection from fire, violence and natural disaster.

What benefits could be achieved from adding a more up-to-date computer system to the organization? How could the levels of service improve by adding mobile data terminals to the emergency vehicles? What benefits for the employees and customers should be expected if the community improves its records management system?

Scenario 4: Learning and Growth

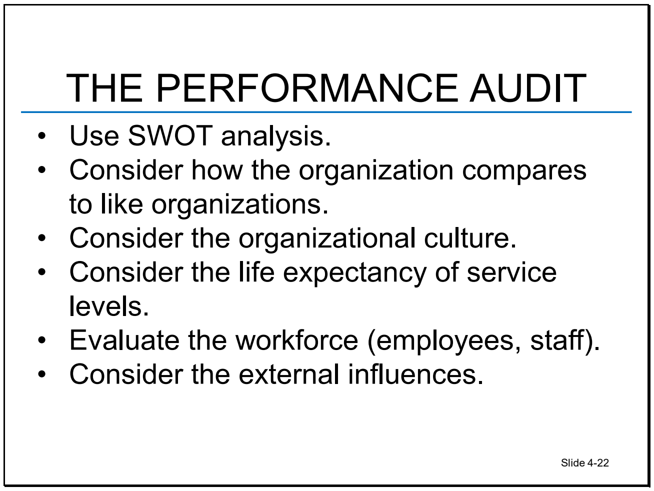
The Resistant Fire Department has been in existence for 200 years. Many of the members are third- and fourth-generation members. The department has provided basic fire suppression response from two stations for a community of 17,000 as long as anyone can remember. The department has one engine in each station and one reserve engine. Each station is a two-bay station that employs four firefighters at each station per shift. The fire department has been recognized as the most popular service offered in the community for several years by surveys initiated by the city council. As the number of fires has begun to decline in the past 10 years, the Resistant Fire Department has become more involved in fire prevention efforts. The department installs smoke alarms for citizens, conducts fire safety surveys for residences, and has developed a characterization program using firefighters in the elementary schools. The community has had a local ambulance transport business for the past several years operated by a local citizen. The business owner has announced that she is retiring and closing the transport service. The closest service to the community is a hospital-based unit 11 miles away.

Resistant Fire Department has about half of the department trained as EMTs, and they are the newest members. None of the Company Officers (COs) or chief officers have any EMS certifications. The attitude of most of the senior members of the department has been, “We are firefighters, not nurses; if you want to take care of sick people, go work in a hospital.”

The Resistant Fire Department encourages the professional development of its members by training safely and encouraging safe and efficient practices.

What appears to be the prevailing attitude of the department toward fire suppression and prevention? What is the cultural attitude toward EMS? What forms of communication will be needed to convey the department’s desire to add EMS to the resistant employees? What forms of communication should be considered in delivering the message to the public if the goal is to add EMS?

V. THE PERFORMANCE AUDIT



A. The definition of a performance audit is best described as the process where the group or team identifies how the organization is functioning at the present time.

B. Use the SWOT analysis (from earlier in the unit).

C. Start with your identified benchmarks.

1. Use the SWOT analysis to determine the strengths, weakness, opportunities or threats to those benchmarks. Some will require a little research, like finances.

2. If finances are predetermined, then the team can readily identify where the resources come from.

3. The new executive chief officer should insert himself or herself to give direction for where the revenues will come from and, possibly, whether the revenue stream is secure.

4. However, the team may have lengthy discussions about current procedures and how they may need to change in the future because of the threat of competition or new technology opportunities, or they may even determine that technology is a strength because of recent acquisitions.

D. The SWOT should consider how the organization compares to industry standards, such as those provided by the NFPA.

1. Be careful not to use shortcuts in this analysis.

2. The team may use simple evaluations such as staffing numbers, stations and pieces of apparatus as comparisons.

3. Encourage the use of measures such as demographics and the number and types of services. If the scorecard identified a strength, recognize its distinctive effect on the organization.

E. The organizational culture.

1. When determining the organizational culture, the challenge here is to seek understanding from the team and not to become emotional because of negative depictions of the culture.

2. The discussion should focus on "the way things are done around here" versus "the way you think or wish they were done."

F. Life expectancy of service levels.

1. A key area of concern during the performance audit is to evaluate all the levels of service that the organization delivers for strength and threat.

2. Honesty is imperative here.

G. Evaluating the workforce (employees and staff).

1. A major portion of any strategic plan and any performance audit considers the performance of the employees.

2. The talent in the organization is a large portion of the equation that leads to success.

3. An organization's ability to attract qualified employees, develop their skills and retain them is critical.

4. When using SWOT to evaluate employee performance, identify the measurements used by Bassi and McMurrer (2007).

5. Look at the leadership of the organization, employee engagement in the organization, the employee's access to new training and education, the employee's abilities to learn more, and how well the organization uses the workforce.

H. The external influences.

1. The team always needs to look at the external influences to the organization as well.

2. Several groups must be considered, such as related industries, vendors, allies, direct and indirect competitors, regulatory and governing groups, and customers and stakeholders.

3. Organizations that provide the same or similar services.

   a. External threats may come from another organization being able to do it less expensively or provide more services for the same price.

   b. Never get in the rut that allows you to think that no one can replace your organization.

4. Direct and indirect competition.

   a. Training has evolved in the past 10 years.

   b. The internet has replaced many human instructors, which is a direct form of competition.

   c. The fact that webinars offer access to national speakers has caused the organizations to budget fewer dollars for travel to training.

   d. That is an indirect form of competition. More money spent on webinars, less on conference attendance.

5. Regulatory groups.

6. Stakeholders.

   a. Primary customers should be obvious stakeholders, and the strength and opportunities for the organization should be easily understood.

   b. Threats may come from the lesser stakeholders, such as insurance underwriters, educational institutions, and retail businesses that contribute tax dollars.

   c. The threats and weaknesses could be changes in benefits to policyholders from Insurance Services Office ratings, schools desiring less education, fewer philanthropic contributions to organizational programs, or fewer charitable dollars to organizational charities because of the economy or business competition to retail.

   d. The general state of the environment that surrounds us.

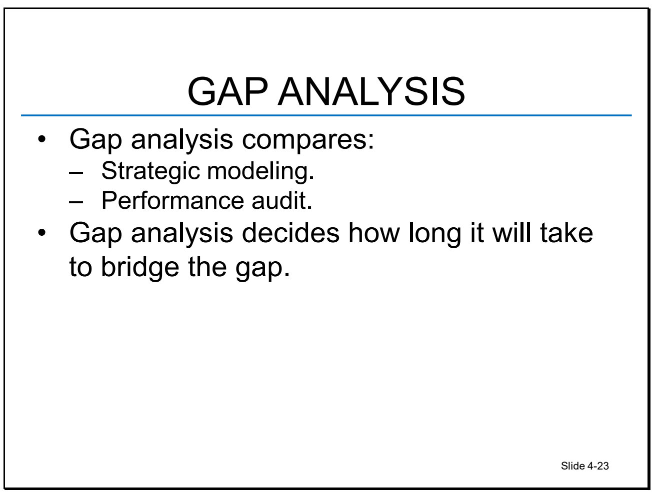
e. Any performance audit must remain conscious of the issues of relevance in the environment in which we reside.

f. Things like the economy are impacting us in more ways than just financially.

g. The public's concern for current events may cause consideration of things like security, both for your employees and the public trust. Remember what the world was like after 9/11, and the focus on terrorist activities. There were opportunities for grants, training, etc., but also threats to many organizations' ability to sustain the safeguards added to prevent terrorism.

h. Additional costs for secure measures added to buildings to prevent entry, identification cards, key card systems, etc. It clearly identified weaknesses in local systems of response.

VI. GAP ANALYSIS



A. A gap analysis can best be described as identifying where the organization is presently and where the organization wants to be in the near future, and then identifying what it will take to close the gap.

1. Simply put, an appropriately named gap analysis allows us to take the result of our strategic modeling (things we want to do and where we want to be in our target year) and compare it with our performance audit (where we are now).

2. We can then decide what actions and resources it will take to bridge the gap.

3. Look at present services.

4. Consider the future services you identified that could be offered.

GAP ANALYSIS (cont'd)

- The services identified during strategic modeling.
- Do they affect current service levels?
- Prioritize their reduction of effectiveness of present service levels.
- What organizational actions may be needed because of planned changes?

Slide 4-24

B. The following factors should be addressed to complete closure of the gap analysis.

1. Identify services that emerged from the strategic modeling process to assess whether the team decided to make them part of the organization's future.

   a. List how they affect current levels of service.

   b. Prioritize how they reduce some of the present services in relative effectiveness.

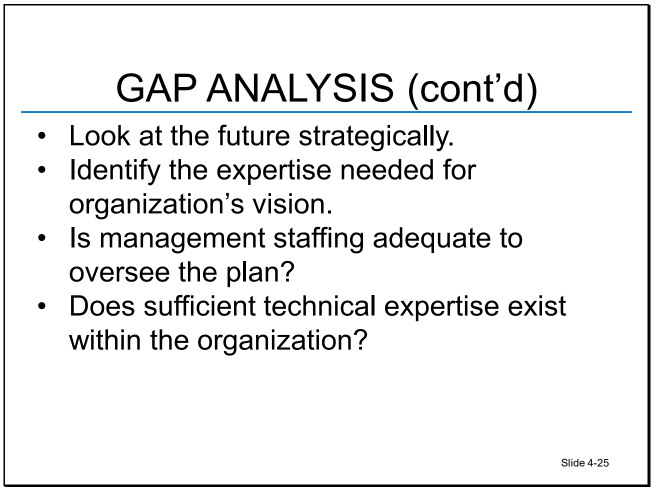
   c. Determine if the organization needs to plan for other strategic actions because of the planned changes.

      - The team should be concerned with how they will evaluate success for each new level of service at this juncture.

      - The audit should have identified what is needed to make the service occur, and the gap analysis should highlight what resources are needed to bridge the gap of design versus delivery.

      - The evaluations are needed for several reasons. One reason is to keep employees motivated to achieve the results expected by the team. Another reason is to allow for changes needed due to internal or external unanticipated factors (i.e., the economy reduces revenues or a key management position becomes vacant, etc.).

- This is when the team needs to agree on what hard decisions need to be made. Without consensus here, there is little hope to get buy-in from the culture within the organization.



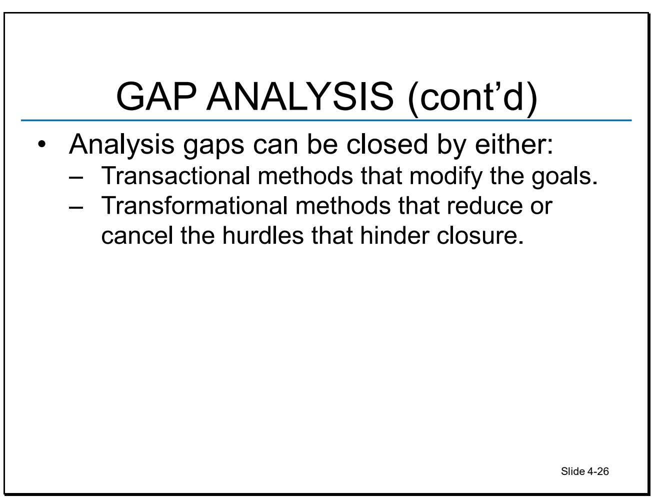
2. The new executive chief officer should ask the team to consider the future strategically.

   a. Identify the person and expertise required to achieve the vision.

   b. Assess if there are enough managers or supervisors to oversee the plan.

   c. Evaluate the level of required technical expertise and its existence within the organization.

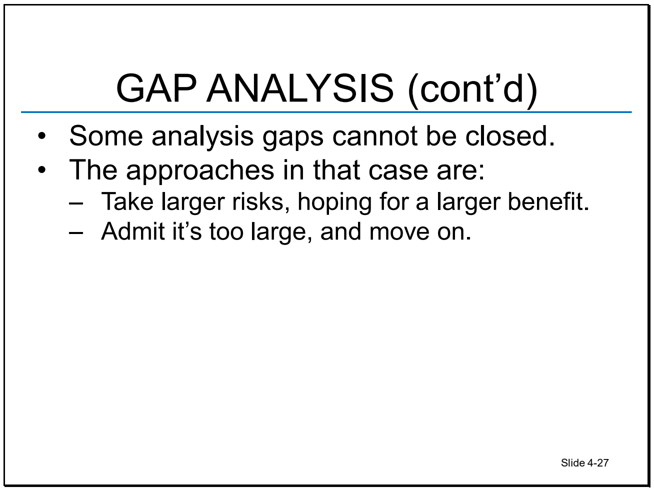
   d. Besides having enough employees for the plan, the team should also ensure that the correct abilities or skills are available.



3. Tactics for closing the gap involve the following two methods.

   a. Transactional methods that close the gap by modifying the goals.

   b. Transformational methods that close the gap by reducing or canceling the hurdles that hinder closure.



4. The gap that cannot be closed.

   a. Some service levels are not achievable because the gap analysis identifies a restriction that seems too insurmountable, such as not enough personnel, not enough revenue, or a radical change to the service provided, to be supported by the culture or the governing body.

   b. The team can decide how large a risk they are willing to take to overcome the obstacles or move on.

   c. Take larger risks, hoping for a larger benefit.

   d. Admit it is too large, and move on.

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ACTIVITY 4.3

Gap Analysis

Purpose

Provide an opportunity to review some issues information compiled by strategic modeling and a performance audit. Identify the gaps that exist between what the organization looks like presently and what it wishes to look like. Using gap analysis, determine the gaps that must be addressed in order to proceed.

Directions

1. Read the two scenarios.
2. For each scenario, identify and discuss any items that you view as gaps that need to be addressed by an audit team before integration can be implemented.
3. You will have 10 minutes to analyze the scenarios.
4. You will select a representative from the group to present the group's decisions.
5. Your representative will have five minutes to present the findings.

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ACTIVITY 4.3 (cont'd)

Gap Analysis

Scenario 1

A new level of service for a combination fire service has been suggested by the strategic development team. They believe the department should start performing annual business inspections and use the engine crews to complete the inspections. The performance audit noted that the department works 24-hour shifts with 48 hours off, and has a collective bargaining contract requiring that training and nonemergency work must be completed daily by 5 p.m. The department requires that all three shifts receive an average of 20 hours of training per person per month, and the volunteers complete 24 hours of training per month and work one 12-hour shift per month. There are no forms that exist for company inspections, and no one is code certified. The plan is to implement this service in the first year and complete all the inspections by the end of the calendar year.

Scenario 2

A local community wishes to merge with another nearby community to create a full-time, staffed FPD. The FPD would have a station in each community with three paid firefighters in each station on-duty 24 hours a day. The newly formed department is expected to begin delivering service in 18 months. The performance audit shows that each community's present department has one fire engine, but only one of the communities has a station that can house personnel. The other community has a station with shelter for the engine only and no living facilities in the building. One department trains to a national standards level, the other does not. One of the departments protects a community that is approximately 8 square miles and the other is only 5 square miles. The plan calls for the building of a station in the community currently lacking a station with living quarters and standardizing training for the department. One identified threat from the audit was a politician in one of the communities who did not agree with the plan to become a paid department and has voiced his opinion that it should remain one large volunteer FPD.

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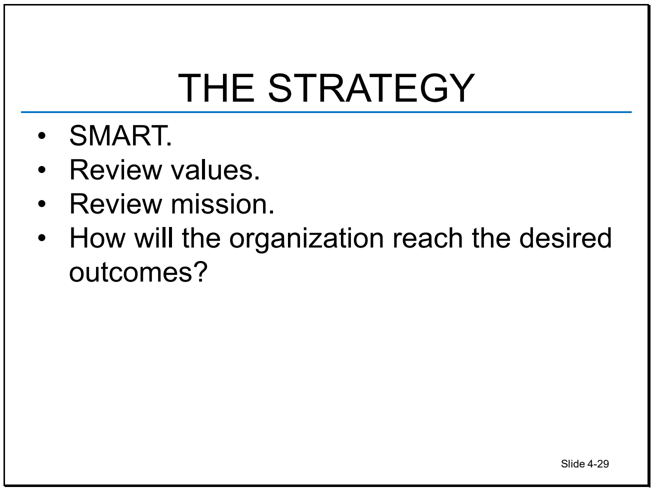
VII. THE ACTION PLAN (INTEGRATION)



A. The strategy.

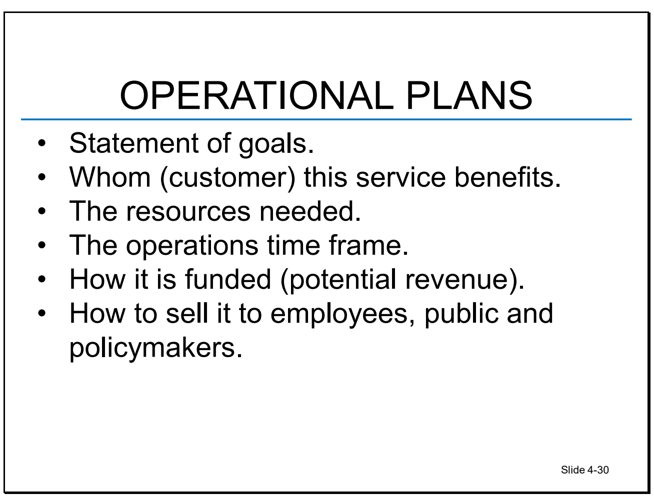
1. Remember SMART.

2. Review the values of the organization and the mission statement.

3. What does the strategy suggest?

a. The team must decide how long it will take the organization to reach the desired outcomes of the plan.

b. Remember, everything cannot be achieved at once.



B. The operational plans.

1. Statement of goals.

2. Identify whom this service will benefit (customer).

3. List the resources needed.

4. Determine an operations time frame.

5. Identify funding sources and determine if there is any potential revenue stream.

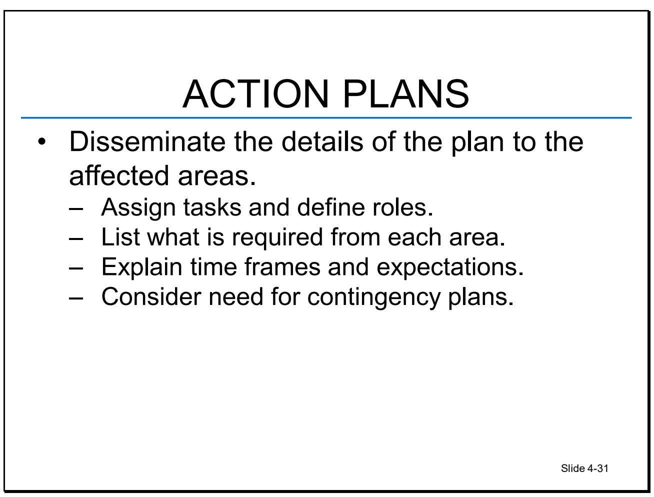
6. Assess how the plan will be presented to obtain support from employees, the public and your policymakers.

7. A good system for marketing will enable success and be embraced by everyone.

   a. Highlight the organization’s skills and abilities to deliver (brag; blow your horn).

   b. Clearly identify whom you are targeting (employees, parents, policymakers).

   c. Use the three P’s: the first “P” is for product, to define the item and recipient, the next “P” is potential benefit to them, and the third “P” is the process of delivery or means for ensuring that the customer receives the product.



C. Action plans.

1. Disseminate the details of the plan to the affected areas.

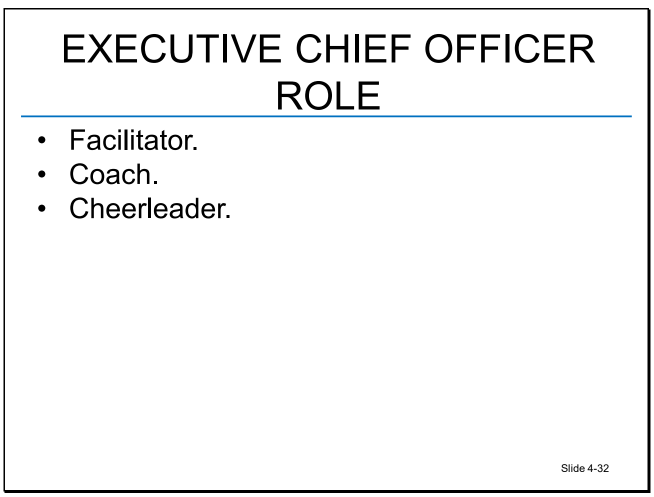
2. This is the point where the plan should detail what division or department is being assigned a specific portion of the plan. Specifically, what changes do you expect from, for example, the training division, facilities or the line personnel? For each assignment, make sure the action plan includes how much revenue it requires, capital requirements, number and type of employees, information technology, etc.

   a. Assign tasks.

   b. List what is required from each area.

   c. Explain time frames and expectations.

   d. This is also an area where the plan may need to be altered because the department or division has specific knowledge about their respective limitations. These may include time requirements for training, available floor space for improvements, etc.

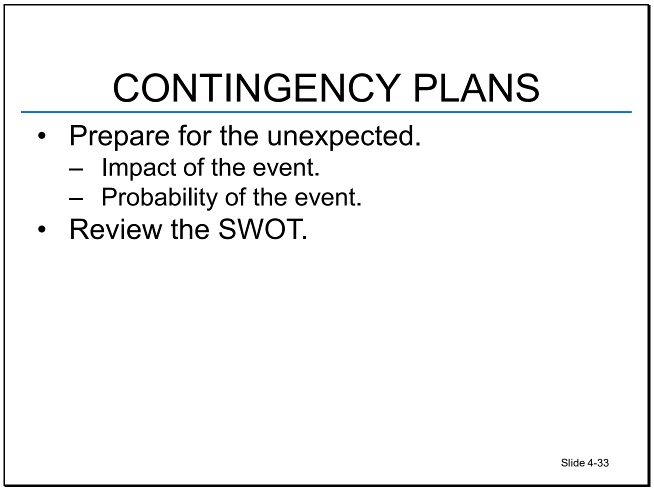


3. The role of the executive chief officer.

   a. Facilitator: The new executive chief officer needs to be involved at this point to prevent the strong-willed members of the team from championing their ideas or their division's needs. The plan must be what is achievable and best for the entire organization.

   b. Coach: As coach, the chief officer should offer his or her perspective and encouragement for assuring the team that the plan will be carried out and monitored under the chief's watchful eye.

   c. Cheerleader: Finally, as the goals are achieved, the new executive chief officer needs to demonstrate with enthusiasm the benefits of the strategic plan and share the accomplishments with staff, employees and policymakers.



4. Contingency plans are best described as the preparations made for an event or condition not planned for in the formal planning process.

   a. High impact or low impact. The training acronym of high risk and low volume, or in this case, high impact and low probability. This is the purpose of a contingency plan. High impact may include serious financial changes, catastrophic occurrences of nature, or technology change that changes levels of service.

   b. The impact to the organization.

   c. The probability of the event occurring.

5. Review the SWOT analysis again.

   a. Concentrate on the identified threats.

   b. Review the organization's strengths.

   c. Look for triggers to each category.

      - Determine if the threats or strengths fit the high impact and low probability criteria.

      - Measure the impact. If no contingency plan is developed, then the team should consider triggers.

      - Triggers would determine when the organization notes a significant change.

      - This type of monitoring gives the organization time to develop a contingency plan.

VIII. IMPLEMENTATION

IMPLEMENTATION

- Three-step process:
  - Unveiling.
  - Dissemination.
  - Strategic management.

Slide 4-34

A. A three-step process — the unveiling.

UNVEILING THE PLAN

- Recognize the work of the team.
- Describe the plan, review the mission statement, relate its importance to the organization.
- The time frame for use of the plan.
- Share with management and commit to its completion.
- Encourage participation, hold accountable to the plan, base future decisions on plan.

Slide 4-35

1. The unveiling should recognize the considerable work and effort of the team. The team and staff need to celebrate the completion by reinforcing their commitment to achieve the desired results of the plan.

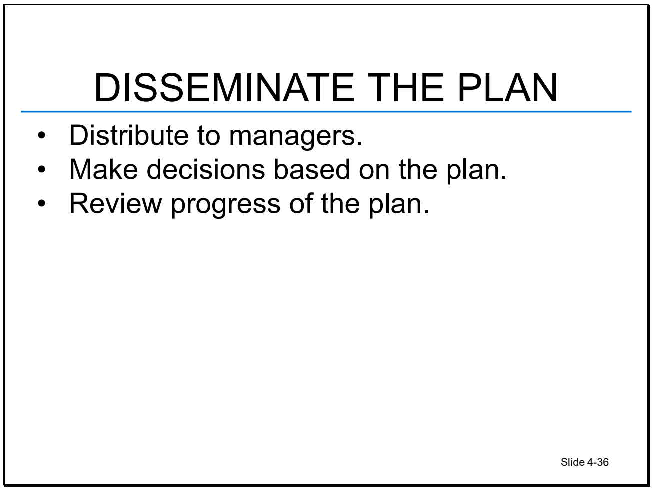
2. The unveiling should describe the content of the plan, a review of the mission statement, and its importance to the future of the organization.

3. Finally, the process should include a time when the plan is expected to be used, a beginning, and an encouragement to achieve the desired results.

4. Share the plan with management first, and indicate your commitment to the plan.

5. Encourage their participation, and enforce that all will be held accountable to the mission statement.

6. Empower managers to base their decisions on the strategic plan, and detail how that will influence the success of the plan.

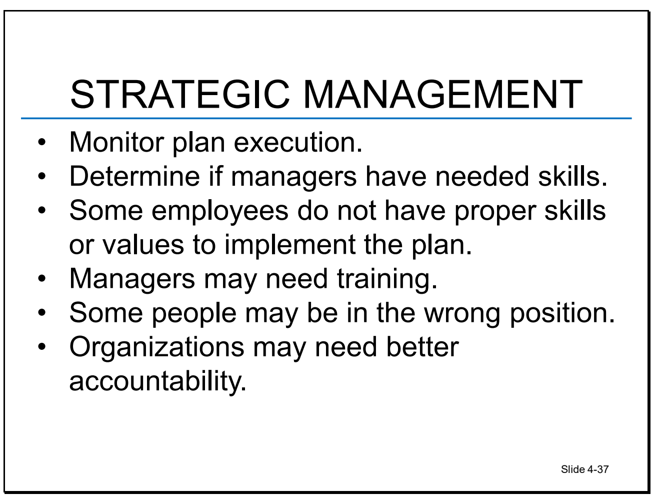


B. Disseminating the plan.

1. Distribute to managers.

2. Management must base business decisions on the strategic plan.

3. At scheduled meetings, review progress of the plan.



C. Strategic management.

1. Monitor the execution of the plan by managers and employees.

2. Determine if managers have necessary skills.

3. Often, a strategic plan identifies that some of the employees do not have the proper skills or values to implement the plan.

4. Many plans identify that managers need training in certain areas of management to ensure plan success. Sometimes people are in the wrong position, and they hinder the progress.

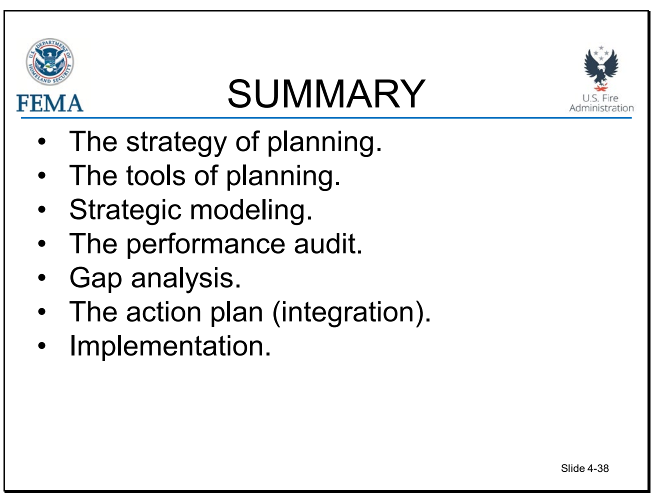
5. Finally, most organizations need to improve their system of accountability for both how progress is tracked as well as the implications of performance.

   a. Assess if the organization has the right people managing the plan. Chief officers should manage new business lines, service level changes, financial projections, etc.

   b. Middle managers, division chiefs and COs should be advised of portions of the plan that affect their operation.

   c. Finally, copies of the plan should be distributed to every employee in the organization for their understanding and eventual support.

IX. SUMMARY



UNIT 5: LIABILITY/RISK MANAGEMENT

TERMINAL OBJECTIVES

The students will be able to:

5.1 Explain the executive chief officer's role in identifying and minimizing the legal liabilities of the organization/ jurisdiction.

ENABLING OBJECTIVES

The students will be able to:

5.1 Identify the legal authority and any constraints relative to the provision of local emergency services.

5.2 Identify six operational liabilities.

5.3 Identify four workplace liabilities.

5.4 Identify three fiduciary liabilities.

5.5 Identify three environmental liabilities.

5.6 Explain statutory immunity.

5.7 Describe three potential consequences of liabilities.

5.8 Define risk management.

5.9 Identify six elements of an effective risk management program.

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FEMA

U.S. Fire Administration

UNIT 5: LIABILITY/RISK MANAGEMENT

Slide 5-1

TERMINAL OBJECTIVE

Explain the executive chief officer's role in identifying and minimizing the legal liabilities of the organization/jurisdiction.

Slide 5-2

ENABLING OBJECTIVES

- Identify the legal authority and any constraints relative to the provision of local emergency services.
- Identify six operational liabilities.
- Identify four workplace liabilities.
- Identify three fiduciary liabilities.
- Identify three environmental liabilities.
- Explain statutory immunity.

Slide 5-3

ENABLING OBJECTIVES (cont'd)

- Describe three potential consequences of liabilities.
- Define risk management.
- Identify six elements of an effective risk management program.

Slide 5-4

VIDEO PRESENTATION

"HIGH RISK/LOW FREQUENCY EVENTS IN THE FIRE SERVICE"

https://youtu.be/pIpRVLkv0rg

Slide 5-5

I. LIABILITY

LEGAL AND REGULATORY ENVIRONMENT

- Legal authority to provide local emergency services.
- Legal constraints to authority to provide services.
- Nonprofit Organizations (NPOs) have legal authority and constraints.
- It is critical for the executive chief officer to know what authority and/or constraints apply to his or her provision of local emergency services.

Slide 5-6

A. Legal and regulatory environment.

1. Legal authority to provide local emergency services.

   a. No specific authority or requirement to provide local fire or EMS in most states. Some states mandate a state fire marshal position.

   b. Some states govern specific segments of local emergency services:

      - Oklahoma:

        -- Title 11, Cities and Towns defines the minimum rules and regulations for volunteer fire departments. (§ 11-29-204).

      - California:

        -- State level: specific authority for wildland fire responsibility in designated watershed areas (Public Resources Code § 4125 et seq.).

        -- Counties/Cities: no specific legal mandate to provide fire protection services (Government Code § 850).

        -- Fire districts: general authority, governance and finance outlined in Health and Safety Code § 13800 et seq. (Fire Protection District Law of 1987).

        -- Volunteer departments: no specific mandate or constraints to services provided, except that county Board of Supervisors may restrict the number of volunteer companies if population exceeds 400,000 (Health and Safety Code).

   c. Local jurisdiction(s).

   d. If no specific authority is required or granted to provide local emergency services, other statutes and regulations govern **how** such services are to be provided.

      - Occupational Safety and Health Administration (OSHA) regulations relative to immediately dangerous to life and health (IDLH) and confined space operations, etc.

      - Ability to levy taxes or fees for services.

2. Legal constraints to authority to provide services:

   a. California:

      - Authority to provide EMS is regulated by the state **and** local EMS authorities.

   b. Florida:

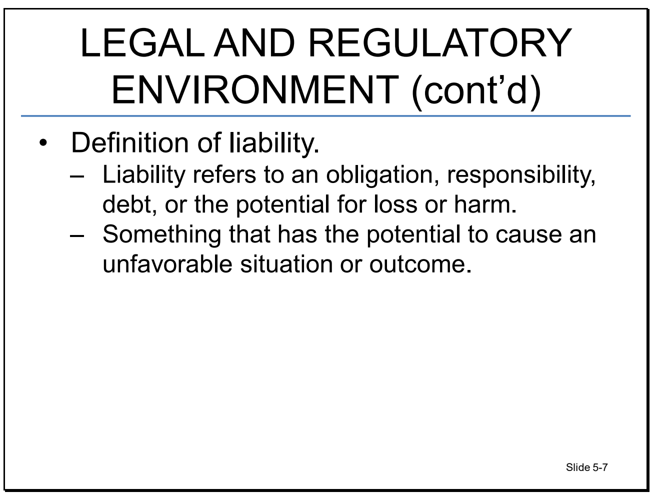
      - Prohibits charging fees for first responder services (Title XII, § 166.0-446).

3. Nonprofit Organizations (NPOs) — legal authority and constraints to providing local emergency services.

   a. State corporation code or commission.

   b. Internal Revenue Service (IRS) Code Section 501(c)(3).

4. It is critical for the executive chief officer to know what authority and/or constraints apply to his or her provision of local emergency services.



5. Definition of liability.

   a. Liability refers to an obligation, responsibility, debt, or the potential for loss or harm.

   b. From a leadership perspective, it refers to something that has the potential to cause an unfavorable situation or outcome for the leader and/or organization.

ACTIVITY 5.1

Identifying Liabilities 1

Purpose

To introduce you to liabilities that you are exposed to as executive chief officers.

Directions

1. Within your assigned small group, discuss the following:

    a. Given the issue that you selected in Activity 1.1, what are the liabilities that you face as an executive chief officer within your organization and jurisdiction?

    b. Record your responses on an easel pad.

2. Each group is to select a representative to share the group's results with the class. You have 10 minutes to complete this part of the activity.

3. The facilitator will select one of the small groups to share results with the class and then select the other groups to share any results that differ from those of the previous group(s).

4. You have 20 minutes to complete the entire activity.

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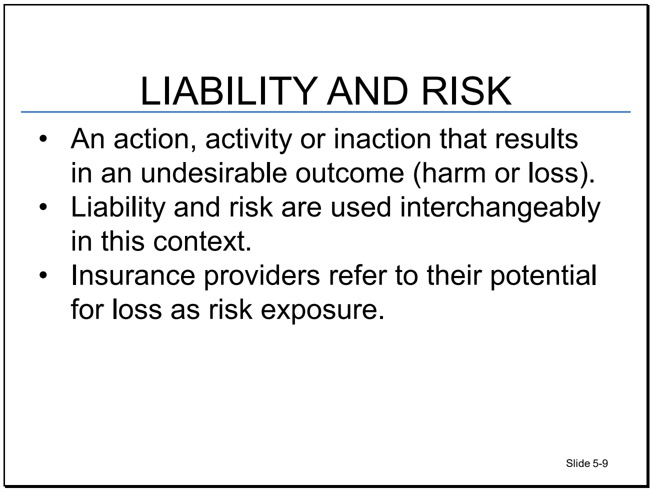
I. LIABILITY (cont'd)



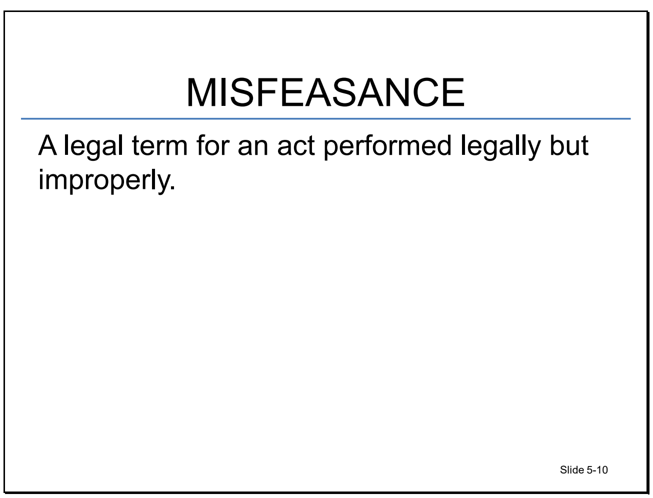
B. Liability and risk.

1. Risk is the potential that an action, activity or inaction will result in an undesirable outcome (harm or loss).

2. Liability and risk are used interchangeably in this context.

3. Insurance providers refer to their potential for loss as risk exposure.

C. Misfeasance, malfeasance and nonfeasance.



1. Misfeasance is a legal term for an act performed legally but improperly. In tort law, a civil defendant generally will be held liable for misfeasance if the defendant owed a duty of care toward the plaintiff, the defendant breached that duty of care by improperly performing a legal act, and the improper performance resulted in harm to the plaintiff.

MALFEASANCE

An intentional act that is either legally or morally wrong that one had no right to do. It always involves dishonesty, illegality, or knowingly exceeding authority for improper reasons.

Slide 5-11

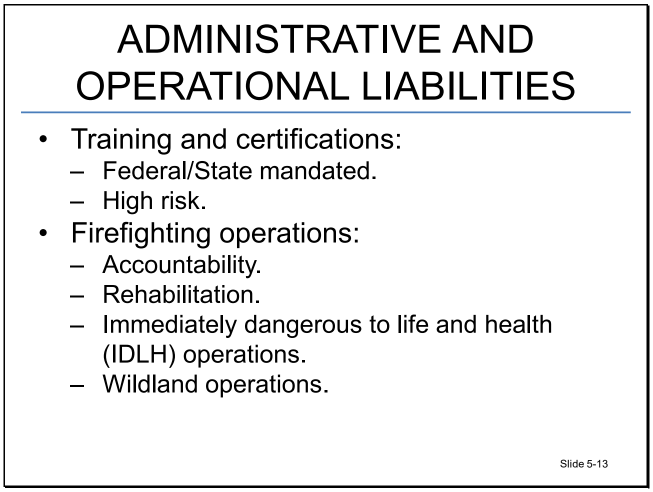
2. Malfeasance refers to an intentional act that is either legally or morally wrong that one had no right to do. It always involves dishonesty, illegality, or knowingly exceeding authority for improper reasons.

NONFEASANCE

An intentional failure to perform a required duty or obligation that results in harm to a person or property loss.

Slide 5-12

3. Nonfeasance refers to an intentional failure to perform a required duty or obligation that results in harm to a person or property loss.



D. Administrative and operational liabilities.

1. Training and certifications.

a. Federal/State mandated training:

- Driver/Operator.

- Hazardous materials.

-- Awareness level.

-- Operations level.

- Confined space.

-- Awareness level.

-- Operations level.

- EMS.

- Aircraft Rescue Firefighting (ARFF) operations.

-- Federal Aviation Administration (FAA) requirements.

b. High-risk training:

- Technical rescue.

- Live fire evolutions.
- Water rescue.
- Boat operations.
- Dive rescue.
- Short-haul rescue.

2. Firefighting operations.

   a. Accountability.

      - NFPA 1561, *Standard on Emergency Services Incident Management System*.
      - Fire ground accountability is now an accepted and expected industry standard/practice.

   b. Rehabilitation.

      - NFPA 1584, *Standard on the Rehabilitation Process for Members During Emergency Operations and Training Exercises*.

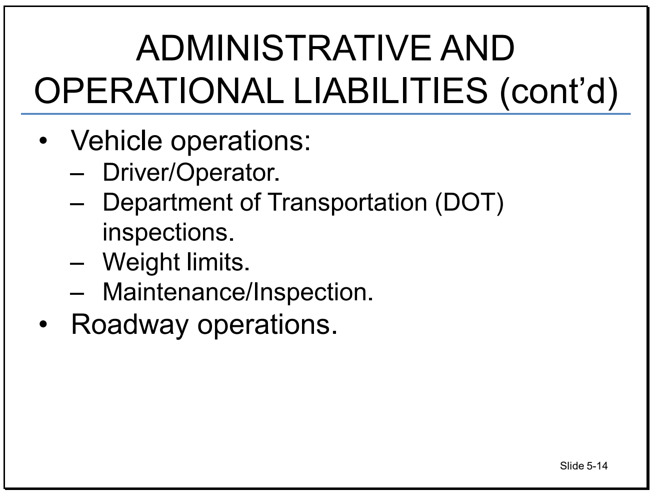
   c. IDLH operations.

      - NFPA 1404, *Standard for Fire Service Respiratory Protection Training*.
      - NFPA 1500, *Standard on Fire Department Occupational Safety and Health Program*.
      - NFPA 1981, *Standard on Open-Circuit Self-Contained Breathing Apparatus (SCBA) for Emergency Services*.
      - OSHA — "two-in/two-out" regulation (29 CFR 1910).

   d. Wildland operations.

      - Written Incident Action Plan (IAP).
      - Operational safety briefings.

- Safety factors — National Wildfire Coordinating Group (NWCG).
- LCES:
    - **L**ookouts.
    - **C**ommunications.
    - **E**scape routes.
    - **S**afety zones.



3. Vehicle operations.

    a. Driver/Operator training and/or certification.

    - U.S. Fire Administration (USFA)/Volunteer Fireman's Insurance Services (VFIS) programs.

    b. Department of Transportation (DOT) inspections.

    c. Weight limits.

    - Gross vehicle weight (GVW) and axle weight ratings.
        - It's possible to exceed axle rating while conforming to overall GVW rating.
    - Road/Bridge weight limits.

d. Maintenance/Inspection records.

- Preventive maintenance.

- Repairs.

- Inspections/Testing.

  -- DOT.

  -- Pump.

  -- Ladders.

  -- Hose.

  -- Breathing air compressors.

e. Statistically, the greatest liability in terms of financial claims against emergency services organizations is vehicle operations, especially water tenders, volunteers, and personally owned vehicle operations.

f. Vehicle operations are also the second leading cause of firefighter fatalities.

4. Roadway operations.

a. Response protocols, scene safety and traffic control for roadway emergency work zones.

b. DOT's "Manual on Uniform Traffic Control Devices" (MUTCD) Part VI, 1996.

c. NFPA 1620, *Standard for Pre-Incident Planning* provides guidelines.

d. Potential for conflict with law enforcement agencies/on-scene relationships.

ADMINISTRATIVE AND OPERATIONAL LIABILITIES (cont'd)

- Specialized services:
  - Emergency Medical Services (EMS).
  - Hazmat.
  - Technical rescue.
  - Water rescue/Boat operations.
  - Emergency management/Disaster operations.

Slide 5-15

5. Specialized services.

a. EMS.

- Licensure/Certification.

  -- First Responder Medical.

  -- Emergency Medical Technician (EMT)-I.

  -- EMT-II.

  -- EMT-P.

- Standard of care.

  -- Written statements describing the rules, actions and conditions that direct patient care.

  -- For prehospital EMS systems, standards of care are approved by the designated medical director.

  -- Standards of care guide prehospital patient treatment and may be used to evaluate performance.

  -- Also referred to as "patient care protocols."

- Abandonment.

  -- Medical abandonment results when the caregiver-patient relationship is terminated without making reasonable arrangements with an appropriate person so that care by others can be continued.

-- A duty to care is established once patient contact is made pursuant to a request for assistance (caregiver-patient relationship).

- Negligence.

  -- Improper, unskilled or negligent treatment of a patient by a physician, dentist, nurse, pharmacist, or other health care professional.

  -- Duty to provide appropriate, skilled care with reasonable diligence.

- Medical direction, oversight and interface.

  -- Agency medical direction/ oversight.

  -- Regional EMS Councils (EMSCs).

b. Hazmat.

- Emergency Planning and Community Right-to-Know Act (EPCRA) (42 U.S.C. 116).

- State Emergency Response Commissions (SERCs).

  -- The governor of each state has designated an SERC that is responsible for implementing EPCRA provisions within its state.

- NFPA 400, *Hazardous Materials Code*.

- Local Emergency Planning Committee (LEPC).

  -- Charged with the development and maintenance of a local emergency response plan.

  -- Providing information about hazardous chemicals in the community to citizens.

  -- Link to find LEPC (U.S. EPA, 2012): http://www2.epa. gov/epcra/local-emergency-planning-committees.

- NFPA 472, *Standard for Competence of Responders to Hazardous Materials/Weapons of Mass Destruction Incidents*.

c. Technical rescue.

- High-risk operational liability.

- Training/Qualification program is critical.

- Foundation of training/ qualification program is critical relative to liability exposure.

d. Water rescue/Boat operations.

- High-risk exposure.

- Training/Certification program is critical.

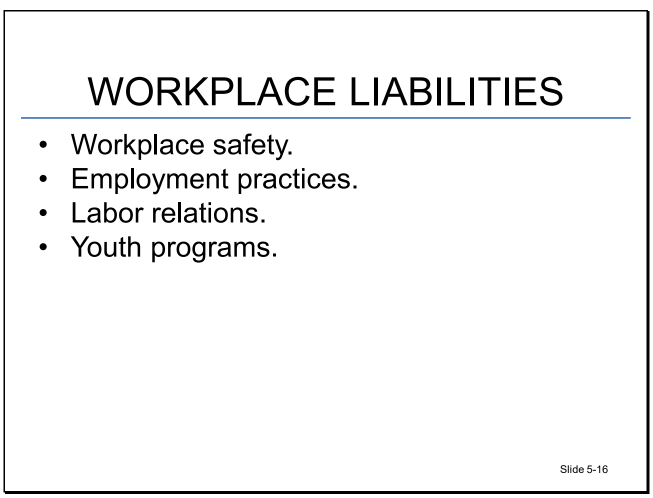
- Foundation of training/certification program is critical relative to liability exposure.

e. Emergency management/Disaster operations.

- Operational coordination with other agencies.

- Interface with other governmental organizations/ nongovernmental organizations (NGOs).

- Volunteers/Disaster service workers.



E. Workplace liabilities.

1. Workplace safety.

a. OSHA.

- Broad authority over workplace safety.

  -- IDLH operations.

  -- Confined space.

  -- Other workplace activities.

- California — changes to the California Labor Code in 1999 made all OSHA regulations applicable to local government, including administrative and criminal penalties under California's OSHA. Individual managers and supervisors can be fined up to $250,000 and be imprisoned for up to four years for failure to take appropriate safety precautions.

b. Americans with Disabilities Act (ADA).

- Broad authority relating to employment and access issues for people with disabilities.

- Includes fire station construction standards (new/remodel).

- Very strict interpretation and sanctions.

2. Employment practices: Equal Employment Opportunity Commission (EEOC).

a. Broad authority over employment practices.

b. Employee can file complaint directly with EEOC.

c. Employer responsibility to investigate complaints.

d. Significant monetary sanctions for violations.

3. Labor relations.

a. Right-to-work state versus collective bargaining state.

b. Collective bargaining laws require bargaining in good faith by both parties.

c. Sanctions for "unfair labor practices."

d. Civil liability for failure to comply with terms of collective bargaining agreement.

e. Even volunteer organizations can have labor issues.

f. Role of executive chief officer in labor contract negotiations.

4. Youth programs.

a. Criminal background check/ Automated criminal activity reporting for adults working with youths.

b. Parental/Guardian permission to participate.

c. Appropriate level of supervision.

d. Involvement in games of chance, sale of alcohol.

WORKPLACE LIABILITIES (cont'd)

- Facilities.
- Alcohol use in fire station(s).
- Internet and social media.

Slide 5-17

5. Facilities.

a. Locker and restroom facilities.

b. Sleeping accommodations.

c. Privacy issues.

6. Alcohol use in fire station(s).

7. Internet and social media.

a. Organizational websites.

- Copyright, defamation, trademark infringement, invasion of privacy issues.

b. Inappropriate Internet use.

c. Inappropriate use of social media.

d. Incident operations/Victim photographs or video.

F. Fiscal liabilities.

1. Accountability and record keeping.

a. Accurate records are key.

b. Check state IRS for record retention guidelines.

c. Recommend minimum 10-year retention period for fiscal records.

2. Audits.

a. Annual fiscal audits.

- Required by some states.

b. NPOs and fiscal issues.

3. Fiduciary responsibility.

a. Use of public funds.

b. Use of private (donated) funds.

c. Bonding/Insurance.

d. Tax-exempt status (Internal Revenue Code Section 501(c)(3)).

- Funds received by an organization are tax-exempt.

- Donations are tax-exempt.

- Organization must be organized and operated exclusively for exempt purposes.

- No earnings may transfer to any shareholder or individual.

- Organization may not attempt to influence legislation as a substantial part of its activities.

- May not participate in any campaign activity for or against a political candidate.

e. "Intermediate sanctions."

- Following the United Way scandal in 1992 relating to improper fiscal transactions, Congress empowered the IRS to assess stiff monetary penalties on both those who authorized an improper transaction as well as those who benefited from it.

f. Revocation of tax-exempt status.

g. Potential trouble areas for NPOs:

- Games of chance.

- Product sales without collecting sales tax.

- Sale of food without health department inspection/permit.

- Sale of alcoholic beverages without liquor license.

4. Procurement.

a. Specifications.

- Care must be exercised to ensure that specifications cannot be interpreted to unfairly benefit a single bidder/proposal.

- When using other jurisdictions' specifications, carefully review their process to ensure conformance with above.

- Regulatory and standards compliance (OSHA, NFPA, American Society for Training and Development (ASTD), National Institute of Occupational Safety and Health (NIOSH), DOT).

b. Open bidding requirements.

- Many states have "open bidding" requirements for public agency procurement exceeding a minimum fiscal threshold.

- Intent is to ensure the "best value" for taxpayer funds.

- Essential to know if proposed procurement is subject to open bidding.

- Generally requires strict accountability and public opening of sealed bids.

- Also generally includes a procedure to protest a bid process or award of bid.

c. Committee procurement.

- Often difficult to ensure conformance with specification and bidding requirements without appropriate oversight.

d. Cooperative purchasing.

- "Tag on" to another jurisdiction's purchase with similar specifications and procurement requirements.

- Care must be exercised to ensure conformance with purchasing agency's procurement policy.

- Cooperative purchasing agreements are generally allowed as an alternative to open bidding.

  -- Examples: Western States Contracting Alliance (WSCA), state/county contracts.

e. Compliance with federal/state/ local/NGO grant guidelines.

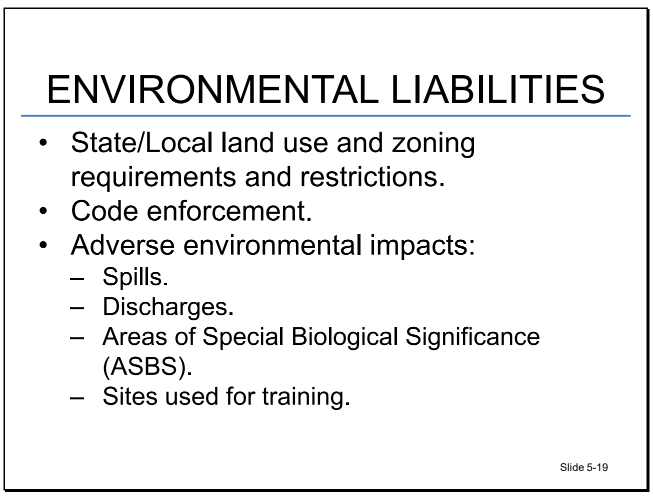
- Example: Fire Act grant reporting requirements.

f. Management of procurement issues.

