Leadership and Administration

L&A-Student Manual

2nd Edition, 3rd Printing-January 2014

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U.S. DEPARTMENT OF HOMELAND SECURITY

UNITED STATES FIRE ADMINISTRATION

NATIONAL FIRE ACADEMY

FOREWORD

The U.S. Fire Administration (USFA), an important component of the Department of Homeland Security (DHS), serves the leadership of this Nation as the DHS's fire protection and emergency response expert. The USFA is located at the National Emergency Training Center (NETC) in Emmitsburg, Maryland, and includes the National Fire Academy (NFA), National Fire Data Center (NFDC), and the National Fire Programs (NFP). The USFA also provides oversight and management of the Noble Training Center in Anniston, Alabama. The mission of the USFA is to save lives and reduce economic losses due to fire and related emergencies through training, research, data collection and analysis, public education, and coordination with other Federal agencies and fire protection and emergency service personnel.

The USFA's National Fire Academy offers a diverse course delivery system, combining resident courses, off-campus deliveries in cooperation with State training organizations, weekend instruction, and online courses. The USFA maintains a blended learning approach to its course selections and course development. Resident courses are delivered at both the Emmitsburg campus and the Noble facility. Off-campus courses are delivered in cooperation with State and local fire training organizations to ensure this Nation's firefighters are prepared for the hazards they face.

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TABLE OF CONTENTS

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COURSE EVALUATION PLAN

The following assessment item comprises the evaluation plan for the Volunteer Incentive Program (VIP) *Leadership and Administration* course:

Assessment Tool: Course Final Exam

A comprehensive written criterion-referenced exam consisting of 40 multiple-choice items will be administered to each student. This exam will be administered on the final day of the course (normally a Friday within the standard delivery format).

Scoring Rubric for Grade Determination

For computing the student score, first use the scoring key (Table 1); then use Table 2 to calculate the letter grade.

To successfully complete the course, a minimum of 70 percent must be achieved. (A letter grade of "C" is required.) Enter the student's score in the Course Grade Record.

Table 1

Number of Questions Scored Correctly	Overall (Total Numerical Score)
40	100
39	97
38	95
37	92
36	90
35	87
34	85
33	82
32	80
31	77
30	75
29	72
28	70
27 0r greater	67 or less

Table 2

Numerical Score	Letter Grade
100-90	A
87-80	B
77-70	C
Less than 70	F

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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

A Student Guide to End-of-course Evaluations

Say What You Mean ...

Ten Things You Can Do to Improve the National Fire Academy

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

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

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

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MODULE 0: INTRODUCTION AND COURSE OVERVIEW

COURSE GOAL

Upon completing the course, the students will be able to identify contemporary issues and to provide the appropriate adaptive leadership skills for the emergency services organization officer to enhance community emergency services through effective leadership and administration.

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WELCOME AND INTRODUCTIONS

The instructor will ask you to introduce yourselves and to state your:

- name;
- position or rank;
- years in the fire service;
- education and training;
- fire department or organization;
- hobbies;
- course expectations; and
- organizational profile.

Administrative Matters

The instructor will explain administrative matters:

- starting times;
- breaks;
- facility; and
- classroom rules.

Course Requirements

You are expected to do the following:

- Attend all classes.

- Complete all in-class and out-of-class activities.

- Actively participate in class. This is a safe environment so you should feel comfortable sharing your experiences.

To receive a certificate of completion, you must pass the final examination with a score of 70 percent or better.

<u>Activities</u>

The course focuses on your application and demonstration of skills and knowledge gained in the classroom and the opportunity to share views and approaches during discussions and activities. Instructor presentations and lectures will be kept to a minimum. The success of each activity depends upon placing yourself into the situation presented. Time for discussion and feedback will be provided following the activities.