- Specifications.
- “Best value.”
- Warranty issues.
- Maintenance issues.
- Federal/State EPA vehicle emission compliance.

g. Accountability of excess property.

- Sale, transfer or disposal.
    - -- Required notification.



G. Environmental liabilities.

1. State/Local land use and zoning requirements and restrictions.

a. Fire stations/facilities must conform to applicable land use and zoning requirements/ restrictions.

b. May restrict type, size and height of building/location on parcel.

c. May also restrict certain uses of site (e.g., games of chance, amplified audio, etc.).

d. May not be compatible use for neighborhoods.

e. Potential for long-term conflict with neighbors.

f. Zoning/Use exemptions may be available through local process.

g. Building/Use permit compliance.

- Nonconforming use issues.

- Exceptions may be authorized by local land use authority or policy board.

2. Code enforcement.

a. Failure to inspect as required by law or regulation.

b. Failure to inspect to recognized standards.

3. Adverse environmental impacts.

a. Spills.

- Examples: paint, motor oil, diesel fuel, gasoline.

- Impacts if substance enters sanitary sewer or storm drain systems.

b. Discharges.

- Longer-term release of an unauthorized substance.

- Example: gray water into storm drain.

- Impact: State Storm Water Discharge Permit.

-- Unauthorized material(s) discharged from storm drains.

-- Steep fines for violation.

c. Areas of Special Biological Significance (ASBS).

- Established in 1972 under the Federal Water Quality Act.

- Accorded "special protection" to ensure maintenance of natural water quality.

- Interpreted to prohibit both point and nonpoint source discharges of waste.

- Some states narrowly interpret waste to include storm water and urban runoff.

- Implications to fire services: restrictions on runoff into storm drain system.

  -- Vehicle washing.

  -- Training.

  -- Fire suppression.

  -- Use of foam.

- Very steep fiscal sanctions for violations.

d. Structures and sites used for training.

- Lead-based paint.

- Asbestos.

- Ground contamination.

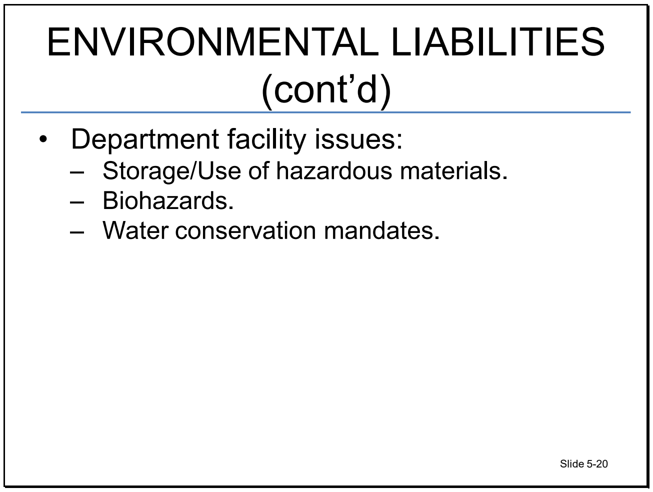
e. Required notifications.

- State/Federal EPA.

- U.S. Fish and Wildlife Service.

- State fish and game department.

- County health department.



4. Department facility issues.

   a. Storage/Use of hazardous materials.

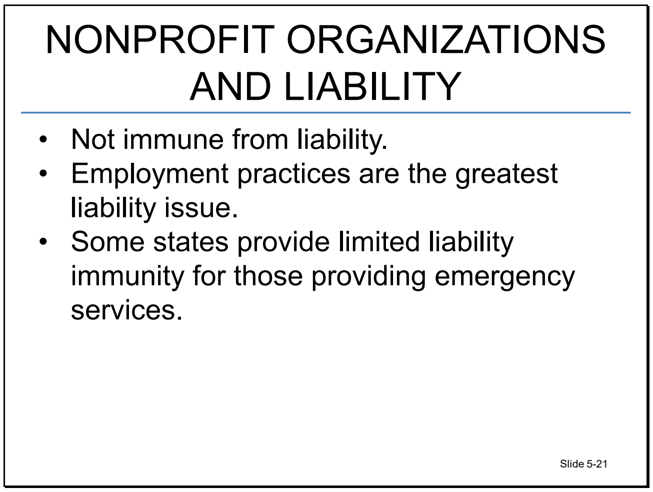
      - Gasoline/Diesel fuel.
      - Motor oil.
      - Hydraulic fluid.
      - Paint.
      - Cleaners/Degreasers.
      - Oxygen cylinders.
      - Storage quantities/ location.
      - Special permits required?
      - Standard operating procedures (SOPs)/ Standard operating guidelines (SOGs) and documentation.

   b. Biohazards.

      - Identification.
      - Storage.
      - Disposal.

c. Water conservation mandates.

- Flow restrictions on water devices.
- Landscape irrigation.
- Water rationing.



H. NPOs and liability.

1. Not immune from liability. Doctrine of “charitable immunity” began eroding 30 years ago and is generally no longer applicable.

2. Employment practices are currently the greatest single liability issue facing NPOs.

a. Average 75,000-80,000 claims annually since 1994 (EEOC).

b. Annual total settlement awards reached $210 million in 1999.

- Types of claims:
  -- Race discrimination and/or harassment (37 percent).
  -- Sexual harassment (31 percent).
  -- Disability discrimination (22 percent).
  -- Age discrimination (18 percent).
  -- Retaliation also cited in 25 percent of claims.

c. Similar administrative, operational, fiscal workplace and environmental liabilities as paid organizations.

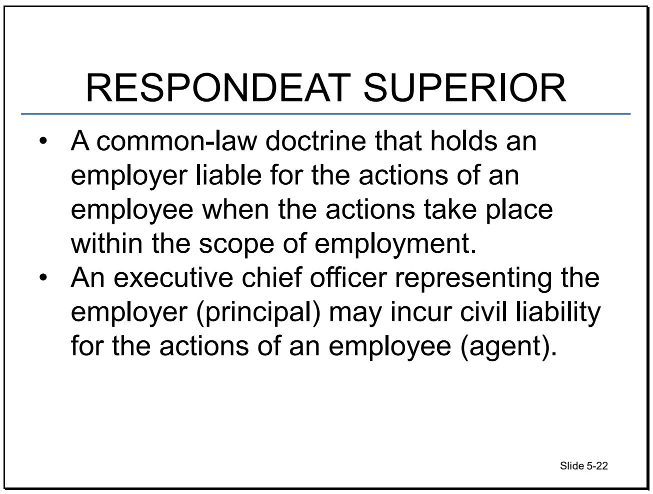
d. Specific NPO liabilities:

- Use of funds (public/ donated).

- IRS tax-exempt status.

e. NPO reputation management.

3. Some states provide limited liability immunity/exemption for NPOs providing emergency services.



I. Respondeat superior.

1. Respondeat superior is a common-law doctrine that holds an employer liable for the actions of an employee when the actions take place within the scope of employment.

a. The legal theory behind respondeat superior is that the employer (principal) controls the employee's (agent) behavior and must then assume some responsibility for the employee's actions.

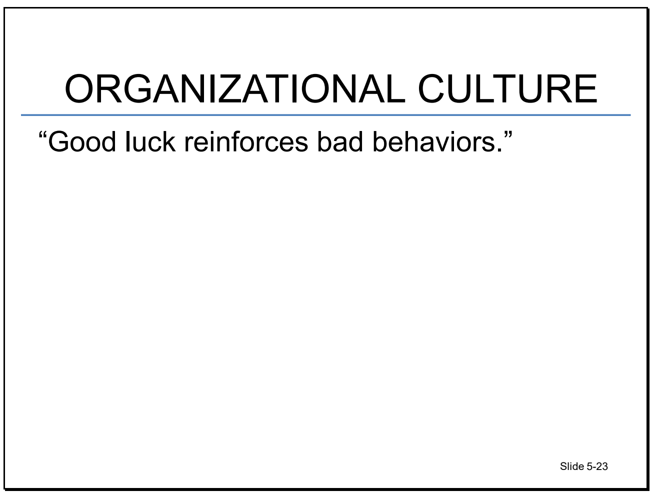
b. When an employer-employee (principal-agent) relationship exists, the employer can be held responsible for the injuries caused by the employee in the course of employment.

- An employee is not necessarily acting outside the scope of employment merely because he or she does something that he or she should not do.

- In general, employee conduct that bears some relationship to the work will usually be considered within the scope of employment.

2 An executive chief officer representing the employer (principal) may incur civil liability for the actions of an employee (agent).

For example: In 2001, in Lairdsville, New York, a firefighter fatality occurred during a live-fire training exercise. The family of the deceased firefighter subsequently sued the fire department and the executive chief officer, even though the executive chief officer was not involved in the training event. (The case against the executive chief officer was dismissed under statutory immunity.)



J. Organizational culture influences attitude toward liability.

“Good luck reinforces bad behaviors.”

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OPTIONAL ACTIVITY 5.2

Identifying Liabilities 2

Purpose

To enhance awareness of the breadth and complexity of liabilities that you are exposed to as an executive chief officer by identifying the liabilities associated with specific current or recent fire and emergency service-related news articles.

Directions

1. Each small group will be assigned one of seven news articles representing a recent adverse emergency services situation or event.

2. Within your assigned small group, review the news article and discuss (a) the potential liabilities faced by the organization and executive chief officer as a result of the situation or event, and (b) the factors that contributed to the outcome. Record the liabilities and contributing factors that you identified on the easel pad.

3. You will have 20 minutes to complete this portion of the activity.

4. Groups will then present a summary of their news article to the class along with their list of identified potential liabilities.

5. At the conclusion of each small group presentation, the facilitator will solicit additional comments and perspectives relative to the group's conclusions from the class.

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OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 1

PORT CLINTON — Just minutes after alerting Portage Fire District firefighters that a ladder truck was needed at a structure fire in Clay Center, Ottawa County Sheriff's dispatcher Heather Deibel took a 911 call regarding a traffic crash on State Rt. 19 south of Oak Harbor.

Timothy Johnson — a veteran Portage District firefighter responding to the call for a ladder truck — had smashed into the back of a car attempting to turn left from State Rt. 19 onto Portage River South Road. The victims were bleeding, the caller said, though he didn't know how badly they were hurt.

A jury seated Monday in Ottawa County Common Pleas Court listened to the recording of the dispatcher's instructions to the local fire department, and then they heard the call from a passer-by who came upon the deadly crash.

Mr. Johnson, 42, of Oak Harbor, is charged with aggravated vehicular homicide for the July 16, 2010 death of Ian Huffman, 24, of Elmore, a front-seat passenger in the car driven by his girlfriend, Olivia Duty, now 21, of Woodville.

Ken Egbert, a special prosecutor, told the jury during his opening statements that the crash was "an avoidable tragedy" brought about by Mr. Johnson's decision to drive at "a grossly excessive speed on a two-lane state highway at night, about 11 o'clock at night, in a no passing zone — a double-yellow no passing zone."

He said the airbag control module in Mr. Johnson's pickup — a device similar to a black box in an airplane — would show how Mr. Johnson had disregarded public safety while responding to the fire call. His own fire department's policy states that firefighters are permitted to drive 10 mph over the speed limit when responding to a call, Mr. Egbert said.

"The state is going to present evidence to show the defendant, Mr. Johnson, did not use due regard for safety at all but...was going 98 mph five seconds before this crash, 98 mph four seconds before the crash, 97 mph three seconds before the crash, 96 mph two seconds before the crash, and 83 mph a second before the crash — just within moments of when the impact took place," Mr. Egbert said.

Mr. Johnson's attorney, Dean Henry, advised the jury to be cautious about prosecutor's claims about excessive speed.

Was he going fast? Yes," Mr. Henry said. "Was he going 98 mph? That is a disputed matter. "When Mr. Johnson was asked to give a statement to the highway patrol — what do you think your speed was? — his estimate was approximately 70 mph."

Mr. Henry directed jurors' attention to the location of Ms. Duty's car just prior to the crash, suggesting that she had failed to stop and observe Mr. Johnson's pickup coming down the road — flashing light and siren activated — when she first turned onto Route 19 from County Road 17. Mr. Henry also said Ms. Duty crossed the center line and began making her turn from Route 19 onto Portage River South Road before she had actually reached the intersection.

"She did what is euphemistically called a curb cut," he said.

Mr. Johnson had swerved to the left to try to avoid hitting her, Mr. Henry said, and then Ms. Duty turned left in front of him, Mr. Henry said.

Neither Mr. Johnson nor Ms. Duty had alcohol or drugs present in their systems the night of the crash — a fact the defense and prosecution stipulated to in advance of the trial.

After the jury was selected Monday morning, jurors were taken to the scene of the crash — a location in Salem Township just south of Oak Harbor where County Road 17 intersects with State Rt. 19 from the east in a "T." To the west, Portage River South Road also forms a "T" at Route 19 a little farther down the road.

Testimony was to resume at 8:30 a.m. Tuesday.

(Feehan, 2011)

http://www.toledoblade.com/Courts/2011/11/14/Trial-starts-for-firefighter-charged-in-fatality.html

OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 2

HARVEY, La. — Out of town trips with family members, lavish dinners, and expensive bar tabs, all on the taxpayer dime.

A series of 4 Investigator reports revealed top officials in the Harvey Volunteer Fire Department #2 were making questionable purchases with public funds. Now one of those officials has been arrested.

Eyewitness News has confirmed President and Deputy Chief Mike Reason was booked Wednesday morning on two counts of filing false public records and one count of felony theft over $1,500. He has been released on $10,000 bond.

A spokesman for the Jefferson Parish Sheriff's Office said investigation continues into Harvey Volunteer Fire Company #2.

"This is taxpayer money. These people should be the stewards of that money, and somehow they crossed over to believing this money could be theirs," said Anthony Radosti, Vice President of the Metropolitan Crime Commission.

The MCC spent hours pouring over thousands of pages of financial records to help bring potential wrongdoing to light. It reported its findings to the JPSO, the legislative auditor, and the Jefferson Parish District Attorney's Office.

"Oh, it sends a message. As we've progressed, we're seeing law enforcement being more diligent going after public corruption. That's something we need here," said Radosti.

Harvey Volunteer Fire Company #2 receives nearly $3 million each year. And since 4 Investigators first reported on the nonprofit contractor, the Jefferson Parish council limited travel for volunteer fire departments and banned the use of parish money for alcohol.

"What we're finding is the contracts we had with volunteer fire companies conflicted with parish law and state law, so we've worked to bring those in line," said Jefferson Parish Councilman At Large Chris Roberts. "The disappointment, unfortunately, is this has certainly cast a black cloud over our fire service. We've got a lot of dedicated men and women that do the right job every day."

Officials with the MCC said authorities are reviewing at least one other top official with the volunteer fire department. Radosti anticipates more arrests.

Parish President John Young said he would not comment on personnel issues or the investigation. But when the reports first came to light, Young asked the legislative auditor to investigate. According to Roberts, the Jefferson Parish Suditor is now reviewing expenditures for all parish fire departments to make sure there aren't other questionable cases.

(Hernandez, 2012)

http://www.wwltv.com/news/Volunteer-fire-companys-deputy-chief-arrested-as-investigation-continues-138526984.html

OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 3

CLEVELAND, Ohio — Cleveland officials have yet to punish anyone nearly two weeks after internal auditors found widespread payroll abuses in the Fire Department, but Public Safety Director Martin Flask guarantees discipline is on the way.

"You can be assured that administrative action is appropriate and will be taken," Flask said in an interview Tuesday. "The exact number of employees has yet to be determined."

Flask also disclosed Tuesday that a police sergeant is investigating firefighters for possible criminal wrongdoing. The sergeant and an assistant law director are working with city auditors who are expected to produce a more in-depth follow-up report by the end of January.

Capt. Frank Szabo, Vice President of the firefighters' union, said he had no reaction to the criminal investigation. He said he would follow the lead of Mayor Frank Jackson who has indicated that he will not assume guilt.

Auditors reported Nov. 18 that some firefighters collected pay for hours they didn't work, including one man who collected two years of pay while working a total of 11 days. Auditors also found that some firefighters failed to record sick time and violated the city's bereavement policy.

City officials have been guarded in discussing what they think will come from digging deeper into the scandal. But Flask said Tuesday that auditors will look into whether firefighters conspired to pocket overtime. He would not rule out the possibility that abuses were more widespread than first reported.

He said auditors will explore the possibility that firefighters traded shifts to co-workers who then called off sick, allowing the firefighters who traded their shifts to come in on overtime. Auditors also will determine whether overtime was steered to senior firefighters, padding wages used to calculate pensions.

Jackson and Flask have absolved Fire Chief Paul Stubbs of blame, saying problems occurred below his command. The city recently announced that Stubbs will retire in the spring, but the chief said the preliminary audit findings did not influence his decision.

On Tuesday, Flask also announced steps the administration will take to end the abuses involving the trading of shifts.

The changes would limit firefighters to one trade every two weeks and cap the number of hours they can owe at 96 per year instead of allowing an unlimited total.

Trades will need approval from Assistant Chief Timothy O'Toole and must get his OK at least 72 hours in advance. Firefighters who fail to repay shifts will be subject to discipline.

As of last week, the city barred firefighters from destroying records that document trades that have been completed. The practice violates a citywide policy that requires retention for at least three years.

Flask said the city administration has authority to change the shift-trading rules without consent from the firefighters' union. But he said he has given the union time to register objections.

Union leaders have said shift-trading abuses are confined to a small group. Szabo said the changes violate the firefighters' labor agreement, but union officials are "willing to sit and listen to what they have to say."

Shift trading, which is common among firefighters across the country and in Cleveland dates to at least 1966, has received the most attention since the preliminary audit was released Nov. 18.

The audit disclosed that the practice allowed three firefighters to collect full pay while working less than half the hours they were assigned in the last three years. A fourth worked just over 50 percent of his scheduled hours. The time is supposed to be repaid within a year.

In other cases, firefighters took off for months at a time, then made up by working shifts in bunches. One firefighter spent his down time living in San Diego.

The city banned seven firefighters from trades, effective in July, because they owed their co-workers more than 1,000 hours — or more than 41 24-hour shifts.

Trading shifts is so prevalent among U.S. firefighters that a website exists for arranging swaps, and a smart-phone application is available to help firefighters keep track of their schedule changes.

But the practice has led to abuses. According to a news account earlier this year, scores of Boston firefighters got their shifts covered for months at a time with no record of payback. More recently, Buffalo firefighters were accused of selling shifts to older firefighters to pad their pensions.

Some Cleveland City Council members have expressed frustration with Jackson and Flask for not taking swifter action against firefighters who did not work scheduled hours, including prosecuting them or suing to recover money. The council's Public Safety Committee will raise questions at a hearing Wednesday.

(Ott, 2011)

http://blog.cleveland.com/metro/2011/11/cleveland_vows_discipline_in_f.html

OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 4

A Cottonwood firefighter died this morning, and a California Highway Patrol officer and another person were injured, after being hit by a pickup that slid off hail-covered Interstate 5.

The wreck closed southbound I-5 for several hours. One lane of southbound traffic was reopened by 10:45; all lanes were open by 2 p.m.

The coroner's office identified the firefighter as Capt. Mark Ratledge, 35, of Cottonwood.

The injured CHP officer was identified this afternoon as Jason Dotzenrod, 41, of Redding. Dotzenrod suffered minor knee and back injuries, a CHP spokesman said.

This is the first Cottonwood firefighter to be killed in the line of duty, California Department of Forestry and Fire Protection spokeswoman Linda Galvan said.

Ratledge was a nine-year veteran of the Cottonwood Fire Protection District who started as a volunteer in 2003 and was promoted to captain in 2008. He also served as the training officer for the department.

Ratledge lived in Cottonwood with his fiancé Jennifer Hobbs, 38; daughter Sophia, 1; stepdaughter Hannah Jasperse, 17; and stepson Conner Hobbs, 10. He also is survived by a sister, Susana Ratledge of Stockton; and parents Jack Ratledge and Maria Closa, both of Redding.

Before joining the Cottonwood Fire Protection District, Ratledge worked for the Redding Fire Department and U.S. Forest Service, Galvan said.

CHP spokesman Mel Hutsell said Ratledge and Dotzenrod were at the site of two earlier spinouts off an embankment south of Anderson. No one was injured in those accidents.

Hutsell said Jared Shumaker, 31, of Redding was heading south at 6:15 a.m. when his black Chevy S-10 pickup slid off the road between a parked CHP cruiser and Ratledge's truck.

Shumaker told investigators he was traveling 50 to 55 mph when a vehicle alongside him started to spin. In attempt to avoid the vehicle, Shumaker changed lanes but his truck started skidding.

The pickup spun down the embankment and hit officer Dotzenrod, Ratledge, and one of those involved in the earlier wrecks, identified as Luis Ramon Cordova, II, 32, of Redding, Hutsell said.

Ratledge died at Mercy Medical Center in Redding about 7:30 a.m., Hutsell said.

Ambulances took Dotzenrdod and Cordova, who suffered a minor laceration to the head, to Mercy. They were both treated and released.

Shumaker wasn't cited or arrested and was allowed to go home. But the investigation continues.

"Until we determine the extent of what happened, we can't know whether this rises to level of criminal negligence," Hutsell said.

Hutsell said the freeway was closed and being treated as a crime scene during the investigation.

"We haven't determined the details of the accident," Hutsell said. "We don't want to spoil any evidence that could be here."

A team of CHP accident investigators were at the wreck site re-creating the accident, Hutsell said.

Meanwhile, Calvin Ciapponi, chief of the Cottonwood Fire Protection District, referred questions to the California Department of Forestry and Fire Protection.

News of the death began to quickly resonate through Shasta County.

By mid-morning, flags at all fire stations in the county had been lowered to half-staff. About six Cal Fire engines gathered at the Cottonwood fire station on Brush Street just north of the intersection of Front and Brush streets.

Cal Fire's Galvan visited the station just after noon.

"It's still very, very fresh," Galvan said as she left a while later. "They're dealing with what they have to deal with right now. There are a lot of very upset people in there now."

Nanette Pate, who operates the Cottonwood Eatery next door to the station, delivered a platter of corned beef, turkey, and ham sandwiches to the firefighters.

"It's just awful," Pate said. "I've lost people before and it's just nice to do something. It's so sad. It brings tears to my eyes just to think about it."

Shasta County Supervisor Les Baugh, who represents the south county, said the tight-knit community was reeling at news of the death.

"It's a small community," Baugh said. "We're just devastated. ... The folks I've talked to say the family is simply heartbroken here. This is a small, rural volunteer fire department. These are the same folks who show up to help with fundraisers and wield the batter for the pancake breakfasts to raise money."

Anderson City Councilman John Day, a retired registered nurse, ambulance medic, and volunteer firefighter, offered his condolences as well.

“These are dedicated men and women who get up in the middle of a storm like that last night for four or five dollars a call,” Day said. “I’m pretty sad today. I don’t know who it was. I know I lost a brother.”

Debbie Earhart, the owner of Sierra Printing in Cottonwood, said she has no doubt the town, even in its grief, would respond to help the department and Ratledge’s family.

“I know Cottonwood,” she said. “They are going to come together.”

(Benda, 2012)

http://www.redding.com/news/2012/feb/29/chp-officer-firefiighter-involved-traffic-wreck-i/?partner=popular

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OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 5

BLOXOM — A single-vehicle crash involving a Bloxom fire truck Monday morning fatally injured a volunteer firefighter.

David R. Chew Jr., 30, of Parksley, who worked as a medic with the Northampton County Department of Emergency Medical Services, died in the crash.

The accident occurred on Nelsonia Road about a half-mile west of Route 13. The firefighters were responding to an accident on Route 13 in Gargatha.

The accident was reported at about 11:31 a.m. An investigation revealed that Chew, a passenger in the fire truck, was ejected, said Virginia State Police spokeswoman Michelle Anaya.

"Mr. Chew was not wearing his safety belt at the time of the accident and died on impact," Anaya said in a statement.

The fire truck's driver, 44-year-old James Richard Lambirth of Mears, was taken to Peninsula Regional Medical Center with nonlife-threatening injuries.

Anaya said Lambirth lost control of the fire truck while making a turn, ran off Nelsonia Road, and struck several trees.

Charges could be filed pending a review of the case by the Accomack County commonwealth's attorney, Anaya said.

Chew, a United Methodist minister, served as chaplain of the Bloxom Volunteer Fire Company and was a rescue lieutenant and a member of the company's board of directors.

Chew had been involved in fire and EMS work since 2001, according to his profile on the Northampton County Department of EMS.

The married father of a 3-year-old son, Chew had recently become pastor of Hallwood United Methodist Church; his first Sunday there was July 1.

Westbound traffic on Nelsonia Road was diverted onto Fletcher Road at about noon Monday as a result of the crash.

Parksley Volunteer Fire Company, Oak Hall Rescue Company, Accomack County EMS, the Accomack County Sheriff's Office, the Virginia State Police, and the Virginia Department of Transportation had personnel respond to the crash scene.

Monday's fatality is believed to be the seventh line-of-duty death in memory among Eastern Shore of Virginia fire and rescue volunteers.

cvaughn@dmg.gannett.com

OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 6

Firefighters are unique among city employees — or just about any kind of employee, for that matter.

Not only is their work dangerous, but it requires them to literally live the job — eating and sleeping at their stations for days at a time.

That can lead to some interesting workers' compensation claims.

Weight-lifting injuries. A cooking accident. A heart attack while walking on a track. A bad back blamed on "dumping a mop bucket."

The Tulsa World studied cases in which a workers' compensation court order was issued between January 2010 and November 2011. Records are not precise, but about 20 of the 72 Fire Department-related files included in the study of the city's workers' compensation claims appear to be attributed to injuries suffered at fires or other emergencies to which the claimant had been dispatched. Those included falls on ice, ladder climbing, collapsing floors, and at least one heart attack.

By comparison, 13 cases were attributed to training activities of some kind, including running, swimming, tying knots, lifting weights, and "pulling hose."

The frequency of such injuries seems to make the Fire Department a candidate for what city physician Dr. Phillip Berry called "overtraining." Yet the general public might be surprised to learn the city has 300-pound firefighters.

"We do have some big guys," said TFD Administrative Chief Jeremy Moore. "Some 300-pound guys are solid as a rock, some are not."

Firefighters hired before 1995 are exempt from the department's annual fitness test, which in any event is "not very strenuous in my opinion," said Berry.

According to court files, one 300-pound firefighter was injured playing basketball with children after a left knee replacement and four surgeries on his right knee.

Another, listed at 326 pounds in medical records, slipped on ice getting out of a department vehicle.

Still another, listed as 5 feet 4 inches tall and 337 pounds, "slipped on a water spot at the station."

But it's not just the size of firefighters that can present problems.

Several injuries were attributed to lifting overweight people — including a 400-pounder — in emergencies.

Moore said first responders are seeing "quite a few" people over 350 pounds causing the department to develop policies on their handling.

Examination of the case files suggests many injuries directly attributed to nonemergency — and even nontraining — events may in fact stem from earlier work-related injuries or general wear and tear.

But workers' compensation, at least in theory, does not cover general wear and tear, and cumulative or repetitive-use cases are more difficult to win than single-event claims.

Firefighters — and police — are different from other city workers in that they receive what amounts to full wages, as opposed to three-quarters pay or less, while on temporary total disability.

Firefighters are unique in at least one other respect. Unlike other municipal workers, including police, their disability pensions — as opposed to regular pensions — are exempt from State income tax.

"Whether they want to admit it or not, there does seem to be a little uptick (of firefighters) who want to be evaluated just before they retire," said Berry.

"From the Fire Department's perspective," said Moore, "our employees' main causes of injuries are due to the nature of our business. That tends to compound as they get older."

Firefighters workers compensation by the numbers:

72: Number of cases involving firefighters in which a workers' compensation court order was issued between January 2010 and November 2011.

5: Number of multiple claimants.

28: Percent of cases against the City of Tulsa that were filed by firefighters.

$1,535,289.09: Total value of firefighters' claims.

25: Percent of total claim value for city that came from firefighters' claims.

$21,623.79: Average value of a firefighters' claim.

*Numbers taken from 251 cases in which a City of Tulsa workers compensation court order was issued between January 2010 and November 2011.

(Krehbiel, 2012)

http://www.tulsaworld.com/news/article.aspx?subjectid=11&articleid=20120212_16_A11_CUTLIN135176

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OPTIONAL ACTIVITY 5.2 (cont'd)

Identifying Liabilities 2

News Article 7

McCutchanville firefighter killed in an accident on North St. Joseph Avenue.

EVANSVILLE — One firefighter with the McCutchanville Volunteer Fire Department was killed and another was injured Wednesday evening after a fire truck accident not far from their station.

McCutchanville Fire Department PIO Lt. Steve Gibson said 18-year-old Jeremy Tighe (pronounced "tie") died when the fire truck, in which he was a passenger, ran off St. Joseph Avenue north of Wimberg Road and partially overturned, striking a utility pole.

Lt. Brandon Cason, the driver, "was not injured seriously" in the accident, Gibson said, but the 24-year-old was taken to Deaconess Hospital. Gibson said he believed Cason has since been released from the hospital.

"They were returning from a run when, for some unknown reason, their truck went off the side of the pavement," said Gibson in a phone interview Wednesday night.

The single-vehicle wreck occurred about 8:25 p.m. as the fire truck was traveling north on St. Joseph Avenue.

It occurred only about a half-mile from the McCutchanville station on North St. Joseph Avenue.

The truck had responded to a request for a carbon monoxide check on Mount Ashley Road earlier in the evening, according to Central Dispatch, and the firefighters had called in available at 8:01 p.m.

The wreck knocked out electrical service to residents of some homes in the North Side area for a couple of hours.

"Our preliminary investigation indicates that the truck left the roadway and went onto the shoulder for unknown reasons," Vanderburgh County Sheriff Eric Williams said in a news release.

Williams said there's no indication that drugs or alcohol were a factor in the wreck, but a sample of Cason's blood was taken.

Gibson said the McCutchanville Fire Department is shut down until further notice.

"Everybody's too shook up," he said. He said the Evansville, German Township, Perry Township and Scott Township fire departments are going to cover its runs.

Gibson said officials will be discussing funeral arrangements with Tighe's father, who lives out of State, and his mother, who lives locally.

Tighe had been on the department for about 18 months, Gibson said. Today would have been his 19th birthday.

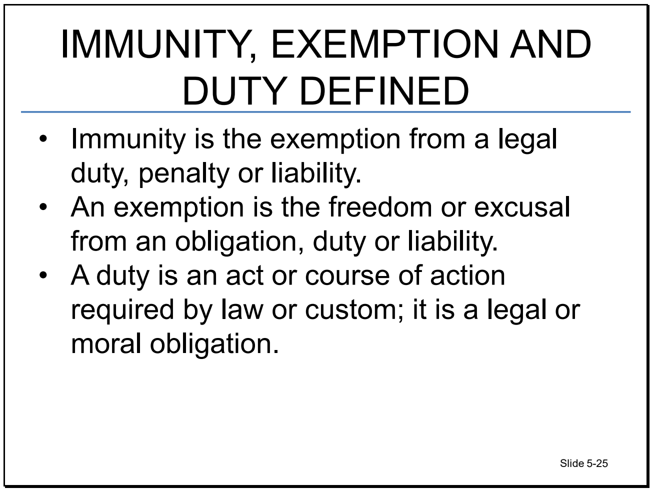
Tighe is the second McCutchanville Fire Department firefighter to die in the past 12 months. In April, 27-year-old Nathan Kuehne was found dead in a hot tub at a friend's house on Evansville's East Side.

Gibson, who had been with the Knight Township Fire Department for 19 years before it disbanded at the end of 2010, said: "I went 20 years with nobody (dying), and now I lost two guys in the past year."

(Council, 2012)

http://www.courierpress.com/news/2012/feb/22/mccutchanville-fire-truck-overturns-north-st-josep/

II. IMMUNITIES/EXEMPTIONS



A. Immunity, exemption and duty defined.

1. Immunity is the exemption from a legal duty, penalty or liability granted to a specific group.

2. An exemption is the freedom or excusal from an obligation, duty or liability to which others are subjected.

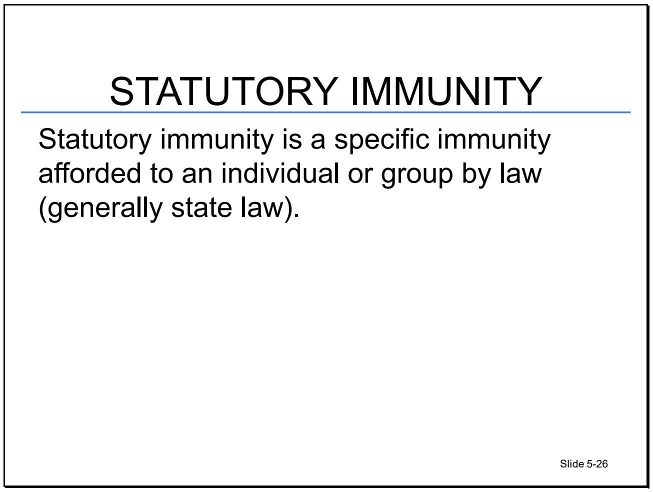
3. A duty is an act or course of action required by law or custom; it is a legal or moral obligation.

a. Examples:

- A person without specific first-aid training who stops and renders aid to an injured person is generally immune from any criminal or civil liability under the “Good Samaritan” doctrine.

- Firefighters driving an emergency vehicle under “Code 3” are generally exempt from **some** provisions of the state/local vehicle code.

b. Most exemptions do not relieve the driver/operator of the duty to drive with due regard for the safety of other people and property, including driving at a speed with no due regard for the weather, visibility, traffic and surface conditions, and road width.



B. Statutory immunity is a specific immunity afforded to an individual or group by law (generally state law).

1. California:

a. Neither a public entity that has undertaken to provide fire protection service, nor an employee of such a public entity, is liable for any injury resulting from the failure to provide or maintain sufficient personnel, equipment, or other fire protection facilities (Government Code § 850.2).

b. An NPO included on the statewide registry that voluntarily and without expectation and receipt of compensation from victims of emergencies and disasters donates services, goods, labor, equipment, resources, or dispensaries or other facilities, in compliance with Section 8588.2, during a declared state of war, state of emergency, or state of local emergency shall not be civilly liable for a death, injury, illness, or other damage to a person or property caused by the NPO's donation of services, goods, labor, equipment, resources, or dispensaries or other facilities (Government Code § 8657.5).

c. Does not provide immunity from liability caused by a grossly negligent act or omission, or willful or wanton misconduct.

2. Oklahoma:

A municipal fire department responding to incidents outside of its corporate limits is considered an agent of the state and is not liable for damages incurred as a result of such response (Title XI, § 29-108).

3. Florida:

A state agency or subdivision that donates a qualified vehicle or equipment to a volunteer fire department cannot be held liable for any civil damages caused by the use of the donated equipment (Title XLV, Chapter 768, § 768.1315).

C. Qualified immunity.

1. Qualified immunity is a legal defense to civil liability that protects government officials from lawsuits alleging that they violated a plaintiff's rights.

a. Balances two important interests — the need to hold public officials accountable when they exercise power irresponsibly and the need to shield officials from harassment, distraction and liability when they perform their duties reasonably.

b. Qualified immunity is not immunity from having to pay monetary damages, but rather immunity from having to go through a trial at all.

- Courts must resolve qualified immunity issues as early in a case as possible.

c. Qualified immunity only applies to lawsuits against government officials **as individuals,** not suits against the government for damages caused by the officials' actions. Although qualified immunity frequently appears in cases involving police officers, it also applies to most other executive branch officials.

2. The qualified immunity doctrine only allows suits where officials violated a "clearly established" statutory or constitutional right.

   When determining whether or not a right was "clearly established," courts consider whether a hypothetical reasonable official would have known that the defendant's conduct violated the plaintiff's rights.

III. LEGAL CONSEQUENCES

CRITICAL LIABILITY

- Negligence: failure to use reasonable care, doing something that a reasonably prudent person would not do.
- Standard of proof required for a criminal conviction is "beyond a reasonable doubt."
- Fine and/or imprisonment.

Slide 5-28

A. Criminal liability.

1. Negligence: failure to use reasonable care, doing something that a reasonably prudent person would not do, or the failure to do something that a reasonably prudent person would do under like circumstances.

2. Standard of proof required for a criminal conviction is **"beyond a reasonable doubt"** (presumption of innocence).

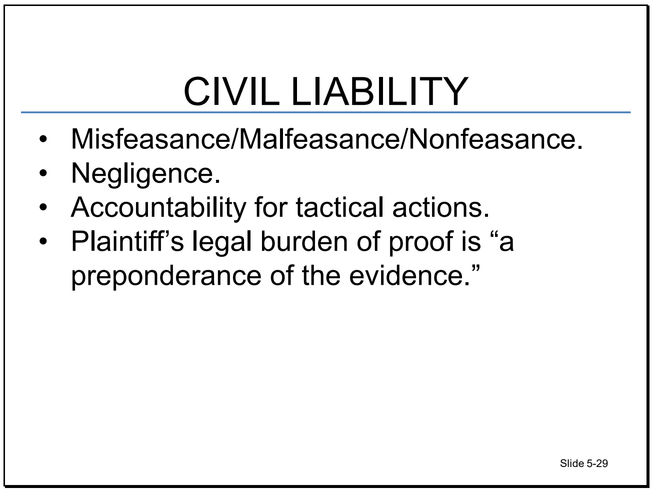
3. Fine and/or imprisonment.

4. Examples:

   a. Thirtymile Fire (Wintrop, Washington, July 2001) — four U.S. Forest Service (USFS) firefighters die after being overrun by a wildland fire.

      - USFS Crew Boss Elreese Daniels was charged with 11 felonies, including four counts of manslaughter. Ultimately reduced to two counts of making false statements, for which he was sentenced to three years probation and 90 days of work release in 2007.

b. Lairdsville, New York (2002) — subsequent to a 2001 firefighter death at a live-fire training exercise, the Lairdsville Fire Department First Assistant Chief, acting as the lead instructor for the training, was indicted for second-degree manslaughter and two counts of aggravated assault for the serious injuries to two other firefighters. He was convicted of criminally negligent homicide.



B. Civil liability.

1. Misfeasance/Malfeasance/Nonfeasance.

2. Negligence.

3. Accountability for tactical actions.

4. Plaintiff's legal burden of proof is "a preponderance of the evidence."

5. Examples:

a. Farmers Insurance Company v. Jefferson Township Fire Department (2008).

- Insurance company sued a volunteer fire department for its loss following a 2003 house fire. Lawsuit alleges that the fire department and 12 individually named firefighters failed to take adequate steps to minimize damages by running out of water and failing to use close resources as an alternative water supply. The fire destroyed the garage where it started and heavily damaged the remainder of the residence. The fire department also had to return to the scene twice for rekindles.

- The county court ruled that the fire department is immune from civil liability by Ohio Code, but they refused to dismiss the case against the fire chief, assistant fire chief, and 10 additional volunteer firefighters.

- See Firehouse.com of June 25, 2004.

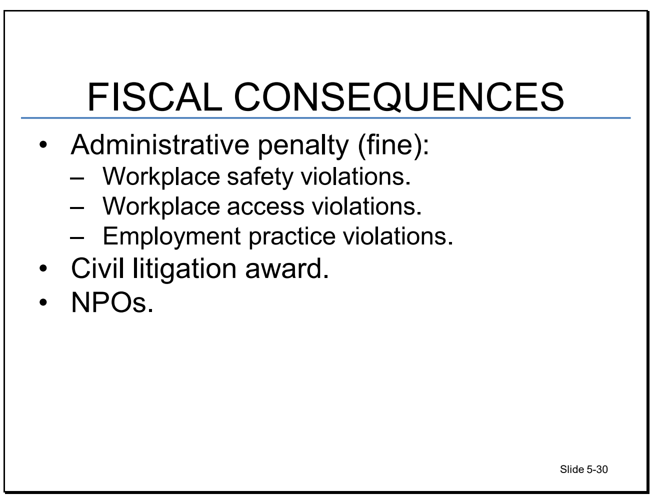
b. The Kentucky Court of Appeals has overruled a trial court dismissal of a civil suit against a volunteer fire department alleging negligent operations at a 2003 motorcycle salvage yard fire.

- The suit alleges that the fire department was not adequately equipped to fight the fire and willfully and repeatedly failed to request assistance from a nearby paid professional fire department.

- The Kentucky Court of Appeals ruled that a state law extending sovereign immunity to volunteer fire departments is unconstitutional.

- Kentucky has more volunteer fire departments (767) than it has cities.

- This case, although still not completed, has now been appealed to the Kentucky Supreme Court. See NVFC.org of Aug. 26, 2008.



C. Fiscal consequences.

1. Administrative penalty (fine).

a. OSHA — workplace safety violations.

b. ADA — workplace access violations.

c. EEOC — employment practice violations.

2. Civil litigation award.

a. Monetary award to the plaintiff in a civil action for damages; it can exceed actual damages if judge/ jury believe respondent's action or inaction was willful or malicious.

b. Compensatory damages awarded by judge/jury as penalty in addition to award for damages.

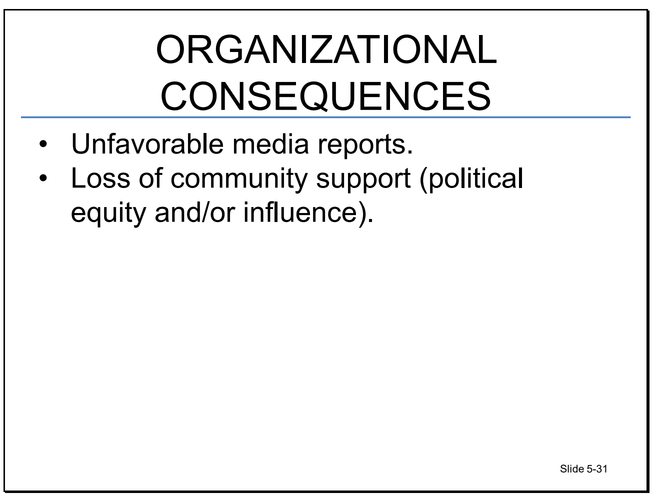
c. Examples: pending civil cases in Ohio and Kentucky.

3. NPOs.

a. Reduction/Loss of contributions.

b. Intermediate sanctions (IRS).

c. Loss of tax-exempt status.



D. Organizational consequences.

1. Unfavorable media reports.

2. Loss of community support (political equity and/or influence).

E. Personal consequences.

1. Embarrassment.

2. Loss of reputation/credibility.

3. Administrative/Disciplinary action.

   Including potential termination.

4. Cost to defend civil litigation.

5. Fine.

6. Imprisonment.

IV. RISK MANAGEMENT

A. Risk management defined.

Risk management is the identification, assessment and prioritization of risks (liabilities) followed by a coordinated and economical application of resources to minimize, monitor and control the probability and/or impact of actions, inaction and events.

RISK MANAGEMENT STRATEGIES

- Transferring the risk to another party.
- Reducing the probability of occurrence and/or the negative impacts of the risk.
- Eliminating the risk.
- Accepting some or all of the potential or actual consequences of a particular risk.

Slide 5-34

B. Risk management strategies typically include:

1. Transferring the risk to another party.

2. Reducing the probability of occurrence and/or the negative impacts of the risk.

3. Eliminating the risk.

4. Accepting some or all of the potential or actual consequences of a particular risk.

PUBLIC POLICY RISK MANAGEMENT ELEMENTS

- Identification, assessment and prioritization of risks.
- Coordinated and economical application of resources to minimize, monitor and control the probability and/or impact of actions, inaction and events:
  - Transfer of risk.
  - Reduce the probability of occurrence and/or the negative impacts.

Slide 5-35

C. Public policy risk management elements.

1. Identification, assessment and prioritization of risks.

a. Critical element of an effective risk management program.

b. Risk identification.

- Analysis of past claims and near-misses.

- Near-misses are just as important to consider as actual outcomes.

- Examine high-risk/low frequency activities.

- Often conducted by organizational risk manager and/or safety committee.

- External assistance (expertise) can be very helpful.

c. Risk assessment.

- Analysis of root causal and contributory factors of past claims and near-misses.

- External expertise or facilitation may be necessary or helpful with this step.

d. Risk prioritization.

- Establish priorities to develop and apply appropriate risk management strategies.

- Many organizations look at the highest potential monetary risk exposures first.

- Alternate strategies.

-- Prioritize highest frequency risks first.

-- Prioritize easiest risks to mitigate first (early wins).

2. Coordinated and economical application of resources to minimize, monitor and control the probability and/or impact of actions, inaction and events.

a. Transfer of risk to another party.

- Insurance coverage.

  -- General/Public official liability.

  -- Insures against general liability, public/elected officials' errors, and omissions claims.

  -- Personal liability.

  -- "Umbrella policy."

  -- Medical legal liability.

  -- Property.

  -- Workers' compensation.

  -- Covers employee injuries that occur within scope of employment.

  -- Some illnesses are considered employment-related unless the employer can prove otherwise (presumptive cause).

  -- Workers' compensation laws generally prohibit litigation against an employer for a job-incurred injury.

- Risk pools.

  -- Similar size/types of organizations.

  -- Shared governance/risk management.

b. Reduce the probability of occurrence and/or the negative impacts of the risk:

- Compliance with applicable laws, ordinances and regulations.

- Conformance with recognized industry standards.

  -- NFPA.

  -- American National Standards Institute (ANSI).

- Conformance with recognized industry “best practices.”

  -- OSHA.

  -- NIOSH.

  -- USFA.

  -- IAFC.

  -- National Volunteer Fire Council (NVFC).

  -- National Fallen Firefighters Foundation (NFFF).

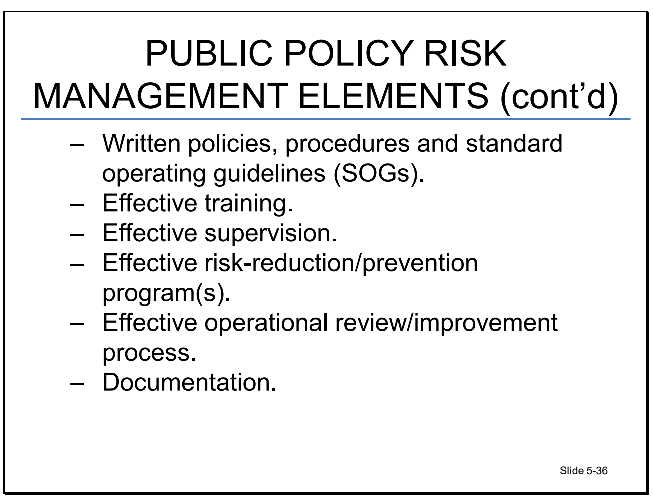
  -- Everyone Goes Home campaign.

  -- 16 Firefighter Life Safety Initiatives.

  -- Cumberland Valley Volunteer Firemen’s Association (CVVFA) — “National Firefighter Code of Ethics” (February 2012).

  -- Online at www.firefighter behavior.com/news/fullstory/newsid/154298.

  -- Developed pursuant to CVVFA’s “Fire Department Reputation Management” white paper.



c. Written policies, procedures and SOGs.

- Policy is an absolute directive with some form of sanction for noncompliance.

- Good risk management principles include limiting the number of policies to the minimum that are absolutely necessary.

- Consultation with insurance provider/risk pool is often helpful in this arena.

- A procedure defines how a specific action or activity is to be conducted and may include specific sequential steps to be followed.

    -- Limiting procedural specificity wherever possible reduces/limits liability (risk) exposure.

    -- Sources for policies, procedures and guidelines.

    -- Other similar organizations.

    -- Insurance provider/Risk pool.

    -- USFA, VFIS.

    -- Private sector subscription services.

- A guideline is more flexible, provides general direction, and may include limitations (boundaries) to acceptable behaviors or actions.

- Violations are generally easier to defend than a violation of policy.

- Policies, procedures and guidelines should be reviewed/updated on a regular periodic basis.

- Risk pools and/or insurance carriers may review your organization's policies, procedures and guidelines as an element of their own risk management program, and they may offer or require changes as a condition of continued coverage.

d. Effective training.

- Training program objectives clearly include a focus on risk reduction.

- Clear, consistent executive- and management-level direction and support for enhanced risk management focus within department training program.

- Training program elements continually examined for opportunities to enhance risk reduction/mitigation in all emergency response and nonresponse activities.

- Sound foundational basis (recognized standards, specific recognized expertise) for high-risk training and certification programs.

e. Effective supervision.

- Supervision is the direction or oversight of the activities or performance of an individual or group.

- Involves the authority to direct certain behaviors and to initiate corrective action for inappropriate behaviors or performance.

- Starts with clearly written position/duty statements.

  -- Provides a clear description of performance expectations for both the employee and the supervisor.

- Supervisor(s) and managers held to same (or higher) performance/ accountability standards.

  -- Modeling of appropriate behaviors and accountability.

  -- "Walk the talk."

- Effective periodic employee performance review process.

- Clearly written accountability and discipline process.

- Higher liability supervision situations:

  -- Training.

  -- Nonemergency activities.

  -- Statistically higher claims than for emergency activities.

  -- Station "downtime" or "soft time."

-- Response activities.

-- Incident management.

-- Operational safety and accountability.

-- Community and organizational events.

-- On-duty versus off-duty status.

-- Community and/or organizational policy and/or expectations.

f. Effective risk-reduction/ prevention program(s).

- Influenza/Hepatitis B vaccination programs.

g. Effective operational review/ improvement process.

- After-Action Reviews (AARs).

- Investigation of unusual events/near-misses.

- Corrective actions.

  -- Nonpunitive approach is most effective.

h. Documentation.

- Training records.

- Response records.

- Facility/Equipment testing, maintenance and repair records.

- Fiscal records.

- Written record retention policy.

- Appropriate documentation is often your best defense against liability claims.

PUBLIC POLICY RISK MANAGEMENT ELEMENTS (cont'd)

- Legal assistance.
- Organizational attitudes and culture will influence the effectiveness of risk management efforts.
- Act reasonably and in good faith, and document critical actions and decisions.

Slide 5-37

i. Legal assistance.

- Retained versus ad hoc legal assistance.

  -- Often a function of organizational size, complexity and/or fiscal resources.

  -- Quality of legal assistance/advice is important.

  -- Public safety experience may be a worthwhile consideration.

- Obtain legal assistance/ advice before taking action when you are uncertain of legal liability.

- Develop effective working relationship with your organization's legal counsel.

j. Organizational attitudes and culture will influence the effectiveness of risk management efforts.

k. Act reasonably and in good faith, and document critical actions and decisions.

PUBLIC POLICY RISK MANAGEMENT ELEMENTS (cont'd)

- Eliminate the risk.
- Accept some consequences of a risk:
  – We cannot mitigate **all** of the risks associated with providing public fire protection and EMS.
  – We can mitigate many of the more serious risks.
  – Bad outcomes should never be an accepted "cost of doing business."
  – Ongoing/Regular periodic analysis.

Slide 5-38

3. Eliminate the risk. Limited opportunities in public safety to completely eliminate a risk.

   Example: eliminating alcohol in the fire station.

4. Accept some or all of the potential or actual consequences of a particular risk.

   a. We cannot mitigate **all** of the risks associated with providing public fire protection and EMS.

   b. We can mitigate many of the more serious risks with good written policies, procedures and SOGs; effective training and supervision; conformance with applicable laws, regulations, industry standards and best practices; good written records; legal assistance; and an effective operational review/improvement process.

   c. Bad outcomes should never be an accepted "cost of doing business."

   d. Ongoing/Regular periodic analysis of risk management efforts and effectiveness as well as regular review/update of risk management strategies and procedures, including:

      - Rate and severity of occurrences by risk.

      - Analysis of causal and contributory factors.

      - Occurrence/Causal factor trends.

      - New risks.

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ACTIVITY 5.3

Identifying Effective Risk Management Measures

Purpose

To identify effective risk management strategies and techniques for recent fire and emergency service-related events or situations in the news.

Directions

1. Each small group will be assigned a different recent news article than the one assigned for Activity 5.2.

2. Within your assigned small group, review the news article and discuss the potential risk management measures that could be employed to effectively mitigate the liabilities associated with this event or situation. Record the risk management measures that you identify on the easel pad.

3. You will have 20 minutes to complete this portion of the activity.

4. Groups will then present a summary of their news article to the class along with their list of identified risk management measures.

5. At the conclusion of each small group presentation, the facilitator will solicit additional comments and perspectives, relative to the group's solution, from the class.

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ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 1

PORT CLINTON — Just minutes after alerting Portage Fire District firefighters that a ladder truck was needed at a structure fire in Clay Center, Ottawa County Sheriff's dispatcher Heather Deibel took a 911 call regarding a traffic crash on State Rt. 19 south of Oak Harbor.

Timothy Johnson — a veteran Portage District firefighter responding to the call for a ladder truck — had smashed into the back of a car attempting to turn left from State Rt. 19 onto Portage River South Road. The victims were bleeding, the caller said, though he didn't know how badly they were hurt.

A jury seated Monday in Ottawa County Common Pleas Court listened to the recording of the dispatcher's instructions to the local fire department, and then they heard the call from a passer-by who came upon the deadly crash.

Mr. Johnson, 42, of Oak Harbor, is charged with aggravated vehicular homicide for the July 16, 2010 death of Ian Huffman, 24, of Elmore, a front-seat passenger in the car driven by his girlfriend, Olivia Duty, now 21, of Woodville.

Ken Egbert, a special prosecutor, told the jury during his opening statements that the crash was "an avoidable tragedy" brought about by Mr. Johnson's decision to drive at "a grossly excessive speed on a two-lane state highway at night, about 11 o'clock at night, in a no passing zone — a double-yellow no passing zone."

He said the airbag control module in Mr. Johnson's pickup — a device similar to a black box in an airplane — would show how Mr. Johnson had disregarded public safety while responding to the fire call. His own fire department's policy states that firefighters are permitted to drive 10 mph over the speed limit when responding to a call, Mr. Egbert said.

"The state is going to present evidence to show the defendant, Mr. Johnson, did not use due regard for safety at all but...was going 98 mph five seconds before this crash, 98 mph four seconds before the crash, 97 mph three seconds before the crash, 96 mph two seconds before the crash, and 83 mph a second before the crash — just within moments of when the impact took place," Mr. Egbert said.

Mr. Johnson's attorney, Dean Henry, advised the jury to be cautious about prosecutor's claims about excessive speed.

"Was he going fast? Yes," Mr. Henry said. "Was he going 98 mph? That is a disputed matter. When Mr. Johnson was asked to give a statement to the highway patrol — what do you think your speed was? — his estimate was approximately 70 mph."

Mr. Henry directed jurors' attention to the location of Ms. Duty's car just prior to the crash, suggesting that she had failed to stop and observe Mr. Johnson's pickup coming down the road — flashing light and siren activated — when she first turned onto Route 19 from County Road 17. Mr. Henry also said Ms. Duty crossed the center line and began making her turn from Route 19 onto Portage River South Road before she had actually reached the intersection.

"She did what is euphemistically called a curb cut," he said.

Mr. Johnson had swerved to the left to try to avoid hitting her, Mr. Henry said, and then Ms. Duty turned left in front of him, Mr. Henry said.

Neither Mr. Johnson nor Ms. Duty had alcohol or drugs present in their systems the night of the crash — a fact the defense and prosecution stipulated to in advance of the trial.

After the jury was selected Monday morning, jurors were taken to the scene of the crash — a location in Salem Township just south of Oak Harbor where County Road 17 intersects with State Rt. 19 from the east in a "T." To the west, Portage River South Road also forms a "T" at Route 19 a little farther down the road.

Testimony was to resume at 8:30 a.m. Tuesday.

(Feehan, 2012)

http://www.toledoblade.com/Courts/2011/11/14/Trial-starts-for-firefighter-charged-in-fatality.html

ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 2

HARVEY, La. — Out of town trips with family members, lavish dinners, and expensive bar tabs, all on the taxpayer dime.

A series of 4 Investigator reports revealed top officials in the Harvey Volunteer Fire Department #2 were making questionable purchases with public funds. Now one of those officials has been arrested.

Eyewitness News has confirmed President and Deputy Chief Mike Reason was booked Wednesday morning on two counts of filing false public records and one count of felony theft over $1,500. He has been released on $10,000 bond.

A spokesman for the Jefferson Parish Sheriff's Office said investigation continues into Harvey Volunteer Fire Company #2.

"This is taxpayer money. These people should be the stewards of that money, and somehow they crossed over to believing this money could be theirs," said Anthony Radosti, Vice President of the Metropolitan Crime Commission.

The MCC spent hours pouring over thousands of pages of financial records to help bring potential wrongdoing to light. It reported its findings to the JPSO, the legislative auditor, and the Jefferson Parish District Attorney's Office.

"Oh, it sends a message. As we've progressed, we're seeing law enforcement being more diligent going after public corruption. That's something we need here," said Radosti.

Harvey Volunteer Fire Company #2 receives nearly $3 million each year. And since 4 Investigators first reported on the nonprofit contractor, the Jefferson Parish council limited travel for volunteer fire departments and banned the use of parish money for alcohol.

"What we're finding is the contracts we had with volunteer fire companies conflicted with parish law and state law, so we've worked to bring those in line," said Jefferson Parish Councilman At Large Chris Roberts. "The disappointment, unfortunately, is this has certainly cast a black cloud over our fire service. We've got a lot of dedicated men and women that do the right job every day."

Officials with the MCC said authorities are reviewing at least one other top official with the volunteer fire department. Radosti anticipates more arrests.

Parish President John Young said he would not comment on personnel issues or the investigation. But when the reports first came to light, Young asked the legislative auditor to investigate. According to Roberts, the Jefferson Parish Auditor is now reviewing expenditures for all parish fire departments to make sure there aren't other questionable cases.

(Hernandez, 2012)

http://www.wwltv.com/news/Volunteer-fire-companys-deputy-chief-arrested-as-investigation-continues-138526984.html

ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 3

CLEVELAND, Ohio — Cleveland officials have yet to punish anyone nearly two weeks after internal auditors found widespread payroll abuses in the Fire Department, but Public Safety Director Martin Flask guarantees discipline is on the way.

"You can be assured that administrative action is appropriate and will be taken," Flask said in an interview Tuesday. "The exact number of employees has yet to be determined."

Flask also disclosed Tuesday that a police sergeant is investigating firefighters for possible criminal wrongdoing. The sergeant and an assistant law director are working with city auditors who are expected to produce a more in-depth follow-up report by the end of January.

Capt. Frank Szabo, Vice President of the firefighters' union, said he had no reaction to the criminal investigation. He said he would follow the lead of Mayor Frank Jackson who has indicated that he will not assume guilt.

Auditors reported Nov. 18 that some firefighters collected pay for hours they didn't work, including one man who collected two years of pay while working a total of 11 days. Auditors also found that some firefighters failed to record sick time and violated the city's bereavement policy.

City officials have been guarded in discussing what they think will come from digging deeper into the scandal. But Flask said Tuesday that auditors will look into whether firefighters conspired to pocket overtime. He would not rule out the possibility that abuses were more widespread than first reported.

He said auditors will explore the possibility that firefighters traded shifts to co-workers who then called off sick, allowing the firefighters who traded their shifts to come in on overtime. Auditors also will determine whether overtime was steered to senior firefighters, padding wages used to calculate pensions.

Jackson and Flask have absolved Fire Chief Paul Stubbs of blame, saying problems occurred below his command. The city recently announced that Stubbs will retire in the spring, but the chief said the preliminary audit findings did not influence his decision.

On Tuesday, Flask also announced steps the administration will take to end the abuses involving the trading of shifts.

The changes would limit firefighters to one trade every two weeks and cap the number of hours they can owe at 96 per year instead of allowing an unlimited total.

Trades will need approval from Assistant Chief Timothy O'Toole and must get his OK at least 72 hours in advance. Firefighters who fail to repay shifts will be subject to discipline.

As of last week, the city barred firefighters from destroying records that document trades that have been completed. The practice violates a citywide policy that requires retention for at least three years.

Flask said the city administration has authority to change the shift-trading rules without consent from the firefighters' union. But he said he has given the union time to register objections.

Union leaders have said shift-trading abuses are confined to a small group. Szabo said the changes violate the firefighters' labor agreement, but union officials are "willing to sit and listen to what they have to say."

Shift trading, which is common among firefighters across the country and in Cleveland dates to at least 1966, has received the most attention since the preliminary audit was released Nov. 18.

The audit disclosed that the practice allowed three firefighters to collect full pay while working less than half the hours they were assigned in the last three years. A fourth worked just over 50 percent of his scheduled hours. The time is supposed to be repaid within a year.

In other cases, firefighters took off for months at a time, then made up by working shifts in bunches. One firefighter spent his down time living in San Diego.

The city banned seven firefighters from trades, effective in July, because they owed their co-workers more than 1,000 hours — or more than 41 24-hour shifts.

Trading shifts is so prevalent among U.S. firefighters that a website exists for arranging swaps, and a smart-phone application is available to help firefighters keep track of their schedule changes.

But the practice has led to abuses. According to a news account earlier this year, scores of Boston firefighters got their shifts covered for months at a time with no record of payback. More recently, Buffalo firefighters were accused of selling shifts to older firefighters to pad their pensions.

Some Cleveland City Council members have expressed frustration with Jackson and Flask for not taking swifter action against firefighters who did not work scheduled hours, including prosecuting them or suing to recover money. The council's Public Safety Committee will raise questions at a hearing Wednesday.

(Ott, 2011)

http://blog.cleveland.com/metro/2011/11/cleveland_vows_discipline_in_f.html

ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 4

A Cottonwood firefighter died this morning, and a California Highway Patrol officer and another person were injured, after being hit by a pickup that slid off hail-covered Interstate 5.

The wreck closed southbound I-5 for several hours. One lane of southbound traffic was reopened by 10:45; all lanes were open by 2 p.m.

The coroner's office identified the firefighter as Capt. Mark Ratledge, 35, of Cottonwood.

The injured CHP officer was identified this afternoon as Jason Dotzenrod, 41, of Redding. Dotzenrod suffered minor knee and back injuries, a CHP spokesman said.

This is the first Cottonwood firefighter to be killed in the line of duty, California Department of Forestry and Fire Protection spokeswoman Linda Galvan said.

Ratledge was a nine-year veteran of the Cottonwood Fire Protection District who started as a volunteer in 2003 and was promoted to captain in 2008. He also served as the training officer for the department.

Ratledge lived in Cottonwood with his fiancée Jennifer Hobbs, 38; daughter Sophia, 1; stepdaughter Hannah Jasperse, 17; and stepson Conner Hobbs, 10. He also is survived by a sister, Susana Ratledge of Stockton; and parents Jack Ratledge and Maria Closa, both of Redding.

Before joining the Cottonwood Fire Protection District, Ratledge worked for the Redding Fire Department and U.S. Forest Service, Galvan said.

CHP spokesman Mel Hutsell said Ratledge and Dotzenrod were at the site of two earlier spinouts off an embankment south of Anderson. No one was injured in those accidents.

Hutsell said Jared Shumaker, 31, of Redding was heading south at 6:15 a.m. when his black Chevy S-10 pickup slid off the road between a parked CHP cruiser and Ratledge's truck.

Shumaker told investigators he was traveling 50 to 55 mph when a vehicle alongside him started to spin. In attempt to avoid the vehicle, Shumaker changed lanes but his truck started skidding.

The pickup spun down the embankment and hit officer Dotzenrod, Ratledge, and one of those involved in the earlier wrecks, identified as Luis Ramon Cordova, II, 32, of Redding, Hutsell said.

Ratledge died at Mercy Medical Center in Redding about 7:30 a.m., Hutsell said.

Ambulances took Dotzenrdod and Cordova, who suffered a minor laceration to the head, to Mercy. They were both treated and released.

Shumaker wasn't cited or arrested and was allowed to go home. But the investigation continues.

"Until we determine the extent of what happened, we can't know whether this rises to level of criminal negligence," Hutsell said.

Hutsell said the freeway was closed and being treated as a crime scene during the investigation.

"We haven't determined the details of the accident," Hutsell said. "We don't want to spoil any evidence that could be here."

A team of CHP accident investigators were at the wreck site re-creating the accident, Hutsell said.

Meanwhile, Calvin Ciapponi, chief of the Cottonwood Fire Protection District, referred questions to the California Department of Forestry and Fire Protection.

News of the death began to quickly resonate through Shasta County.

By mid-morning, flags at all fire stations in the county had been lowered to half-staff. About six Cal Fire engines gathered at the Cottonwood fire station on Brush Street just north of the intersection of Front and Brush streets.

Cal Fire's Galvan visited the station just after noon.

"It's still very, very fresh," Galvan said as she left a while later. "They're dealing with what they have to deal with right now. There are a lot of very upset people in there now."

Nanette Pate, who operates the Cottonwood Eatery next door to the station, delivered a platter of corned beef, turkey, and ham sandwiches to the firefighters.

"It's just awful," Pate said. "I've lost people before and it's just nice to do something. It's so sad. It brings tears to my eyes just to think about it."

Shasta County Supervisor Les Baugh, who represents the south county, said the tight-knit community was reeling at news of the death.

"It's a small community," Baugh said. "We're just devastated. ... The folks I've talked to say the family is simply heartbroken here. This is a small, rural volunteer fire department. These are the same folks who show up to help with fundraisers and wield the batter for the pancake breakfasts to raise money."

Anderson City Councilman John Day, a retired registered nurse, ambulance medic, and volunteer firefighter, offered his condolences as well.

"These are dedicated men and women who get up in the middle of a storm like that last night for four or five dollars a call," Day said. "I'm pretty sad today. I don't know who it was. I know I lost a brother."

Debbie Earhart, the owner of Sierra Printing in Cottonwood, said she has no doubt the town, even in its grief, would respond to help the department and Ratledge's family.

"I know Cottonwood," she said. "They are going to come together."

(Benda, 2012)

http://www.redding.com/news/2012/feb/29/chp-officer-firefiighter-involved-traffic-wreck-i/?partner=popular

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ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 5

BLOXOM — A single-vehicle crash involving a Bloxom fire truck Monday morning fatally injured a volunteer firefighter.

David R. Chew Jr., 30, of Parksley, who worked as a medic with the Northampton County Department of Emergency Medical Services, died in the crash.

The accident occurred on Nelsonia Road about a half-mile west of Route 13. The firefighters were responding to an accident on Route 13 in Gargatha.

The accident was reported at about 11:31 a.m. An investigation revealed that Chew, a passenger in the fire truck, was ejected, said Virginia State Police spokeswoman Michelle Anaya.

"Mr. Chew was not wearing his safety belt at the time of the accident and died on impact," Anaya said in a statement.

The fire truck's driver, 44-year-old James Richard Lambirth of Mears, was taken to Peninsula Regional Medical Center with nonlife-threatening injuries.

Anaya said Lambirth lost control of the fire truck while making a turn, ran off Nelsonia Road, and struck several trees.

Charges could be filed pending a review of the case by the Accomack County commonwealth's attorney, Anaya said.

Chew, a United Methodist minister, served as chaplain of the Bloxom Volunteer Fire Company and was a rescue lieutenant and a member of the company's board of directors.

Chew had been involved in fire and EMS work since 2001, according to his profile on the Northampton County Department of EMS.

The married father of a 3-year-old son, Chew had recently become pastor of Hallwood United Methodist Church; his first Sunday there was July 1.

Westbound traffic on Nelsonia Road was diverted onto Fletcher Road at about noon Monday as a result of the crash.

Parksley Volunteer Fire Company, Oak Hall Rescue Company, Accomack County EMS, the Accomack County Sheriff's Office, the Virginia State Police, and the Virginia Department of Transportation had personnel respond to the crash scene.

Monday's fatality is believed to be the seventh line-of-duty death in memory among Eastern Shore of Virginia fire and rescue volunteers.

cvaughn@dmg.gannett.com

ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 6

Firefighters are unique among city employees — or just about any kind of employee, for that matter.

Not only is their work dangerous, but it requires them to literally live the job — eating and sleeping at their stations for days at a time.

That can lead to some interesting workers' compensation claims.

Weight-lifting injuries. A cooking accident. A heart attack while walking on a track. A bad back blamed on "dumping a mop bucket."

The Tulsa World studied cases in which a workers' compensation court order was issued between January 2010 and November 2011. Records are not precise, but about 20 of the 72 Fire Department-related files included in the study of the city's workers' compensation claims appear to be attributed to injuries suffered at fires or other emergencies to which the claimant had been dispatched. Those included falls on ice, ladder climbing, collapsing floors, and at least one heart attack.

By comparison, 13 cases were attributed to training activities of some kind, including running, swimming, tying knots, lifting weights, and "pulling hose."

The frequency of such injuries seems to make the Fire Department a candidate for what city physician Dr. Phillip Berry called "overtraining." Yet the general public might be surprised to learn the city has 300-pound firefighters.

"We do have some big guys," said TFD Administrative Chief Jeremy Moore. "Some 300-pound guys are solid as a rock, some are not."

Firefighters hired before 1995 are exempt from the department's annual fitness test, which in any event is "not very strenuous in my opinion," said Berry.

According to court files, one 300-pound firefighter was injured playing basketball with children after a left knee replacement and four surgeries on his right knee.

Another, listed at 326 pounds in medical records, slipped on ice getting out of a department vehicle.

Still another, listed as 5 feet 4 inches tall and 337 pounds, "slipped on a water spot at the station."

But it's not just the size of firefighters that can present problems.

Several injuries were attributed to lifting overweight people — including a 400-pounder — in emergencies.

Moore said first responders are seeing "quite a few" people over 350 pounds causing the department to develop policies on their handling.

Examination of the case files suggests many injuries directly attributed to nonemergency — and even nontraining — events may in fact stem from earlier work-related injuries or general wear and tear.

But workers' compensation, at least in theory, does not cover general wear and tear, and cumulative or repetitive-use cases are more difficult to win than single-event claims.

Firefighters — and police — are different from other city workers in that they receive what amounts to full wages, as opposed to three-quarters pay or less, while on temporary total disability.

Firefighters are unique in at least one other respect. Unlike other municipal workers, including police, their disability pensions — as opposed to regular pensions — are exempt from State income tax.

"Whether they want to admit it or not, there does seem to be a little uptick (of firefighters) who want to be evaluated just before they retire," said Berry.

"From the Fire Department's perspective," said Moore, "our employees' main causes of injuries are due to the nature of our business. That tends to compound as they get older."

Firefighters workers compensation by the numbers:

72: Number of cases involving firefighters in which a workers' compensation court order was issued between January 2010 and November 2011.

5: Number of multiple claimants.

28: Percent of cases against the City of Tulsa that were filed by firefighters.

$1,535,289.09: Total value of firefighters' claims.

25: Percent of total claim value for city that came from firefighters' claims.

$21,623.79: Average value of a firefighters' claim.

*Numbers taken from 251 cases in which a City of Tulsa workers compensation court order was issued between January 2010 and November 2011.

(Krehbiel, 2012)

http://www.tulsaworld.com/news/article.aspx?subjectid=11&articleid=20120212_16_A11_CUT
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ACTIVITY 5.3 (cont'd)

Identifying Effective Risk Management Measures

News Article 7

McCutchanville firefighter killed in an accident on North St. Joseph Avenue.

EVANSVILLE — One firefighter with the McCutchanville Volunteer Fire Department was killed and another was injured Wednesday evening after a fire truck accident not far from their station.

McCutchanville Fire Department PIO Lt. Steve Gibson said 18-year-old Jeremy Tighe (pronounced "tie") died when the fire truck, in which he was a passenger, ran off St. Joseph Avenue north of Wimberg Road and partially overturned, striking a utility pole.

Lt. Brandon Cason, the driver, "was not injured seriously" in the accident, Gibson said, but the 24-year-old was taken to Deaconess Hospital. Gibson said he believed Cason has since been released from the hospital.

"They were returning from a run when, for some unknown reason, their truck went off the side of the pavement," said Gibson in a phone interview Wednesday night.

The single-vehicle wreck occurred about 8:25 p.m. as the fire truck was traveling north on St. Joseph Avenue.

It occurred only about a half-mile from the McCutchanville station on North St. Joseph Avenue.

The truck had responded to a request for a carbon monoxide check on Mount Ashley Road earlier in the evening, according to Central Dispatch, and the firefighters had called in available at 8:01 p.m.

The wreck knocked out electrical service to residents of some homes in the North Side area for a couple of hours.

"Our preliminary investigation indicates that the truck left the roadway and went onto the shoulder for unknown reasons," Vanderburgh County Sheriff Eric Williams said in a news release.

Williams said there's no indication that drugs or alcohol were a factor in the wreck, but a sample of Cason's blood was taken.

Gibson said the McCutchanville Fire Department is shut down until further notice.

"Everybody's too shook up," he said. He said the Evansville, German Township, Perry Township and Scott Township fire departments are going to cover its runs.

Gibson said officials will be discussing funeral arrangements with Tighe's father, who lives out of state, and his mother, who lives locally.

Tighe had been on the department for about 18 months, Gibson said. Today would have been his 19th birthday.

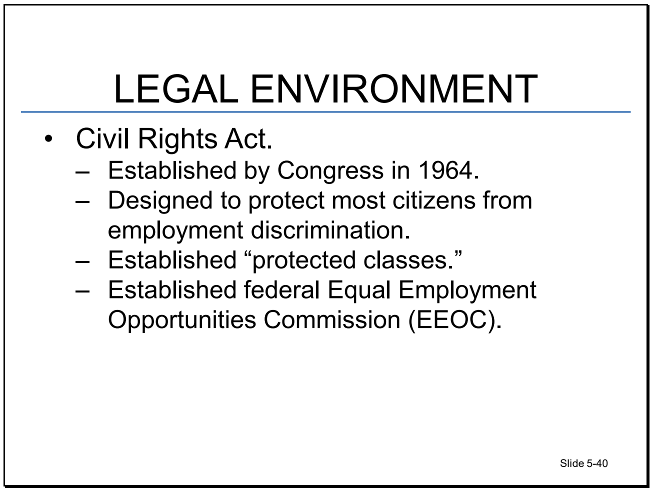
Tighe is the second McCutchanville Fire Department firefighter to die in the past 12 months. In April, 27-year-old Nathan Kuehne was found dead in a hot tub at a friend's house on Evansville's East Side.

Gibson, who had been with the Knight Township Fire Department for 19 years before it disbanded at the end of 2010, said: "I went 20 years with nobody (dying), and now I lost two guys in the past year."

(Council, 2012)

http://www.courierpress.com/news/2012/feb/22/mccutchanville-fire-truck-overturns-north-st-josep/

V. LEGAL ENVIRONMENT



A. Civil Rights Act of 1964 (42 U.S.C. 2000e et seq.).

1. Established by Congress in 1964 in response to the federal debate as to whether the Constitution's 14th Amendment, the prohibition against denial of equal protection to all people, bans the use of racial, ethnic or gender criteria in employment practices.

2. It was the first federal law designed to protect most citizens from employment discrimination.

   a. It is unlawful for an employer to "fail or refuse to hire or to discharge any individual, or to otherwise discriminate against any individual with respect to compensation, terms or privileges, or employment because of such individual's race, color, religion, sex, or national origin."

   b. These are considered "protected classes" under the act.

3. The act spawned many court decisions and both mandatory and voluntary affirmative action programs, intended to affirm the civil rights of designated classes by taking positive action to protect them from discrimination in employment.

   a. Dothard v. Rawlinson (1977) voided arbitrary height and weight requirements.

   b. Cleveland Board of Education v. LaFleur (1974) voided mandatory pregnancy leaves.

c. Settlement decree in Bernardi v. Butz (1979) allowed the United States Forest Service (USFS) in California to use an agreed upon affirmative action plan to remedy specific past discrimination that resulted in women and minorities being under-represented in the workforce.

- Stipulated that California USFS staff must be in line with the civilian labor force, with women in more than 43 percent of the jobs in each series and pay grade over the course of five years, as well as increasing the number of women in GS-11 through GS-13 levels for experience and exposure to training for higher administrative positions.

- Decree was extended to 1991 by the federal court.

4. The act also created the federal Equal Employment Opportunity Commission (EEOC) to implement and enforce the provisions of the act. It processes 48,000 claims annually.

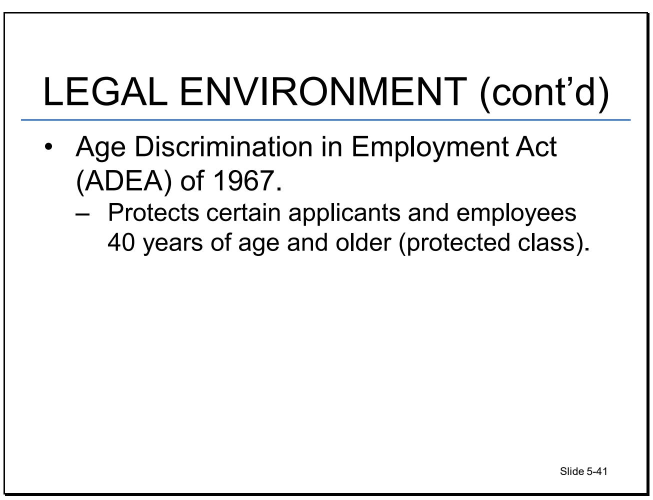
5. The Civil Rights Act does not specifically exclude volunteer or NPOs, thus most provisions are interpreted to apply.

B. Civil Rights Act of 1991 (42 U.S.C. 1981 et seq.).

1. Amended several sections of the Civil Rights Act (Title VII) to provide for recovery of compensatory and punitive damages in cases of intentional violation of Title VII.

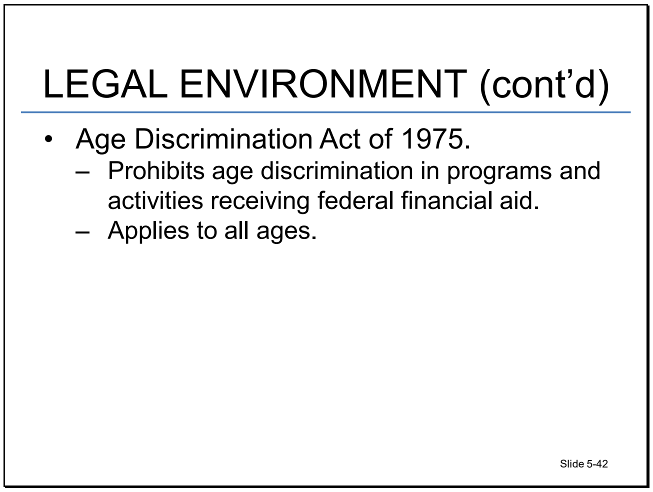
2. Provided right to a jury trial in discrimination cases.

3. Limits amount of compensatory and punitive awards.

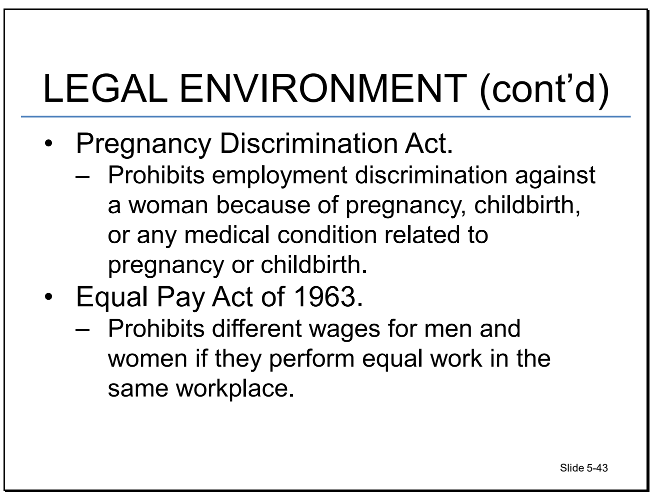


C. Other equal employment opportunity laws.

1. Age Discrimination in Employment Act (ADEA) of 1967. The act protects certain applicants and employees 40 years of age and older (protected class) from discrimination on the basis of age in hiring, promotion, discharge, compensation, or terms, conditions or privileges of employment.



2. The Age Discrimination Act of 1975 prohibits age discrimination of any and all ages in programs and activities receiving federal financial aid.



3. The Pregnancy Discrimination Act 1978 prohibits employment discrimination against women who are pregnant, giving birth, or who are experiencing medical conditions related to pregnancy or childbirth.

4. The Equal Pay Act of 1963 ensures that men and women will receive equal pay for performing equal work in the same workplace.

LEGAL ENVIRONMENT (cont'd)

- Americans with Disabilities Act (ADA) of 1990.
  - Prohibits employment discrimination against a person with a qualified disability.
  - Requires employers to reasonably accommodate the known physical or mental limitations of an otherwise qualified applicant or employee.

Slide 5-44

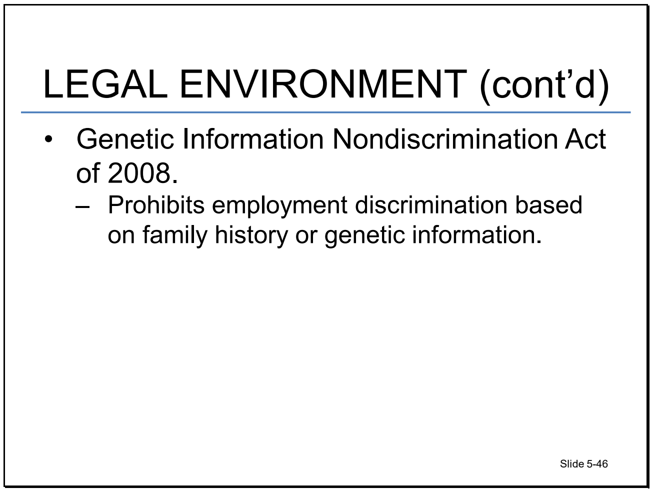
5. The Americans with Disabilities Act (ADA) of 1990 prohibits employment discrimination against disabled people and requires employers to provide reasonable accomodations to otherwise qualified employees.

LEGAL ENVIRONMENT (cont'd)

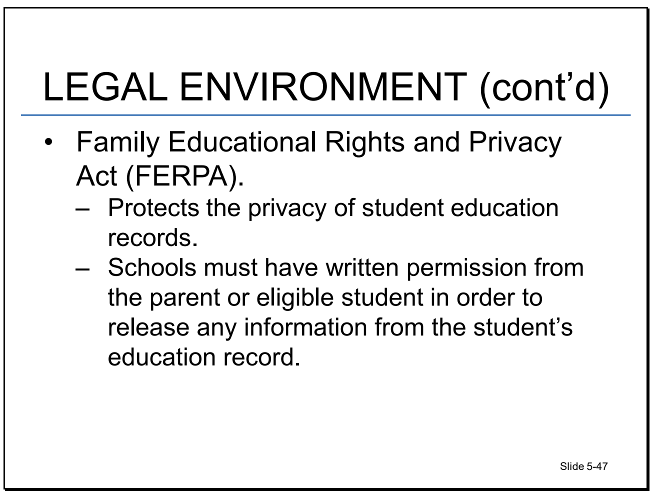
- Vietnam Era Veterans Readjustment Assistance Act of 1974.
  - Prohibits employment discrimination based on worker's military history, including effects that a battlefield assignment might have had on the worker's psyche.

Slide 5-45

6. The Vietnam Era Veterans Readjustment Assistance Act of 1974 prohibits employment discrimination based on a worker's military history, including any effects that a battlefield assignment might have had on the worker's psyche.



7. The Genetic Information Nondiscrimination Act of 2008 prohibits employment discrimination based on family history and genetic information.



8. Family Educational Rights and Privacy Act (FERPA) of 1974 (20 U.S.C. 1232; 34 Code of Federal Regulations (CFR) Part 99).

    a. Also known as the Buckley Amendment.

    b. Protects the privacy of student education records.

    c. Schools must have written permission from the parent or eligible student (18 years of age or older, or attending a school beyond high school) in order to release any information from the student's education record.

    d. Also interpreted to apply to test scores and training records.

9. Fair Labor Standards Act (FLSA) (29 U.S.C. 201).

   a. Established by Congress in 1938.

   b. Establishes minimum wage, overtime compensation, record keeping, and child labor standards for full-time and part-time workers in federal, state and local government, as well as the private sector.

   c. Some employees are exempt from minimum wage and overtime provisions, including salaried executive, administrative and professional employees (exempt employees).

   d. Amendments in 1985 changed certain provisions of the act as they apply to employees of state and local public agencies, including public safety employees.

      - Established seven- to 28-day work period cycles for public safety employees (7(k) exemption).

- Established a higher overtime threshold for public safety employees depending on length of work period cycle:

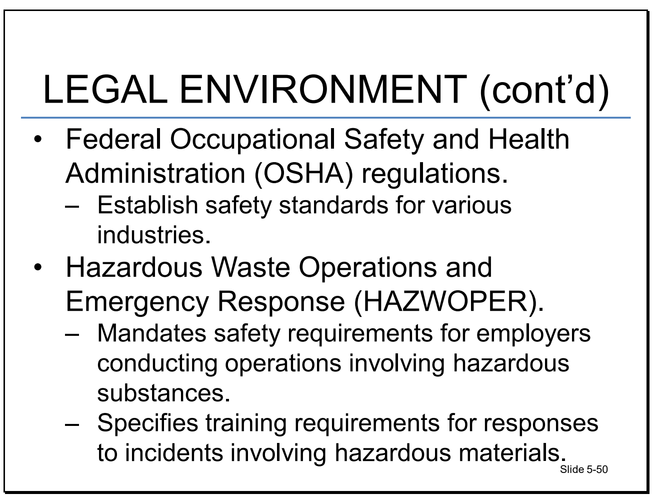
  -- Firefighters — 53 hours (seven days) to 212 hours (28 days). Police — 43 hours (seven days) to 171 hours (28 days).

e. Wage and overtime provisions of FLSA **do not** apply to individuals providing volunteer services to state or local government agencies.

- Individuals shall be considered volunteers only where their services are offered freely and without pressure or coercion, direct or implied, from an employer.

- An individual shall not be considered a volunteer if the individual is otherwise employed by the same public agency to perform the same type of services as those for which the individual proposes to volunteer.

f. FLSA is enforced by the United States Department of Labor (DOL). It is a violation to terminate or retaliate against an employee.



10. Federal Occupational Safety and Health Administration (OSHA) regulations (29 CFR 1900 et seq.).

a. Establish safety standards for a wide variety of industries, including public safety.

b. Hazardous Waste Operations and Emergency Response (HAZWOPER) (29 CFR 1910.120).

- Contains the safety requirements, including training, that employers and their subcontractors or public sector responders must meet in order to conduct emergency response or clean-up operations involving hazardous substances.

- Specifies several levels of training required, based on the work the employees will be performing and the level of hazard they will be facing.

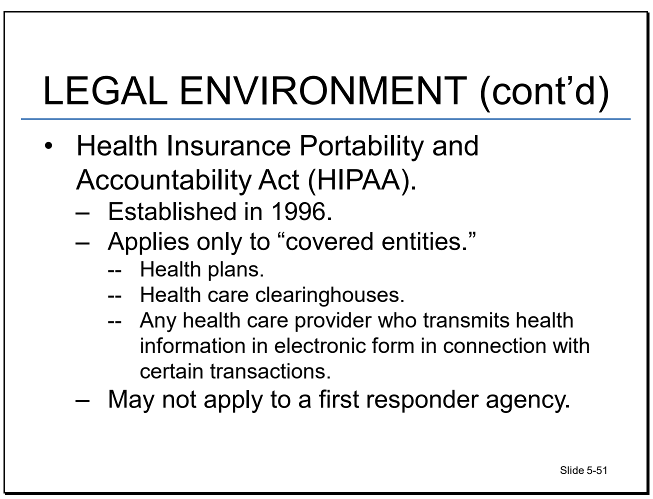
  -- First responder awareness level sufficient to demonstrate competency in their assigned duties.

  -- First responder operational level to include awareness level, plus an additional eight hours.

  -- Hazardous materials technician to include 24 hours of training.

  -- Hazardous materials specialist to include technician level training plus additional training to achieve competency in several areas.

  -- Requires eight hours of refresher training annually.



11. Health Insurance Portability and Accountability Act (HIPAA) of 1996.

a. Applies to "covered entities."

- Health plans.

- Health care clearinghouses.

- Any health care provider who transmits health information in electronic form in connection with certain transactions.

b. Basic principle is to limit the circumstances under which an individual's protected health information may be used or disclosed by a covered entity. Protected information includes all individually identifiable health information in any form or media, including:

- Name.

- Address.

- Birth date.

- Social security number.

c. Permitted uses and disclosures (without individual's authorization).

- For purposes of individual treatment, payment and health care operations.

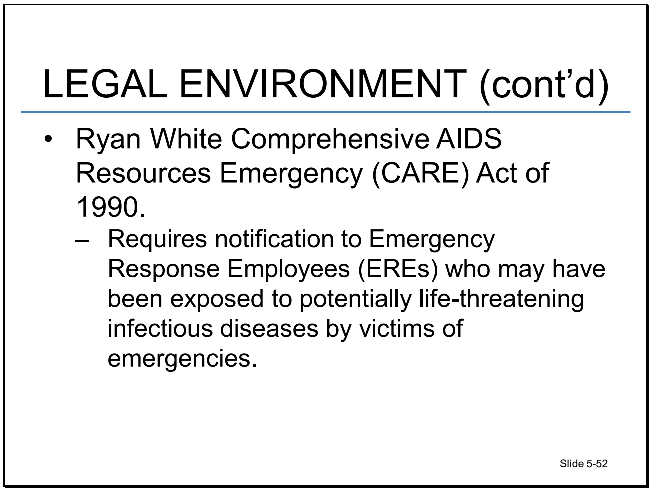
- Incident to an otherwise permitted use or disclosure.

- Public interest and health benefit activities.

- Limited data for research, public health and health care activities.

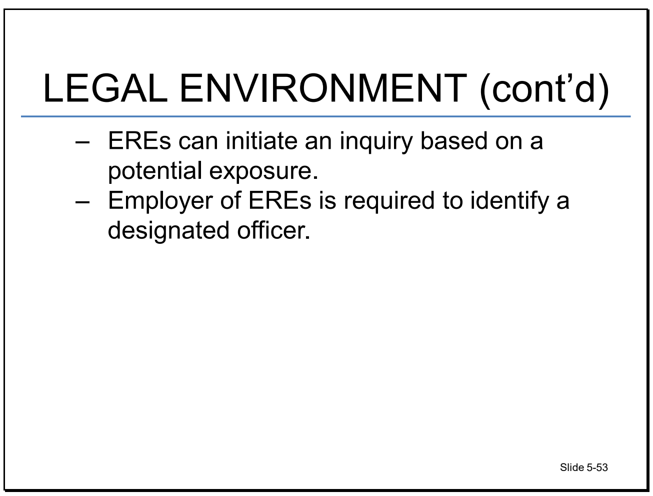
d. Emergency Medical Services (EMS) first responder agencies are most likely **not** a covered entity under HIPAA unless they transmit patient information electronically (e.g., electronic patient care report (PCR), electronic billing activities, etc.).

e. Consult an attorney or the U.S. Department of Health and Human Services (HHS) if in doubt as to covered entity status.



12. Ryan White Comprehensive AIDS Resources Emergency (CARE) Act of 1990 (104 Stat. 576).

    a. Requires notification to Emergency Response Employees (EREs) who may have been exposed to potentially life-threatening infectious diseases by victims of emergencies.

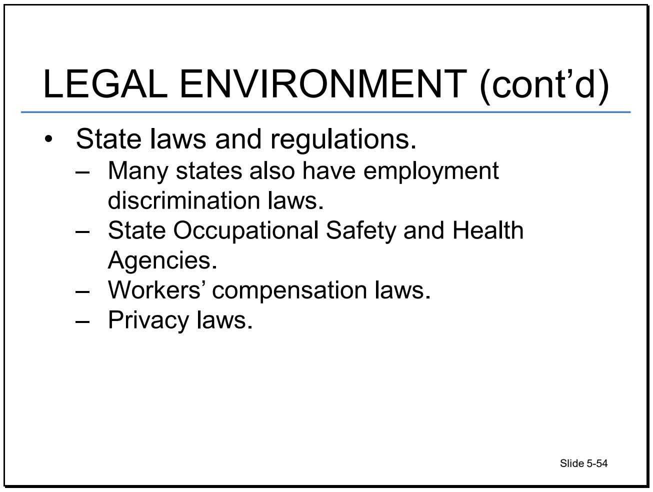


    b. EREs can also initiate an inquiry based on a potential exposure incident.

    c. Every employer of EREs is required to identify a designated officer.

        - The designated officer is required to respond to requests from an ERE, collect and evaluate the facts related to the potential exposure incident, and make a determination whether an exposure may have occurred.

- Also receives routine notifications from medical facilities if they determine that a victim of an emergency who was transported or cared for by EREs had a listed disease. The designated officer in turn reports such information to the ERE.



D. State laws and regulations.

1. Many states also have employment discrimination laws.

a. Some offer similar protections to federal law.

b. Other laws provide even greater protections to workers under age 40 or apply to employers with fewer than 20 employees.

2. State Occupational Safety and Health Agencies.

a. There are 27 states that have federal OSHA-approved state Occupational Safety and Health plans.

b. Regulate workplace safety, including mandated employee safety training.

c. Many require a written Injury and Illness Prevention Plan (IIPP) for each work location.

3. Workers' compensation insurance.

a. Provides medical benefits to employees injured in the course of employment.

b. Most states require employers, regardless of size of workforce, to provide workers' compensation coverage for their employees.

c. Most states have a workers' compensation agency to oversee administration, enforcement, appeals of employers and employee claims.

d. Workers' compensation laws preclude an employee from suing an employer for injury.

4. Privacy laws (examples):

a. Victims of domestic violence.

b. Crime victims and witnesses.

c. Sex offense victims.

d. Medical information.

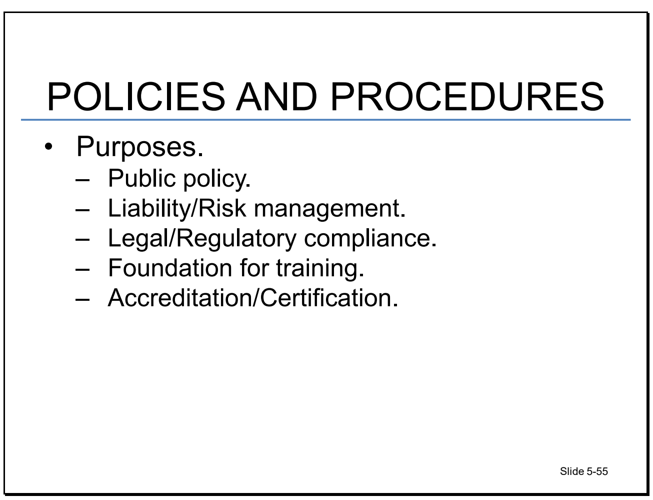
5. Mandated reporting laws for public safety employees (examples):

a. Domestic violence.

b. Child abuse.

c. Elder abuse.

VI. POLICIES AND PROCEDURES



A. Purposes.

1. Establish public policy (as defined in "The New Fire Chief I" course).

   a. Public policy is the set of laws, standards, policies and procedures that direct the actions of public officials and employees.

   b. Public policy is developed by elected and appointed officials, including the department heads of emergency services agencies.

   c. Public policy embodies not only what the local government does, but also what it deliberately does **not** do.

   d. All services and tasks performed by a public safety agency are the result of some level of public policy.

   e. Local officials and employees administer public policy.

   f. Local officials often exercise significant discretion in day-to-day operations.

      - Example: fire apparatus staffing.

      - Allows for more responsive services.

      - Also increases potential for greater inconsistency in service delivery.

2. Minimize and effectively manage liability and risk (as identified in "The New Fire Chief I" course).

   a. Liability refers to an obligation, responsibility, debt, or the potential for loss or harm.

      - From a leadership perspective, it refers to something that has the potential to result in an unfavorable situation or outcome for the organization or leader.

   b. Risk management is the identification, assessment and prioritization of liabilities (risks), followed by a coordinated and economical application of resources to minimize, monitor and control the probability and resultant impact of actions, inaction and events.

      - One effective risk management strategy is to reduce the probability of occurrence and the resultant negative impacts of the liability (risks).

c. Written policies and procedures are a very effective tool to achieve this risk management strategy.

- Provide an appropriate level of direction and accountability.

3. Legal and regulatory compliance.

a. Compliance with legal and regulatory requirements is a significant risk liability for public safety providers.

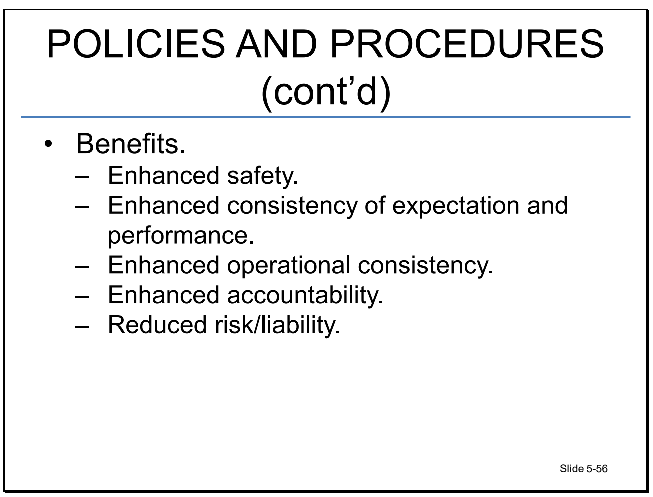
b. As stated above, written policies and procedures are a very effective tool to reduce this liability (risk).

4. Provide a foundation for the organization's training plan.

5. Accreditation and certification.

a. Center for Public Safety Excellence (CPSE) accreditation requires peer review of agency policies and procedures.

b. Insurance Services Office Public Protection Class (PPC) survey.



B. Benefits.

1. Strong, well-written policies and procedures enhance employee and customer safety.

2. Enhanced consistency of expectation and performance.

a. Within the organization.

b. With mutual-aid partners.

c. With allied agencies.

3. Enhanced operational consistency, efficiency and effectiveness.

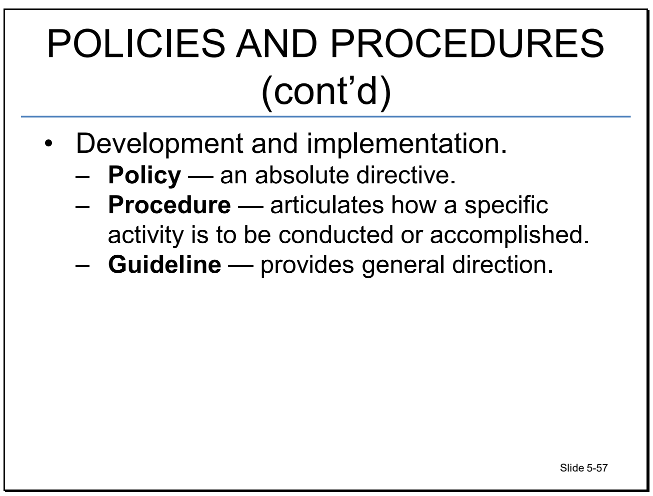
a. Operational consistency cannot be expected or achieved without clear-written policies and procedures.

b. Lack of operational consistency can be a significant liability with potential for the following.

- Increased employee or civilian injury rate.
- Increased property damage or loss.
- Civil liability.

4. Enhanced accountability.

5. Reduced risk or liability.



C. Development and implementation.

1. Policy, procedure and guideline.

a. A **policy** is an absolute directive accompanied with an expectation of some kind of sanction (e.g., discipline) for noncompliance.

b. A **procedure** articulates how a specific activity or action is to be conducted or accomplished and may include specific sequential steps to be followed.

c. A **guideline** provides general direction and may include limitations (boundaries) to acceptable actions or behaviors.

d. Best practices suggest limiting the use of policies to the minimum necessary. Insurance provider's risk pool can often provide guidelines and assistance with this.

e. Limiting procedural specificity wherever possible can also reduce or limit liability (risk) exposure.

f. Operational guidelines are more flexible and generally easier to defend than a policy or procedural violation.

   - Provide general guidelines on how the desired outcome and result is to be achieved.

   - Provides employee flexibility in exactly how to achieve the desired outcome or result within defined boundaries.

   - Good risk management principles encourage use of guidelines wherever possible and appropriate.

g. Consider benefits of including an affected employee group or groups in the development of policies and procedures.

   - Provides opportunity for meaningful dialogue between management and labor relative to organizational expectations for performance and behavior.

   - Enhances buy-in.

   - Reduces potential for procedural conflicts and unintended outcomes.

   - Enhances organizational ability to consider policy and procedural impacts from multiple perspectives.

   - Potential to enhance morale.

   - Career development tool.