Student Evaluations

In this Student Manual (SM), you will find end-of-module learning checks. These are designed to help you evaluate your learning. The instructor may review them with the class in order to answer any questions you may have. A final comprehensive course exam will be administered on the last day. You also will be evaluated informally on your in-class participation.

Course Schedule

The instructor will review the course schedule found in the front matter of this SM.

COURSE GOAL AND OVERVIEW

Course Goal

The goal of this course is to identify contemporary issues and to provide the appropriate adaptive leadership skills for the emergency services organization officer to enhance community emergency services through effective leadership and administration.

Course Overview

Module 1: Setting the Stage. This module presents adaptive leadership and the management continuum.

Module 2: Planning. This module introduces and discusses the critical aspects of planning.

Module 3: Forging Partnerships. This module emphasizes the importance of forging partnerships as a means of securing community equity.

Module 4: Marketing. This module describes the relationship between planning and marketing, and their contributions to organizational success.

Module 5: Human Resource Management. This module addresses the critical issue of human resource management.

Module 6: Recruitment. The critical aspects of recruitment and their impact on mission accomplishment are this section's main themes.

Module 7: Retention. This module covers the critical aspects of meeting personnel needs and maintaining an effective level of motivation to facilitate personnel retention.

Module 8: Needs Assessment and Asset Management. This module emphasizes the need to balance sound financial stewardship with the needs of the organization.

Module 9: Risk Assessment. This module identifies major risk and liability areas and the reason to take either a proactive or preventive stance.

Module 10: Leading Change. This module introduces the concepts of change based upon the adaptive leadership and change management models.

Module 11: Putting It All Together. This module reviews the course, (specifically the adaptive leadership model and its components), and motivates the students to take this information and apply it to benefit their organizations.

Course Materials--The Student Manual

The SM includes

- Terminal and Enabling Objectives:

  - Instructors cover Terminal Objectives at the beginning of each module.

  - The final examination is created from the Enabling Objectives for each module.

- Student Activities.

- Text (core content of each module, which should be read before each class).

- Bibliography.

- Glossary.

- CD-ROM containing the *Leadership and Administration* Toolkit.

Course Benefits

- You will receive a National Fire Academy (NFA) certificate.

- You will have many opportunities to develop organizational resources (for example, the available books and articles at the Learning Resource Center (LRC)).

- You also will have many opportunities during class time to meet your counterparts from other departments. It is hoped you will continue to network after the course.

- This course provides you with knowledge about the major issues in the field of organizational leadership and administration that will help you become more effective officers.

MODULE 1: SETTING THE STAGE

TERMINAL OBJECTIVES

The students will be able to:

1. *Differentiate the elements of the adaptive leadership model.*

2. *Explain the concepts of holistic organizations.*

3. *Describe the interdependency of administration and operations.*

4. *Identify the major external influences that affect the administration of emergency service organizations.*

ENABLING OBJECTIVES

The students will:

1. *Define disequilibrium as presented in the adaptive leadership model.*

2. *Define adaptive work.*

3. *Contrast adaptive and technical work.*

4. *Differentiate between leadership and authority.*

5. *Describe the dynamics of organizational functions in relation to internal and external challenges.*

6. *Define management and its standard functions.*

7. *Summarize the importance of systematic thinking.*

8. *Explain the importance of a strong administrative foundation in an organization.*

9. *Describe the skills necessary to mobilize people to do adaptive work.*

10. *Explain the effects of a leader's behavior in an organization.*

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THE ELEMENTS OF ADAPTIVE LEADERSHIP

The emergency services organization faces a multitude of challenges. These challenges range from securing funding to improving safety on the job. How are we going to meet these challenges effectively? Are there necessary changes to be made within our organizations as part of meeting these challenges? What role do management and leadership play? Are there answers to these questions?

This course will provide you with a basic framework from which to begin meeting these challenges in your organizations. Its foundation is the concept of adaptive leadership.