POLICIES AND PROCEDURES (cont'd)

- Sources for policies, procedures and guidelines.
  - Other local/similar organizations.
  - Insurance provider's risk pool.
  - Volunteer Fire Insurance Services (VFIS).
  - Agency legal counsel.
  - International Association of Fire Chiefs (IAFC).
  - Private sector.

Slide 5-58

2. Sources for policies, procedures and guidelines.

   a. Other local or similar organizations.

   b. Insurance provider's risk pool.

      - Volunteer Fire Insurance Services (VFIS).

   c. Legal counsel.

   d. U.S. Fire Administration (USFA).

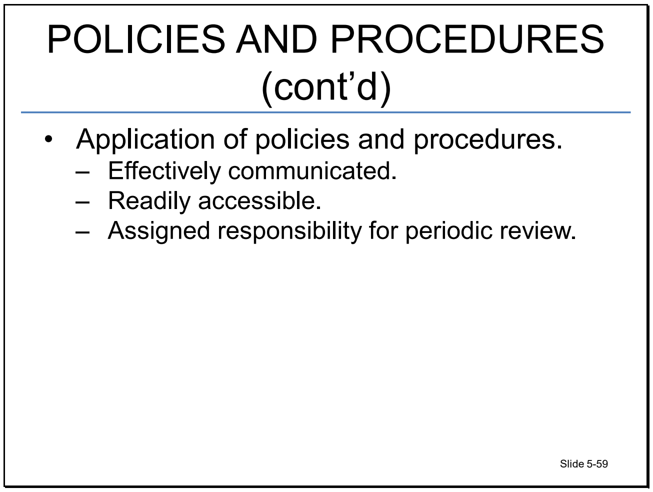
   e. International Association of Fire Chiefs (IAFC).

      - Volunteer and Combination Officer Section (VCOS).

   f. Private sector.

      - Policy manual subscription services.

      - Consultant services.



D. Application of policies and procedures.

1. New or revised policies and procedures **must** be effectively communicated to all affected employees **prior** to implementation.

    a. It is unreasonable to expect conformance without knowledge.

    b. This provides an opportunity for feedback relative to unanticipated conflicts or consequences prior to implementation.

    c. Communicate using at least two different modes.

        - Written memorandum or directive.

        - Email notification.

        - Daily shift briefing.

        - Internal website.

        - Other.

2. Ensure that all policies and procedures are readily accessible to all employees.

    a. Hard copies at each work location.

        - Assign responsibility to ensure that each copy is appropriately maintained and accessible.

        - More difficult to manage and ensure currency and consistency.

b. Centralized electronic (read-only) access.

- Easier to manage and ensure accuracy and currency.

- Can be made accessible to employees from any location.

3. Provide training on new policies and procedures **prior** to implementation.

4. Assign responsibility for review and maintenance of policy or procedure, and establish periodic review and update schedule, at least biannually.

VII. SUMMARY

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UNIT 6: FINANCIAL MANAGEMENT, CAPITAL ASSET PLANNING, AND ACQUISITION

TERMINAL OBJECTIVE

The students will be able to:

6.1 Develop an effective capital asset acquisition plan.

ENABLING OBJECTIVES

The students will be able to:

6.1 Identify four elements of effective financial management that facilitate long-term fiscal stability.

6.2 Identify federal and state laws and regulations relating to fiscal accountability for fire and Emergency Medical Services (EMS) agencies.

6.3 Explain the key steps involved in developing a balanced organizational budget.

6.4 Describe at least five elements of effective procurement policies and procedures.

6.5 Describe the characteristics of a capital asset.

6.6 Identify five examples of capital assets typical to fire services and Emergency Medical Services (EMS).

6.7 Describe at least four factors to consider when planning for acquisition of a capital asset.

6.8 Explain the role, responsibilities and benefits of a capital asset planning committee.

6.9 Identify at least four resources available to assist with capital asset planning and acquisition.

6.10 Explain the use and benefit of an amortization table.

6.11 Describe the key elements of financial accountability and effective fiscal planning, budgeting, procurement and property management to support long-term fiscal sustainability.

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FEMA

U.S. Fire Administration

UNIT 6: FINANCIAL MANAGEMENT, CAPITAL ASSET PLANNING, AND ACQUISITION

Slide 6-1

TERMINAL OBJECTIVES

Develop an effective capital asset acquisition plan.

Slide 6-2

ENABLING OBJECTIVES

- Identify four elements of effective financial management that facilitate long-term fiscal stability.
- Identify federal and state laws and regulations relating to fiscal accountability for fire and Emergency Medical Services (EMS) agencies.
- Explain the key steps involved in developing a balanced organizational budget.

Slide 6-3

ENABLING OBJECTIVES (cont'd)

- Describe at least five elements of effective procurement policies and procedures.
- Describe the characteristics of a capital asset.
- Identify five examples of capital assets typical to fire services and Emergency Medical Services (EMS).
- Describe at least four factors to consider when planning for acquisition of a capital asset.

Slide 6-4

ENABLING OBJECTIVES (cont'd)

- Explain the role, responsibilities and benefits of a capital asset planning committee.
- Identify at least four resources available to assist with capital asset planning and acquisition.
- Explain the use and benefit of an amortization table.
- Describe the key elements of financial accountability and effective fiscal planning, budgeting, procurement and property management to support long-term fiscal sustainability.

Slide 6-5

I. FINANCIAL MANAGEMENT OVERVIEW

FINANCIAL MANAGEMENT OVERVIEW

- Financial management of the monetary resources of a business or organization, includes:
  - Planning.
  - Organizing.
  - Directing.
  - Monitoring.
  - Controlling.

Slide 6-6

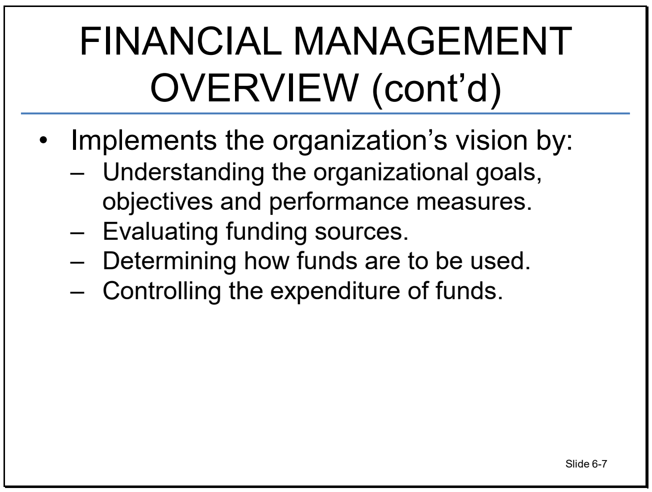
A. Financial management is the planning, organizing, directing, monitoring and controlling of the monetary resources of a business or organization.

1. Financial management of a private sector business differs significantly from the financial management of a public sector agency or organization.

2. Public sector financial management does not involve:

a. Initial business capitalization.

b. Shareholder dividends (profit).



B. Financial management puts the organization's vision into action by:

1. Understanding the organizational goals, objectives and outcome-based performance measures.

2. Evaluating funding sources.

3. Determining how funds are to be used.

4. Controlling the expenditure of funds.

FINANCIAL MANAGEMENT OVERVIEW (cont'd)

- Financial management is critical to:
  - Long-term fiscal sustainability.
  - Community trust.
  - Organizational planning and stability.
  - Resource allocation.

Slide 6-8

C. Effective financial management is critical to:

1. Sustaining long-term fiscal viability.

2. Establishing and maintaining community trust.

3. Organizational planning and stability.

4. Effective allocation of resources.

FINANCIAL MANAGEMENT OVERVIEW (cont'd)

- Six elements:
  - Accountability.
  - Planning.
  - Budgeting.
  - Procurement policies and procedures.
  - Fiscal controls.
  - Property management.

Slide 6-9

D. Effective financial management involves six elements.

1. Accountability.

2. Planning.

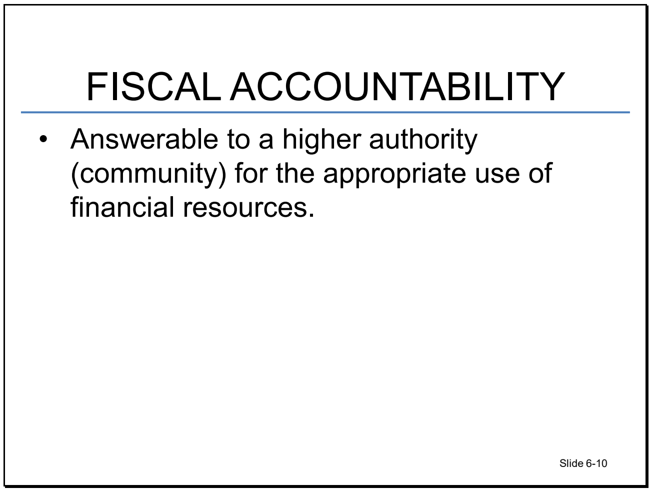
3. Budgeting.

4. Procurement policies and procedures.

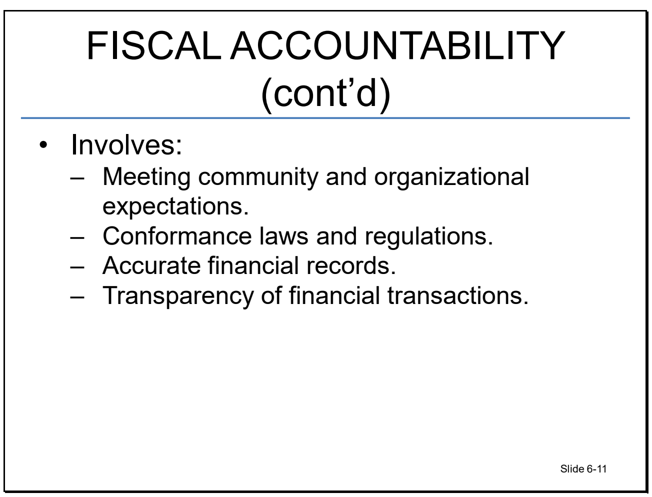
5. Fiscal controls.

6. Property management.

II. FISCAL ACCOUNTABILITY



A. Fiscal accountability is the responsibility of answering to a higher authority (the community) for the appropriate and reasonable use of financial resources.



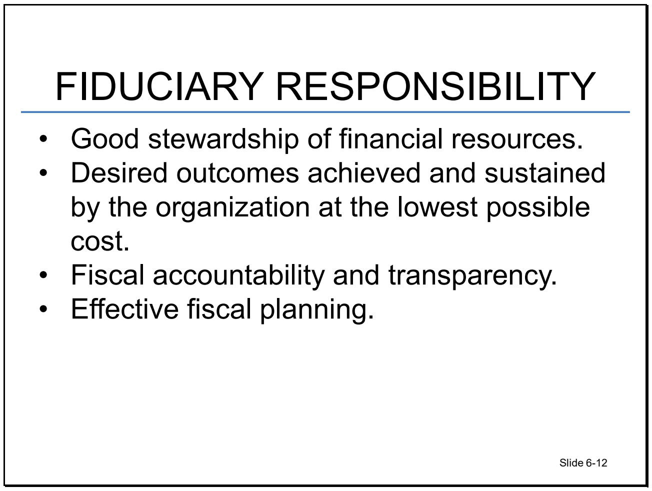
B. Fiscal accountability involves the following:

1. Meeting community and organizational expectations relative to ethical usage of financial assets.

2. Conformance with applicable federal, state and local laws and regulations relating to use of public financial resources.

3. An obligation to maintain accurate financial records.

4. Ensuring transparency of financial transactions.



C. Fiduciary responsibility relates to expectations, values and ethics and includes the following.

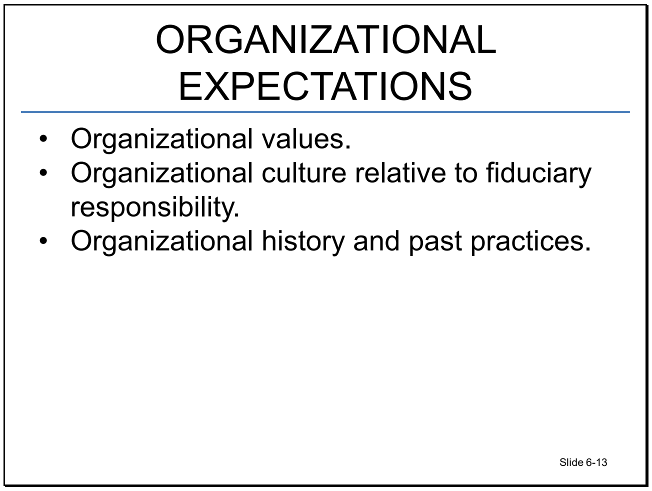
1. Community expectations, including the following:

a. Good stewardship of financial resources.

b. Desired outcomes achieved and sustained by the organization at the lowest possible cost.

c. Fiscal accountability and transparency.

d. Effective fiscal planning.

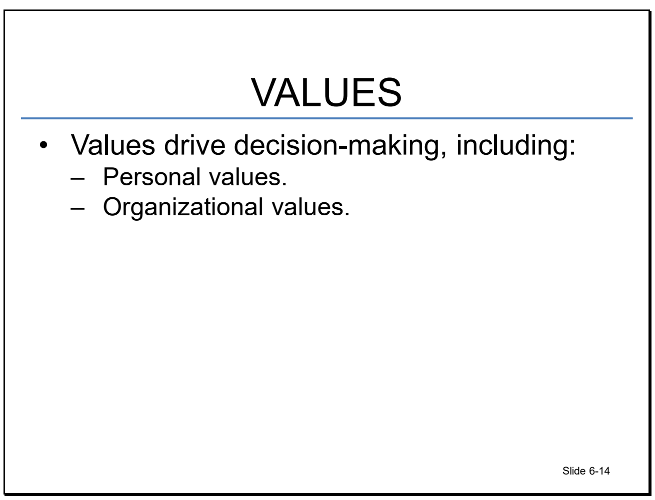


2. Organizational expectations, such as the following:

   a. Organizational values.

   b. Organizational culture relative to fiduciary responsibility.

   c. Organizational history and past practices.

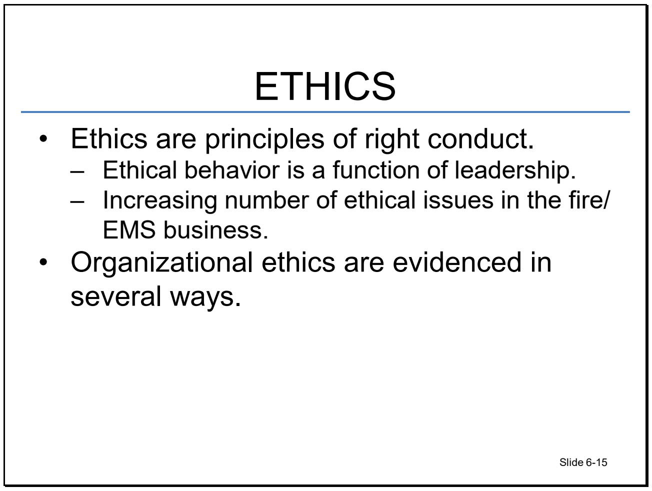


3. Values that drive decision-making include:

   a. Personal values.

   b. Organizational values.

   c. Individual or personal values and the organization’s values may not always be congruent.



4. Ethics, which include principles of right conduct, are a set of rules or standards governing conduct.

   a. Ethics are not a passing fad, but a response to fundamental changes in society.

   b. Defining and influencing ethical behavior is a function of leadership.

   c. There are an increasing number of ethical issues in the fire or Emergency Medical Services (EMS) business.

   d. Organizational ethics appear in several ways.

      - Code of ethics.

      - Policy statement.

      - Employee handbook.

      - Posted statement.

      - Reports.

      - Presentations or speeches.

      - Behavioral norms.

   e. An example of an ethics statement:

      - National Society of Executive Fire Officers (NSEFO).

f. The extent that one's personal values and ethics conflict with community expectations or the organizational values, ethics and culture vary.

LEGAL ENVIRONMENT

- Federal laws and regulations.
  - Internal Revenue Service (IRS) Code Section 501(c)(3) — Nonprofit Tax Status.
  - Social Security Act of 1965 (42 U.S.C. Chapter 7).
- State laws and regulations.
  - Taxing authority.
  - Government Accounting Standards Board (GASB) conformance.

Slide 6-16

D. The legal environment pertains to both federal and state laws and regulations.

1. Federal laws and regulations include Nonprofit Tax Status and the Social Security Act of 1965.

a. Internal Revenue Service (IRS) Code Section 501(c)(3) — Nonprofit Tax Status.

- Funds or donations received by or from a qualified Nonprofit Organization (NPO) are both tax-exempt.

- Organization must be organized and operated exclusively for exempt purposes.

- No earnings may transfer to any shareholder or individual.

- Organization cannot attempt to influence legislation as a substantial part of its activities.

- Organization cannot participate in any campaign activity for or against a political candidate.

b. The Social Security Act of 1965 (42 U.S.C. Chapter 7) Title XVIII governs Medicare and Medicaid payments and reimbursements.

c. Affordable Health Care Act (AHCA).

2. State laws and regulations include:

   a. Taxing authority.

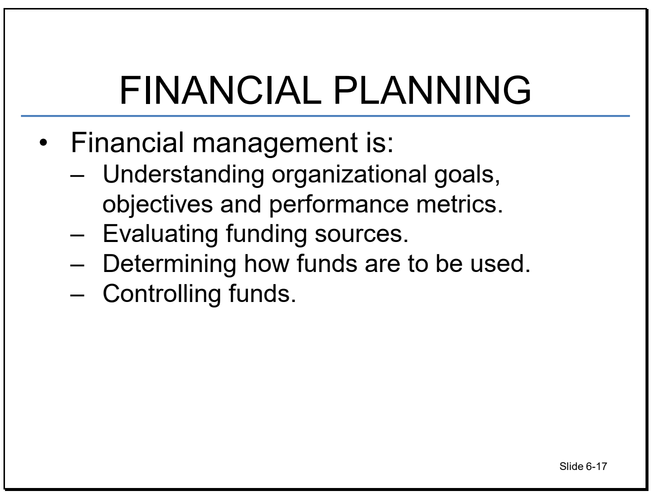
   b. Mandated conformance with Government Accounting Standards Board (GASB) accounting and financial reporting practices.

   c. Fiscal year period.

      - Fiscal year is established by statute in many states as July 1 through June 30 of a given year.

      - Federal fiscal year is Oct. 1 through Sept. 30 of a given year.

III. FINANCIAL PLANNING



A. Financial management puts the department's vision into action.

B. Financial management is:

1. Understanding the organizational goals, objectives and outcome-based performance measures. For example:

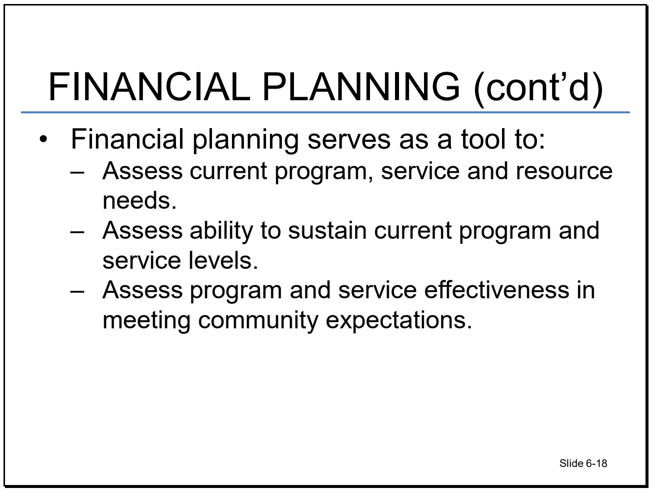
   a. Fractile for first-unit response performance within six minutes, 90 percent of the time.

   b. Survival rate for cardiac arrest patients is 25 percent when first unit arrives within six minutes of 911 call.

2. Evaluating funding sources.

3. Determining how funds are to be used.

4. Controlling funds.

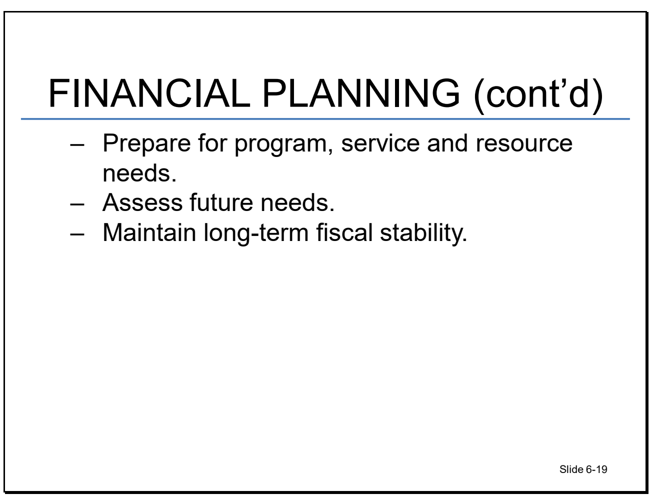


C. Financial planning serves as a tool for the following:

1. Assess current program, service and resource needs.

2. Assess ability to financially sustain current program and service levels.

3. Assess program and service effectiveness in meeting community expectations.



4. Prepare to meet program, service and resource needs going forward.

5. Assess future program, service and resource needs.

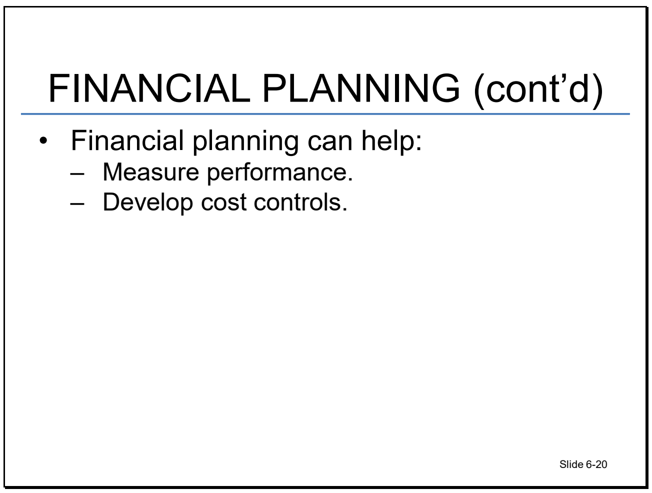
6. Maintain long-term fiscal stability.

   a. Financially sustain programs and services over time.

   b. Fiscal capacity to modify services as community needs or expectations change over time.

   c. Fiscal capacity to fund acquisition, maintenance and replacement of capital facilities and equipment as necessary to meet community service expectations.

   d. Ability to meet unanticipated fiscal needs.



D. Financial planning can provide a measure of performance by comparing expectations to actual events.

1. Identify discrepancies between plans and what is actually occurring.

2. Analyze variances between performance standards and what is actually occurring.

3. Review desired outcomes compared to resources allocated.

4. Make changes to plans, performance standards or budgets as needed.

5. Use documentation as a tool to respond to accountability questions.

E. Financial planning can help develop cost controls that meet the community's need for the following:

1. Minimize expenses and provide cost-effective programs.

2. Provide a broad range of programs and services.

TYPES OF FINANCIAL PLANNING

- Operational planning.
- Tactical planning.
- Strategic planning.
- Budget planning.

Slide 6-21

F. The main types of planning include operational, tactical, strategic and budget planning.

1. Operational planning applies to the day-to-day activities of the organization.

   a. Day-to-day operational scheduling.

   b. Day-to-day delivery of services.

   c. Day-to-day financial transactions and budget management.

2. Tactical planning involves near-term (e.g., zero to three-year) goals.

   a. Determine the resources needed to operate effectively as an organization throughout the budget year.

   b. Allocate and dispense resources.

   c. Determine services delivered and by what means.

   d. Measure performance of service delivery (discussed in more detail later in this unit).

3. Strategic planning involves longer-term (e.g., three or more years) goals and objectives.

   a. It differs from most other long-term planning processes, which assume that the future can be extrapolated from the past or present, by undertaking a deliberate effort to consider a variety of outcomes and develop options for meeting each of them.

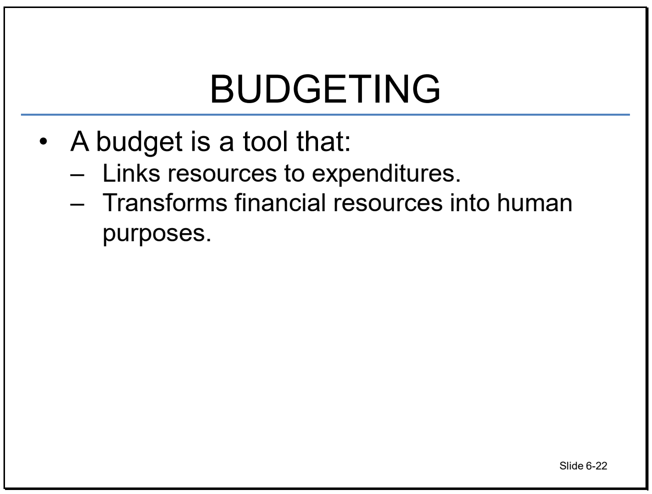
b. An example of strategic planning is long-term financial planning.

4. Budget planning should be a constant, year-round process.

a. It requires knowledge of past and current revenues and expenses.

b. It requires development of strategies and contingencies to take advantage of opportunities, both planned and unplanned.

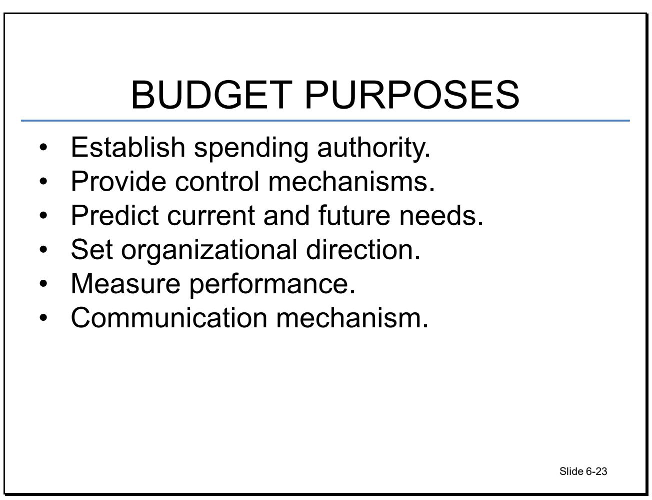
IV. BUDGETING



A. A budget is a tool that accomplishes the following:

1. Links resources to expenditures.

2. Transforms financial resources into human purposes.



B. Budgets have a purpose.

1. Establishing spending authority and limits.

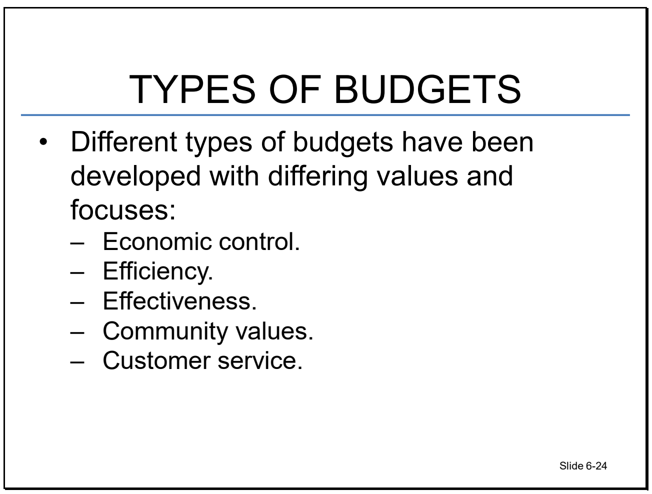
2. Providing a control mechanism for use of resources.

3. Predicting current and future needs for optimal use of financial resources to achieve desired results.

4. Setting organizational direction with a focus on priorities.

5. Providing for measure of performance by demonstrating ongoing visibility of financial activity.

6. Providing a mechanism for communication, participation and involvement in budgeting throughout all levels of the organization.



C. Different types of budgets have been developed with differing values and focuses.

1. Economic control.

2. Efficiency.

3. Effectiveness.

4. Community values.

5. Customer service.

TYPES OF BUDGETS (cont'd)

- Budget types:
  - Line-item.
  - Performance.
  - Zero-based.
  - Program.
  - Target-based.

Slide 6-25

D. There are five basic budget models: line-item, performance, zero-based, program and target-based.

LINE-ITEM BUDGET

- Control-oriented.
- Accountant friendly.
- Can use prior year's budget as a base from which to add or subtract.
- Promotes spending without regard for effectiveness or efficiency.

Slide 6-26

1. A line-item budget was adopted by the federal government in 1921 and is still the most common budget format in use today (International City/County Management Association (ICMA)).

   a. It is control-oriented.

      - No other budget format facilitates the control of expenditures as readily as this format.

      - Its major strength, as well as its weakness, is that you know where the money is being spent, but not necessarily **what** is being accomplished by spending it.

   b. It is accountant friendly.

      - It is easily displayed in ledger or spreadsheet format.

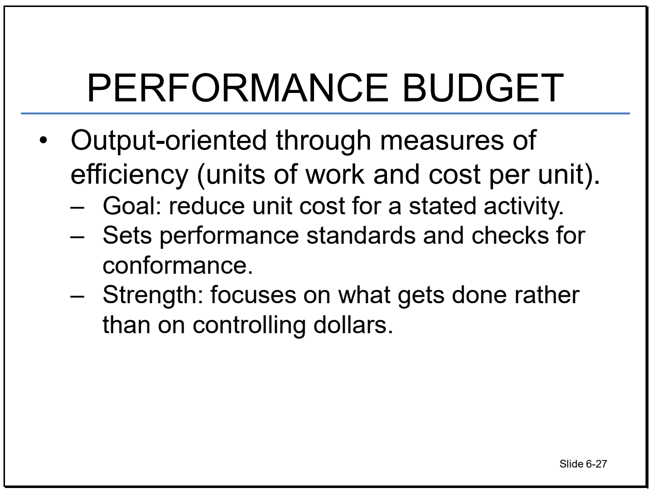
- It is easy to track in terms of what has been expended and what remains to be spent.

- It is easily developed and understood.

c. It can use prior year's budget as a base from which to add or subtract.

d. It promotes spending without regard to effectiveness or efficiency.

e. It tends to promote a "spend it or lose it" mentality.



2. A performance budget is output-oriented through measures of efficiency (units of work and cost per unit).

a. The goal is to reduce unit cost for a stated activity.

b. It compares cost per unit produced against the standard.

c. It sets standards of performance and checks for conformance with the standard.

d. There was a resurgence of this type of budget in the 1990s (Clinton administration) to improve efficiency and evaluate outcomes of program operations.

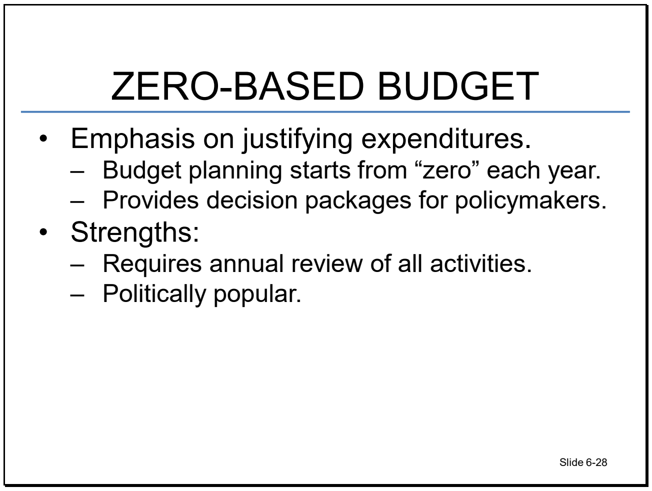
e. Its strength is that it focuses the budget process on what gets done rather than on controlling the dollars.

f. Weaknesses include the following:

- It may not emphasize community values and outcomes (effectiveness).

- It requires a more sophisticated information gathering and processing system than the line-item model.

- Maintaining statistics can become the primary goal of the system.



3. The major emphasis of a zero-based budget is to justify or rejustify all expenditures annually.

   a. The budget planning process starts from "zero" each year.

   b. Decision packages are developed for consideration by policymakers to maintain, increase, decrease or delete a service.

   c. Strengths include:

      - It requires orderly annual review of all activities.

      - It is politically popular because politicians can claim that no program or person is sacred and that all are rejustified each year or are not funded.

      - It focuses on inputs based upon fund availability, leading to outputs.

   d. Weaknesses may include the following:

      - There is a significant workload increase to accomplish annual review and decision process.

      - There is less focus on outcomes.

- It could lead some of the decision-makers to totally unfund a current program to offer a greatly enhanced service.

e. Zero-based budgeting process.

- Offer "decision packages" that reflect varying levels of outputs and costs.

-- Base level, offering the most basic service needs.

-- Current level, offering the current service level.

-- Enhanced level, offering service for needs currently unmet.

PROGRAM BUDGET

- Outcome or "results" oriented.
  - Ties budget process to desired outcomes through specific programs.
  - Focuses on policy decisions.
  - Seeks desired service levels instead of dollar-control mentality.
  - Oriented toward achieving desired outcomes.
  - Preferred budget model.

Slide 6-29

4. A program budget is outcome or "results" oriented. It ties the budget process to desired outcomes through specific programs.

a. It focuses on policy decisions.

b. It seeks desired service levels instead of creating a dollar-control mentality.

c. It is more oriented toward desired results.

d. Also referred to as "priority-based" budgeting.

e. Strengths include:

- Identifies and quantifies desired outcomes and resources (costs) required to achieve them.

- Helps decision-makers identify the direct costs required to achieve specific outcomes.

- Allows decision-makers to establish budget priorities based on identified outcomes that align with community needs and expectations.

- Facilitates funding priority decisions when anticipated expenditures exceed anticipated revenues (budget gap).

- Provides performance data for budgeting decisions.

f. There are weaknesses as well.

- Does not address fundamental questions, such as whether a given program is necessary or how best to allocate limited resources among competing outcomes.

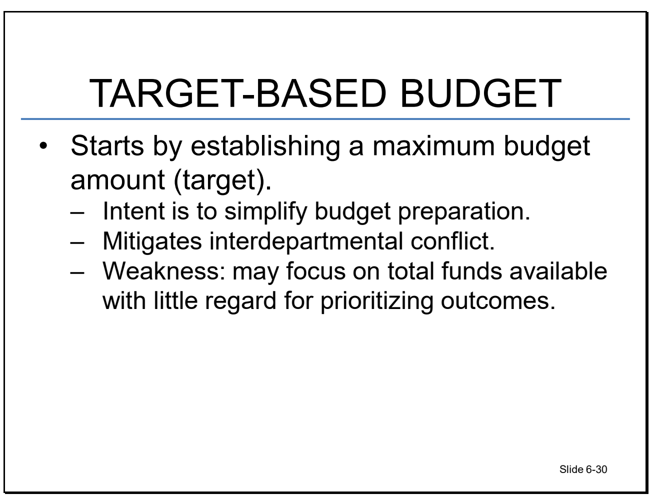
- It will not always get a rational decision in a political environment.

- The planning effort to implement it requires time and money.

g. Preferred budget model.

- Particularly for budget-challenged communities.

- Endorsed by ICMA.



5. A target-based budget process starts by establishing the maximum dollar amount (target) for the budget request, based on revenue projections and priority changes.

    a. The intent is to simplify budget preparation.

    b. It mitigates interdepartmental conflict.

    c. Weaknesses may include a focus on the total funds available to spend with little regard for prioritizing desired outcomes.

BUDGET MODEL COMPARISON

Budget Model	Strengths	Weaknesses	Notes
Line-item	• Control oriented. • Accountant friendly. • Expenditures easily tracked. • Easily developed and understood.	• Promotes spending without regard to effectiveness or efficiency. • Promotes "spend it or lose it" mentality.	Most widely used model; **not** endorsed by ICMA.
Performance	• Output oriented. • Establishes standards of performance. • Compares cost per activity to standard. • Goal is to reduce cost per activity. • Focuses on what gets accomplished.	• May not align with community values or desired outcomes. • Requires more sophisticated processes. • Focus can become statistics.	
Zero-based	• Requires annual review of all activities. • Politically popular. • Focuses on available funding.	• Greater budget development workload. • Less focus on outcomes. • Can lead to defunding of some programs/ activities.	
Program	• Identifies and quantifies desired outcomes. • Identifies costs required to achieve specific outcomes. • Allows policymakers to establish budget priorities based on community values and expected outcomes.	• Does not address how to allocate resources among competing outcomes. • May not result in rational decisions. • Requires substantial time and effort to accomplish effectively.	Endorsed by ICMA.
Target-based	• Simplified budget preparation process. • Mitigates interdepartmental budget conflicts.	• Focuses on available funding with little regard for prioritizing desired outcomes.	

Slide 6-31

E. Summary of budget models: The following matrix summarizes the key strengths and weaknesses of each of the five budget models discussed. Note that while the line-item budget is the most widely used model, only the program budget model is endorsed by the ICMA.

REVENUE SOURCES

- Taxes.
  - Property.
  - Income.
  - Sales.
  - Use.
  - Consumption.

Slide 6-32

F. Local governments have a variety of revenue sources.

1. Among these are five types of taxes.

   a. Property tax is usually one of the largest single sources of revenue for fire departments.

      - It is collected as a percentage of total value (ad valorem).

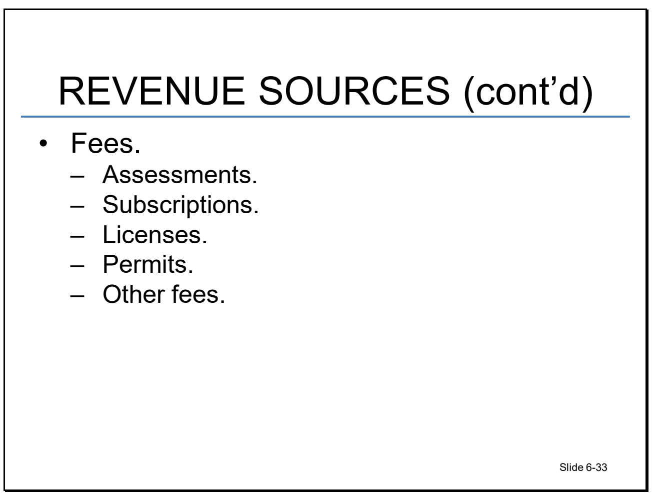
      - It is assessed by local government.

   b. Income tax is a progressive tax levied by the federal government, most states and some local agencies.

   c. Sales tax is imposed by most states and many local governments. It is sensitive to regional economic trends.

   d. Use taxes include auto license, boat registration, etc.

   e. Consumption tax is generally a local tax on items like alcohol, tobacco, motel rooms, etc.



2. Fees are another source of revenue.

   a. Assessment fees are based on the "relative benefit" that a user receives in relation to all other users, such as an "impact" or "mitigation" fee.

   b. Subscription fees are similar to assessments, except that the user has the option not to pay the subscription and not to receive the service.

   c. Licenses and permits are usually locally collected fees.

      - Business license.

- Hazmat license.

- Building permit.

- Liquor license.

d. Other fees are for other services provided (e.g., EMS transport charge, false alarm fee, etc.).

REVENUE SOURCES (cont'd)

- Investment interest.
  - Short-term investments.
  - Long-term investments.
- Loans.
  - Debt ceiling.
- Bonds.
  - General obligation bonds.
  - Revenue bonds.

Slide 6-34

3. Interest: Government also has the same ability to earn interest on investments as private industry.

a. The risk is the same as for the private sector and individual investors.

b. There are two types of investments, short term and long term.

- The primary use of short-term investments is to facilitate cash flow.

-- Examples are treasury bills or certificates of deposit.

-- Interest rates are subject to fluctuation, and there may be a penalty for early withdrawal.

- The primary use of long-term investments is as a reserve fund.

-- Examples are bonds or mutual funds.

-- Interest rates are more stable and predictable.

4. Loans are another source of revenue.

   a. The debt ceiling is a statutory limit on the amount of debt that a governmental entity can incur in relation to total assets.

   b. Bonds are long-term debt, usually to fund capital items or projects.

      - They usually have lower interest rates than commercial loans because the interest to the lender is tax-free.

      - General obligation bonds require voter approval and obligate the taxpayers to pay off the debt over time.

   c. Revenue bonds do not require voter approval because repayments are from revenues generated by the facility that is funded by the bond (bridge, hospital, etc.).

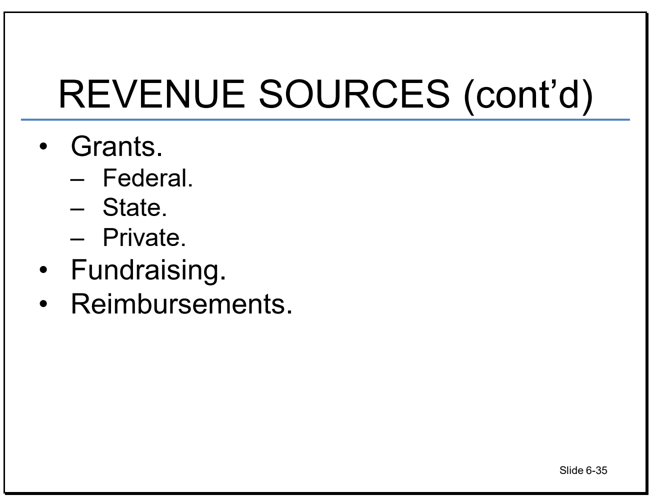
   d. Bond revenue may have "hidden" costs, such as election costs, processing costs, legal costs, time delays, insurance, etc.

   e. Lease-purchase is a type of loan that can be used to replace more expensive assets without affecting debt ceiling.

      - It is commonly used to acquire fire apparatus.

      - It generally has a short lease term period.

      - Financing for a lease-purchase can be acquired separately from the item being leased.



5. Federal, state, local or private grants also provide revenue.

   a. Many require a cost-share or matching funds.

b. Most have recordkeeping and reporting requirements.

6. Fundraising generates revenue through two common examples.

a. Fundraising events.

b. Donations.

7. Reimbursements are sources of revenue that may include the following:

a. Medicare or Medicaid.

b. Mutual aid or assistance-by-hire responses.

BUDGET DEVELOPMENT PROCESS

1. Who will participate.
2. Review of local/regional economic trends.
3. Forecast of revenues.
4. Estimation of expenditures.
5. Gap analysis and closure.
6. Contingency planning.
7. Organizational review.
8. Approval/Adoption.

Slide 6-36

G. The budget development process includes eight stages.

BUDGET DEVELOPMENT PROCESS (cont'd)

- Staff participation in process.
  - More than senior management.
  - Program managers.
  - Labor organization.

Slide 6-37

1. The organizational staff members who will participate in the process are identified and engaged.

a. Should ideally involve more than senior management.

b. Program managers.

c. Involving labor organization leadership can be beneficial to the outcome of the process while also offering career development for the participants.

BUDGET DEVELOPMENT PROCESS (cont'd)

- Review of local/regional economic trends.
  - Inflation.
  - Prime rate.
  - Bond markets.
  - Unemployment rate.
  - Housing costs, inventory and new construction.
  - Commercial property vacancies.
  - Sales tax reports.

Slide 6-38

2. Review of local/regional economic trends.

a. Inflation is the general rise in prices.

b. The Consumer Price Index (CPI) is the standard for measuring inflation.

c. The prime rate is the interest rate that banks charge to lend money to preferred borrowers, and it is driven by market forces.

d. Bond markets are the market forces that influence the value of bonds and the interest rates paid to retire them.

- Municipal bonds are a means for local or regional government to borrow money.

- They offer lower interest rates than other investments.

- They are used to finance capital items.

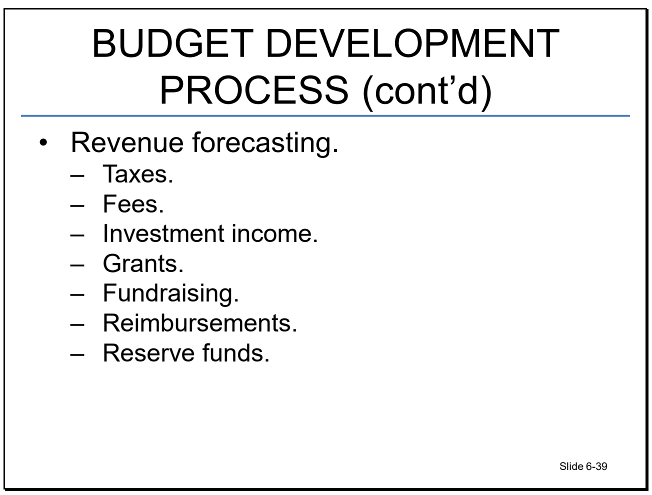
- The cost of bonds (interest) is tied to the jurisdiction's bond rating. A higher rating yields a lower interest rate; Army Aviation Association of America (AAAA) is the highest.

e. The unemployment rate is the local or regional percentage of people who are not employed. This can affect housing costs and retail sales.

f. Housing costs and available housing inventory influence property tax revenue (generally slower to change than sales tax revenue).

- New construction influences property and sales tax revenue and business license revenue.
- Commercial property vacancy reflects potential changes to business license and sales tax revenue.

g. Sales tax is generally one of the first revenue sources to react to local/regional economic change.



3. Revenue forecasting uses prior budget cycle data and information gained from your review of economic trends to forecast anticipated revenues for the planned budget cycle by type.

a. Taxes.

b. Fees.

c. Investment income.

d. Grants.

e. Fundraising.

f. Reimbursements.

g. Reserve funds.

- Common failure in unbalanced budgets is overestimating revenues.

- Some jurisdictions or organizations estimate revenues so as to meet anticipated expenses versus estimating expenses **not** to exceed the anticipated revenues.

BUDGET DEVELOPMENT PROCESS (cont'd)

- Estimating expenditures.
  - Review current and previous expenditures.
  - Review organizational goals, priorities and performance measures for alignment with community priorities and expectations.
  - Estimate expenditures necessary to achieve planned goals and objectives.
  - Including planned capital expenditures.

Slide 6-40

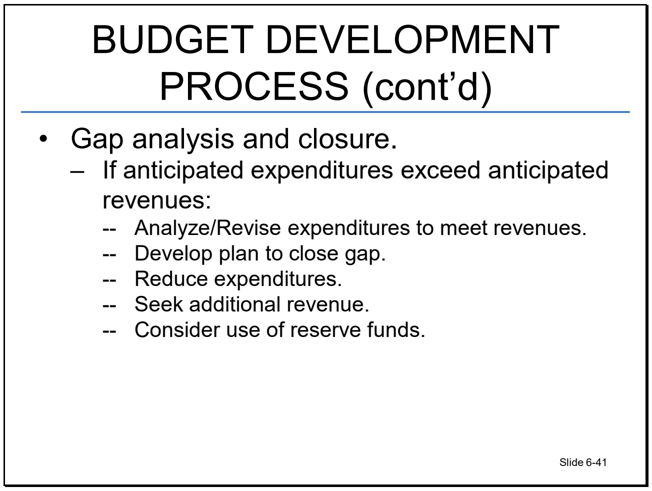
4. Expenditure forecasting is estimating expenditures for the planned budget cycle, independent of the revenue projections. There are several best practices:

   a. Review of current and previous budget cycle expenditures, organizational goals, objectives and related performance metrics.

   b. Review and revision of organizational goals, objectives and services provided (with related performance metrics) to reflect current community needs and expectations.

   c. Estimation of expenditures necessary to achieve organizational goals and objectives for the planned budget cycle.

   d. Including planned capital expenditures.



5. Gap analysis and closure is a comparison of estimated expenditures to anticipated revenues.

   a. If a negative gap exists, estimated expenditures exceed anticipated revenue. In this situation, the following is important.

      - Analyze or revise estimated expenditures to meet anticipated revenue.

      - Develop plan to close budget gap.

      - Reduce expenditures (may involve service reduction).

      - Seek additional revenue.

      - Consider use of reserve funds cautiously. Best practice is to use reserve funds for one-time expenditures, not to support ongoing operating and maintenance costs.

   b. Most, if not all, states prohibit deficit spending by public agencies. They must adopt a balanced budget.

BUDGET DEVELOPMENT PROCESS (cont'd)

- Contingency planning.
  - For unanticipated budget situations:
    - -- Revenues lower than anticipated.
    - -- Expenditures higher than anticipated.
    - -- Major unplanned expenditure.

Slide 6-42

6. Contingency planning involves planning for unanticipated budget contingencies.

   a. Revenues less than anticipated.

   b. Loss of revenue (e.g., state takes away local redevelopment funds to balance state budget).

   c. Unanticipated capital expense (e.g., loss of fire apparatus, building repair, etc.).

   d. Other unanticipated expenses, like workers' compensation settlement, lawsuit, etc.

BUDGET DEVELOPMENT PROCESS (cont'd)

- Organizational review.
  - By organizational/jurisdictional budget team.
    - -- Clarifies organizational goals and priorities.
    - -- Allows organizational stakeholder input.
    - -- Facilitates "buy-in" to negative budget adjustments.

Slide 6-43

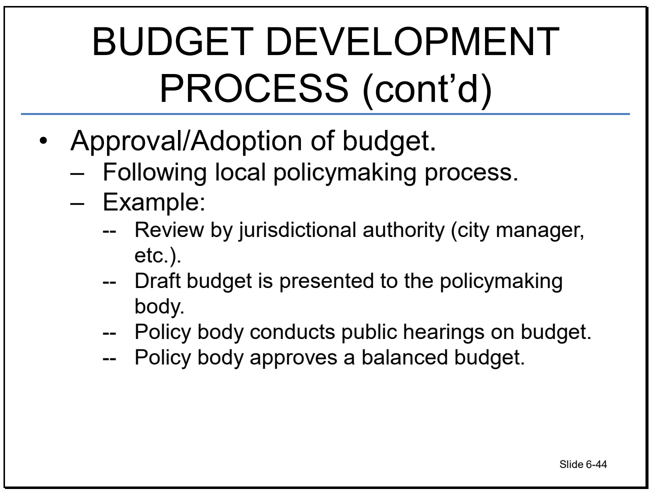
7. The proposed department or organization budget should be reviewed by a "budget team," not just top management.

a. This allows the opportunity to include organizational stakeholder representatives (e.g., labor organizations, program managers, administrative staff, etc.).

b. It clarifies organizational goals and priorities.

c. Helps recommend adjustments to achieve a balanced budget that best achieves organizational goals, objectives and priorities for the planned budget cycle by identifying the relationship of the values of the program or service to the “mission” of the organization.

d. Develops a plan to reduce expenditures if unable to close budget gap, which may require program or service reductions.



8. Budget approval and adoption is a process in which the proposed budget is reviewed by jurisdictional authority (e.g., city or county budget team, city manager, etc.).

a. It is analyzed for need and funding capacity against agency policy, goals and priorities.

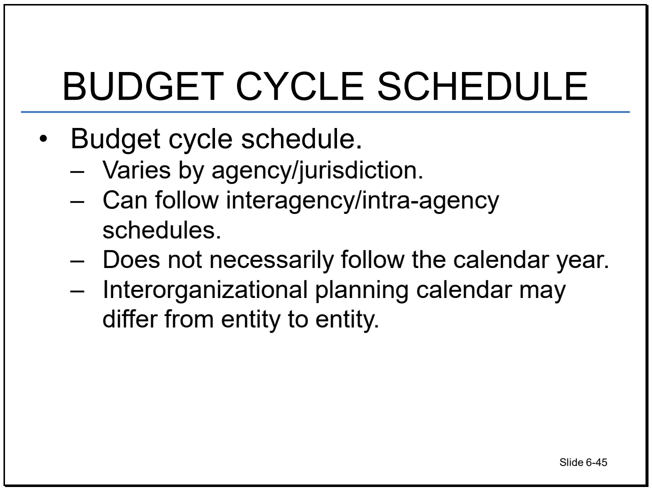
b. Budget requests are balanced against jurisdiction or entity’s estimated revenues and expenses.

c. Draft budget is presented to decision-making authority (e.g., city council, county commissioners, board of directors, etc.).

d. Public hearings are conducted on the proposed budget.

- A balanced budget is approved or adopted by the decision-making authority pursuant to its decision-making process.

- Many states mandate budget adoption by a specific date.



H. The budget cycle schedule varies by agency or jurisdiction.

1. It can follow interagency or intra-agency schedules.

2. It does not necessarily follow the calendar year.

3. The interorganizational planning calendar may differ from entity to entity.

ACTIVITY 6.1

Capital Budget Planning

Purpose

To develop a capital facility or equipment renewal/replacement plan incorporating the budgeting concepts and principles discussed in this unit as well as the strategic planning principles from Unit 5.

Directions

1. Students will be assigned to small discussion groups of four to seven.

2. Each small discussion group will be assigned one of the following four scenarios. If there are more than four small groups, more than one group may be assigned the same scenario.

3. Within your small group, review the assigned scenario, and given the community, organization and fiscal information provided, develop a draft capital facility or equipment replacement plan as directed for the assigned scenario using the strategic planning principles from Unit 5 to minimally include the following elements:

    a. A strategy statement.

    b. One or more key plan goals.

    c. At least two **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**imeframed (SMART) objectives.

    d. Estimated costs over the term of the plan.

    e. Existing revenue sources and projected amount(s).

    f. Analysis of any gaps and potential strategies to close them.

    g. Identify at least one potential contingency (either positive or negative) that could impact your plan.

4. Record your plan on the easel pad.

5. Complete this portion of the activity within 30 minutes.

6. Select a representative to present your group's plan to the entire class.

7. The entire activity should be completed within 45 minutes.

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ACTIVITY 6.1 (cont'd)

Capital Budget Planning

Scenario 1

The Wopperloo County Emergency Medical Services (WCEMS) provides advanced life support (ALS) and ambulance transportation services throughout Wopperloo County. WCEMS operates three ambulances, 24 hours per day from fixed fire station posting locations and an additional nonemergency interfacility transport unit from the agency's business office.

WCEMS's budget for the current fiscal year as shown below is based on a 62 percent pay rate for emergency transport patients and an 85 percent reimbursement rate for nonemergency transports. WCEMS employs 25 full-time paramedics/emergency medical technicians (EMTs), and maintains seven additional part-time employees to staff the nonemergency transport unit on an on-call basis. WCEMS is administered and managed by a full-time general manager with one full-time clerical support position and one part-time support position. Billing services are performed by a third-party company for a fixed percentage of revenues collected. WCEMS operates from a small, rented business office that also houses the nonemergency transport unit.

WCEMS's three primary ambulances were purchased three years ago at $250,000 each, and they have a 94 percent in-service rate for the previous 12 months. The nonemergency transport unit is 6 years old with 180,000 miles and an 83 percent in-service rate for the previous 12 months. WCEMS also has an additional 8-year-old ambulance with 213,000 miles as a reserve unit. The primary emergency transport units average 35,000-45,000 miles per year, and the nonemergency transport unit averages 20,000-25,000 miles per year. Agency repair and reliability records suggest that ambulance replacement should occur at no more than 200,000 miles in order to maintain an 85 percent or better in-service rate. The agency has $75,000 in unallocated reserves.

Develop a capital equipment (ambulance) replacement plan.

WCEMS Budget

Direct Patient Billings	$175,000
Insurance Billings	$635,000
Medicare Reimbursements	$1,660,000
Training/Education Revenue	$0
Transfer From Reserve	$0
Total Revenues:	**$2,470,000**

Employee Salaries	$1,750,000
Benefits	$437,500
Part-time Wages	$26,000
Overtime	$62,000
General Insurance	$4,500
Workers' Compensation	$12,750
Legal Services	$5,000
Billing Services	$60,000
Office Supplies	$1,500
Vehicle Operations and Maintenance	$21,000
Utilities	$1,250
Fire Station Facility Rent	$36,000
Continuing Education	$12,500
Travel	$3,500
Fees	$500
Bad Debt	$15,000
Miscellaneous Expense	$1,000
Capital Outlay	$0
Transfer to Reserves	$20,000
Total Expenses:	**$2,470,000**

Factors to consider:

1. Insufficient capital reserve balance to purchase a new ambulance.
2. All three primary ambulances purchased at the same time.
3. Age and condition of reserve ambulance.
4. Use of third-party billing service.
5. Transport payment rates.
6. Fire station facility rent.
7. Overtime costs.
8. Lease-purchase new vehicles.
9. Stagger acquisition.
10. Potential additional revenue sources.
11. Potential expenditure reductions.
12. Grant funding.

Scenario 2

The city of Sharp is a bedroom community with a downtown that is approximately three blocks long. The retail heart of Sharp resides in those three blocks and provides the large majority of revenue to the community through sales tax. Most of the citizens of Sharp work in a neighboring metro area and travel to work daily. The community does have an elementary school, but middle-school and high-school students are bused to the metropolitan school district.

The Cutting Edge Volunteer Fire Department (VFD) has an annual budget of $14,000, which is a return on a portion of the sales tax revenues specifically collected for public safety. The department operates a 15-year-old pumper and a 9-year-old water tender. The department has 18 volunteers, 15 of whom have been members for over 10 years. Of the veteran members, three are approaching the age where retirement is a strong possibility within the next two years. The department has a modest reserve account with a balance of $22,000.

The fire station is a converted gas station that was originally built in the 1950s. It has heating issues in the winter and is considered a drafty building. On more than one occasion, the heat has malfunctioned and the station's water pipes have frozen, as well as the fire engines' water supply lines. There is no tower to dry hoses, and there is no space for a meeting room or training. The department uses the local elementary school for meetings and conducts training at one of the firefighter's farms.

Develop a facility renewal plan to address the fire station deficiencies over the next 10 years.

Cutting Edge VFD Budget

Sales Tax	$14,000
Fundraisers/Donations	$7,500
Transfer From Reserve	$22,000
Total Revenues:	**$43,500**

Liability and Property Insurance	$4,500
Workers' Compensation	$9,000
Office Supplies	$750
Vehicle Operations and Maintenance	$7,500
Utilities	$6,250
Miscellaneous Expense	$1,000
Capital Repairs	$7,500
Transfer to Reserves	$7,000
Total Expenses:	**$43,500**

Factors to consider:

1. Insufficient capital reserve balance to replace facility.

2. Potential additional revenue sources.

3. Potential expenditure reductions.

4. Identify and prioritize facility issues.

5. Estimated costs for capital repairs/additions/replacements.

6. Fire Act facility grant.

Scenario 3

The Bottomline Fire Department protects a thriving industrial community of about 23,000 residents. Within its commercial/industrial park are three very large factories that employ many of the residents of Bottomline. The city of Bottomline has a strong mayor, good government, and a council of six elected representatives. All but the mayor and one of the council members are employees of the factories. The mayor and city council are generally supportive of the fire department, although there have not been any significant political issues relating to fire services in several years. The city has not adopted impact fees for new development.

The Bottomline Fire Department operates from three fire stations and supplies fire suppression, emergency medical response with paramedics on the engines, and fire prevention services. EMS transport is provided by the local hospital. The department has met its response performance goal of first unit arrival within six minutes or less from receipt of the 911 call 90 percent of the time for the past several years.

Another large company is currently building a regional distribution center that will employ approximately 1,000, and up to 400 new homes are anticipated to be built within the next 24 months. The new residential development will be located on a recently annexed 100-acre parcel on the northern city boundary, approximately 5 minutes from the nearest fire station. The developer has told the city, including the fire chief, that he is adamantly opposed to providing any city facilities as a condition of the development, citing the economic advantages to the city of both the new distribution center and the associated residential development. He has suggested that if the city's fees are too high, he will move the development to Lowlands, a smaller rural community approximately 18 miles to the south of Bottomline.

Bottomline has experienced a steady economy over the past several years, and has been able to maintain its capital facilities as needed, including replacement of vehicles as scheduled in the City Capital Budget Plan. The city's current budget is $38.6 million, including an unallocated reserve account balance of $1.2 million. A new fire station is estimated to cost $2.8 million, not including any fire apparatus.

Develop a capital facility plan for a new fire station to serve the proposed new residential development.

Factors to consider:

1. Insufficient capital reserve to find a new fire station facility.

2. Potential to adopt impact fees to fund new development's proportional share of impacts to city services.

3. Potential influence of the developer.

4. Debt financing of new facility and associated apparatus.

5. Fire Act facility grant.

Scenario 4

The community of Snowball is an old, traditional community where many of the families that reside have lived for generations. A 100-year-old courthouse and adjoining Division of Public Safety are located in the downtown area. The utilities in the old building were brought up to code 20 years ago, however the electrical system is undersized to meet current technology needs. There is also a need for additional storage space for records and equipment.

The fire and police departments have newer vehicles, and the community's Capital Replacement Plan is sufficient to replace vehicles as scheduled. The Division of Public Safety uses an older Ultra High Frequency (UHF) radio system that works fine in Snowball, but it does not have the ability for law enforcement units or fire units to communicate with neighboring departments or state agencies on a Very High Frequency (VHF) system. In addition, the Division of Public Safety has been unable to incorporate available technology, including mobile data computers, automatic vehicle location and video recording, due to a lack of funding.

The community has sustained a balanced budget over the past decade and expects to continue to do so over the foreseeable future, with very limited growth due to a water supply shortage. The community's budget surplus, averaging approximately $525,000 annually, has been reserved to help fund a regional solution to the water supply problem that is estimated to cost $32 million. The reserve fund balance is currently $4.3 million.

Develop a capital equipment plan to replace the radio communication system at an estimated cost of $1.75 million and provide mobile data computers (estimated cost: $200,000), in-car video recording for law enforcement vehicles (estimated cost: $ 74,000), and automatic vehicle location system for all fire and law enforcement vehicles (estimated cost: $62,000) over the next four years.

Factors to consider:

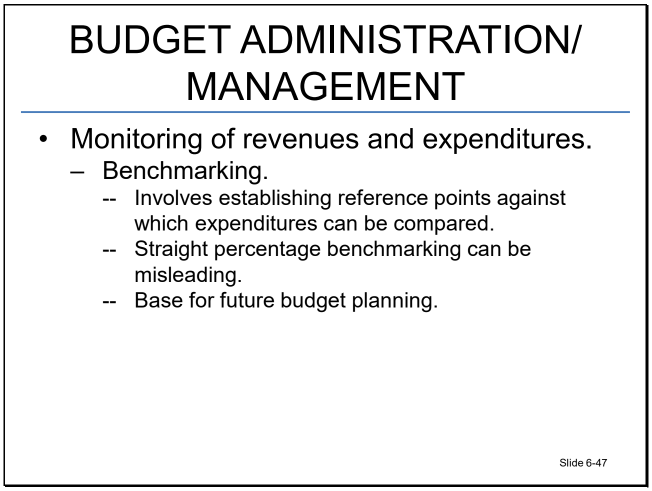
1. Capital reserve balance currently unavailable to Division of Public Safety.

2. Potential to leverage existing reserve funds to meet both needs.

3. Potential local, regional, state or federal grant funding.

4. Deferral of other capital projects, including extended vehicle service life, to fund this need.

IV. BUDGETING (cont'd)



I. Budget administration and management.

1. Budget administration or management is the monitoring of revenues and expenditures throughout the budget cycle.

a. Benchmarking involves establishing reference points against which expenditures can be compared and monitored.

- Projected annual sales tax revenue divided by 12 provides a monthly benchmark for a revenue source.

- Annual salary and benefits budget divided by 12 provides a monthly benchmark for an expenditure category.

- Take caution, as straight percentage benchmarking can be misleading.

  -- Many revenue sources are not linear throughout the fiscal year (e.g., property taxes, grants, fundraising, reimbursements, etc.).

  -- Large expenditures may occur at specific points in the budget cycle (e.g., insurance premiums, pension payments, capital expenditures, debt payments, etc.).

  -- Many factors can influence over-time costs throughout the fiscal year (vacancies, long-term absences, training, etc.).

b. Benchmarking can provide a base for future budget planning.

BUDGET ADMINISTRATION/ MANAGEMENT (cont'd)

- Performance metrics.
  - Examples:
    - 90th percentile response time performance.
    - Fire losses.
    - Fire deaths.
    - Improved EMS patient outcomes.
    - Implementation of new risk-reduction programs.

Slide 6-48

2. Budget administration or management is also the monitoring of performance metrics against established standards.

   a. Fractile percentage of response times meeting an established response time performance standard.

   b. Response time performance in the 90th percentile.

   c. Fire losses.

   d. Fire deaths.

   e. Improved EMS patient outcomes.

   f. Implementation of new community risk-reduction program(s) and measured outcomes.

BUDGET ADMINISTRATION/ MANAGEMENT (cont'd)

- Periodic budget reports.
  - Monthly/Quarterly.
  - Carefully checked for accuracy.
  - Presented to policymaking authority as required or requested.

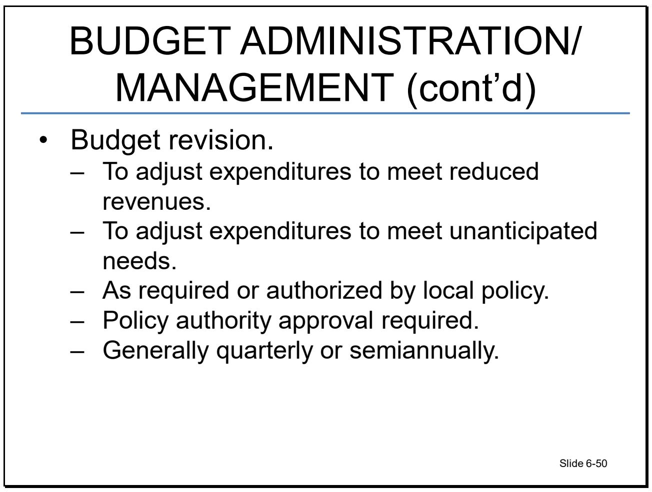
Slide 6-49

3. Budget administration and management entails preparation of periodic budget reports, including performance measures as appropriate, as required or as requested.

   a. Reports are often generated monthly or quarterly.

   b. They must be carefully checked for accuracy.

   c. They must be presented to the decision-making authority as required or requested.



4. Budget administration and management requires budget revision as necessary.

   a. Adjust expenditures to meet reduced revenues.

   b. Adjust expenditures to meet unanticipated needs.

   c. Meet approval of decision-making authority.

   d. Routine practice is quarterly or semiannually.

V. PROCUREMENT

PROCUREMENT

- Includes in the activities and processes involved acquiring goods and services.
- Some activities are:
  - Planning.
  - Standards determination.
  - Development of specifications.

Slide 6-51

A. Procurement is the acquisition of goods and services.

PROCUREMENT (cont'd)

- Supplier identification.
- Value analysis.
- Financing.
- Purchase.
- Supply contract administration.
- Property management/Supply control.
- Property disposal.

Slide 6-52

B. It involves the activities and processes necessary in obtaining goods and services.

1. Planning.
2. Standards determination.
3. Development of specifications.
4. Supplier identification.
5. Value analysis.
6. Financing.
7. Purchase.

8. Supply contract administration.

9. Property management and supply control.

10. Property disposal.

PROCUREMENT SYSTEMS

- Procurement systems must be:
  - Adaptable.
  - Responsive.
  - Flexible.

Slide 6-53

C. In the current environment, more than ever before, procurement systems must be adaptable, responsive and flexible.

1. They must be adaptable to shifting needs and processes (e.g., electronic transactions and processes).

2. They must be responsive to the needs of the local government agency, its employees and its vendors.

3. They must be flexible to permit procurement officials to exercise an appropriate level of discretion to facilitate efficient and effective organizational operation.

PROCUREMENT CODE

- Procurement code should include:
  - Procurement authority.
    - -- Delegation of procurement authority.
  - Threshold requiring competitive bids/ proposals.
  - Small-purchase procedures.
  - Prequalification of vendors.
  - Single-source procedures.
  - Emergency procurement procedures.

Slide 6-54

D. The structure and authority of an effective procurement program is rooted in an appropriate law or regulation.

1. The regulations need not specify every procurement activity.

2. Best practice is to provide a clear statement of legislative or policy intent and a high-level description of the procurement structure and processes.

3. A comprehensive procurement code should address the following (American Bar Association):

    a. Procurement authority and conditions and procedures for delegation of procurement authority.

    b. Procurement threshold requiring competitive bids or proposals.

    c. Small-purchase procedures.

    d. Prequalification of prospective vendors and contractors, and procedures for suspension, disqualification and reinstatement of same.

        - Cooperative purchasing guidelines, which may include purchasing pools or alliances that pre-establish the cost of an item or service as meeting the "lowest responsible bid" requirements of participating jurisdictions or agencies.

            -- United States General Services Administration (GSA).

            -- National Cooperative Purchasing Alliance (NCPA).

            -- Western States Contracting Alliance (WSCA).

    e. Conditions and procedures for procurement of perishables.

    f. Conditions and procedures for the use of source selection methods, including emergency procedures.

PROCUREMENT CODE (cont'd)

- Exceptions.
- Bid procedures.
- Determination of lowest responsible bid.
- Confidentiality of vendor information.
- Supervision of inventories.
- Cost analysis procedures.
- Payment/Performance bonds.
- Negotiations, adjustments and settlements.

Slide 6-55

g. Exceptions to the procurement code.

h. The opening or rejection of bids, proposals and offers and waiver of informalities in bids and offers.

i. Determination of lowest responsible bid or proposal.

j. Confidentiality of technical data and trade secrets submitted by actual or prospective bidders or offer-makers.

k. Partial, progressive and multiple awards.

l. Supervision of inventories, including determination of appropriate levels and the management, transfer, sale or other disposal of publicly owned property and goods.

m. Rules or regulations providing for cost analysis.

n. Use of payment and performance bonds.

o. Guidelines for use of cost principles in negotiations, adjustments and settlements.

PROCUREMENT POLICY

- Establishes the detailed procedures for procuring goods and services.
  - Examples:
    - -- Purchase authority and limits for specific positions/ personnel within the organization.
    - -- Purchasing instruments.
    - -- Procedures for services not meeting the threshold.
    - -- Payment procedures, returned merchandise, etc.

Slide 6-56

E. Procurement policy establishes the detailed procedures for the procurement of goods and services.

1. Purchase authority and limits for specific positions and personnel within the organization.

2. Purchasing instruments (e.g., purchase order, credit card, charge account, etc.).

3. Procedures for obtaining services that do not meet the threshold for a service contract.

4. Payment procedures, returned merchandise, etc.

PROCUREMENT COMPETITION

- Competition is essential to the health and welfare of our national economy.
- Government procurement can profoundly affect markets.
- Government procurement is a direct taxpayer cost.
  - Obligation to obtain best quality/price.
- Competition is central in public procurement.

Slide 6-57

F. Competition is essential to the health and welfare of our national economy as a whole.

1. An essential premise of economics is that competitive markets will produce the highest quality commodities at the best possible price to meet demand. Customer demand drives the market.

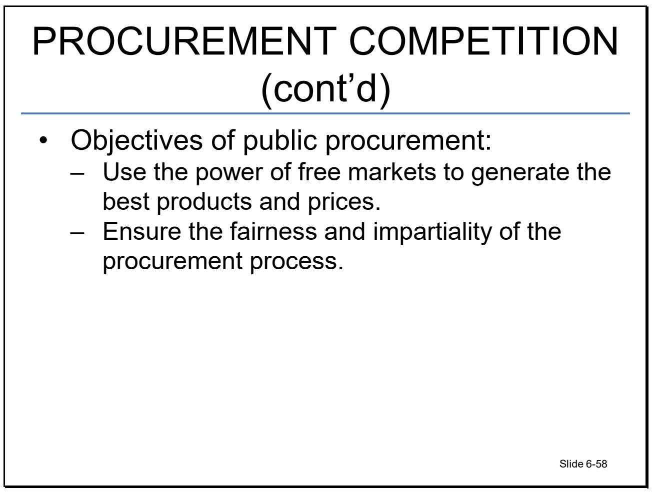
a. Public (government) procurement is one of the largest components of our national economy.

b. Government procurement practices can profoundly affect markets.

2. Government-procured goods and services are direct costs to the taxpayer.

a. Procurement officers are obligated to obtain the best quality and price.

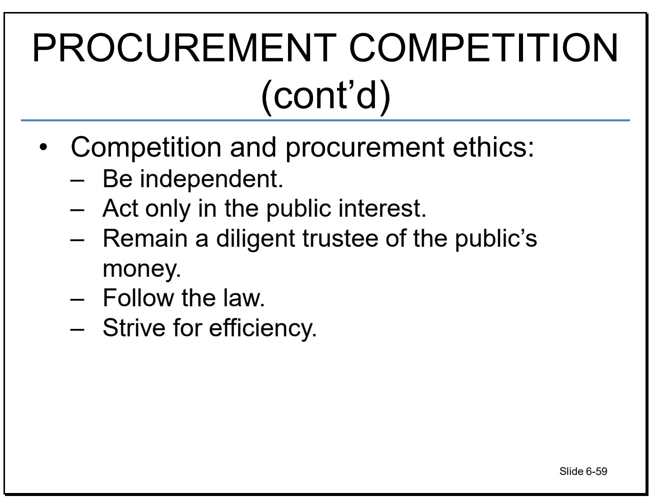
b. Competition is the central theme in public procurement.



3. Public procurement practice must have two coequal objectives.

a. Seize the power of free markets to generate the best products and prices.

b. Ensure the fairness and impartiality of the procurement process.



G. Competition and procurement ethics.

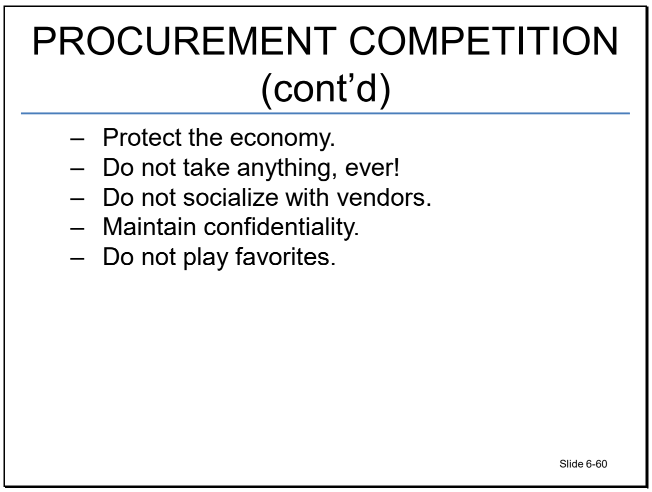
1. Be independent.

2. Act only in the public interest.

3. Remain a diligent trustee of the public's money.

4. Follow the law.

5. Strive for efficiency.



6. Protect the economy.

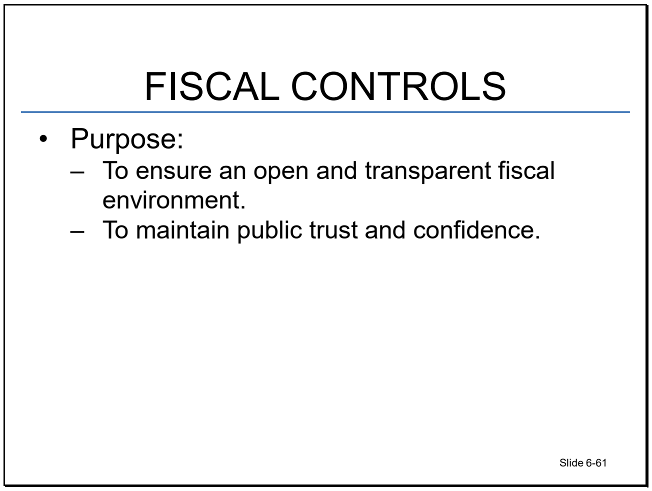
7. Do not take anything, ever!

8. Do not socialize with vendors.

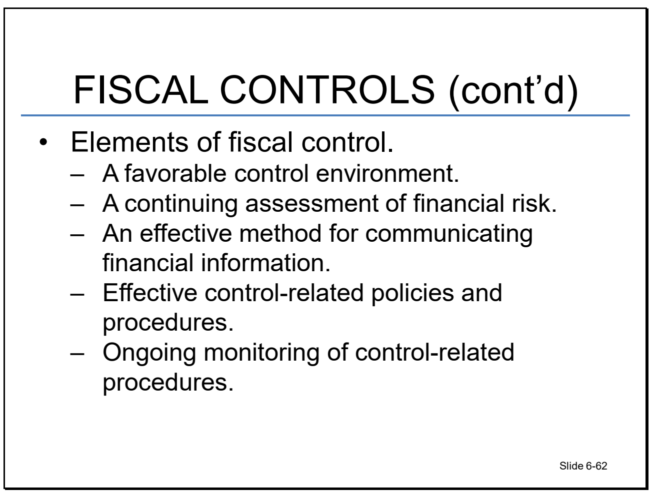
9. Maintain confidentiality.

10. Do not play favorites.

VI. FISCAL CONTROLS



A. Local government agencies must function in an open and transparent environment in order to maintain public trust and confidence.



B. Elements of fiscal control.

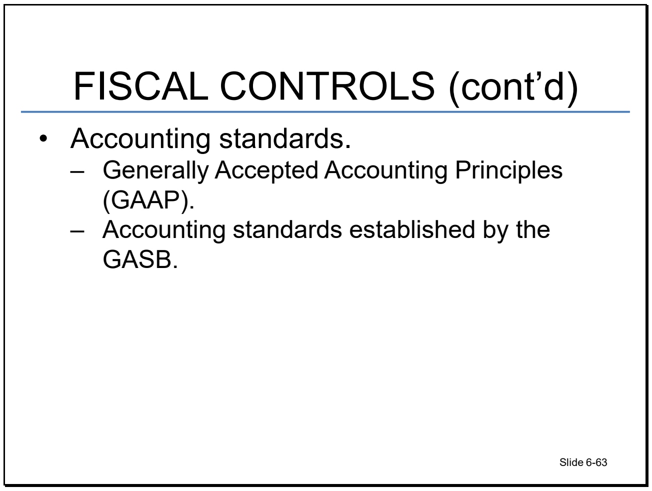
1. A favorable control environment where managers are knowledgeable about internal controls and actively support their use.

2. A continuing assessment of financial risk, both internal and external to the organization.

3. An effective method for communicating financial information, including format and the frequency of dissemination.

4. Effective control-related policies and procedures (e.g., retention period for financial records, asset accountability, etc.) in which managers are responsible for ensuring adoption and adherence.

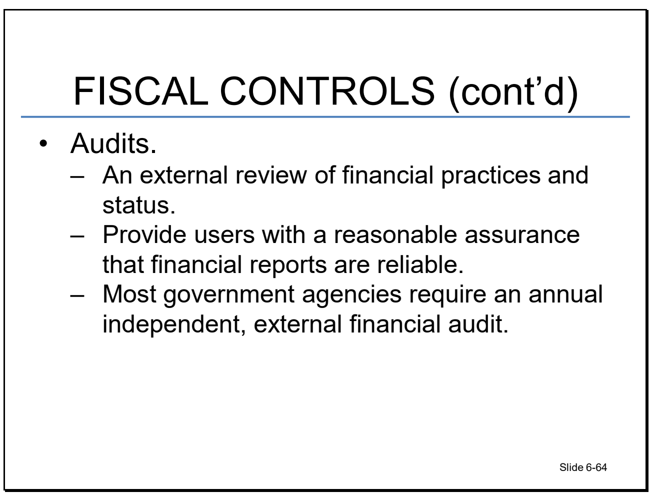
5. Ongoing monitoring of control-related procedures.



C. There are two main accounting standards.

1. Generally Accepted Accounting Principles (GAAP).

2. Accounting standards as established by the GASB.



D. Audits are an external review of financial practices and status.

1. They are intended to provide users of the various financial reports with a reasonable, if not absolute, assurance that those reports are reliable.

2. Most government agencies require an independent, external financial audit at least annually. This is recommended as a best practice, if not required.

FISCAL CONTROLS (cont'd)

- Comprehensive annual financial report (CAFR).
  - Introductory section.
  - Financial section.
  - Statistical section.
- CAFR is the standard for local governments.

Slide 6-65

E. Government agency basic financial reports and auditors' opinions of these reports are compiled in a comprehensive annual financial report (CAFR), which has been the standard for local government financial reporting since the 1970s.

1. An introductory section that presents general information about the agency or organization and its structure, purpose and scope of services provided.

2. A financial section that contains basic financial statements, as well as the independent auditor's report.

3. A statistical section that provides a range of financial and demographic data, often with multiyear trends, that helps the reader to assess the organization's overall economic condition.

FISCAL CONTROLS (cont'd)

- Government Finance Officers Association (GFOA).
  - Promotes professional management of governments.
  - Identifies and develops financial policies and practices and promotes them through education, training and leadership.
  - Committed to transparency and reliability of public-sector financial reports.

Slide 6-66

F. The purpose of the Government Finance Officers Association (GFOA) is to enhance and promote the professional management of governments for the public benefit.

1. It accomplishes this by identifying and developing financial policies and practices and promoting them through education, training and leadership.

2. It is committed to the transparency and reliability of public-sector financial reports.

FISCAL CONTROLS (cont'd)

- GASB.
  - Independent (nongovernmental) organization that establishes standards of accounting and financial reporting for federal, state and local governments.

Slide 6-67

G. GASB is an independent (nongovernmental) organization that establishes standards of accounting and financial reporting for federal, state and local governments.

FISCAL CONTROLS (cont'd)

- Government financial reporting standards differ fundamentally from the private sector.
  - Government financial statement user needs are different from private company financial statement user needs.

Slide 6-68

1. Accounting and financial reporting standards for the public sector (government) are fundamentally different from the private for-profit sector.

2. Information needs of the users of government financial statements are different from the needs of the users of private company financial statements.

FISCAL CONTROLS (cont'd)

- GASB standards are not federal law or regulation.
- GASB has no enforcement authority.
- Compliance is mandated by some states.
- Conforming to GASB standards is a factor in any governmental entity financial audit.
- Debt financing may require conformance with GASB standards.

Slide 6-69

3. GASB is recognized by governments, the accounting industry and the capital markets as the official source of generally accepted accounting practices for state and local governments.

   a. GASB standards are not federal law or regulation.

   b. GASB has no enforcement authority.

   c. Compliance is mandated by some states.

   d. Conformance with GASB standards is a factor in any governmental entity financial audit.

4. Debt financing may be conditioned on conformance with GASB standards.

VII. CAPITAL ASSET CHARACTERISTICS

CAPITAL ASSET CHARACTERISTICS

- Established **minimum** service life.
- Established **minimum** cost per unit.
- Not readily converted to cash (fixed asset).
- Characteristics established by fiscal policy.

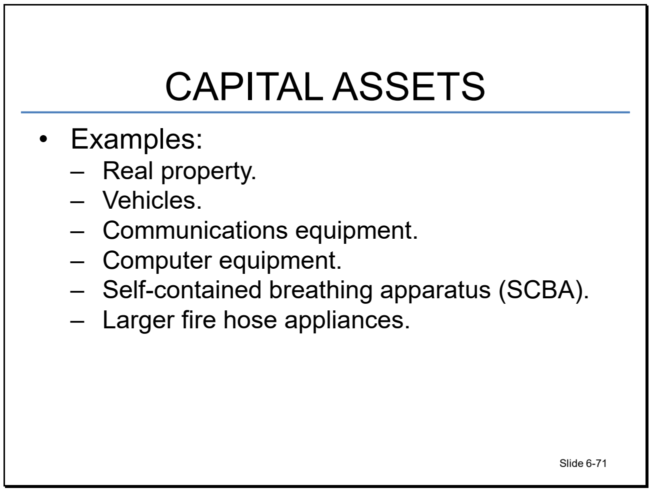
Slide 6-70

A. Generally includes an established **minimum** expected useful service life threshold (e.g., three years).

B. Also includes an established **minimum** acquisition cost per unit (e.g., $5,000).

C. Not readily convertible to cash (fixed asset).

D. Capital asset characteristics are usually established by fiscal policy.



E. Capital asset examples.

1. Real property.

2. Vehicles.

3. Communications equipment.

4. Computer equipment.

5. Self-contained breathing apparatus (SCBA).

6. Fire hose.

VIII. REAL PROPERTY PLANNING AND ACQUISITION

REAL PROPERTY PLANNING AND ACQUISITION

- Real property is land and anything permanently attached to it.
  - Buildings.
  - Fences.
  - Vegetation.
  - Wells.
- The acquisition of real property is likely your most challenging planning responsibility.

Slide 6-72

A. The definition of real property is land and anything permanently attached to it, such as:

1. Buildings.

2. Fences.

3. Vegetation.

4. Wells.

B. Acquisition of real property is likely am executive chief officer's most challenging planning responsibility — your planning effort will be judged over the lifetime of the future facility.

PLANNING CONSIDERATIONS

- Community growth (current and future).
  - General/Specific plans.
  - Community strategic plan or policies.
  - Economic trends.
  - Demographic trends.

Slide 6-73

C. Planning considerations.

1. Community growth (current and future).

   a. Is the community likely to grow or shrink significantly during the expected life of the facility being planned?

   b. Information sources:

      - U.S. Census Bureau.

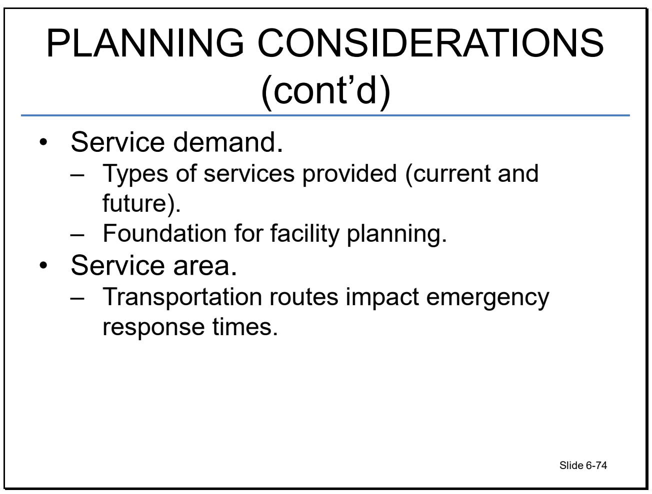
      - Community general/specific plans.

      - Governing body's strategic plan or other public policy related to community growth.

      - Other population projection data sources.

      - Economic trends.

      - Demographic trends (e.g., American FactFinder).



2. Service demand (current and future).

   a. Types of services currently delivered and anticipated for the facility being planned over its expected service life.

   b. This is the foundation for planning facility type and size.

3. Service area.

   a. Transportation routes affect response times.

   b. Key transportation considerations (current and future).

- Railroads.

- Highways/Freeways/Toll roads.

- Waterways.

- One-way roads.

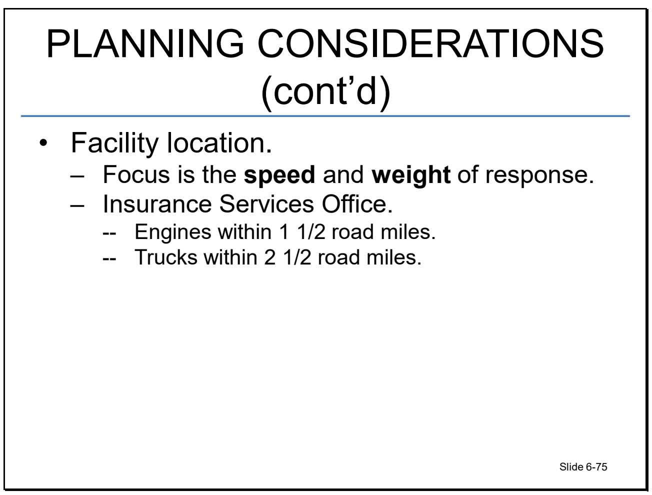
- “New urbanism” community planning and design principles.

  -- Clustered, more compact development.

  -- Higher density of residential uses surrounded by retail, recreational and government uses.

  -- Connected with pedestrian, bicycle and transit routes aimed at reducing number of vehicle trips.

  -- Often include narrower, more circular road networks.



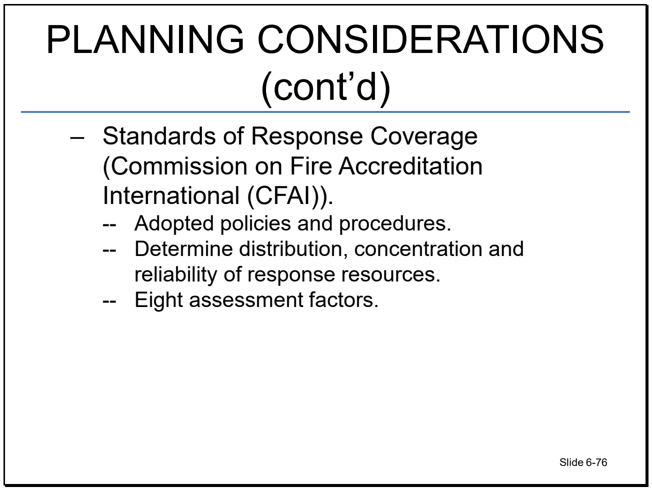
4. Facility location.

   a. Fire and Emergency Medical Services (EMS) deployment is generally focused on the **speed** and **weight** of response effort.

   b. Insurance Services Office.

      - First-due engine company within 1 1/2 road miles and first-due ladder-service company within 2 1/2 road miles.

- Demonstrated response performance meeting response time criteria of National Fire Protection Association (NFPA) 1710 and 1720, *Standards for the Organization and Deployment of Fire Suppression Operations, Emergency Medical Operations, and Special Operations to the Public by Career and Volunteer Fire Departments.* (These are consensus standards, meaning that they are not mandated.)



c. Standards of Response Coverage are the adopted, written policies and procedures that determine the distribution, concentration and reliability of fixed and mobile response forces for fire, EMS, hazardous materials, and other forces of technical response (Commission on Fire Accreditation International (CFAI)). They include eight points of assessment:

- Executive summary.
- Community baselines.
- Risk assessment.
- Current standards, goals and objectives.
- Critical task capability.
- Setting service level objectives.
- Resource reliability.
- Policy recommendations.

d. Highlighted Standards of Response Coverage elements are factors to consider in facility planning.

e. Standards of Response Coverage elements can be studied internally or externally.

PLANNING CONSIDERATIONS (cont'd)

- Expected service life.
  - Longer than other capital assets.
  - Service life of 40-50 years or longer.
  - Warrants conscientious planning effort.

Slide 6-77

5. Expected service life.

a. Much longer than other capital assets.

b. Expected useful service life of a facility is often 40 to 50 years or longer; many public safety facilities are used well beyond their expected service/design life.

c. This factor alone warrants a conscientious planning effort to meet foreseeable future facility needs within available fiscal resources.

PLANNING CONSIDERATIONS (cont'd)

- Suitable site availability.
  - Zoning.
  - Access to primary response routes.
  - Hazard exposure.
  - Controversy over proposed use.

Slide 6-78

6. Availability of suitable site.

a. Appropriately zoned.

b. Ready access to primary response routes (current and probable future).

c. Hazard exposure.

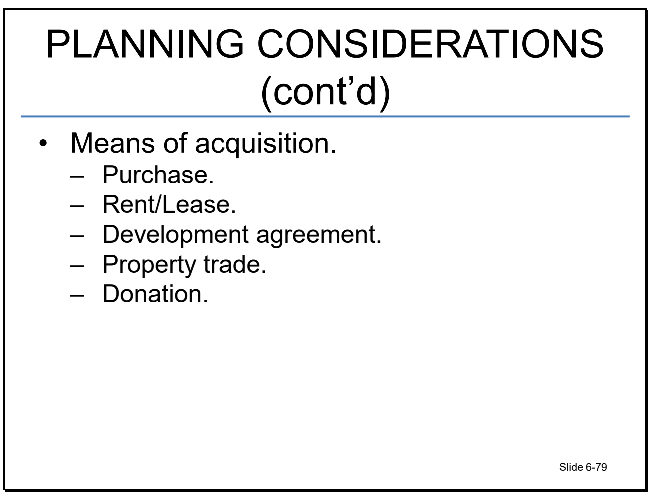
- Flood zone.

- Wildland urban interface (WUI) fuels.

- Tsunami zone.

- Proximity to hazardous site (e.g., propane tank farm, chemical plant, etc.).

d. Is there controversy over the proposed site use (emergency service facility) within the immediate neighborhood or community at large?



7. Acquisition methods.

a. Purchase.

- Cash purchase.

- Debt-financed (mortgage).

- Bonds/Certificates of participation.

b. Rent/Lease.

- Often most suitable for a "temporary" facility site.

- Contract or agreement.

-- Legal counsel recommended.

c. Development agreement (e.g., as condition of approval of development permit).

d. Trade.

e. Donation.

PLANNING CONSIDERATIONS (cont'd)

– Eminent domain.
  - -- Taking of private property for public benefit.
  - -- Fair compensation required.
  - -- Often very controversial.
  - -- Can be politically damaging.

Slide 6-80

f. Eminent domain.

- Most states have laws that permit the "taking" of private property in order to exercise functions of public benefit.

- Requires fair compensation to the property owner.

- Can be very controversial and politically damaging to a public agency.

PLANNING CONSIDERATIONS (cont'd)

- Funding sources.
  - Nonrestricted funds.
  - Restricted funds.
  - Impact fees.
  - User fees.
  - Developer agreement.
  - Debt financing.
  - Donations.
  - Grants.
  - Combination of funding sources.

Slide 6-81

8. Funding sources.

   a. Nonrestricted agency/jurisdiction funds (e.g., general fund).

   b. Restricted agency/jurisdiction funds (e.g., capital improvement/ facility fund).

   c. Impact fees.

      - Imposed to offset the impacts of new development on public services.

      - State law may require a "nexus" study to impose these fees that identifies the purpose and use of the fee, as well as demonstrates a reasonable relationship between:

        -- The use of the fee and the type of development on which it is imposed.

        -- The need for the capital facility/equipment and the amount of the fee and the facility cost attributable to the new development.

      - Some states prohibit impact fees (e.g., Michigan).

   d. User fees (e.g., ambulance transportation fees).

   e. Developer agreement (e.g., developer constructs facility as condition of development approval, in lieu of fees, or pursuant to other agreement with agency or jurisdiction).

   f. Debt financing. (Note: Some states impose a "debt ceiling" on public agencies, which is percentage of gross assets.)

   g. Donations.

      - Individual.

      - Local businesses.

      - Corporate.

   h. Grants.

      - Federal.

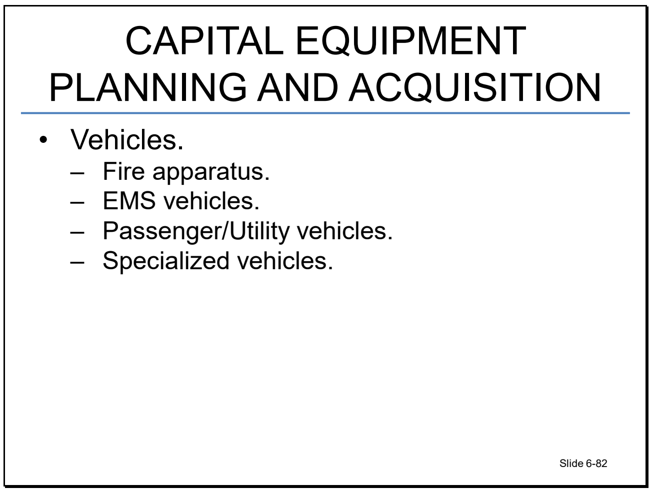
      - State.

- Local.

- Private foundations.

i. Combination of above funding sources.

IX. CAPITAL EQUIPMENT PLANNING AND ACQUISITION



A. Apparatus and vehicles.

1. Fire apparatus.

a. Pumper.

b. Ladder truck.

c. Water tender.

d. Rescue.

e. Lighting unit.

f. Hazardous materials response.

g. Technical rescue.

h. Breathing air support.

i. Aircraft Rescue Firefighting (ARFF).

j. Wildland apparatus.

k. Fire boat.

2. EMS vehicles.

   a. Ambulance.

   b. Multiple casualty incident unit.

3. Passenger/Utility.

   a. Passenger car.

   b. Pickup truck.

   c. Sport/Utility vehicle.

4. Specialized vehicles/equipment.

   a. Helicopter.

   b. Fixed-wing aircraft.

   c. Rescue watercraft.

   d. Off-road vehicle (ORV).

   e. Fuel tender.

   f. Bulldozer.

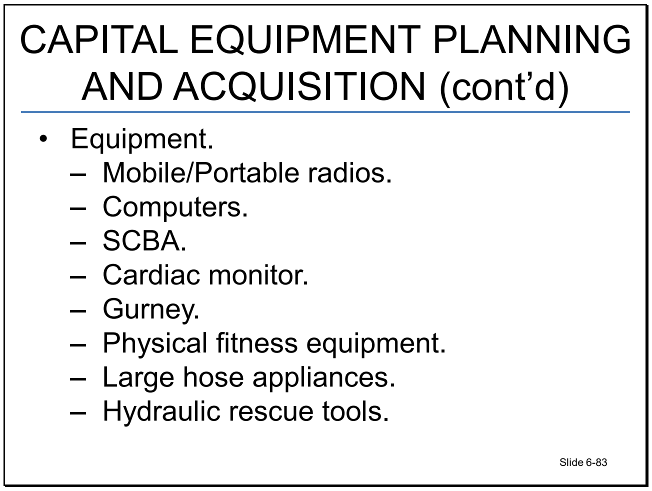
   g. Backhoe.

   h. Dump truck.

   i. Flatbed truck.

   j. Enclosed truck or van.

   k. Trailer.



B. Equipment.

1. Mobile/Portable radios.

2. Computers.

3. SCBA.

4. Cardiac monitor/defibrillator.

5. Gurney.

6. Thermal imaging camera (TIC).

7. Personal protective equipment (PPE).

8. PPE laundering equipment.

9. Physical fitness equipment.

10. Large hose appliances.

11. Hydraulic rescue tools.

PLANNING CONSIDERATIONS

- Intended use or mission.
- Useful service life.

Slide 6-84

C. Planning considerations.

1. Intended use or mission of vehicle or equipment (current and anticipated during expected service life).

2. Useful service life.

   a. Few established standards (e.g., fire hose).

   b. Established by agency/jurisdiction based on anticipated use and other relevant factors.

   c. Generally established in years, mileage or hours of operation.

   d. Fire apparatus and vehicle service life may include primary use and reserve (limited) use (e.g., fire apparatus: 15 years front-line, five years reserve, total 20-year service life).

PLANNING CONSIDERATIONS (cont'd)

- Specifications.
  - Ensure operational capabilities, performance and safety.
  - Identify **primary** design, performance and safety factors.
  - Identify manufacturers/vendors.
  - Request detailed information/specifications.
  - Identify other design, performance or safety factors required.
  - Keep as generic as possible.

Slide 6-85

3. Specifications.

   a. This is an important planning factor for apparatus, vehicles and other capital equipment.

   b. To ensure appropriate operational capabilities, performance and safety necessary to accomplish the intended use.

   c. Start by identifying the **primary** design, performance and safety factors necessary to meet the intended use/mission of the apparatus, vehicle or equipment (consider potential or anticipated **future** use/needs as well if the asset has a long service life).

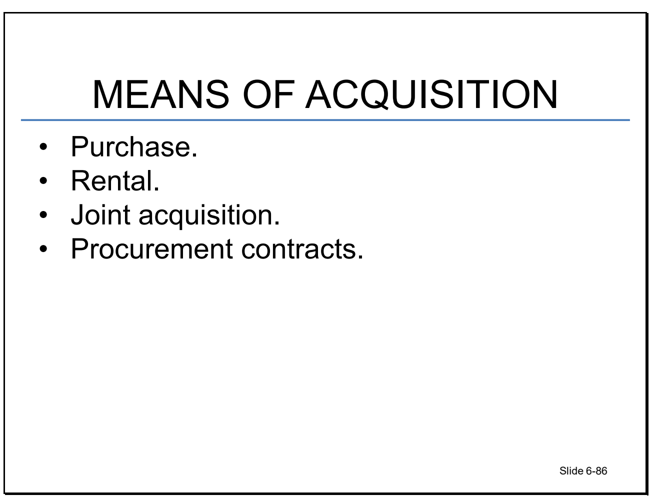
   d. Identify manufacturers, vendors or other public safety agency(s) with products meeting your established primary design factors.

   e. Request detailed information/specifications from those manufacturers, vendors or public safety agency(s).

   f. Using this information, identify any other relevant design, performance or safety factors necessary or desired to best meet the intended mission or use of the apparatus, vehicle or equipment.

   g. The more generic you can make your specifications, the more product options you will have to choose from (more competitive pricing also likely).

   h. Be cautious if your agency or jurisdictional fiscal policy requires a competitive procurement process. (Do not make specifications so restrictive that only a single manufacturer or vendor can meet them.)



D. Means of acquisition.

1. Purchase.

a. Sole source purchase.

- Generally the easiest form of procurement.

- Also the most restrictive (limits competition).

- Often prohibited or heavily restricted by agency or jurisdictional fiscal policy.

- Can provide operational benefits.

  -- Same design/operation as other similar equipment (e.g., fire apparatus, nozzles, SCBA, cardiac monitor, etc.).

  -- Particularly important for some safety equipment.

  -- Minimized differentiation of service and parts requirements.

b. Request for bids or proposals.

- Encourages competition that generally reduces end-user cost.

- Process is often clearly identified in agency/jurisdictional fiscal policy.

- If no policy exists, consider adapting process and format from another public safety agency.

c. Cooperative purchase.

- Negotiated cost agreement (contract) for a specific product.

- Some variance from established specifications may be allowed (with cost difference).

- Usually available to a public safety agency (may require membership or registration with the contracting alliance).

- Examples:

  -- General Services Administration (GSA) Cooperative Purchasing Program (http://www.gsa.gov/portal/content/202285?utm_source=FAS&utm_medium=print-radio&utm_term=cooperativepurchasing&utm_campaign=shortcuts).

  -- U.S. Communities Government Purchasing Alliance (http://www.uscommunities.org).

  -- Western States Contracting Alliance (WSCA) (http://www.aboutwsca.org/content.cfm/id/wsca_current_contracts).

  -- Many states also have state cooperative purchasing programs.

d. Lease-purchase.

- Lessee gains title (ownership) at end of lease period, providing that all term of lease agreement are met.

2. Rental.

a. Often more cost-effective for short-term or limited need.

b. Not all types of capital apparatus, vehicles or equipment may be available by this means.

3. Joint acquisition.

a. Two or more agencies or jurisdictions jointly acquire an apparatus, vehicle or capital equipment for joint use.

b. May be acquired under a single jurisdiction and cost/use shared by written agreement.

c. Can provide significant cost savings to participants.

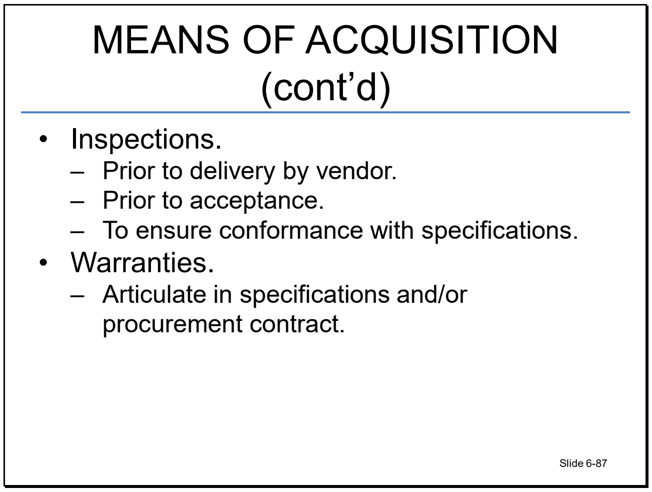
4. Procurement contracts.

a. Protect both buyer and seller.

b. Often required or desired for acquisition of capital assets.

c. May be required by agency or jurisdictional fiscal policy.

d. Legal consultation advised.



5. Inspections.

a. Often advisable to inspect a capital asset prior to delivery by vendor (e.g., fire apparatus, specialized vehicles, etc.) to ensure conformance with procurement specifications.

b. Also advisable to inspect all capital assets upon delivery (and prior to acceptance, if applicable) to ensure conformance with procurement specifications.

6. Warranties.

a. Procurement specifications and/or contract should clearly specify the terms and conditions of any warranty or guarantees.

b. Know the specifications of the terms and conditions before equipment breaks down.

E. Funding sources.

1. Generally the same as real property.

2. Nonrestricted agency/jurisdictional funds (e.g., general fund).

3. Restricted agency/jurisdictional funds (e.g., capital improvement/facility fund).

4. Impact fees.

   a. Imposed to offset the impacts of new development on public services.

   b. State law may require a “nexus” study to impose these fees.

   c. Prohibited by some states (e.g., Michigan).

5. User fees (e.g., ambulance transportation fees).

6. Developer agreement (e.g., developer constructs facility as condition of development approval, in lieu of fees, or pursuant to other agreement with agency or jurisdiction).

7. Debt financing. (Note: Some states impose a “debt ceiling” on public agencies.)

8. Donations.

   a. Individual.

   b. Local businesses.

   c. Corporate.

9. Grant(s).

   a. Federal.

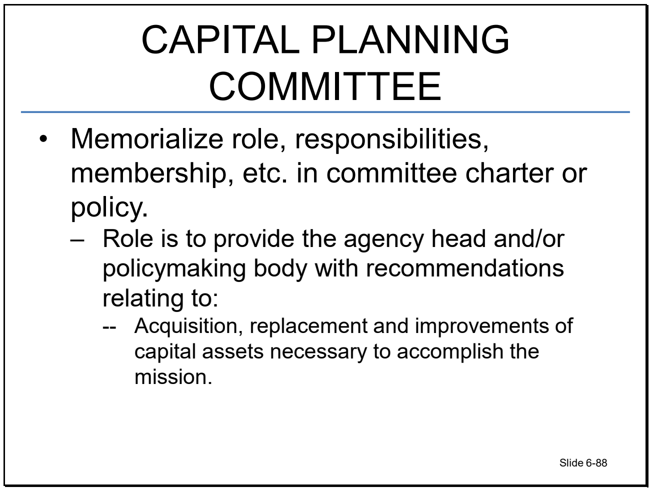
   b. State.

   c. Local.

   d. Private foundations.

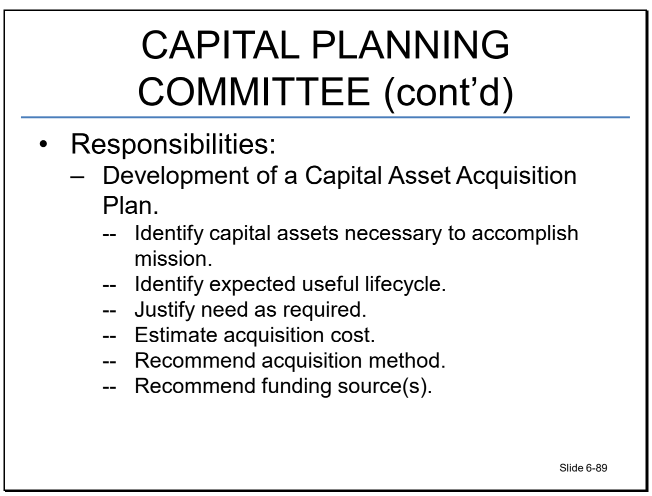
10. Combination of above funding sources.

X. CAPITAL PLANNING COMMITTEE



A. The committee's role, responsibilities, membership, accountability, etc. should be clearly communicated throughout the organization by a written charter, policy or guideline.

B. Role is to provide the agency head and/or agency policy body with recommendations relative to the acquisition, replacement and improvements to capital assets necessary to accomplish the organization's mission.



C. Responsibilities.

1. Development of a Capital Asset Acquisition Plan that minimally identifies:

a. The capital assets necessary to accomplish the organization's mission.

b. The expected useful life cycle of each capital asset by type/ category.

c. Justification of need for each asset, such as:

- Mission requirements.

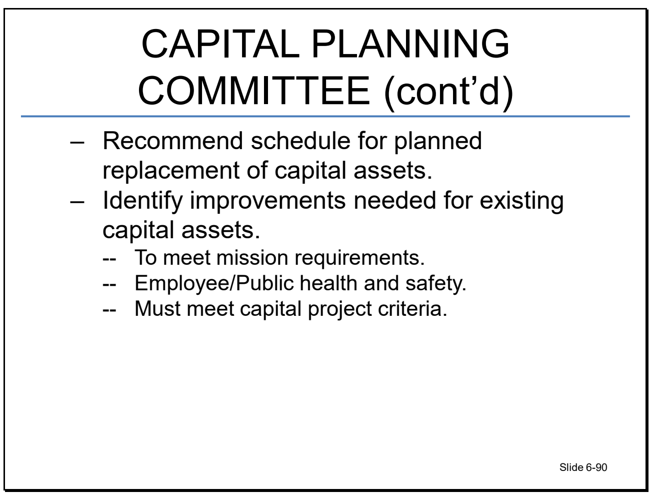
- Regulatory requirement.

- Industry standards or best practices.

d. Estimated acquisition cost by asset type/category (in current dollars).

e. Recommended acquisition process, including analysis of viable alternatives (e.g., purchase, rental, development agreement, etc.).

f. Recommended funding source(s) by asset type/category.



2. Recommend schedule for planned replacement of existing capital assets.

a. Individual capital assets specified by type or category.

b. Estimated replacement cost (in current dollars).

c. Estimated annual accrual required to meet replacement schedule (individual capital assets specified).

- Annual accrual required equals current replacement cost divided by number of years remaining until planned replacement.

d. Often provided in matrix format.

3. Identification of recommended improvements to existing capital assets beyond routine maintenance:

a. By specific individual capital asset.

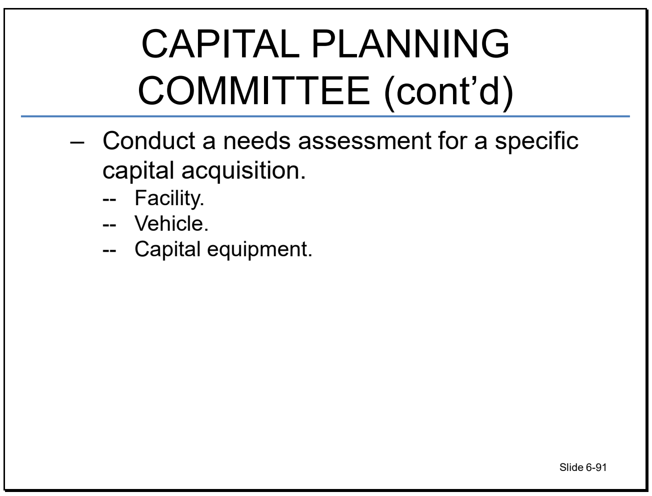
- Necessary to meet ongoing mission requirements.

- To ensure employee and/or public health and safety.

- Other need justification.

b. Must meet agency/jurisdiction criteria for a capital improvement project.

c. Establish and document estimated costs in current dollars by specific individual asset.



4. Conduct a needs assessment for a specific individual capital acquisition.

a. Facility.

- Document need, such as:

-- Current or projected community growth.

-- Accomplishing stated or adopted organizational mission.

-- Maintaining an adopted response performance standard.

-- Replacing an existing deficient facility.

- Identify recommended **primary** design factors, such as:

  -- Purpose of facility (mission).

  -- Number of apparatus/vehicles to be housed (both current and projected during expected life of facility).

  -- Number of people to be accommodated (e.g., on-duty, volunteers, sleepers, staff, etc.).

  -- Office/Meeting room needs.

  -- Living area needs.

  -- Cooking/Eating area needs.

  -- Sleep area needs (individual, gender separated, etc.).

  -- Bathroom needs (e.g., gender specific, handicap access, etc.).

  -- Physical fitness/workout space needs.

  -- PPE storage/cleaning.

  -- Fuel storage.

  -- Hose/Equipment storage and cleaning.

  -- Training area needs.

b. Vehicle.

- Identify intended use or mission of vehicle, apparatus or specialized motorized equipment.

- Identify equipment to be carried on vehicle to meet vehicle use/mission.

- Identify the **primary** vehicle design criteria required to **minimally** meet vehicle use or mission requirements, such as:

  -- Maximum wheelbase.

  -- Maximum length.

-- Maximum height.

-- Maximum weight.

-- Engine/Transmission type.

-- Pump size.

-- Minimum speed on specific road grade.

-- Minimum number of passenger seating.

-- Minimum turning radius.

-- Minimum angle of approach/departure.

-- Required storage capacities (e.g., water tank, hose and equipment).

-- Other primary design factors.

- Research and identify vendors with vehicles meeting the minimum design factors established in the previous step.

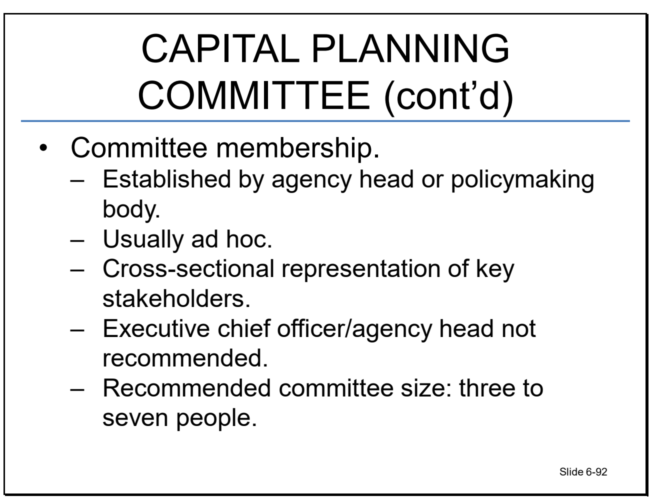
- Establish list of potential vendors with contact information.

c. Equipment.

- Identify the **primary** operational, performance and safety design factors required to meet the intended use.

- Research and identify vendors with products meeting the minimum design factors established in the previous step.

- Establish list of potential vendors with contact information.



D. Committee membership.

1. Established by department head or agency policymaking body.

2. Generally an ad hoc committee (established as needed).

3. Membership should include good cross-sectional representation of all key stakeholder groups, such as:

a. Policymaking body.

b. Executive management.

c. Supervisors.

d. Employee association.

e. Prospective users.

4. Executive chief officer or department head participation is not recommended.

5. Recommended committee size is three to seven people; larger groups tend to make consensus decision-making much more difficult.

E. Committee value and benefits.

1. Promotes organizational involvement in capital asset planning and acquisition.

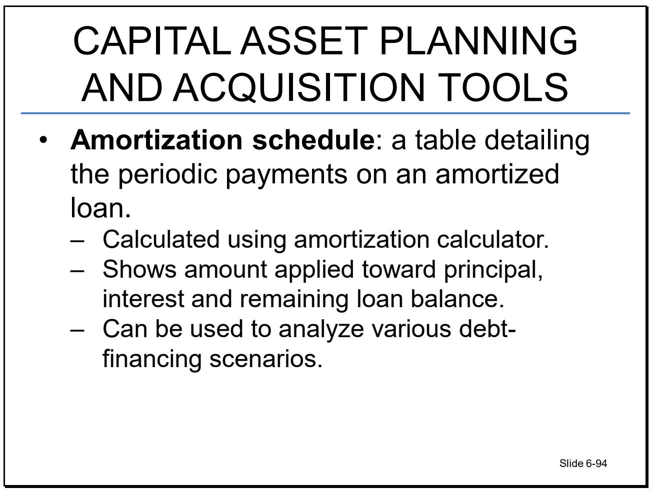
2. Promotes organizational “ownership” of acquired capital assets (versus a “Who designed this?” mindset).

3. Reduced workload for organization management relative to capital asset planning.

4. Tends to facilitate trust with the policymaking body.

5. Committee participation can be an extremely effective tool in developing future organizational leaders and decision-makers.

XI. CAPITAL ASSET PLANNING AND ACQUISITION TOOLS



A. **Amortization schedule**: a table detailing the periodic payments on an amortized loan, including principal, interest, and any other amortized costs.

1. Calculated using an amortization calculator utilizing number of years or payments and interest rate.

2. Shows amount applied toward loan principal, interest, and remaining loan balance for each scheduled payment.

3. Can be used to analyze various capital asset debt financing scenarios.

CAPITAL ASSET PLANNING AND ACQUISITION TOOLS (cont'd)

- Capital budgeting:
  - International City/County Management Association (ICMA).
- Fire apparatus/equipment design:
  - National Fire Protection Association (NFPA) standards.

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B. Capital budgeting: International City/County Management Association (ICMA).

C. Fire apparatus design: NFPA standards.

D. Fire equipment: NFPA standards.

CAPITAL ASSET PLANNING AND ACQUISITION TOOLS (cont'd)

- Fire station design:
  - Fire Industry Equipment Research Organization (FIERO).
  - Guyer, J. P. (2010). *Introduction to architectural design: Fire stations.*
  - Mion, E. G. (2009). *Fire station design guide*.
  - NFPA standards.
  - U.S. Fire Administration. *Safety and Health Considerations for the Design of Fire and Emergency Medical Services Stations.*

Slide 6-96

E. Fire station design:

1. Fire Industry Equipment Research Organization (FIERO) hosts an annual fire station symposium.

2. Guyer, J. P. (2010). *Introduction to architectural design: Fire stations.* Stony Point, NY: Continuing Education and Development, Inc.

3. Mion, E. G. (2009). *Fire station design guide*. Washington, DC: National Institute of Building Sciences.

4. NFPA standards.

5. U.S. Fire Administration. (1997). *Safety and Health Considerations for the Design of Fire and Emergency Medical Services Stations* (FA-168). Emmitsburg, MD.

XII. SUMMARY

FEMA

SUMMARY

U.S. Fire Administration

- Financial management overview.
- Fiscal accountability.
- Financial planning.
- Budgeting.
- Procurement.
- Fiscal controls.
- Property management.
- Financial management resources and tools.

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FEMA

SUMMARY (cont'd)

U.S. Fire Administration

- Capital asset characteristics.
- Real property planning and acquisition.
- Capital equipment planning and acquisition.
- Capital planning committee.
- Capital asset planning and acquisition tools.

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APPENDIX

FINANCIAL MANAGEMENT RESOURCES AND BUDGET MODEL SUMMARY MATRIX

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Financial Management Resources

1. "Managing Fire and Emergency Services" (International City/County Management Association (ICMA)) includes a section on managing fiscal resources.

2. "Fire Service Financial Management" (Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), U.S. Fire Administration (USFA), National Fire Academy (NFA)), a two-week resident NFA course focused on developing the knowledge, skills and abilities (KSAs) to manage fiscal activities related to the fire and rescue service organization and community.

3. "The Model Procurement Code for State and Local Governments" (American Bar Association) provides the statutory principles and policy guidance for managing and controlling the procurement of supplies, services and construction for public purposes. It also provides administrative and judicial remedies for the resolution of controversies relating to public contracts. Additionally, it contains a set of ethical standards governing public and private participants in the procurement process.

4. "The State and Local Government Procurement: A Practical Guide" (The National Association of State Procurement Officials, 2011) is a comprehensive set of guidelines for how public procurement should be conducted.

Budget Model Summary Matrix

Budget Model	Strengths	Weaknesses	Notes
Line-item	• Control oriented. • Accountant friendly. • Expenditures easily tracked. • Easily developed and understood.	• Promotes spending without regard to effectiveness or efficiency. • Promotes “spend it or lose it” mentality.	Most widely used model; **not** endorsed by ICMA.
Performance	• Output oriented. • Establishes standards of performance. • Compares cost per activity to standard. • Goal is to reduce cost per activity. • Focuses on what gets accomplished.	• May not align with community values or desired outcomes. • Requires more sophisticated processes. • Focus can become statistics.	
Zero-based	• Requires annual review of all activities. • Politically popular. • Focuses on available funding.	• Greater budget development workload. • Less focus on outcomes. • Can lead to defunding of some programs/activities.	
Program	• Identifies and quantifies desired outcomes. • Identifies costs required to achieve specific outcomes. • Allows policymakers to establish budget priorities based on community values and expected outcomes.	• Does not address how to allocate resources among competing outcomes. • May not result in rational decisions. • Requires substantial time and effort to accomplish effectively.	Endorsed by ICMA.
Target-based	• Simplified budget preparation process. • Mitigates interdepartmental budget conflicts.	• Focuses on available funding with little regard for prioritizing desired outcomes.	

UNIT 7: HUMAN RESOURCE MANAGEMENT

TERMINAL OBJECTIVE

The students will be able to:

7.1 Develop viable solutions to human resource management issues consistent with federal and state laws, regulations, and best human resource management principles and practices.

ENABLING OBJECTIVES

The students will be able to:

7.1 Identify barriers to recruitment and retention.

7.2 Identify impact of the multigenerational workforce.

7.3 Describe six effective fire and EMS agency recruitment and retention strategies.

7.4 Describe the six elements involved in building and maintaining an effective work environment.

7.5 Describe the process for holding employees accountable to acceptable behaviors and performance.

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FEMA

U.S. Fire Administration

UNIT 7: HUMAN RESOURCE MANAGEMENT

Slide 7-1

TERMINAL OBJECTIVE

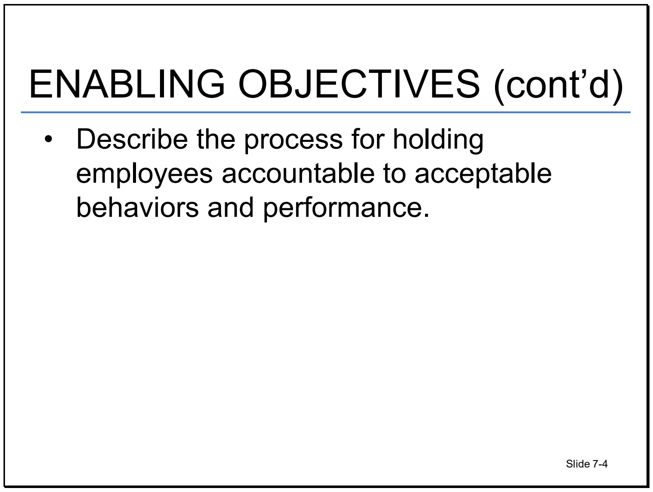
Develop viable solutions to human resource management issues consistent with federal and state laws, regulations, and best human resource management principles and practices.

Slide 7-2

ENABLING OBJECTIVES

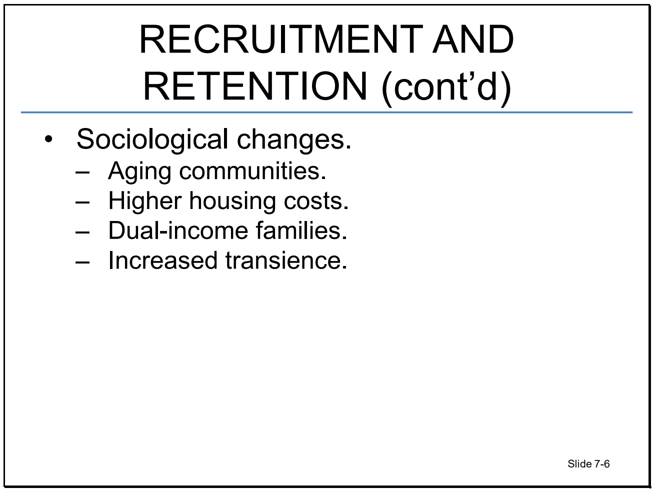
- Identify barriers to recruitment and retention.
- Identify impact of the multigenerational workforce.
- Describe six effective fire and EMS agency recruitment and retention strategies.
- Describe the six elements involved in building and maintaining an effective work environment.

Slide 7-3



I. RECRUITMENT AND RETENTION

A. Recruitment and retention of employees is a common challenge, affected by sociological changes, negative pressure on volunteer fire services, generational diversity, and organizational culture.



1. Sociological changes.

   a. Aging communities.

      - As of 2010, 81 percent of the national population lives in cities or suburbs.

      - People aged 65 or older comprise 15 percent of the national population.

   b. Higher cost of housing.

      - Many employees cannot afford to live in the community where they work.

      - Has led to larger "commuter" population.

   c. Dual-income families.

      - Surge in two-income families since the 1970s.

      - Now 42 percent nationally.

   d. Increased transience — more people relocating to other areas more frequently than a few decades ago.

RECRUITMENT AND RETENTION (cont'd)

- Negative pressure on volunteer fire services.
  - Family economic pressures.
  - Workers employed outside the community where they live.
  - Larger employers have replaced many small, locally owned businesses.
  - Less emphasis on the social aspects of volunteerism.

Slide 7-7

2. Negative pressure on volunteer-based fire services (some of these apply to combination and career departments as well).

   a. Most volunteer-based fire departments are under great pressure today to maintain an adequate roster of volunteer firefighters.

   b. The reasons for this are not unique to any one type of community. Economic pressures have resulted in more two-income families and less time to volunteer.

      - Many potential volunteers work in a community other than where they live.

      - Many employers today are unwilling to allow volunteers to leave their jobs to respond to emergency incidents.

      - Less emphasis on the social aspects of volunteering.

      - Declining sense of "community" and community volunteer systems across the nation.

RECRUITMENT AND RETENTION (cont'd)

- Increased mandated training.
- Higher emergency call volume.

Slide 7-8

- Increased mandated training hours for firefighters, including volunteers, causing many to drop out as the time commitment becomes too great.

- Higher emergency call volume.

RECRUITMENT AND RETENTION (cont'd)

- Two kinds of volunteers in the fire service today.
  - Those who serve to give back to their community.
  - Those seeking to become career firefighters.

Slide 7-9

c. Across the fire service, volunteer programs have been changing and adapting to a different model involving two types of volunteers:

- The first is the usual community-based person, someone who serves for love of community and to give something back.

- The second is usually a younger person desiring to become a career firefighter.

VIDEO PRESENTATION

"SIMON SINEK ON MILLENIALS IN THE WORKPLACE"

https://www.youtube.com/watch?v=hER0Qp6QJNU

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ACTIVITY 7.1

Generational Perceptions and Experiences in the Workplace

Purpose

To examine your perceptions and experiences relative to other generation employees in the workplace.

Directions

1. Work in your assigned small groups of four to seven students.

2. Discuss and record the following with your group members (on an easel pad if available):

   a. What perceptions have you formed of other generation employees in your workplace?

   b. What kinds of problems or issues have you seen or experienced in the workplace between other generation employees?

3. After 10 minutes, select a representative to present the group's findings to the entire class.

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I. RECRUITMENT AND RETENTION (cont'd)

RECRUITMENT AND RETENTION (cont'd)

- Organizational culture.
  - Values.
  - Visions.
  - Norms.
  - Beliefs.
  - Behaviors.
  - Working language.
  - Habits.

Slide 7-12

4. Organizational culture.

   a. **Organizational culture** is the specific collection of:

      - Values.
      - Visions.
      - Norms.
      - Working language.
      - Systems.
      - Symbols.
      - Beliefs.
      - Habits.

   b. Shared by people and groups in an organization and controls the way they interact with each other, customers and with stakeholders.

   c. It is also the pattern of such collective behaviors and assumptions that are taught to new organizational members as a way of perceiving, thinking and even feeling.

   d. Smircich (1983) uses the metaphor of a plant root to represent organizational culture, describing that it drives the organization rather than vice versa.

e. Organizations often have very differing cultures, including subcultures. Examples include:

- Career versus volunteer.
- Operations personnel versus administrative staff.
- Operations personnel versus prevention staff.
- Sometimes different organizational subcultures conflict with each other.

RECRUITMENT AND RETENTION (cont'd)

- Controls how members interact.
- Behaviors and assumptions taught to new members.
- Drives the organization.
- Can have both positive and negative aspects.
- **Most difficult** organizational attribute to change.

Slide 7-13

f. Organizational culture may have both positive and negative aspects.

g. According to Schein (1992), culture is the **most difficult** organizational attribute to change. Outlasts products, services, founders and leaders.

RECRUITMENT AND RETENTION (cont'd)

- Strong organizational cultures.
  - High employee motivation and loyalty.
  - Higher employee retention.
  - Increased team cohesiveness.
- Weak organizational cultures.
  - Little alignment with organizational values.
  - Require extensive bureaucracy and process controls.

Slide 7-14

h. A **strong** culture exists where staff members respond to stimulus because of their alignment to organizational values.

- Strong cultures help the organization run smoothly with good execution, requiring only minor periodic adjustments to existing procedures.

- Organizations with strong and productive cultures.

  -- High employee motivation and loyalty.

  -- Higher employee retention.

  -- Increased team cohesiveness.

i. Conversely, a **weak** culture exists when there is little alignment with organizational values, and controls must be exercised through extensive bureaucracy and process.

RECRUITMENT AND RETENTION (cont'd)

- Recruitment strategies.
  - Needs assessment.
  - Identify knowledge, skills and abilities (KSAs) needed.
  - Establish general recruitment strategy.
  - Identify places to seek new members.
  - Advertise.
  - Conduct informational sessions.
  - Screen prospective applicants.
  - Follow through with selected applicants.

Slide 7-15

B. Recruitment strategies.

RECRUITMENT AND RETENTION (cont'd)

- Needs assessment.
  - Assess critical needs and gaps.
    -- Levels/Types of services.
    -- Community growth and development.
    -- Community expectations.
    -- Fiscal capacity.

Slide 7-16

1. Conduct a needs assessment.

   Assess critical department needs and gaps, including the following:

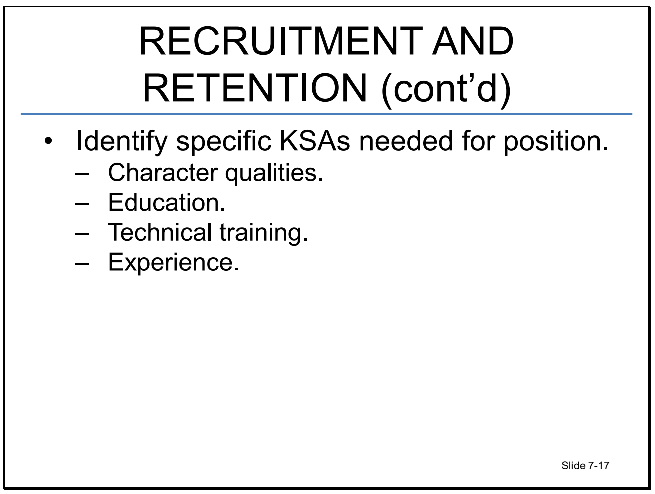
   a. Levels and types of services provided (current and future).

   b. Community growth and development (current and future).

   c. Community expectations.

   d. Fiscal capacity to add personnel (current and future).

   e. How many and what kind of employees are needed (current and near future).



2. Identify specific knowledge, skills and abilities (KSAs) needed for position.

   a. Character qualities.

      - Leadership experience.

      - Maturity.

      - Commitment.

      - Teamwork.

      - Conscientiousness.

      - Interpersonal skills.

- Moral character.

- Problem-solving nature.

- Initiative.

b. Education.

- Level of formal education desired.

  -- Some emergency service positions require difficult certification or recertification examinations.

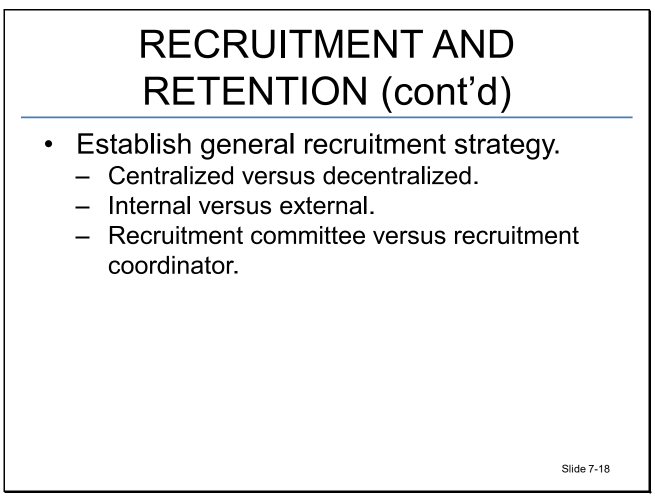
  -- Establish the minimum education requirement appropriate to the expected responsibilities of the position being recruited.

c. Do not overlook the need for future leadership at this step.

- Specific technical skills needed or desired.

d. Prior or concurrent public safety experience.

- Particularly volunteer organizations.



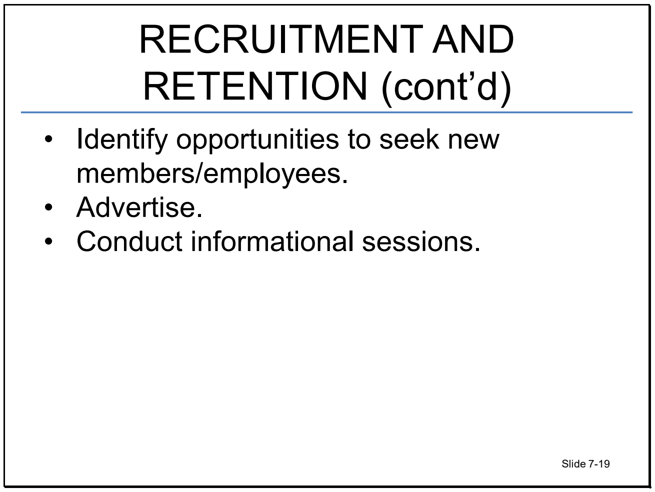
3. Determine who should lead the recruitment and general recruitment strategy.

a. Centralized versus decentralized recruitment.

- Individual department or organization versus jurisdictional or regional recruitment.

- Can provide economies of scale, more recruitment resources, larger applicant pool, etc.

b. Internal versus external recruitment.



4. The following lists a couple of places to find potential new members and employees:

    a. Personal acquaintances of existing employees and members.

    b. High schools, colleges, technical schools.

    c. Civic organizations and churches.

    d. Other emergency service organizations.

    e. Gyms.

    f. Dedicated recruitment Web page or telephone line.

5. Advertise.

    a. Television, radio and print media.

    b. Brochures.

    c. Direct mail.

    d. Billboards and signs.

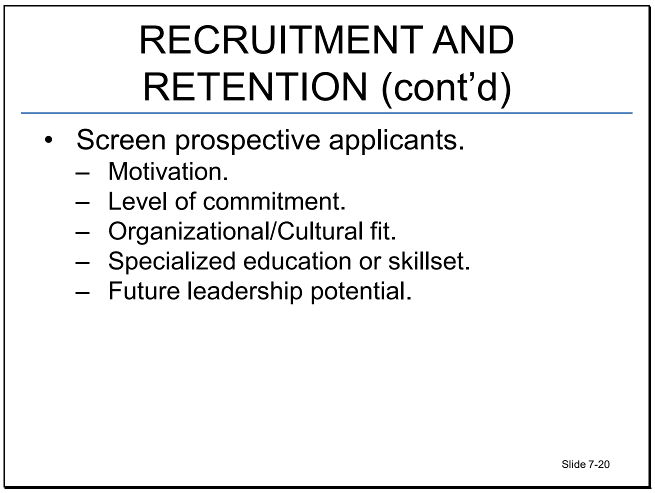
    e. Organizational website.

    f. Social media.

6. Conduct informational sessions.

   a. Schedule informational meetings periodically for prospective new members and employees.

   b. These sessions can help reduce turnover by avoiding situations where a person joins the organization and finds out later that it is not what he or she expected or it requires more time than expected.



7. Screen prospective applicants.

   a. The goal is a balance between no screening criteria and standards that are so restrictive as to scare away good prospective applicants.

   b. Considerations.

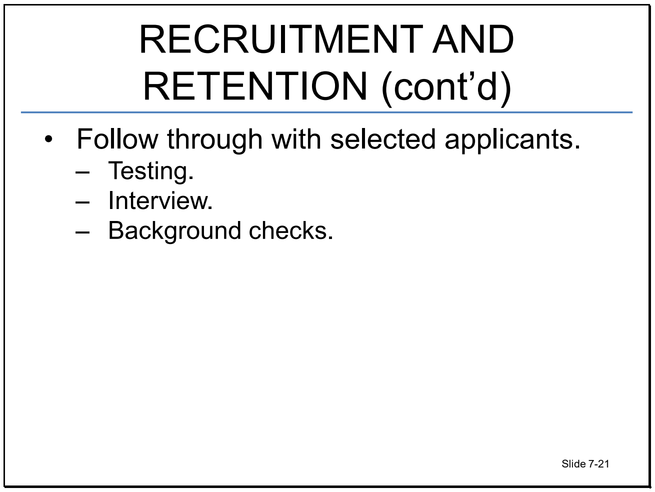
      - Motivation for applying.

      - Level of commitment.

      - Organizational or cultural fit.

      - Specialized education or skillset needs.

      - Future leadership potential.



8. Follow through with selected applicants.

   a. Testing.

      - Will vary depending on jurisdictional or organizational policy and state law.

      - Types of tests to consider may include written examinations, physical agility testing, medical evaluations, psychological assessments and character assessments.

   b. Interviews are designed to examine applicant motivation, qualifications, commitment and organizational fit.

      - Formal interview.

      - Informal interview.

        -- Some departments use a more subtle evaluation of prospective candidates.

        -- Often more comfortable for the candidate than the formal interview process.

   c. Background checks.

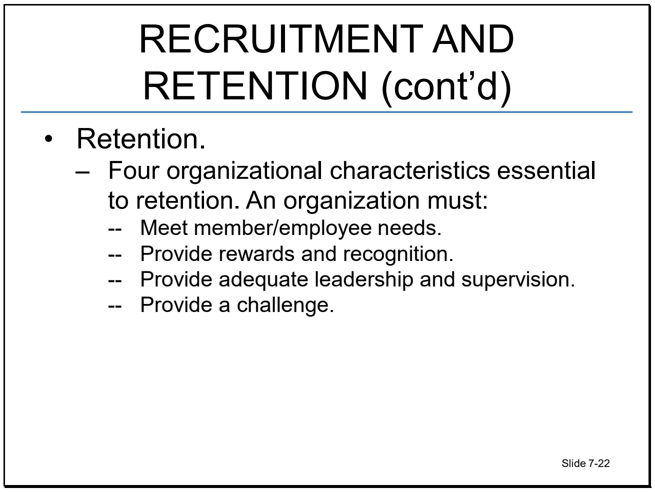
      - Types of background checks to consider.

        -- Criminal record.

        -- Driving record.

-- Financial responsibility.

-- Immigration status.



C. Employee retention.

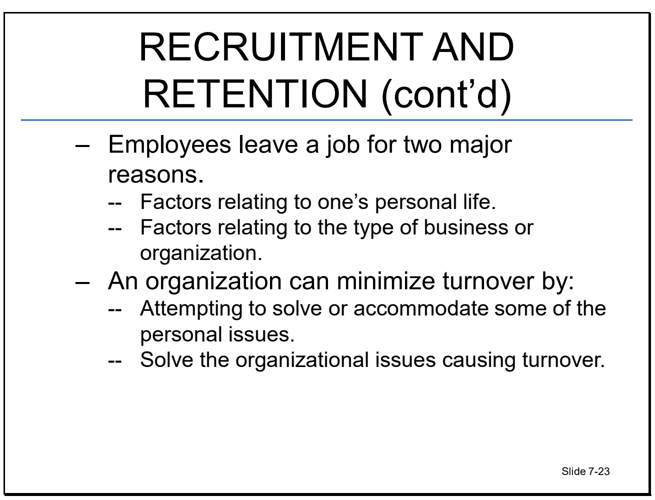
1. Research has identified four organizational characteristics essential to retaining employees. The organization must:

   a. Meet the employee's needs.

   b. Provide its employees with reward and recognition.

   c. Provide adequate leadership and supervision.

   d. Provide a challenge.



2. Employees leave a job for two primary reasons:

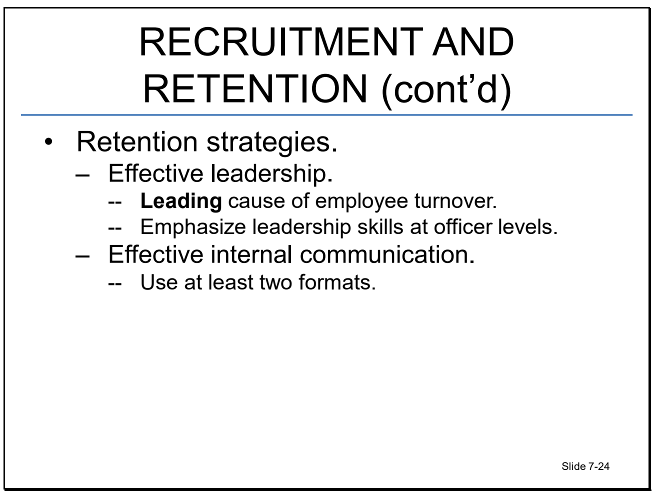
   a. Factors relating to one's personal life (e.g., family, money, emotional or medical issues).

   b. Factors relating to the type of business or organization.

3. An organization can certainly do a great deal to avoid driving away good employees.

   a. May be able to help solve or accommodate some of the personal issues.

   b. Can do a great deal to solve many of the organizational issues that would otherwise cause a good employee or volunteer to consider leaving the organization.



D. Retention strategies.

1. Effective leadership.

   a. **The leading organizational issue causing employees to leave.**

   b. Emphasize leadership skills at officer levels.

   c. Technical competency (National Fire Protection Association (NFPA) 1021, *Standard for Fire Officer Professional Qualifications*).

   d. Avoid frequent turnover (less than three years).

2. Effective internal communications.

a. Active listening is essential to effective communication.

b. Important information should be communicated using at least two different methods.

c. Use technology to your advantage.

- Email.
- Internet.
- Social media.

RECRUITMENT AND RETENTION (cont'd)

– Established department standards.
  -- Instill pride and confidence.
  -- Establish framework for performance.
  -- National Fire Protection Association (NFPA) Standards 1710, *Standard for the Organization and Deployment of Fire Suppression Operations, Emergency Medical Operations, and Special Operations to the Public by Career Fire Departments*/1720, *Standard for the Organization and Deployment of Fire Suppression Operations, Emergency Medical Operations and Special Operations to the Public by Volunteer Fire Departments*.

Slide 7-25

3. Established department standards.

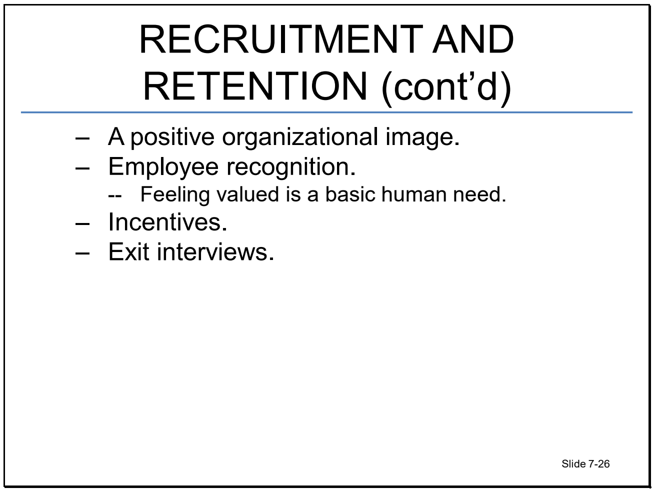
a. Establish a framework for the organization and performance.

b. Help instill employee pride and confidence.

c. Can be a barrier to retention if not clearly understood or perceived to establish excessive requirements.

d. Reference standards:

- 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*.
- 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*.



4. Develop and maintain a positive organizational image to the community and employees.

   a. Instill pride in the uniform and the department.

   b. Conduct training in publicly visible locations.

   c. Increase exposure through community risk-reduction activities.

   d. Communicate organizational activities and accomplishments to the community.

   e. Focus on customer service.

   f. Keep political leaders informed about department accomplishments and issues.

   g. Hold public meetings and events at the fire station.

   h. Promote the department through the media.

5. Employee recognition.

   a. Feeling valued is a basic human need.

   b. Recognition is almost always positive when given and usually negative when withheld.

   c. Ways to recognize employees.

      - Spotlight accomplishments in department or community newsletter (include photos).

- Send a card on birthdays, anniversaries, promotions, or to acknowledge a particular action or accomplishment.

- Establish department recognition awards. Hold an annual fire department recognition event. Nominate employees for state- or national-level awards.

- Hold ceremonies to acknowledge completion of new employee training and promotions.

- Give a simple "pat on the back" or kudos to show appreciation and to acknowledge a good job.

6. Incentives.

   a. Incentive programs are widely employed in the private sector to enhance productivity and retention.

   b. Types of incentives (examples):

      - Access to group health, dental and/or vision insurance.
      - Access to disability insurance.
      - Education assistance.
      - Individual retirement account.
      - Housing assistance.
      - Death benefits.
      - Health club membership.
      - Gift certificates.
        -- Fire/EMS magazine subscriptions.
        -- Paid attendance at a state-level conference or seminar.

   c. Emergency service organizations (particularly volunteer and combination departments) that purposefully find ways to add an appropriate level of fun to the job generally have fewer recruitment and retention challenges.

7. Exit interviews.

a. Provide an opportunity for the executive chief officers and line officers to learn why an employee is leaving the organization.

b. Should be structured so that departing employees feel like they can honestly discuss and identify their reasons for leaving.

- Parting should be as amiable as possible.

- Departing employee should feel empowered to identify perceived organizational problems.

II. WORKPLACE RELATIONSHIPS

A. Building and sustaining effective workplace relationships.

1. Effective workplace relationships are essential to personal and organizational health and success.

a. Relationships give meaning and richness to our lives and work.

b. Relationships are the building blocks of effective leadership.

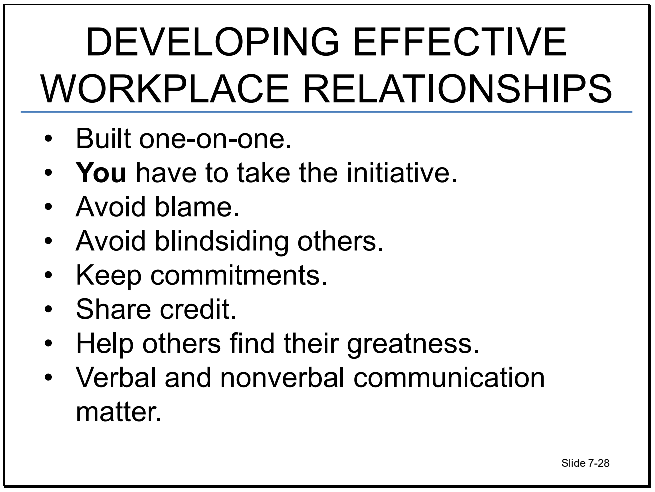
- Influence is established through relationships. Recall that influence is the ability to affect something or someone without direct or apparent effort.

- Effective leadership is achieved more through influence than power.

c. Relationships are also the foundation of trust.

- Trust is essential to credibility.

- Relationships are essential to gain allies to our causes.



2. Developing effective relationships in the workplace.

   a. Relationships are built one-on-one.

      - There are no shortcuts to this process.

   b. **You** have to take the lead to initiate and sustain relationships.

      - Get out of the office and connect with people.

      - Ask questions and listen attentively.

      - Tell people about yourself. Be willing to share your personal interests and viewpoints, be vulnerable.

      - Accept people the way they are and withhold judgment.

      - Assume others want to have relationships also. Even unhappy people can be seeking to connect with someone.

   c. Avoid blaming others.

      - You need allies, not enemies, to gain the trust necessary to achieve your organizational goals.

      - Good leaders always take the blame for failures.

   d. Never blindside a co-worker, supervisor or staff member.

- This destroys trust.

- Always discuss problems first with those who "own" the work.

e. Keep your commitments.

- Failure to do so erodes trust.

- This can affect the work of others.

f. Share credit for accomplishments, ideas and contributions.

- Take the time and energy to recognize and reward others for their accomplishments and contributions to organizational achievements.

- Good leaders attribute success to others.

g. Help other employees find their greatness.

- Every employee has talents, skills and experience.

- Helping others harness their best abilities benefits the organization.

- The growth of individual employees benefits the whole.

- Helps create a positive, motivating work environment.

h. Your verbal and nonverbal communications matter.

- Respectful treatment of all is a hallmark of effective leadership.

- Be cognizant of your nonverbal communications!

B. Working through conflict.

1. Types of workplace conflict.

a. **Interdependence conflict** occurs when an individual fails to meet expected work performance that impacts another worker's ability to meet their expected work performance (interdependent work performance relationship).

b. **Style conflict** takes place when co-workers have different approaches to completing a similar task.

c. **Background and gender conflict** results from differences in ethnic heritage, gender, educational background, experience or political preferences.

d. **Leadership conflict** occurs when employees work for multiple leaders with differing leadership styles.

e. **Personality conflict** happens when personality differences are fueled by perception and emotion.

CONFLICT RESOLUTION

- Address conflict promptly.
- Establish a conducive environment.
- Agree to resolve the conflict.
- Identify desired outcomes.
- Opportunity to express one's viewpoint.
- Identify common ground.
- Explore potential solutions and alternatives.

Slide 7-30

2. Effective workplace conflict resolution.

   a. Address the conflict sooner rather than later.

      - Workplace conflicts rarely self-resolve.
      - In most cases, they get worse with time.

   b. Establish an environment conducive to conflict resolution.

      - Quiet, private setting is best.
      - Take a timeout if things get too heated.

   c. Agree to resolve the conflict.

      - Participants come prepared for resolution.

   d. Identify desired outcome(s). Each party has an opportunity to express viewpoints without interruption.

      - Active listening is critical.
        -- Restate, paraphrase and summarize.
      - Clarify points for better understanding.
      - Validate differences in perception and point of view.
      - Focus on issues, not individual personalities.

   e. Identify common ground.

- Separate emotions from reality.

- Agree on the problem.

f. Explore potential solutions and alternatives.

- Put yourself in the other person's place.

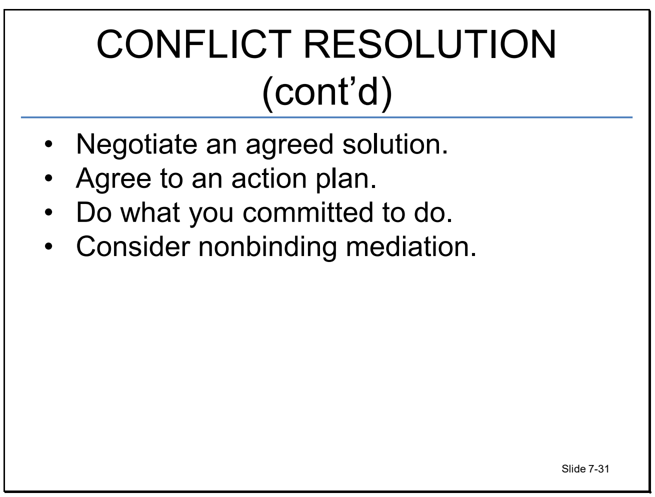
- Provides opportunity to better understand his or her perspective.

- Focus on creating a discussion that is positive and powerful for all parties.

  -- Courteous.

  -- Respectful.

  -- Nonconfrontational.



g. Negotiate an agreed solution.

- Seek a win-win outcome.

h. Agree on an action plan.

- Agree to any follow-up steps.

- Identify how success will be measured as appropriate.

i. Do what you committed to do!

- Continue to appreciate and respect each other.

j. Consider nonbinding mediation.

- A neutral third party can often facilitate a successful outcome to conflict.

C. Gaining cooperation.

1. Leadership tools.

a. Value each person as an individual.

b. Facilitate a common goal.

c. Share responsibilities and the rewards.

d. Seek consensus of vision.

2. Management tools.

a. Training.

b. Policies and standard operating guidelines (SOGs).

c. Performance metrics.

GAINING COOPERATION (cont'd)

- Cultural tools.
  - A strong organizational culture.
  - Respect.
  - Environment of engagement between workers and management.

Slide 7-33

3. Gaining cooperation can also be assisted by cultural tools.

   a. A strong organizational culture enhances cooperation.

   b. Respect enables co-workers to feel more comfortable and valued when cooperating.

   c. An environment of engagement between workers and management keeps dialogue flowing and lends itself to a team atmosphere.

EXECUTIVE CHIEF OFFICER'S ROLE

- To lead and administer the human, financial and physical resources to accomplish the organization's mission.
- To be accountable to the community for organizational performance.

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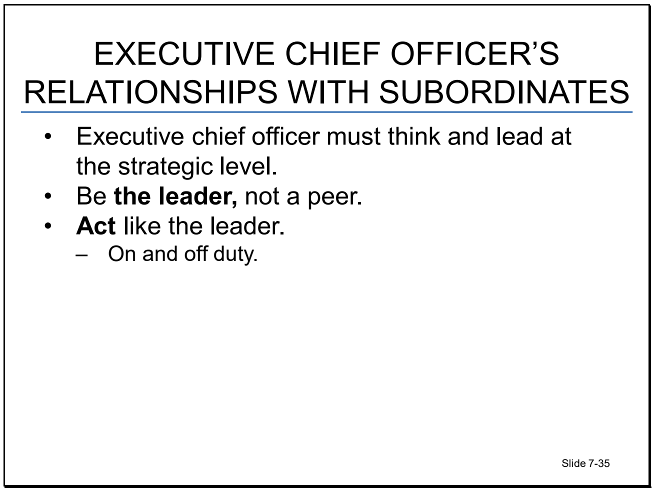
D. Executive chief officer's relationship with subordinates.

1. The executive chief officer has a multifaceted role.

   a. The executive chief officer must effectively lead and administer the human, financial and physical resources to accomplish the organization's mission.

b. The executive chief officer is accountable to the community, as well as the policymaking authority, for overall organizational performance.



2. The executive chief officer has complex relationships with subordinates.

a. When you become the executive chief officer, your relationship with former peers changes.

- You are now **the leader**, not a peer.

b. As executive chief officer, you must think and lead at the strategic level ("big picture").

- You must **act** like the leader.

-- Act with integrity, both on and off duty.

-- Be a role model for the rest of the organization.

-- Treat all fairly and with respect.

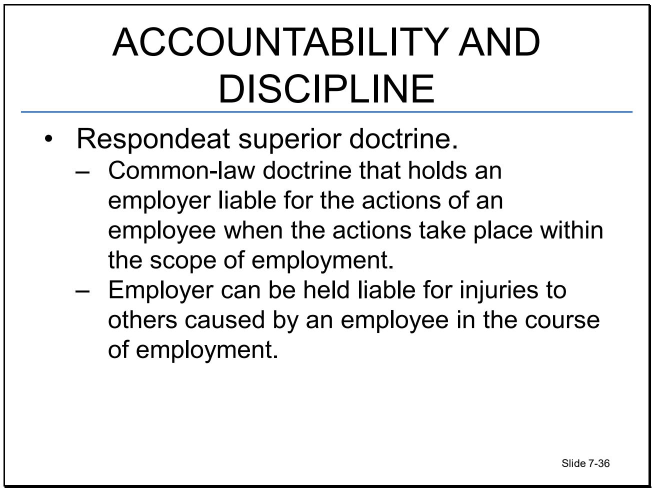
-- Demonstrate professional competence.

-- Communicate effectively.

-- Use active listening and empathy.

-- Build and sustain positive workplace relationships.

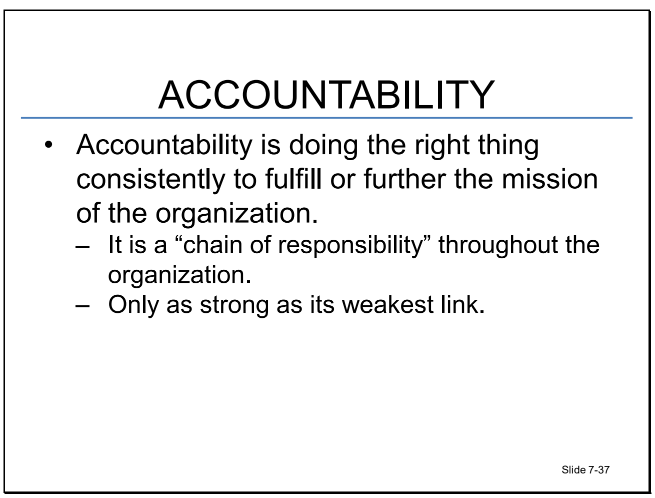
III. ACCOUNTABILITY AND DISCIPLINE



A. Respondeat superior doctrine.

1. Respondeat superior doctrine is a common-law doctrine that holds an employer liable for the actions of an employee when the actions take place within the scope of employment.

2. An employer can be held responsible for injuries to others caused by an employee in the course of employment.

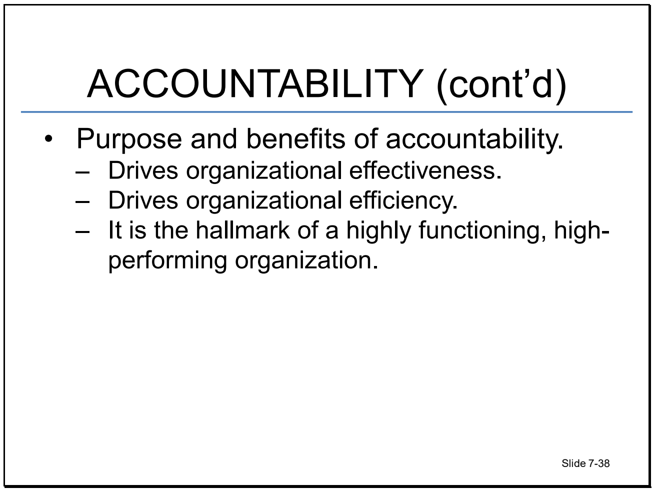


B. Accountability.

1. Accountability in the workplace means doing the right thing consistently, in tasks and relationship interactions, to fulfill or further the mission of the organization.

a. It is a "chain of responsibility" throughout the organization.

b. Only as strong as its weakest link.

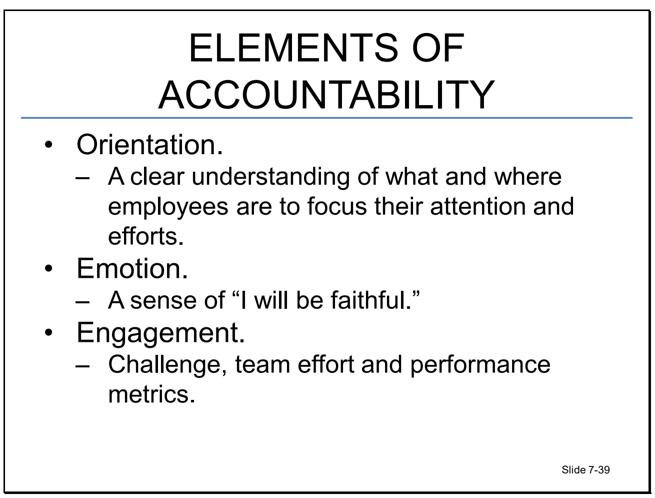


2. Accountability serves many purposes and yields several benefits.

   a. It drives organizational effectiveness in executing strategies.

   b. It drives organizational efficiency in how things are done.

   c. It is the hallmark of a highly functioning, high-performing organization.



3. Accountability is composed of several elements.

   a. Orientation is a clear understanding of what and where employees are to focus their attention and efforts.

      - It includes a clear vision or sense of organizational direction.

- It communicates clear goals.

- It offers effective leadership at all levels.

b. Emotion is the sense of "I will be faithful, I will see this through."

- It involves trust.

- It involves persistence.

- It involves commitment.

c. Engagement involves challenge, team effort and clear performance metrics.

ELEMENTS OF ACCOUNTABILITY (cont'd)

- Communication:
  - Positive input.
  - Regular feedback.
  - Recognition of individuals and teams.

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d. Communication is critical to creating and sustaining accountability.

- There are certain core drivers of effective communication.

  -- Recognition of individuals and teams as essential to organizational success is an important type of communication.

  -- It is important to communicate regular feedback, since it provides clear information on progress, offers recognition quickly, and addresses deficits, problems or issues quickly.

  -- It is also important to communicate positive input; encourage others to offer ideas, suggestions and solutions.

BARRIERS TO ACCOUNTABILITY

- Organizational complexity.
- Geographic separation.
- Increased workplace diversity.
- Differential leadership.
- Supervision variance.

Slide 7-41

4. There are some barriers to effective workplace accountability.

   a. One such barrier is organizational complexity.

      - Lack of progressive thinking.

      - People are motivated or stunted by fear.

      - Misuse/Abuse of work time.

      - Ineffective communication.

   b. Geographic separation of work sites can hinder communication.

   c. Increased workplace diversity can breed “cliques” or negative emotions if not handled appropriately.

   d. Differential leadership behaviors and practices can lead to confusion or fear.

   e. Variance in supervisory practices may lead to confusion about procedures and consequences.

CREATING EFFECTIVE SYSTEMIC ACCOUNTABILITY

- Trust is essential.
- Create a sense of direction.
- Clear performance/behavior metrics.
- Engagement with organizational leadership.
- Effective systems support.
- Cultural alignment.
- Consistency of leadership.

Slide 7-42

5. Effective systemic accountability can be created.

   a. Trust is essential. Without trust, there can be no accountability.

      - "Safe space" for sharing concerns, issues, ideas and problems.

      - Respectful engagement and communication help build trust.

      - Honest dialogue builds trust.

   b. Articulating a vision and engaging others in a discussion of what that vision means for the organization and the individuals and work teams that constitute it.

   c. Providing clear and appropriate metrics by which all members and teams know how they will be measured provides accountability for the commitments and actions of all members.

   d. Effective engagement with the organizational leadership. Hard work is required on the part of the leadership to engage and tap the motivations of the workforce.

   e. Effective systems, such as email, voice mail, and other mechanical and administrative system elements, support effective communication and measurements.

   f. Work performance systems such as evaluations or appraisals also support effective communication and measurements.

g. Focused and aligned aspects of the organizational culture provide support in internally consistent ways.

h. Leadership consistency also helps accountability.

C. Various levels of expectations need to be communicated.

1. Employers must communicate expectations.

a. This is first done with a job description and duty statement.

- These should provide a detailed description of duties and expectations relative to job performance (see Appendix B).

- They should be reviewed and updated periodically (e.g., for every new recruitment).

b. It is next communicated through the employment contract (as applicable).

c. Further communication takes the form of written policies, procedures and guidelines.

d. Expectations should be reinforced by supervision.

e. Evaluations should clearly delineate specific expectations and whether or not they have been met.

COMMUNICATING EXPECTATIONS (cont'd)

- Employee communications.
  - Informally through discussion with supervisor and/or the designated labor group representative (as applicable).
  - Formal labor agreement/contract.

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2. Employee expectations are also communicated to supervisors and employers.

   a. This may occur informally, through discussion with supervisors and the designated labor group representative (as applicable).

   b. This may be formal and take the form of a formal labor agreement or contract.

EVALUATING PERFORMANCE

- Another means to communicate expectations.
- Defining acceptable performance.
- Laws protect some employee classes.
- "Standard" or "acceptable" performance should be culturally acceptable.
- Conducted within established organizational parameters.
  - Consistent format/timing.

Slide 7-45

D. Evaluating performance.

1. Another means to communicate expectations.

2. Should specify the performance standard(s).

   a. Standard or acceptable performance is the minimally acceptable level of performance that fulfills or furthers the mission of the organization.

b. Remember federal and state laws protecting some classes of employees.

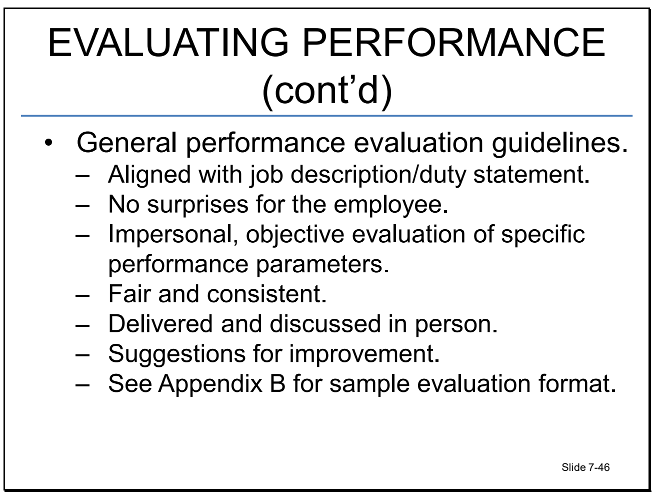
c. Standard or acceptable performance should be culturally acceptable within the organization.

3. Should be conducted within clearly established organizational parameters.

a. They should address adherence to policies, procedures or guidelines.

b. A consistent format should be used for all employees.

c. Supervisors should be accountable for completion of subordinate evaluations within an established timeline.



d. General guidelines.

- Evaluation factors should closely align with the job description or duty statement. (See Appendix C for sample evaluation format.)

- They should never surprise an employee.

-- Intermediate feedback from supervisor(s) should align with evaluation ratings (both positive and negative).

-- The employee should receive immediate feedback on substandard performance or problem areas.

- An objective (impersonal) evaluation of specified performance parameters, with specific observed or reported examples, can be a very effective motivational and accountability tool.

  -- Fairness and consistency are essential.

- The evaluation should be delivered and discussed with the employee privately.

  -- Many evaluation formats include a section for the supervisor to make specific suggestions on how the employee can improve his or her performance or prepare for additional responsibilities over the ensuing rating period.

ACCOUNTABILITY AND DISCIPLINE (cont'd)

- Evaluation format.
  – Standardized format.
  – Narrative style preferred.
  – Include specific examples to support ratings.
  – Employee should have opportunity to ask questions to clarify ratings.
  – Appeal process may apply.

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e. Use of a standardized format is required by many jurisdictions or organizations.

- If possible, encourage and promote a narrative format with specific examples of performance supporting the rating for each factor.

- The employee should have an opportunity to clarify any questions or rating.

  -- Consider giving the employee the opportunity to absorb the supervisor's ratings and comments prior to engaging in a detailed dialogue.

  -- Some jurisdictions and labor agreements may provide an appeal process if the employee feels that his or her performance has been unfairly or unreasonably evaluated.

DISCIPLINE

- **Discipline** is the regulation and modulation of human activities to produce controlled behaviors and performance.
- Purpose is to encourage employees to conform to established standards of job performance and workplace behavior.
- Supervisor responsible for maintaining appropriate discipline.

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E. Discipline.

1. **Discipline** is the regulation and modulation of human activities to produce controlled behaviors and performance.

2. The purpose of discipline in the workplace is to encourage employees to conform to established standards of job performance and workplace behavior.

3. Responsibility for maintaining appropriate discipline lies with the designated supervisor.

   a. Maintaining discipline requires impartiality, fairness, consistency, good judgment, courage and training.

   b. Supervisors must be aware of, and thoroughly understand, the standards of behavior and performance that they are entrusted to maintain.

DISCIPLINE (cont'd)

- Positive discipline.
  - Creation of an atmosphere where employees willingly conform to established rules.
  - Achieved through reward and effective leadership.

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4. Discipline may be positive or negative.

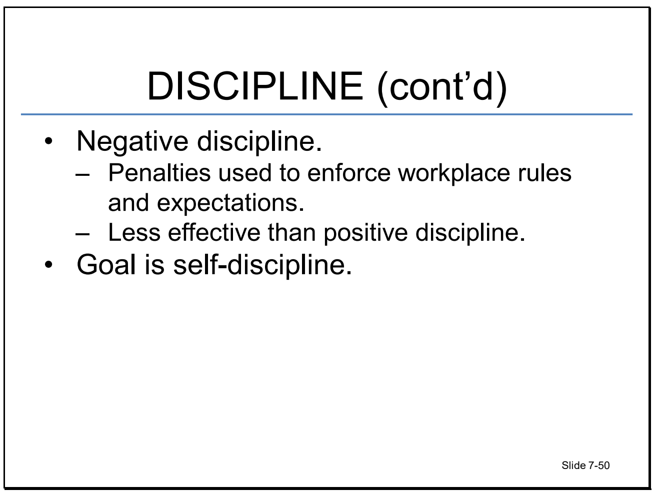
   a. Positive discipline creates an atmosphere where employees willingly conform to established rules.

      - This is achieved through reward and effective leadership.

      - It promotes cooperation and coordination.

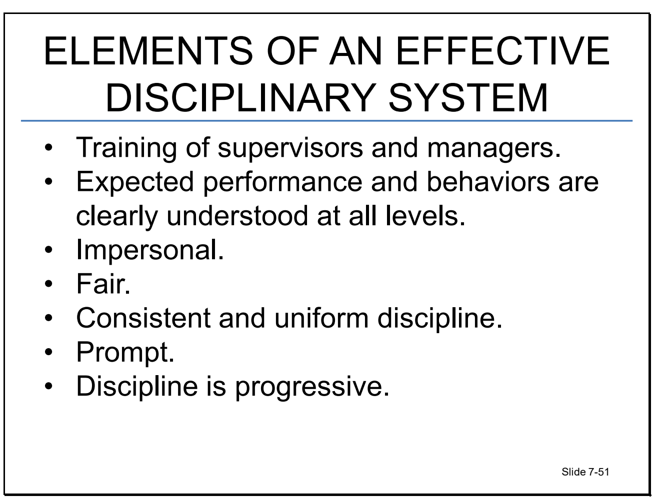
      - It reduces need for strict supervision.

      - The goal is self-discipline.



   b. Negative discipline uses penalties to enforce workplace rules and expectations.

      - The punitive approach is less effective than positive discipline for maintaining expected norms of behavior and performance.



5. An effective disciplinary system exhibits key elements.

   a. Supervisors and managers are trained.

   b. Expected performance and behaviors are clearly understood at all levels.

   c. It is impersonal.

   d. It is fair.

   e. Discipline is consistent and uniform.

   f. Discipline is prompt.

   g. Discipline is of a progressive nature.

   h. Discipline is preceded with a warning.

      - With the exception of serious misconduct, employees should be afforded the opportunity to correct their behavior and performance without formal penalty.

      - Proper documentation is essential to support any future discipline for a similar infraction.

   i. The discipline process is used consistently.

   j. The discipline process is impartial.

   k. The discipline process allows for privacy, except in cases of serious violation where a public reprimand is desirable or necessary to regain control of a situation.

   l. Appropriate documentation is used to support procedures. Discipline-related actions not properly documented will legally be considered as not having occurred.

EXAMPLE DISCIPLINARY PROCEDURE

- Employee notification or "show cause notice."
- Suspension pending outcome for serious violations.
- Employee response.
- Discipline hearing.
- Appeal.
- Administration of discipline.
  – Progressive in nature except for serious offenses.

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6. Clear disciplinary procedures are a critical tool for organizational and management success.

   a. They are often dictated by state or local law, local regulations, or labor agreement or contract.

   b. There are several common examples of disciplinary procedures.

      - An employee notification, or "show cause notice," notifies the employee in writing of each separate alleged violation and the disciplinary action proposed, once evidence of misconduct is reasonably established.

      - Suspension pending outcome is used in cases of serious breach of policy or behavior. The employee is suspended, pending the outcome of the discipline process.

        -- This should only be exercised in cases where more risk and liability exists by allowing the employee to remain at work.

        -- This must be exercised in accordance with any applicable laws, regulations, procedures and labor agreements.

        -- Rules vary by state.

      - An employee response is the employee's opportunity to respond to the charges, either in writing or in person, within a reasonable specified time period.

- A discipline hearing is a hearing conducted by a designated employer representative and the offending employee (or employee representative, in some cases).
  - In most cases, the hearing officer must have prior training.
  - The employee should be provided sufficient notice to enable preparation of a defense.
  - The employee should be provided the names of people who will testify at the discipline hearing.
  - The judicial process should be followed to ensure fairness to the accused employee.
  - The alleged violation(s) must be explained to the employee.
  - The employee must be given the opportunity to explain his or her side of the issue.
  - The employee must have the opportunity to defend himself or herself.
  - A hearing officer is normally empowered to determine degree of culpability for each alleged violation, and to affirm, reduce or vacate the proposed discipline.
  - Proceeding and findings must be documented.
  - The employee may be entitled to appeal the decision of the hearing officer.
  - This is as established by state or local law, regulation or procedures.
  - Administration of the discipline may be deferred, pending the outcome of the appeal process.
- Discipline is administered upon final determination.

7. Progressive discipline follows specified steps of severity, based on the gravity of the offense and repeated occurrences. It will include a range of disciplinary measures.

a. A verbal warning is an informal verbal notification from a supervisor of a specific behavior or performance deficiency.

- It is generally applied to less serious offenses (e.g., tardiness, unexcused absence, minor policy or procedural violations).

- It is applied in cases where conformance can be expected to be achieved with this minor level of discipline, or as a requisite first step to more formal discipline.

- No record is generally maintained of this level of discipline once conformant behavior or performance is achieved.

b. A written warning is a formal, written notification from a supervisor of a specific behavior or performance deficiency.

- It is generally applied to less serious offenses (e.g., tardiness, unexcused absence, minor policy or procedural violations).

- It is used for the repeated occurrence of an offense for which a verbal warning was previously administered.

- Human resource policies generally specify a retention period for written warnings.

c. Suspension or reduction of pay is an ordered absence without pay or a specified reduction of pay for a specific period.

- This is generally applied to more serious first-time offenses (e.g., violation of a policy resulting in injury or property damage, absence without leave, etc.).

- It is used for the repeated occurrence(s) of an offense for which a written warning was previously issued.

- Human resource policies generally require permanent retention of disciplinary actions resulting in suspension or reduction of pay.

d. Termination or discharge is the immediate release of an employee from employment.

- This is generally applied to the most serious first-time offenses (e.g., theft, battery, falsification of records, incompetence, insubordination, etc.).

- Progressive discipline concepts are generally not applicable to these types of offenses.

- This may be used for the repeat occurrence of an offense for which a lesser discipline was previously imposed.

- Recent court decisions reflect a widening list of conditions under which an employee may not be lawfully discharged.

- Human resource policies generally require permanent retention of disciplinary actions resulting in termination.

- The punishment should "fit the crime," yet employees should have an opportunity to conform to expected norms of behavior and performance in all but the most serious of cases.

  -- Repeated lesser offenses warrant more severe consequences.

  -- Probationary employees are often held to a higher standard of behavior and performance.

  -- Progressive discipline is the exception for probationary employees.

ACTIVITY 7.2

Developing a Solution to a Human Resource Management Issue

Purpose

To develop a solution for a human resource management issue (from a given scenario) that is consistent with applicable federal and state laws and regulations, as well as accepted human resource management principles and practices as discussed in this unit.

Directions

1. Work in small groups of four to six.

2. Each group will be assigned one of four scenarios.

3. Each group will have 30 minutes to discuss the scenario and propose a solution to the situation, considering the following questions. If available, record your answers on an easel pad:

   a. What federal, state and/or local laws or regulations apply to this issue, if any?

   b. What agency policies, procedures or guidelines, if any, are relevant to this issue?

   c. Is there time sensitivity to resolution of this issue?

   d. What are the potential consequences of inaction on the issue?

   e. What accepted resource management principles and/or practices apply to this situation?

   f. What is the group's proposed solution to the issue, including factors considered, and why?

4. After 30 minutes, select a representative to present the group's scenario and findings to the entire class.

5. At the conclusion of each group's presentation, the facilitator will solicit comments from the class.

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ACTIVITY 7.2 (cont'd)

Developing a Solution to a Human Resource Management Issue

Scenario 1

You are the General Manager of the Wopperloo County Emergency Medical Services (WCEMS) that provides advanced life support (ALS) and ambulance transportation services throughout Wopperloo County with 25 full-time paramedic/emergency medical technicians (EMTs) for emergency responses, and seven part-time EMTs for nonemergency transports. The state EMS authority recently amended its regulations, giving it the authority to suspend or revoke paramedic and EMT licenses for a variety of reasons including (1) failure to meet training requirements, (2) conviction of a crime, and (3) driver's license suspension or revocation. Your agency policy requires all full-time and part-time ambulance employees to maintain either an EMT-P or EMT-1 license as a condition of continued employment.

You were recently notified by the state EMS agency that one of your full-time employees' EMT-1 license has been suspended for failure to renew his driver's license. The affected employee states that he was late getting it renewed and shows you a current state driver's license.

Scenario 2

You are the public safety chief of Snowball, a community of 22,000 with nine career and 25 volunteer firefighters.

One of your senior volunteer officers has developed a recent history of minor policy violations, including two unexcused absences from mandatory training meetings, failure to wear appropriate personal protective equipment (PPE) on an EMS incident, and failure to refill an apparatus water tank upon return from a vehicle fire. You are notified by one of the career employees that the volunteer got into a heated argument involving use of profanity and verbal threats against a career employee at an emergency incident scene earlier today that was witnessed by several civilian onlookers. The volunteer employee has received verbal and written warnings for her previous policy violations. The volunteer's husband is a local business owner who makes a significant contribution to the department every year.

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Scenario 3

You are the chief of the Cutting Edge Volunteer Fire Department, providing fire protection for the 9,200 residents of the city of Sharp with 25 volunteers. Over the past 12 months, six of those volunteers have resigned, citing a hostile work environment created by the training chief. Each stated that at different times, the training chief has made them repeat classes because they failed to meet training standards. Your department adopted training standards a year ago for each rank that were subsequently communicated to all members. The training delivered has been specifically designed to meet those standards.

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Scenario 4

You are the chief of the Bottomline City Fire Department, serving 23,000 residents with a combination department of 18 career and 15 volunteer firefighters. Because of higher than anticipated call volume and fuel costs, your department's annual budget is nearly depleted. The region is in the middle of a record drought, and there have been wildfires every day for the last two weeks. Your volunteers are paid by the hour when they are on a fire. Last pay period, ten of your volunteers worked more than 50 hours. They were not paid time and a half for time worked in excess of 40 hours. One of the younger volunteers has come to you and said he should have been paid time and a half for everything over 40 hours. If the department doesn't pay him the additional wages, he is going to consult an attorney.

Scenario 5

You are the chief of a department that serves a community of 35,000 with 40 career fire fighters and 15 part-time paid-call firefighters. As a result of recent collective bargaining, the firefighter's union labor contract was amended to require establishment of a Labor Management Committee, with the specific bylaws to be jointly established between the union and department management. During the initial committee meetings, one of the union members repeatedly blows up and swears at the management representatives, including the fire chief, stating that they are undermining the intent of the contract language. The union president and other union members do nothing about their colleague's behavior and language.

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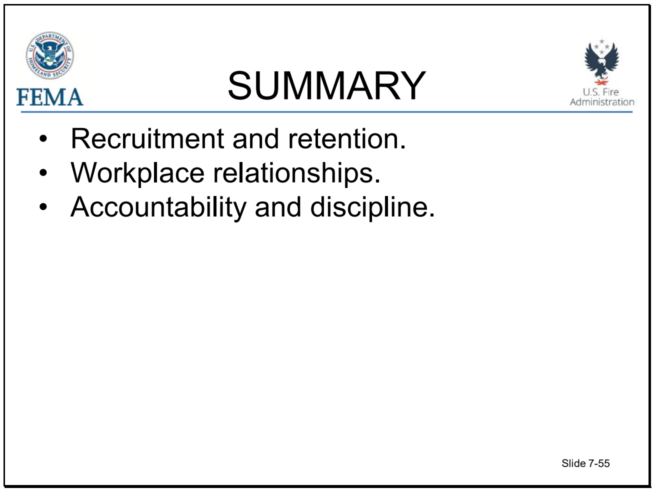
III. SUMMARY


FEMA
SUMMARY
U.S. Fire Administration
• Recruitment and retention.
• Workplace relationships.
• Accountability and discipline.
Slide 7-55

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APPENDIX A

SAMPLE FIRE INSPECTOR JOB DESCRIPTION/ DUTY STATEMENT

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CONTENTS

Definition

Under the supervision of the Division Chief/Fire Marshal, performs administrative and technical work in support of the Fire Prevention Division, including fire safety inspections, hazard reduction, public education, and other related work as assigned.

Examples of Duties

Under direct supervision, inspect buildings, events and fire protection systems for compliance with applicable codes, ordinances, regulations and standards; conduct investigation of fire hazard complaints and recommend appropriate corrective action; develop and deliver public education programs relating to fire safety; coordinate weed abatement compliance with other city departments; maintain a positive working relationship with other city departments, employees, contract cities, community professionals, citizens and residents; and adhere to all city rules and regulations. You may also be assigned to assist with the development and delivery of fire prevention-related training to other fire department or city staff; prepare and present technical reports, maintain records, and work with other related information and statistics; and prepare written correspondence, assist with fire investigations, and promote and maintain safety in the workplace. This position performs field inspections that may require use of a personal vehicle, in which case mileage will be reimbursable at the applicable Internal Revenue Service (IRS) rate.

Employment Standards

Education and Experience

Any combination equivalent to graduation from high school and six consecutive months of work experience in fire prevention, building inspection or structural firefighting, supplemented by a minimum of 12 semester units of college-level courses related to fire prevention and/or public education.

Knowledge, Skills and Abilities

Knowledge of: fire and building codes; city ordinances, rules and regulations; nationally recognized fire and life safety standards; and fire extinguishing and alarm systems.

Ability to: understand codes, ordinances, regulations and standards; identify fire and life hazards in special processes or facilities, including industrial, commercial, residential and other occupancies; communicate clearly, verbally and in writing; read and understand blueprints and other construction plans submitted for evaluation; understand and apply city and department policies, directives and regulations, as well as local rules and regulations relating to fire department operations, city geography, water systems and hazards; and promote a positive and proactive work environment.

License/Certificate/Special Requirements

License and vehicle requirements: valid Class C California driver's license with an acceptable driving record. Vehicle to be used on duty must be insured with at least the minimum automobile liability insurance limits required by the state of California. The city reserves the right to ask for proof of automobile liability insurance at any time. As required by law, the vehicle must be maintained in safe mechanical condition, seatbelts must be used during operation, and hands-free access is required for use of cellphones.

Physical demands and working conditions: On a continuous basis, sit at a desk, walk, or stand up for long periods of time. Intermittently twist and reach for office equipment; write or use keyboard to communicate in writing; lift up to 25 pounds; drive a motorized vehicle; and walk on uneven surfaces, kneel, stoop, bend, and climb up/down slopes while conducting field inspections. See in the normal vision range with or without correction to read documents, computer screens, blueprints and drafting plans. Work is performed indoors and outdoors. Outdoor work includes exposure to a variety of weather conditions; exposure to traffic, noise and physical barriers; proximity to heavy equipment and hazardous substances; slippery or uneven surfaces; and conditions involving fire, chemicals and fire debris.

APPENDIX B

SAMPLE EVALUATION FORMAT

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CONTENTS

Performance Evaluation

The purpose of this review is to objectively evaluate the performance of the employee for the period of Jan. 1, 2012, through Jan. 1, 2013, based upon the job description and performance standards.

Performance evaluation

NAME OF EMPLOYEE:

Job code and title: Fire Captain

Salary range and step:

NAME OF SUPERVISOR:

Job title: Battalion Chief

Type of evaluation:

__X__ Annual ______ Probationary — ______ months

______ Probationary — 3 months ______ Change of job

______ Probationary — 6 months ______ Other ________________________

Date of face-to-face discussion:
Date of next performance review:

PART 1

List below the critical tasks identified in the job description and provide comment on the extent to which the employee meets the performance standard with specific examples (use continuation sheet, if necessary):

Critical task: Ensure that crew and self respond to assigned apparatus and don proper safety gear within one minute of completed dispatch; ensure that crew and self are 100 percent seatbelt and hearing-protection compliant; ensure that crew and self, don appropriate safety gear and personal protective equipment (PPE); and while responding and at scene, supervise with regard to crew, civilian and personal safety.

Achievement of standard:

Critical task: At the scene of a fire or hazardous materials incident, give an on-scene report and size-up; designate a plan of action; take or pass command and initiate appropriate action; and stage and/or carry out/direct assigned duties under the direction of the Incident Commander (IC).

Achievement of standard:

Critical task: At the scene of a medical emergency, provide for the safety of public and assigned personnel; direct and render medical care to the level of certification; and act as the liaison with on-scene representatives of support agencies.

Achievement of standard:

Critical task: Provide clear, concise and timely documentation of emergency response(s) and correct incident reports as needed and directed by the National Fire Incident Reporting System (NFIRS) report checker(s).

Achievement of standard:

Critical task: Ensure that apparatus is clean, functional, and in an immediate response state at all times; ensure that assigned station and grounds are clean, in good repair, and free of safety hazards; ensure that daily, weekly and monthly apparatus checks are performed correctly and appropriate documentation (Forms 201, 201A, 215) is completed; ensure that narcotics are accounted for daily and appropriate documentation is completed; ensure that portable radios and Knox Box keys are accounted for and appropriate documentation is completed; ensure that medical compartment on the apparatus is locked at all times when not in use; and ensure that station logbook is maintained and completed.

Achievement of standard:

Critical task: Supervise crew activities; ensure that crew performs required activities listed in Fire Department Operations Manual for daily, weekly and monthly minimum requirements; ensure that safety gear of crew and self is accounted for and maintained in an immediate response state at all times; report damaged and/or lost city property to assigned Battalion Chief; implement and uphold fire department and city policies and procedures in a professional and supportive manner to ensure success; prepare annual performance agreements and reviews on assigned personnel and other reports as needed; and ensure that assigned personnel are kept aware of work performance (or lack thereof) at least quarterly.

Achievement of standard:

Critical task: Develop strong and effective working relationships with co-workers; maintain a professional working atmosphere when interacting with other agencies (law enforcement and Emergency Medical Services (EMS)); maintain a well-kept uniform and appropriate personal hygiene habits to ensure a professional appearance; and provide and uphold a discrimination- and violence-free workplace.

Achievement of standard:

Critical task: Provide adequate documentation of patient contact and care; complete necessary follow-up and Quality Improvement forms as needed; complete daily, weekly and monthly checks on EMS equipment and document as required; ensure the presence of controlled drugs and sign for same; maintain documentation of required continuing education hours; report all classes attended on and off duty for entry into the training log; and ensure adequate time is provided for renewal of license to prevent expiration.

Achievement of standard:

PART 2

Performance characteristics

In items 1 to 16 below for all employees and items 1 to 25 for supervisors, the rater will indicate his or her judgment as to whether or not the employee meets or does not meet performance characteristics listed below. Explain all “does not meet” ratings in the “comments” space.

	ALL EMPLOYEES	Does Not Meet				Meets			Exceeds		
1.	Demonstrates appropriate knowledge and expertise.	10	9	8	7	6	5	4	3	2	1
2.	Maintains level of physical fitness and mental alertness to perform the job.	10	9	8	7	6	5	4	3	2	1
3.	Makes sound decisions.	10	9	8	7	6	5	4	3	2	1
4.	Seeks self-improvement in job skills.	10	9	8	7	6	5	4	3	2	1
5.	Is adaptable to changing situations.	10	9	8	7	6	5	4	3	2	1
6.	Supports and maintains a discrimination-free work.	10	9	8	7	6	5	4	3	2	1
7.	Has acceptable work habits.	10	9	8	7	6	5	4	3	2	1
8.	Demonstrates knowledge and support of city department policies and objectives.	10	9	8	7	6	5	4	3	2	1
9.	Observes personal safety habits and encourages safe practices by others.	10	9	8	7	6	5	4	3	2	1
10.	Takes appropriate care of city equipment.	10	9	8	7	6	5	4	3	2	1
11.	Handles difficult situations effectively.	10	9	8	7	6	5	4	3	2	1
12.	Is clear and concise in written communications.	10	9	8	7	6	5	4	3	2	1
13.	Is clear and concise in oral communications.	10	9	8	7	6	5	4	3	2	1
14.	Organizes work well.	10	9	8	7	6	5	4	3	2	1
	CUSTOMER SERVICE PERFORMANCE CHARACTERISTICS — ALL EMPLOYEES										
15.	Exhibits cooperative and effective relations with fellow workers (internal customer service).	10	9	8	7	6	5	4	3	2	1
16.	Exhibits effective customer service skills with public (external customer service).	10	9	8	7	6	5	4	3	2	1

SUPERVISORS ONLY

17.	Challenges and develops subordinates.	10	9	8	7	6	5	4	3	2	1
18.	Encourages candor and frankness in subordinates.	10	9	8	7	6	5	4	3	2	1
19.	Requires the best from subordinates.	10	9	8	7	6	5	4	3	2	1
20.	Encourages subordinates to develop objectives to attain job standards.	10	9	8	7	6	5	4	3	2	1
21.	Delegates authority effectively.	10	9	8	7	6	5	4	3	2	1
22.	Provides clear guidance to subordinates.	10	9	8	7	6	5	4	3	2	1
23.	Is supportive of subordinates.	10	9	8	7	6	5	4	3	2	1
24.	Accomplishes the spirit and intent of the performance review process.	10	9	8	7	6	5	4	3	2	1
25.	Promotes effective customer service objectives and encourages subordinate’s support of customer service goals.	10	9	8	7	6	5	4	3	2	1

Comments — write comments concerning other performance characteristics and/or the above listed statements in the space below:

PART 3

Based upon the information contained in Parts 1 and 2, my evaluation of the overall performance during this period is:

/__/ Exceeds job requirements. (Supervisor may add comments about performance as desired.)
/__/ Meets job requirements.
/__/ Needs improvement.

PART 4

Action recommendation:

______ Retention on regular status.

______ Merit increase to ______ step.

______ Extend probation for ______ months.

______ No action required.

______ Rejection during probation.

______ Withhold step increase.

______ Other (specify).

PART 5

Employee comments:

You are encouraged to make comments on the review and list significant examples of performance which you believe would be helpful in describing your performance during this period (use continuation sheet, if necessary).

Employee comments (initial here, if you do not wish to comment ______).

Rater: I discussed this evaluation with the employee on ________________________.

Signature:

Employee: I received this evaluation on ______________________.

Signature:

PART 6

Comments by senior raters:

I am the supervisor of the rater. I have received this performance evaluation and ________ have the following comments:

Name (print): ____

Signature: ____ Date: ___________

PART 7

Fire chief and personnel officer review:

I have reviewed this performance evaluation and find it to be consistent with the standards and evaluation procedures of the department. A copy of the performance evaluation, including comments by raters, will be provided to the employee. The employee retains the right to submit additional comments on any information provided by any rater. Future comments by the employee will be given to the rater for forwarding to the Personnel Department.

____

____

Fire Chief Date

I have received this performance evaluation and find it to be consistent with the standards and evaluation procedures of the city.

____

____

Personnel Officer Date

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APPENDIX C

FACTORS TO CONSIDER IN ADMINISTERING DISCIPLINE

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CONTENTS

FACTORS TO CONSIDER IN ADMINISTERING DISCIPLINE

Nature of the issue
Alleged offense(s):
a. Specific law, rule, regulation, policy or procedure violated.
b. Date(s)/Time(s) of violation.
c. Equipment involved.
d. Other person(s) involved.

Frequency/Duration of issue:
a. Is this the first offense?
b. If not, dates/times of prior offense(s).
c. Has employee been previously warned or disciplined for past occurrences?
d. If so, level of discipline administered.

Seriousness of the problem:
a. Does alleged offense involve potential harm to others?
b. Is suspension of employee pending outcome of the discipline process warranted?
c. Is progressive discipline appropriate for this offense?

Degree of employee awareness:
a. Has employee received training or education on the policy, procedure, rule or regulation violated?
b. If so, when and how documented?
c. If not, is it reasonable to expect the employee to know the expected standard of behavior/ performance?
d. How?

Similar past infractions:
a. How have similar infractions been handled in the past?
b. Contact to obtain this information:

Time sensitivity:
a. Is there any time sensitivity to this problem?
b. If so, what is it?

Requirements:
a. Are there any specific timeline requirements? What are they?
b. What laws, regulations and procedures are applicable to this issue?
c. Is employee notification of alleged offenses required?
d. If so, date/time served.
e. Timeline for employee response:
f. Timeline for discipline hearing:
g. Who determines the hearing officer?

h. Timeline for notifying employee of hearing date and officer:
i. Appeal process?
j. Employee notification of appeal process:
k. Effective date of discipline:
l. Other required notifications:
m. Documentation requirements:
n. Contact to ensure conformance with process requirements:

Management support:
a. Management advised of issue and proposed discipline?
b. Any issues with support?

For additional resources, refer to the sample policy/guideline format at http://www.vcos.org/resources/sogssops/.

UNIT 8: COLLABORATION, COOPERATION AND COMMUNITY ENGAGEMENT

TERMINAL OBJECTIVE

The students will be able to:

8.1 Explain collaborative partnerships and their benefit to the new executive chief officer and/or Emergency Medical Services (EMS) managers.

ENABLING OBJECTIVES

The students will be able to:

8.1 Define collaboration and cooperation.

8.2 List two internal partners and two external partners.

8.3 Identify two collaborative partnerships currently within your organization.

8.4 Identify two potential, external collaborative partnerships.

8.5 Describe three types of consolidations and any changes that may occur.

8.6 Outline an annual community engagement plan.

8.7 Describe ways to manage public perception.

8.8 Identify the different types of services that the fire department performs and how these services benefit their stakeholders.

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FEMA

U.S. Fire Administration

UNIT 8: COLLABORATION, COOPERATION AND COMMUNITY ENGAGEMENT

Slide 8-1

TERMINAL OBJECTIVE

Explain collaborative partnerships and their benefit to the new executive chief officer and/or Emergency Medical Services (EMS) managers.

Slide 8-2

ENABLING OBJECTIVES

- Define collaboration and cooperation.
- List two internal partners and two external partners.
- Identify two collaborative partnerships currently within your organization.
- Identify two potential, external collaborative partnerships.
- Describe three types of consolidations and any changes that may occur.

Slide 8-3

ENABLING OBJECTIVES (cont'd)

- Outline an annual community engagement plan.
- Describe ways to manage public perception.
- Identify the different types of services that the fire department performs and how these services benefit their stakeholders.

Slide 8-4

I. COLLABORATION

COLLABORATION

- To work together.
- The Latin derivative comes from a combination of words that translates to "labor together."
- Collaboration requires at least two parties working toward a common goal.
- Mutual aid is part of our Incident Command System (ICS).

Slide 8-5

A. Collaboration means working together.

B. The Latin derivative comes from a combination of words that translates to "labor together."

C. Collaboration requires at least two parties working toward a common goal.

D. Mutual aid allows fire departments to fill key positions.

1. Example: The fire and elementary school coalitions are going to create an in-school education program to educate fourth graders on the dangers of poisons and how to reduce injuries.

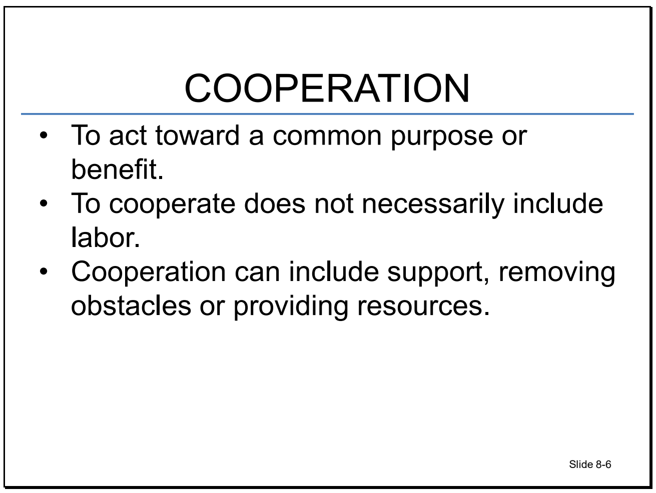
2. The fire service personnel and the fourth grade teachers will teach a curriculum in the elementary schools.

3. The school district will give the fire department three hours every year, before the beginning of the school year, to train the teachers.

4. In this order, the example defines the "what" as the education program; the "why" as to reduce injuries; and the "who" as the fourth graders, teachers, and fire service personnel.

E. Mutual aid allows fire departments to fill regular positions (e.g., Safety Officer or aide).

II. COOPERATION



A. Each member of the team or group should work toward a common purpose or benefit.

B. The act of cooperation does not necessarily include labor.

C. Cooperation can be subtle or indirect without direct intervention.

III. INTERNAL AND EXTERNAL PARTNERS

INTERNAL AND EXTERNAL PARTNERS

- Internal and external partners may include the following:
  - Internal partners may include auxiliary groups.
  - Collective bargaining teams.
  - Boards or city councils.
  - City managers or mayors.
  - Larger communities or organizations may have divisions.

Slide 8-7

A. Most organizations have internal and external partners.

B. Communicating your vision to those you collaborate with, both internally and externally, is crucial to achieving your goals. Each group has different needs and reasons for cooperating.

INTERNAL AND EXTERNAL PARTNERS (cont'd)

- Internal partners exist in the form of the following groups:
  - Labor groups, auxiliaries, employee committees.
  - Internal agencies such as law enforcement or infrastructure.
  - Policymakers or boards.

Slide 8-8

C. Internal partners exist in the form of the following groups:

1. Labor groups, auxiliaries and employee committees.

2. Internal agencies, such as law enforcement or infrastructure.

3. Policymakers or boards.

INTERNAL AND EXTERNAL PARTNERS (cont'd)

- You need to communicate your vision to those you collaborate with.
- Communication may be different with internal partners than external.

Slide 8-9

4. Communication may be different with internal and external partners.

5. There is the ability to do more face-to-face with internal partners. Using technology, such as email, or being available for clarification for verification of duties is a benefit.

   a. Witnessing the accomplishments of the internal groups sooner allows you to share successes with both partners quicker.

   b. Explain the benefits of collaboration with external partners (the fact that everyone wins, not just the internal or external partners).

INTERNAL AND EXTERNAL PARTNERS (cont'd)

- External partners may include the following:
  - Law enforcement.
  - Educational organizations.
  - Businesses — public and private.
  - Charities — both local and national.
  - Scouts.
  - Athletic organizations.
  - National Fire Academy (NFA), International Association of Fire Chiefs (IAFC), National Fire Protection Association (NFPA).

Slide 8-10

D. External partners may include the following groups:

1. Law enforcement.

2. Educational organizations.

3. Public and private businesses.

4. Local and national charities.

5. Scouts.

6. Athletic organizations.

7. National Fire Academy (NFA), International Association of Fire Chiefs (IAFC), and National Fire Protection Association (NFPA).

E. External partners and communication.

1. They need to feel trust and deserve an explanation about how both sides win or benefit.

2. Emphasize the importance of communication with external partners; there is no such thing as virtual trust.

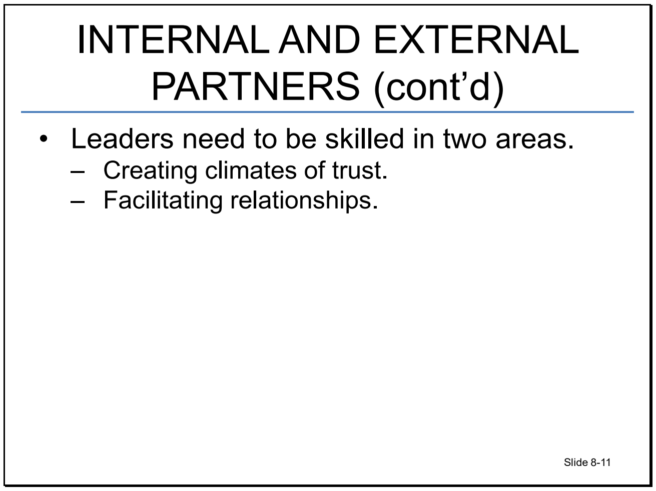
3. It is extremely important to meet with external partners, as opposed to communicating only through email or by phone.

   a. External partners need to be scheduled to meet with internal partners occasionally.

   b. A meeting of all the collaborative partners will promote teamwork and trust.

   c. It instills confidence in the groups that everyone is working toward the goals established by the group.

   d. Fostering trust within an organization is the key to a sustainable strategic plan and a successful collaboration.



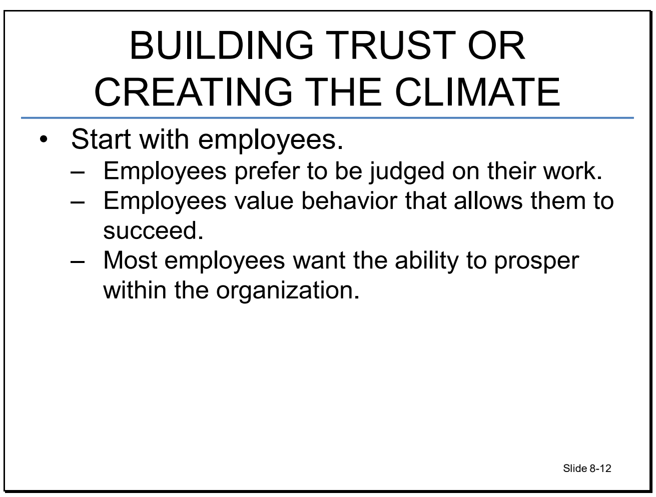
F. Leaders need to be skilled in two areas.

1. Creating climates of trust.

2. Facilitating relationships.

G. To facilitate this partnership you need to create trust.

IV. BUILDING TRUST OR CREATING THE CLIMATE



A. Start with employees.

1. Employees prefer to be individually judged on their work.

2. An employee values behavior that allows them to succeed.

3. Most employees want the ability to prosper within the organization.

BUILDING TRUST OR CREATING THE CLIMATE (cont'd)

- With external partners.
  - Look for signs or opportunities to encourage the group.
  - They seek recognition from the leader.
  - They value teamwork and promote it as much as possible.

Slide 8-13

B. With external partners.

1. Look for signs or opportunities to encourage the group.

2. They seek recognition from the leader.

3. They value teamwork and promote it as much as possible.

BUILDING TRUST OR CREATING THE CLIMATE (cont'd)

- The combined group's needs are where the facilitation skills are important.
- Both the internal and external partners must believe the chief has their best interests at heart.

Slide 8-14

C. The combined group's needs are where facilitation skills are important.

1. Both internal and external partners must believe the chief has their best interests at heart. The chief should use terms like "we," "our" and "together."

BUILDING TRUST OR CREATING THE CLIMATE (cont'd)

- The executive chief officer must share with internal and external partners his or her values and beliefs.
  - Be willing to admit mistakes.
  - Advocate that all need personal improvement.
  - Encourage feedback.
  - Listen to everyone.
  - Acknowledge the accomplishments and efforts of others.

Slide 8-15

2. The new executive chief officer must be the first to share with internal and external partners his or her values and beliefs. It is very important that you are willing to admit mistakes.

3. Advocate that we all need personal improvement from time to time, and encourage both positive and negative feedback. Listen to everyone, and acknowledge the accomplishments and efforts of others.

BUILDING TRUST OR CREATING THE CLIMATE (cont'd)

- Be willing to change your mind when someone suggests a good idea.
- When you endorse someone or an idea, use your values (or the organizational values) as the meter or gauge for the endorsement.

Slide 8-16

4. Be willing to change your mind when someone suggests a good idea.

5. When you endorse someone or an idea, use your values (or the organizational values) as the meter or gauge for the endorsement.

BUILDING TRUST OR CREATING THE CLIMATE (cont'd)

- Enlist others, and determine the appropriate partners.
  - Seek those who have mutual concerns and similar problems.
  - Determine who receives your services and delivers them.
  - Learn who your customers' clients are.

Slide 8-17

D. Enlist others, and determine the appropriate partners.

1. Find those who share your concerns and have similar problems.

2. Determine who else receives and delivers your services.

3. Identify your customers' clients, as they or their organizations may become partners. This will ensure that someone you provide service to does not disappear or suffer a catastrophic event.

   a. Example: You receive funding from a municipal tax pool that also funds law enforcement and code enforcement.

   b. Both divisions could be potential partners in a process that targets the use or regulation of fireworks. It could potentially save the municipality some revenue by sharing resources.

BUILDING TRUST OR CREATING THE CLIMATE (cont'd)

- The common bond.
  - Are there areas of interest that you share with external or internal partners?
  - Is there a common need, resource shared, or resource desired by your partners?
  - Look for the common thread of cooperation.

Slide 8-18

E. The common bond.

1. Assess if there any areas of interest that you share with external or internal partners.

2. Find a common need, resource shared, or resource desired by your partners.

3. Look for the common thread of cooperation as mentioned.

COLLABORATION AND COOPERATION

- Collaboration and cooperation allow for upward influence.
  - It should influence managers and supervisors because of the promise of success in completing a task or project.
  - Influence at higher levels can be seen in reasoning opportunities, making new friends or supporters, coalition building, and bargaining.
  - Recognize success personally.

Slide 8-19

F. Collaboration and cooperation allow for upward influence.

1. It should influence managers and supervisors because of the promise of success in completing a task or project. Managers and chiefs know that groups of like-interest influence the decision and decision-makers.

2. Influence at higher levels can be seen as reasoning opportunities, making new friends or supporters, coalition building, and bargaining.

3. All of these tools may be needed to influence outside resources or policymakers. These skills may manifest themselves in the strength and composition of the partners or be individual influences that a specific partner adds to the collaborative effort.

G. Recognize success personally.

1. When a benchmark is reached, recognize the group. Remember everyone wins when one individual or group is successful.

2. Always stress that when one group is successful, it is a success for the entire coalition. This is the true benefit of collaborating and cooperating.

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ACTIVITY 8.1

Establishing Effective Partnerships

Purpose

To identify possible partners for collaboration and to identify their benefits to the organization.

Directions

1. Facilitator will assign small groups and a scenario to each group for this activity.

2. There will be 20 minutes for this activity and 25 minutes for groups to report out their findings.

3. Define at least one possible internal partner and two external partners for the scenario.

4. List some of the probable benefits from the collaboration of both the internal and external partnerships.

5. Upon completion of this activity, each group will select one person to record the group's conclusions on an easel pad and report to the class.

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ACTIVITY 8.1 (cont'd)

Establishing Effective Partnerships

Scenario 1

The Enterprise Volunteer Fire Department needs a new Type 6 Brush Unit for their department. The unit serving the department presently is 18 years old and has failed en route to a couple of wildfires in the past two years. The department funds are limited to $11,000. The cost of a new unit from a fire truck manufacturer has been priced at $72,000.

The community has a one truck dealership in town. The owner of the dealership has offered to sell the department a truck at cost, but that is just the chassis, which does not include the firefighting equipment, water tank or storage compartments. The old unit will not fit on the new chassis. The dealer's offer will still cost the department $20,000. A local fabrication shop exists within the community.

A member of the department has stated he believes he could build the unit if he had the resources, which include a shop with tools and a lift. He has some experience in building them in his past and feels strongly he could accomplish this task for approximately $6,000 in materials.

A state Division of Forestry employee has advised you that, if you were to secure a newer unit, it may be eligible to be added to the state's resource list. This would allow the department to be compensated when the unit is requested for state wildfires. You know that many departments in your state have recouped up to $10,000 a year by having equipment listed in the state cache.

In the past, a few organizations and civic groups have approached the department to offer their services as fundraisers. One group wanted to annually use the fire apparatus to fill swimming pools in the community and unincorporated areas. There are a large number of residences with swimming pools in this community. Another group expressed an interest in hosting a golf tournament, and yet another group wanted to sell cookbooks with recipes from local cooks.

Scenario 2

The Desperate Municipal Fire Department has decided to lobby the local city council to create an ordinance calling for the adoption of the newest fire code. This code requires residential sprinklers to be installed in all new residential construction.

The department has been informed by the local home builders' association that they are opposed to such legislation and will actively campaign against the ordinance.

A reporter for the local newspaper has expressed interest in doing an article on the ordinance; however, she has informed the department she knows very little about residential sprinklers. She has also stated emphatically that she is cautious about the attitude of the article she will write because her editor has told her that many of the members of the local home builders group are advertising customers.

The department has a member of the local Independent Insurance Underwriters organization on its Burn Foundation Board. The department does not know how the insurance agent feels about residential sprinklers, as it has never been addressed with the Burn Foundation member.

The local city council is made up of eight elected citizens and a mayor. There are no members of the home builders' association on the council; however, the mayor campaigned on a platform of making the city more responsive to new businesses. She has also expressed a desire to streamline the building and business permit process.

Scenario 3

The Expansion Fire and Rescue district has finally acquired the resources to build a new station. The department is excited to finally have the room to store their apparatus and possibly have enough room to train indoors. The department has hopes of designing a station that would allow crews to leave their equipment in rooms designed for bunker gear storage, as well as a designated training classroom.

The city council, upon hearing the news from the city manager that a new fire station was being budgeted for the coming year, expressed a desire to have the station include a community room for local citizens to use for meetings. The council supported the station for this express purpose.

The city's solid waste division has informed the department and all the department heads, including the city manager and city council, that the location the fire department has chosen is ideal for her new recycle program. This station should include enough exterior space to allow her to leave two commercial dumpsters for the public to deposit recyclables.

The funds allocated for the design of this station cannot possibly support all of these projects, nor is the property large enough to add additional square footage to the building if the funds were available. This is confirmed by an architect who happens to be the spouse of one of the firefighters. He asked why there were no recycling dumpsters at the other two fire stations.

The chief is a member of the IAFC, and he obtained the original design for the station from an article about station design. He has expressed that he really likes the design he received from the article, but that it would be impractical based on the desires of the council and the solid waste manager's needs.

Scenario 4

The Community of Tornado Alley has had warning sirens in their city for about three years. The citizens recently came to a city council meeting and complained that every time the city tests the sirens, they do not know whether it is an emergency or a test. The city has a policy that the sirens will be tested every month, on the first day of the month, for ten seconds. The public outcry has council members concerned about whether they should test them at all. A group was commissioned by the mayor to find a solution.

The local emergency manager has expressed that the sirens must be tested. How else will he ever know if they can be heard by those affected, and how will he know if they need service?

The local media has stated that they received all their notices for weather emergencies from the National Weather Service (NWS) and send something out on the television or radio when they are told there is an emergency in the area, but they are not told when the sirens are activated.

The local first responders have varying opinions about their effectiveness. The local dispatchers state that every time the city tests the sirens, the dispatch center receives multiple phone calls on 911 from citizens asking why the sirens are sounding. They think a prenotification in the news would be helpful.

Scenario 5

The Speedy Creek Fire Department wants to start a characterization team and provide fire and life safety education in the schools. The team would teach fire and life safety through clowning and puppetry. The department has priced the puppets and the training, and it exceeds the department's annual education budget by almost 80 percent.

The local firefighters' collective bargaining group has committed to cover all the shifts of the firefighters who become members of the characterization team while they are teaching in the schools. Six members of the department have offered to receive the training.

The department has determined that writing a grant is a possibility; however, there is no one within the organization with any experience in grant writing. The school district has a grant writer employed, but she is a salaried employee of the school and not the department.

The local Shriners have a clown team they send to training and even have some resources. To no avail, they have been looking for support from the fire department for several years to distribute their literature on their burn hospitals. The local department has few resources to help distribute the materials for the Shriners.

A local senior volunteer group has offered to help the department in any way it can. The group is looking for projects to involve members who need things to fill the time of many volunteers.

A local university drama society has heard about the project and asked how the university could help.

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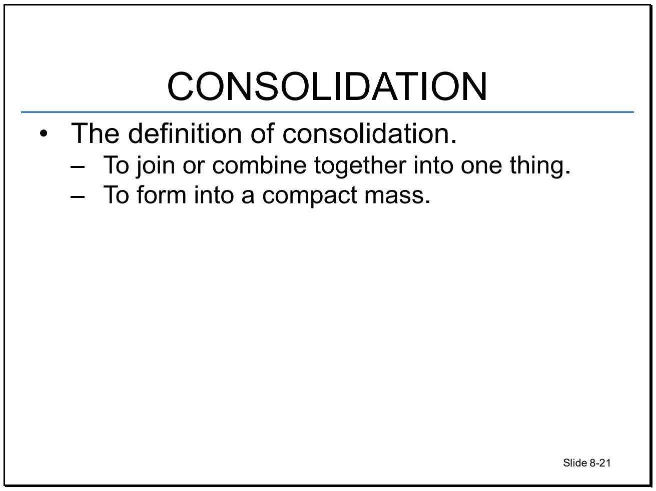
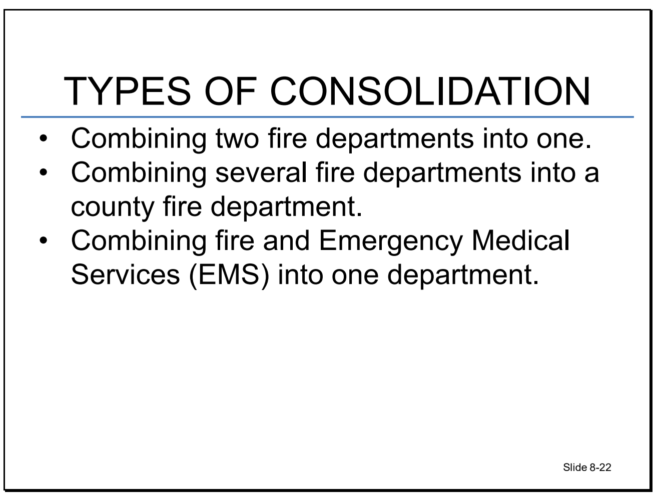
V. CONSOLIDATION



A. The definition of consolidation.

1. To join or combine together into one thing.

2. To form into a compact mass.



B. Types of consolidation.

1. Combining two fire departments into one.

a. Career to career.

b. Volunteer to volunteer.

c. Volunteer to career.

2. Combining several fire departments into a county fire department.

   a. Allowing for the existence of both career and volunteer within one fire department.

   b. Provides better response times and greater overall coverage for service.

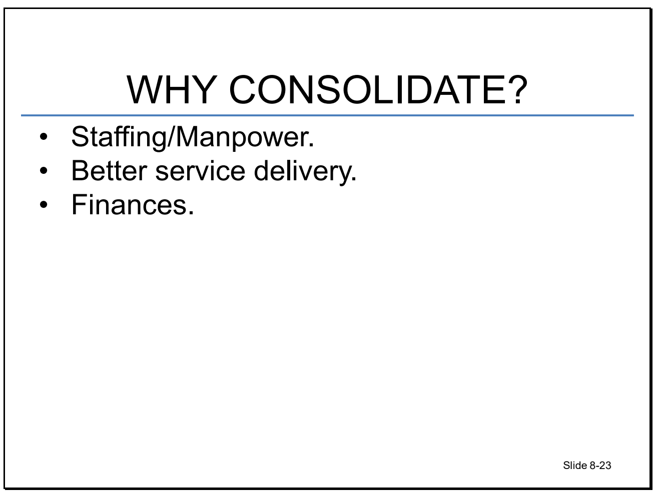
   c. Can provide cities and townships with better response for less money.

3. Combining fire and Emergency Medical Services (EMS) into one department.

   a. Provides more firefighters and medics through cross training.

   b. Provides better service to the community.

   c. Provides revenue through EMS transport service.



C. Why consolidate?

1. Staffing/Manpower.

2. Better service delivery.

   a. Building new partnership.

   b. One vision, one goal for the community.

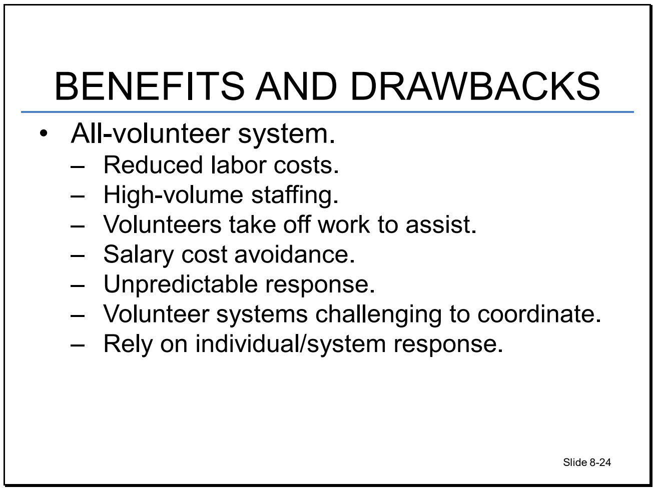
   c. Elimination of boundary lines.

3. Finances.

   a. Standardize tax rates.

   b. Potential insurance saving for residents.

   c. Political clout.



D. All-volunteer system.

1. Reduced labor costs.

2. High-volume staffing.

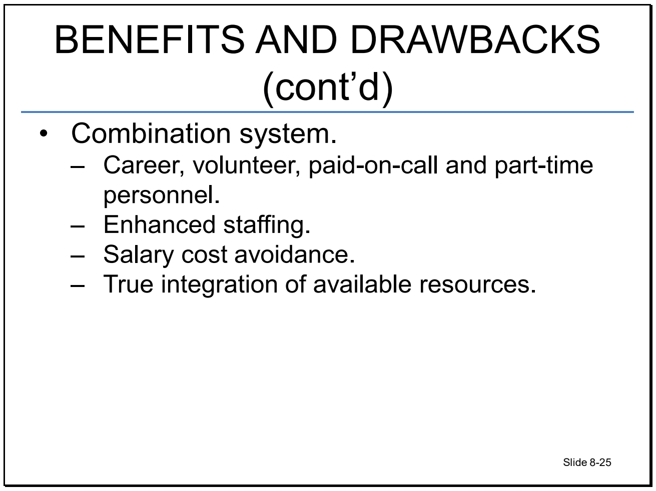
3. Volunteers take off work to assist.

4. Salary cost avoidance.

5. Unpredictable response.

6. Volunteer systems challenging to coordinate.

7. Rely on individual/system response.



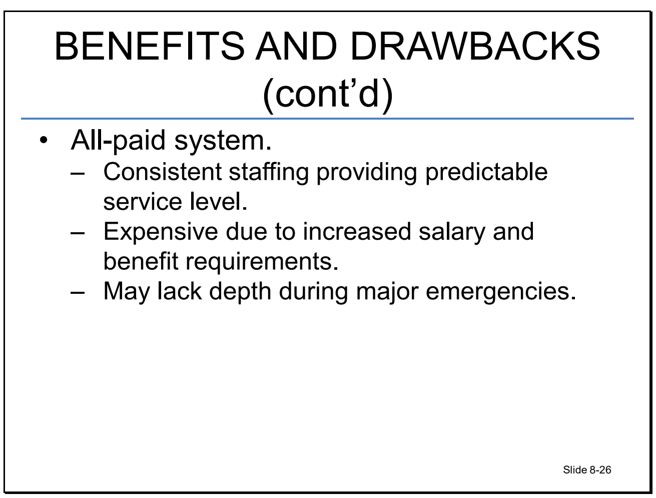
E. Combination system.

1. Can consist of any combination of career, volunteer, paid-on-call and part-time personnel.

2. Enhanced staffing deployment as combination systems can capitalize on both the stability of a paid system and the manpower of the volunteer system during a major emergency, providing greater depth for staffing.

3. Salary cost avoidance, which can free funds for essential equipment and apparatus.

4. True integration of available resources and distribution of talent resulting in greater efficiency.



F. All-paid system.

1. Consistent staffing providing predictable service level.

2. Expensive due to increased salary and benefit requirements.

3. May lack depth during major emergencies because once multiple shifts have been deployed in a major incident, few resources are left to cover other service demands.

VI. COMMUNITY ENGAGEMENT

COMMUNITY ENGAGEMENT

- Definition — the various methods that companies use to establish and maintain a mutually beneficial relationship with the community in which they operate.

Slide 8-27

A. Definition of community engagement.

1. The various methods that companies use to establish and maintain a mutually beneficial relationship with the community in which they operate.

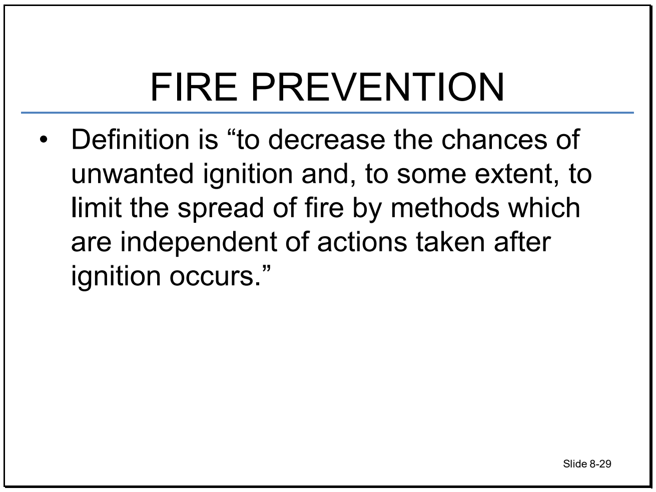
2. Relationship marketing with focus on the customer. New forms use the Internet (digital marketing). Focus on organization and social marketing, specifically on benefits to society.

COMMUNITY RISK REDUCTION

- According to the National Fire Protection Association (NFPA) (2003), “an effective community risk reduction program is one that integrates emergency response, fire code enforcement, fire and life safety education, public information and risk related economic incentives.”
- This process is deemed critical in identifying risks and reducing fire deaths, injuries and property loss within the community.

Slide 8-28

B. The definition of CRR, according to the National Fire Protection Association (NFPA), is "an effective community risk reduction program is one that integrates emergency response, fire code enforcement, fire and life safety education, public information and risk related economic incentives." This process is deemed critical in identifying risks and reducing fire deaths, injuries and property loss within the community.

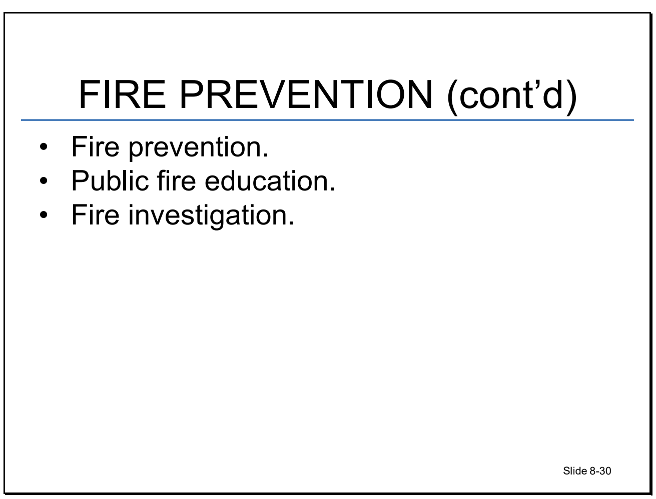


C. The definition of fire prevention is "to decrease the chances of unwanted ignition and, to some extent, to limit the spread of fire by methods which are independent of actions taken after ignition occurs."

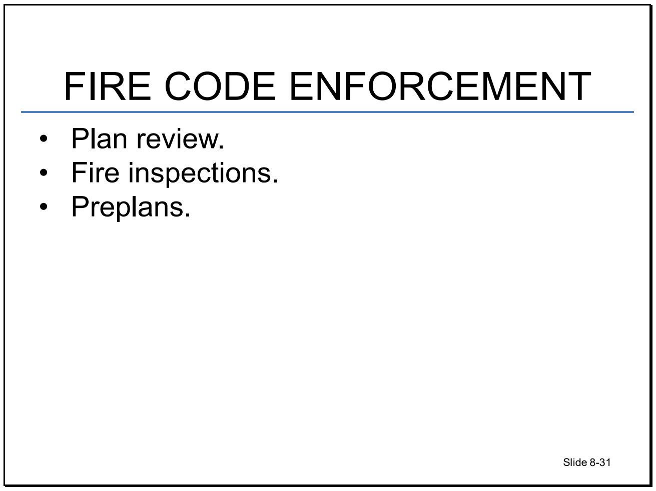
1. Fire code enforcement.

2. Public fire education.

3. Fire investigation.



D. Fire prevention.

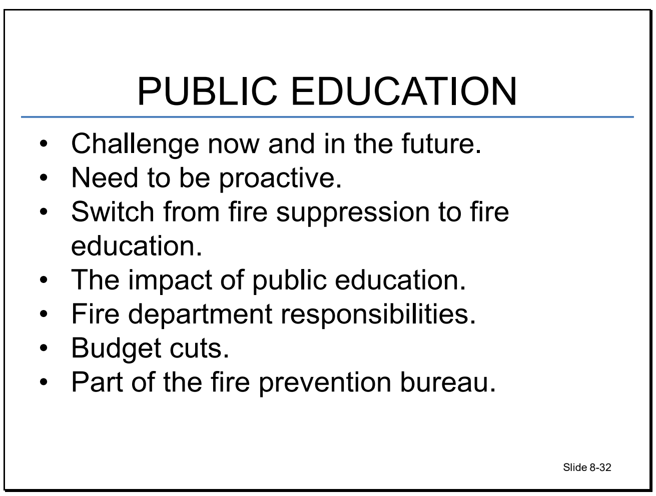


E. Fire code enforcement.

1. Plan review.

2. Fire inspections.

3. Preplans.



F. With budget restraints and more demand for services, fire departments will have to look at new ways to face their responsibilities in the coming years. The fire service will need to be more proactive and look to the future as an opportunity to improve public education delivery, while at the same time making the community a better and safer place to live.

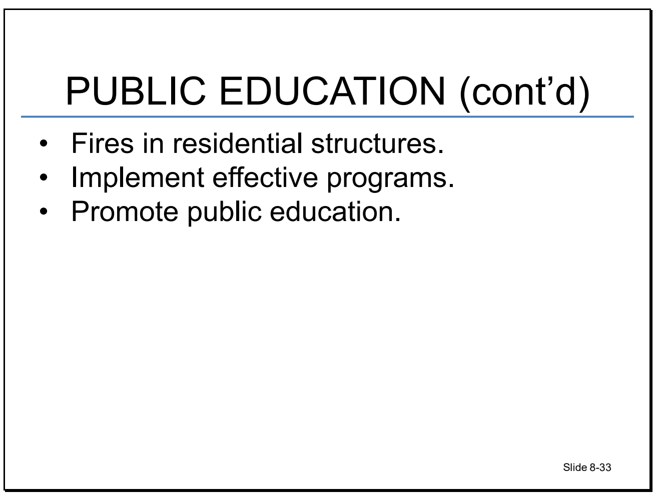
1. The chief fire executive will need to switch from fire suppression to fire education, which is a hurdle that he or she will have to overcome and address.

2. Public education can have more impact on the fire service than any other program. Public education is not a luxury that the fire service cannot afford. It has become a necessity and should be part of all fire department operations.

3. A lot of smaller departments do not have the money in their budgets to earmark for public education, yet these departments have the same responsibility to their communities as bigger departments.

4. With current budget cuts in fire departments, public education has been and will be a large challenge that the fire service will need to overcome. The fire service will need to be more proactive as to how to approach this problem. It will need to foster a greater relationship with the community and businesses for needed funds to provide public education programs.

5. The public education function is a viable, integral part of the fire prevention bureau. The direction of its programs is based upon solid statistical (trend) analysis. These programs are designed to saturate high fire-risk neighborhoods, while incorporating the business community, civil agencies and educational institutions. Volunteers from the community are recruited and used in program delivery and support.



G. Nationally, over 75 percent of all structure fires occur in residential properties. Injuries and deaths of firefighters and civilians are highest in residential occupancies. Even in departments where aggressive prevention efforts are made, public education is often superseded by commercial inspections.

1. One reason that chief officers have not completely bought into the concept of public fire education is they may lack the experience and background necessary to implement effective programs. Public fire safety education must be an integral part of any progressive fire department.

2. Promote public education.

3. All future recruit classes should include extensive training in fire prevention and public education.

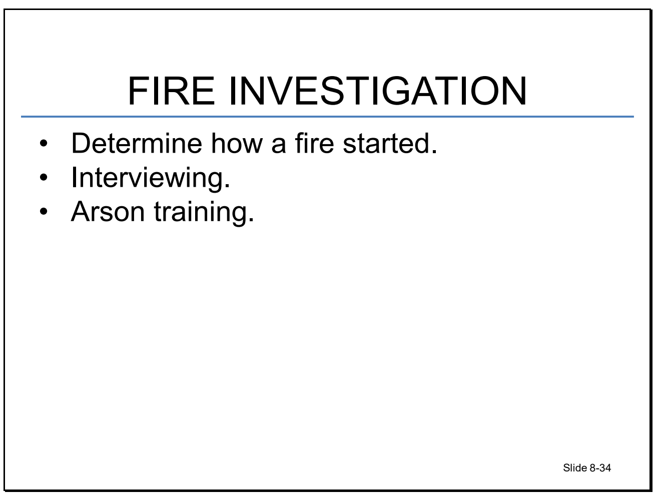
4. Every member promoted in the future, regardless of rank, should serve a portion of his or her probation period in the fire prevention bureau.

5. Adjunct instructors should be recruited to deliver fire prevention and public education programs on a detailed basis. These programs will be used to reach high-risk groups in targeted areas.

6. Efforts must be made nationwide to include fire prevention programs in public and private school curricula.

7. Plan a community involvement campaign. Advertise, market and sell your community involvement campaign. Prepare public service announcements.

8. These new programs are designed to strengthen our current efforts in fire prevention and public education.



H. The definition of fire investigation is to determine the cause and origin with the assistance and cooperation of the fire suppression forces. Determining how the fire started may involve an interview process with key witnesses. The questions may lead to information of a nature prior to the start of the fire.

1. If this preliminary investigation indicates that the fire is of suspicious origin, the local fire marshal may believe it to be arson.

2. Fire investigators may request assistance from local police agencies, the state fire marshal, arson investigators, or federal agencies, such as the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), for the investigation of church fires or large fires involving large loss of life (chemical plants, refineries, terrorist events).

3. It is important to note that all fire suppression personnel should be trained in basic arson detection, and selected individuals in the fire department must be qualified to make fire cause determination.

VII. COMMUNITY ENGAGEMENT PLAN

COMMUNITY ENGAGEMENT PLAN

"Everything the fire department does has some aspect of marketing related to it. How we perform our job, our uniforms, our apparatus, our public appearance, and nonemergency public exposure all market us to the community. This must be a positive effort not only to provide the service, but to gain community and financial support."

Slide 8-35

A. The definition of community engagement plan is the process of communicating the value of a product or service to customers for the purpose of selling the product or service.

B. The reason for marketing fire departments is the same as manufacturers marketing their goods: to get the public familiar with the product, which, in this case, is the fire department services.

C. Contemporary approaches.

1. Relationship marketing with the focus on the customer. New forms use the Internet.

2. The focus is on services and social marketing, specifically on benefits to society.

3. It helps develop a positive public perception about the fire department and its members, programs and services.

D. Fire department community engagement can be done through a variety of ways.

1. Ways of engaging the community.

    a. Open house.

    b. Public fire education.

    c. School tours.

    d. Birthday party.

    e. Interaction with civic groups.

    f. Social media (Facebook and Twitter).

    g. News release in local newspaper.

    h. Public service announcement.

        - Radio.

        - Newspaper.

    i. Summer camp for kids.

    j. Fire academy for citizens.

2. The Internet has broadened and varied that scope even further, largely bringing cost back as an often-used decision-maker for the consumer. This is the imbalanced cost-over-value mentality that should be a concern for the fire service. To overcome the imbalance, there are a variety of ways that the fire service can engage the community.

COMMUNITY ENGAGEMENT (cont'd)

- Annual fund drives.
- Budget time with local government.
- Special project/equipment funding.

Slide 8-37

E. Benefits of engaging the community.

1. Annual fund drives.

2. Budget time with local government.

3. Special project/equipment funding.

F. The more favorable our customers consider us, the better off we are when it's time to ask them for help.

ACTIVITY 7.2

Annual Community Engagement Plan

Purpose

To identify fire department services and ways to engage the community, thus creating an annual community engagement plan.

Directions

1. You will be divided into small groups.
2. Within your groups, list 10 to 12 services provided by your fire departments.
3. Identify potential ways to promote each service you listed.
4. Create a yearly calendar on an easel pad, put at least one community engagement event in every month, and identify the target audience and services promoted in the events.
5. You will have 30 minutes to finish this task.
6. Be prepared to share your responses and explain your annual community engagement plan.

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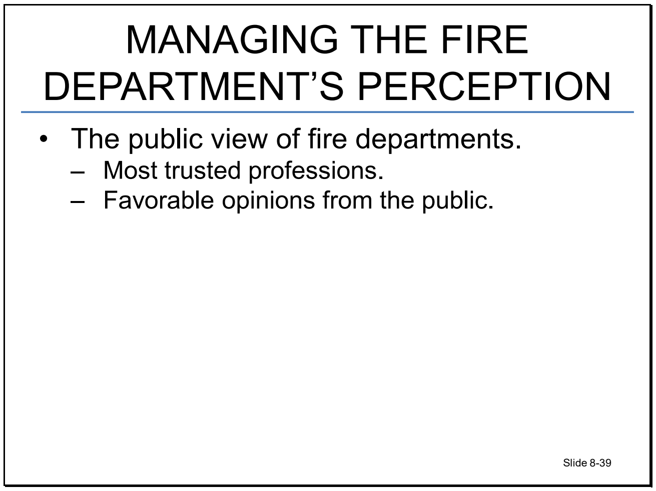
VIII. MANAGING THE FIRE DEPARTMENT'S PERCEPTION



A. How does the public view us?

1. As a rule, fire departments are viewed as one of the most trusted professions out there.

   a. People open their doors to us every day without a second thought.

   b. They call us for everything from A to Z because we usually come up with a way to help the situation.

2. As a whole, fire departments receive very favorable opinions from the public.

3. The media performs many functions that may have an impact on your local fire service. It can educate the general public and surrounding community about an organization and its mission. It might also publicize successes and provide positive press. Unfortunately, however, the media is also quickly at a doorstep when things do not go quite right.

DEALING WITH THE MEDIA

- Develop a media policy for the organization.
  - A written policy and procedures.
  - Press kits.

Slide 8-40

B. Dealing with the media.

1. Develop a media policy for the organization.

a. A written policy and procedures detailing the process for handling media inquiries could prove to be a valuable tool for members when questions arise.

b. Information on the policy and process can be included in new member orientation.

c. Some organizations even develop press kits, which include background information and fact sheets about the fire service.

DEALING WITH THE MEDIA (cont'd)

- Designate a media relations person within the organization.
  - Identify someone within the organization who can fill this role.
  - Training is crucial in a crisis situation.
  - Keep him or her up-to-date.
  - Be consistent and accurate when dealing with the media.

Slide 8-41

2. Designate a media relations person within the organization.

a. Identify someone within the organization who can fill this role. It is important that this individual be trained on how to respond to media inquiries, particularly in a crisis situation.

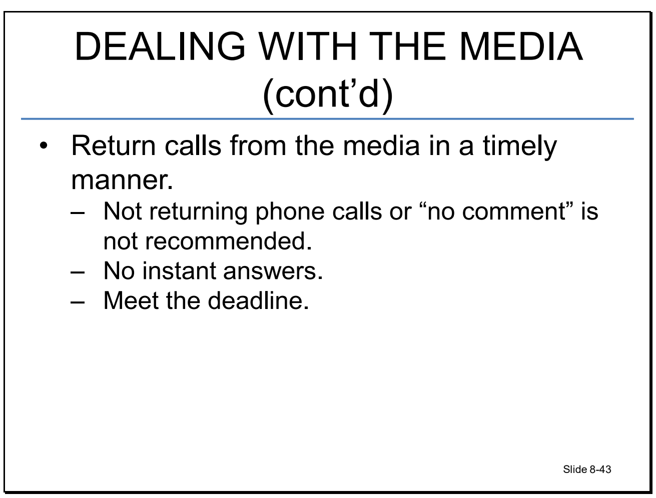
b. Once a designated official representative is identified, provide him or her with up-to-date information on the emergency service organization and any evolving issues or situations on a regular basis.

3. Develop a positive relationship with local media contacts.

a. Identify local media contacts, and educate them about the organization and the services provided.

b. Consider developing a list of reporters who would be likely to cover stories on the fire department.

c. Developing a good working relationship with the local community can often begin with positive press.

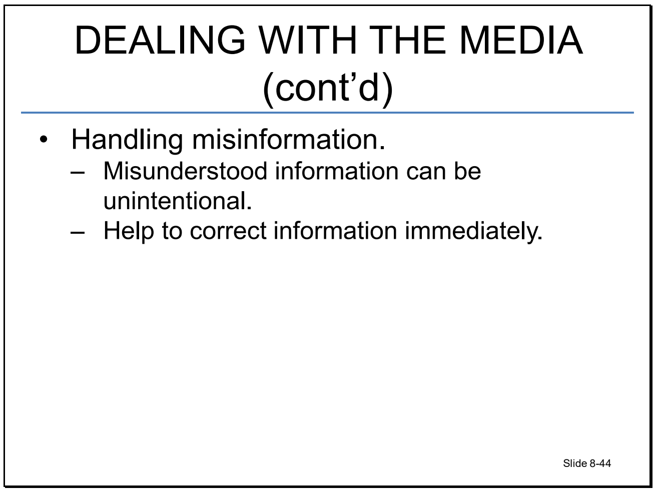


4. Return calls from the media in a timely manner.

a. It is true that you cannot be sure the media will get the facts right, but not returning phone calls or a consistent “no comment” is not recommended.

b. Journalists may want instant answers, but it is more important to provide accurate answers.

c. Efforts to get accurate information and then providing it on a deadline will help build respect and trust with media contacts.



5. Handling misinformation.

a. Some misinformation is unintentional. Perhaps a media representative misunderstood information that was provided.

b. It is advisable to correct this as soon as possible. If additional information comes along after an interview or there was a misinterpretation of information, call in or email the correct information immediately.

REPUTATION OF FIRE DEPARTMENT

- Hard to earn but easy to lose and vice versa.
- Once it turns bad, it is hard to change.
- Everyday effort of building reputation.
- Some are earned and some are not.

Slide 8-45

C. Positive reputation is very important.

1. Hard to earn but easy to lose and vice versa.

2. It can be very hard to change other people's perceptions of us once they have a negative opinion of us.

3. It takes everyday effort to earn and maintain the reputation.

4. Reputations come from both proactive marketing and reactive images that fire departments built up.

REPUTATION OF FIRE DEPARTMENT (cont'd)

"We earn and sustain the respect and trust of the public and of our troops because of the integrity and self-discipline we demonstrate. Officers should strive to develop forthright integrity — officers who do the right thing in their professional and private lives — and have the courage to take responsibility for their choices."

General Ron Fogleman, U.S. Air Force

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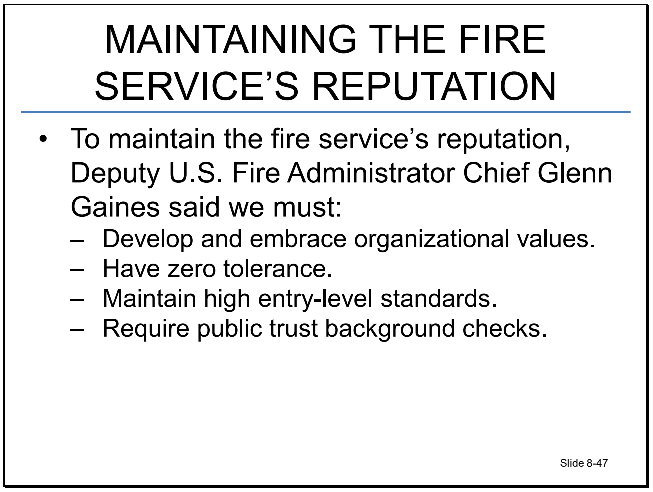


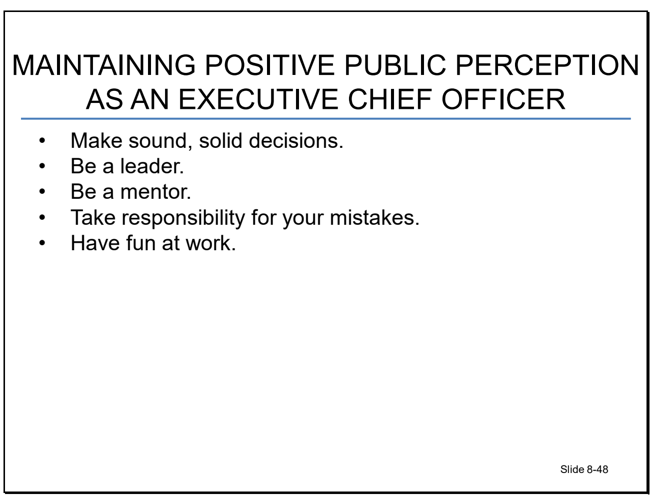
D. To maintain the fire service's reputation, Deputy U.S. Fire Administrator Chief Glenn Gaines said we must:

1. Develop and embrace organizational values.

2. Have zero tolerance.

3. Maintain high entry-level standards.

4. Require public trust background checks.



E. To avoid the task of turning around a negative perception, we should always try to:

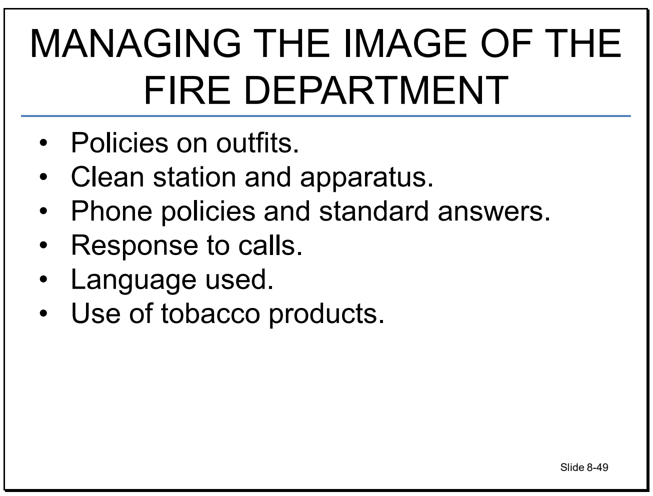
1. Make sound, solid decisions and maintain absolute integrity. If you do not have integrity, you have nothing.

2. Be a leader. Strive to lead by setting good examples — they do not hand you a box of leadership when you are promoted.

3. Be a mentor. As the executive chief officer, you have a level of experience and knowledge under your belt. Share what you have learned unselfishly, and set a good example because someone probably did the same for you. Believe it or not, your staff is a direct reflection of you.

4. Take responsibility for your mistakes and actions. When you make a mistake, do not hide it or blame it on anyone else. On the fire ground, we encounter an ever-changing environment that forces us to improvise and make decisions. These decisions do not always result in a perfect ending, so we must learn from our mistakes and pass on the information with humility.

5. Have fun at work, and try to stay positive, even if times are rough in your department. Anyone can stay positive during the good times, but a true leader stays positive and motivational even in times of difficulty.



F. Managing the image of the fire department.

1. By having policies on uniforms, hair length, body art (tattoos), piercings, etc.

   a. Standard Class A uniform.

   b. Station uniform/Seasonal uniform.

2. By keeping our station and apparatus clean.

   a. Taking the assets that are given to you by the citizens.

b. Allowing easier maintenance/ upkeep.

3. How we answer the phone and/or standard questions.

   a. Being professional.

      - Name of organization.

      - Name of the person taking the call.

      - Ask how he or she might help.

   b. Being polite.

   c. Being patient.

4. How our off-duty or volunteer firefighters respond to calls.

   a. Driving and emergency light policies.

   b. Managing complaints.

5. What language we allow to be used around the station.

   a. Speak and act accordingly.

   b. Be mindful of speech when families and visitors are present.

6. Use of tobacco products at the station and in public.

   a. Tobacco policy.

   b. Smoking, chewing and dipping.

7. Images — what images do we present?

ACTIVITY 8.3

Issue Presentation

Purpose

To provide an opportunity to present a succinct presentation on a selected issue or challenge.

Directions

1. Review your executive summary and written analysis from Evaluation Activity # 4.

2. Prepare a brief and succinct oral presentation (5-7 minutes maximum) on your analysis. The presentation must provide clarity of the issue and be specific as to how your perspective may or may not have changed on the issue. Be specific in stating your conclusion.

3. You will use your one-page analysis as a handout for the audience. Be prepared to answer questions about your issue.

4. You may use no more than 5 PowerPoint slides.

5. Your presentation will be due on Friday (Day 6) at a time determined by your facilitators.

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IX. SUMMARY


FEMA
SUMMARY
U.S. Fire Administration
• Collaboration.
• Cooperation.
• Internal and external partners.
• Building trust or creating the climate.
• Consolidation.
• Community engagement.
• Community engagement plan.
• Managing the fire department’s perception.
• End of course evaluation.
• Closing remarks from students and facilitators.
• Course certificate presentation.
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BIBLIOGRAPHY

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GLOSSARY

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GLOSSARY

Administrative Resource	Resources that cover tasks and issues that are frequently performed by the fire chief in the administration of his or her role and responsibilities.
Collaboration	Working together to create a joint effort.
Credibility	The quality of being believed or trusted.
Direct Assistance	Resources that provide personal assistance to the fire chief or fire department on an issue or problem.
Duty	An act or course of action required by law or custom — a legal or moral obligation.
Educational Resource	Resources designed to improve the knowledge and skills of the fire chief on a certain issue or task.
Exemption	The freedom or excusal from an obligation, duty or liability to which others are subjected.
Fire Chief Role	Lead and administer the human and physical resources of the department so that the mission of the organization is accomplished.
Formal Political Power Structure	The elected and appointed officials who are tasked with establishing and managing public policy.
Guideline	More flexible than policy, it provides general direction and may include limitations (boundaries) to acceptable behaviors or actions.
Immunity	The exemption from a legal duty, penalty or liability granted to a specific group.
Influence	The ability to affect someone or something without direct or apparent effort.
Informal Political Power Structure	Specific members of a community or organization who have sufficient influence to significantly affect public policy decisions.
Leadership	Defines what the future will look like, aligns people with that vision, and inspires them to make the future a reality in spite of the obstacles (influence).
Liability	An obligation, responsibility or debt or the potential for loss or harm.

Malfeasance	An intentional act that is either legally or morally wrong, which one had no right to do.
Management	Planning and directing resources to achieve organizational goals effectively and efficiently (power).
Misfeasance	An act performed legally but improperly.
Negligence	Failure to use reasonable care — doing something that a reasonably prudent person would not do, or the failure to do something that a reasonably prudent person would do under like circumstances.
Negotiation	The attempt to reach a mutually agreeable or desired result.
Nonfeasance	An intentional failure to perform a required duty or obligation that results in harm to a person or property loss.
Operational Resource	Resources that address emergency operations, including firefighter health and safety practices.
Policy	An absolute directive with some form of sanction for nonconformance.
Political Equity	An individual's or organization's net value (credibility) with a particular interest group.
Political Power	The ability to influence public policy.
Politically Astute	Understanding the political process and environment and working effectively within that environment to influence policy issues regardless of the group, values, political correctness, etc.
Politically Correct	Taking and/or maintaining a political position acceptable to a majority of the formal/informal power structure.
Politics	The art of building and using influence to achieve an individual or group public policy goal.
Power	The ability to influence people's behavior and get them to act in a certain manner.
Procedural Resource	Resources that provide information on policies and procedures used during the operation of the department.
Procedure	Defines how a specific action or activity is to be conducted and may include specific sequential steps to be followed.

Public Policy	The set of laws, standards, policies and procedures that direct the actions of public officials and employees.
Qualified Immunity	A legal defense to civil liability that protects government officials from lawsuits alleging that they violated a plaintiff's rights.
Reference	Resource that provides information on codes, standards, past practices, etc.
Respondeat Superior	A common-law doctrine that holds an employer liable for the actions of an employee when the actions take place within the scope of employment.
Risk	The potential that an action, activity or inaction will result in an undesirable outcome (harm or loss).
Risk Management	The identification, assessment and prioritization of risks (liabilities) followed by a coordinated and economical application of resources to minimize, monitor and control the probability and/or impact of actions, inaction and events.
Special Interest Group	A group with common interest(s) or goals.
Statutory Immunity	A specific immunity afforded an individual or group by law.
Supervision	The direction or oversight of the activities or performance of an individual or group.

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ACRONYMS

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ACRONYMS

AAAA	Army Aviation Association of America
AAR	After-Action Review
ADA	Americans with Disabilities Act
ADEA	Age Discrimination in Employment Act
AED	automated external defibrillator
AHCA	Affordable Health Care Act
AHJ	authority having jurisdiction
ALS	advanced life support
ANSI	American National Standards Institute
ARFF	Aircraft Rescue Firefighting
ASBS	Areas of Special Biological Significance
ASTD	American Society for Training and Development
ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives
BLS	basic life support
CAFR	comprehensive annual financial report
CARE	Comprehensive AIDS Resources Emergency
CEO	chief executive officer
CERT	Community Emergency Response Team
CEUs	continuing education units
CFAI	Commission on Fire Accreditation International
CFR	Code of Federal Regulations
CIS	Critical Incident Stress

CO	Company Officer
CPC	Commission on Professional Credentialing
CPI	Consumer Price Index
CPR	cardiopulmonary resuscitation
CPSE	Center for Public Safety Excellence
CRR	community risk reduction
CVVFA	Cumberland Valley Volunteer Firemen's Association
DHS	Department of Homeland Security
DMV	Department of Motor Vehicles
DNR	Department of Natural Resources
DOJ	Department of Justice
DOL	Department of Labor
DOT	Department of Transportation
DWP	Department Wellness Program
EEOC	Equal Employment Opportunity Commission
EFO	Executive Fire Officer
EFOP	Executive Fire Officer Program
EMS	Emergency Medical Services
EMSA	Emergency Medical Services Association
EMSC	Emergency Medical Services Councils
EMT	emergency medical technician
EPA	Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-to-Know Act
EREs	Emergency Response Employees

ERSI	Emergency Responder Safety Institute
FAA	Federal Aviation Administration
FAQ	frequently asked question
FEMA	Federal Emergency Management Agency
FERPA	Family Educational Rights and Privacy Act
FIERO	Fire Industry Equipment Research Organization
FLSA	Fair Labor Standards Act
FPD	Fire Protection District
FREMS	Fire, Rescue, Emergency Medical Services
GAAP	Generally Accepted Accounting Principles
GASB	Government Accounting Standards Board
GFI	Ground Fault Interrupter
GFOA	Government Finance Officers Association
gpm	gallons per minute
GSA	General Services Administration
GVW	gross vehicle weight
HAZWOPER	Hazardous Waste Operations and Emergency Response
HHS	Department of Health and Human Services
HIPAA	Health Insurance Portability and Accountability Act
HOA	homeowners' association
HR	Human Resources
HVAC	heating, ventilating and air conditioning
IAFC	International Association of Fire Chiefs
IAP	Incident Action Plan

IC	Incident Commander
ICMA	International City/County Management Association
ICS	Incident Command System
IDLH	immediately dangerous to life and health
IG	Instructor Guide
IIPP	Injury and Illness Prevention Plan
IRS	Internal Revenue Service
ISFSI	International Society of Fire Service Instructors
JEMS	Journal of Emergency Medical Services
KSAs	knowledge, skills and abilities
LEPC	Local Emergency Planning Committee
LODDs	line-of-duty deaths
mph	miles per hour
MUTCD	"Manual on Uniform Traffic Control Devices"
NCPA	National Cooperative Purchasing Alliance
NECO	"New Executive Chief Officer"
NFA	National Fire Academy
NFC I	"The New Fire Chief I"
NFC 2: AI	"New Fire Chief 2: Administrative Issues"
NFC 3: CI	"New Fire Chief 3: Contemporary Issues"
NFDC	National Fire Data Center
NFFF	National Fallen Firefighters Foundation
NFIRS	National Fire Incident Reporting System
NFPA	National Fire Protection Association

NGO	nongovernmental organization
NIOSH	National Institute of Occupational Safety and Health
NPO	Nonprofit Organization
NPR	National Public Radio
NSEFO	National Society of Executive Fire Officers
NUG	National Unified Goal
NVFC	National Volunteer Fire Council
NWCG	National Wildfire Coordinating Group
NWS	National Weather Service
ORV	off-road vehicle
OSHA	Occupational Safety and Health Administration
PCR	patient care report
PIO	Public Information Officer
POV	privately owned vehicles
PPA	Professional Private Ambulance
PPC	Public Protection Class
PPE	personal protective equipment
PTA	Parent Teacher Association
PTO	Parent-Teacher Organization
PWH	**“**Politics and the White Helmet”
SCBA	self-contained breathing apparatus
SERCs	State Emergency Response Commissions
SM	Student Manual
SMART	**S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**imeframed

SOGs	standard operating guidelines
SOPs	standard operating procedures
SWOT	Strengths, Weaknesses, Opportunities, Threats
TIC	thermal imaging camera
TIM	Traffic Incident Management
TRADE	Training Resources and Data Exchange
UHF	Ultra High Frequency
U.S.C.	United States Code
USFA	U.S. Fire Administration
USFS	United States Forest Service
VCOS	Volunteer & Combination Officer Section
VFD	Volunteer Fire Department
VFIS	Volunteer Firemen's Insurance Services
VHF	Very High Frequency
VIP	Volunteer Incentive Program
WCEMS	Wopperloo County Emergency Medical Services
WSCA	Western States Contracting Alliance
WUI	wildland urban interface