Adaptive Leadership

Adaptive leadership is not a new idea. It is based upon the concept that organizations are systems that learn and adapt. Organizations are capable of intelligent and purposeful collective actions that influence internal and external environments in the desired directions. Adaptive leadership does not see organizations as mechanical entities whose every aspect must be managed with technical precision. Organizations may have technical aspects, but they are also adaptive, fluid, and ever-changing, like living organisms. This is simply because organizations are composed of people. The reality is most organizations are a combination of technical and adaptive aspects. To what degree the organization emphasizes each aspect depends on the work and the leadership involved. In order to understand adaptive leadership further, we need to break it down into its most basic components.

The Technical Versus the Adaptive Organization

Look at the following diagram that illustrates the differences between a technical and an adaptive organization. As you read it, think about where your organization may fit in this matrix. Does it lean heavily to the technical or to the adaptive? Is it a combination of both?

THE TECHNICAL ORGANIZATION VERSUS THE ADAPTIVE ORGANIZATION

Technical	Adaptive
Attention is focused on activities.	Attention is focused on value-added outcomes.
Job descriptions are long, detailed, and constraining.	Job descriptions are intentionally broad-based to allow for flexibility.
Role expectations are narrow and rigid.	Roles are fluid. People may substitute for one another.
Contacts are confined and higher management channels communication.	Contacts are open, and networks or partnerships are encouraged to form.
Policies are mostly oriented toward controlling what people cannot do.	Policies encourage people to find solutions.
The organizational structure is bureaucratic and fragmented into many departments.	The structures are fluid and have shorter duration. Changes in design are aimed at enhancing flexibility and responsiveness.
Authority is based on rank, and it is expected that influence will equate with formal authority.	Authority is accorded a place, but reliance on it is played down. Greater influence is accorded people who demonstrate ability to add value.
Efficiency and predictability are sought and reinforced.	Achievement, innovation, and change are sought and rewarded.
Cooperation among departments is subject to a great deal of formalization and clearances.	Cooperation is a highly regarded value in the organization and is far more easily gained.
Information is kept close.	Information is widely available to facilitate work accomplishment and to permit more opportunities for more people to add value to operations.
Traditional values are fostered such as unit loyalty and obedience.	Apply newer values, such as cooperation and responsiveness, along with treating other units as internal "customers."

Technical Versus Adaptive Challenges

What exactly does the term "adaptive" mean? Ronald Heifetz describes adaptive work as,

> Adaptive work can mean clarifying a conflict in values, or bridging the gap between the values that we stand for and the current conditions under which we operate. When you have a problem or a challenge for which there is no technical remedy, a problem for which it will not help to look to an authority for answers--the answers are not there --that problem calls for adaptive work.

The challenge is not in differentiating between adaptive and technical problems; it is in **not** treating adaptive challenges as if they were technical ones.

The following activity will help you understand the differences between technical and adaptive challenges.

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Activity 1.1

Technical Challenges Versus Adaptive Challenges

Purpose

To get you to begin focusing on the identification and management of technical and adaptive challenges.

Directions

1. Using the following worksheet, each group will discuss the differences between technical and adaptive challenges.

2. Each group will generate and record on an easel pad a list of examples for both types of challenges.

3. You have 15 minutes to generate your list. Then your group will present your examples to the class.

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Activity 1.1 (cont'd)

Worksheet

Technical Challenges	Adaptive Challenges
These challenges can be resolved by technical expertise and procedures. Are there any changes in attitude required?	These challenges cannot be resolved by technical expertise. Are there any changes in attitude required?
Who does the work?	Who does the work?
Examples of Technical Challenges:	**Examples of Adaptive Challenges:**

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AUTHORITY AND LEADERSHIP

We are all familiar with the many leadership styles, but what adaptive leadership is concerned with is the effectiveness of a leader in facilitating necessary change. Knowing the difference between leadership and authority is critical to the effectiveness of a leader.

Authority

In his book, *Leadership in the Fire Service*, Robert Hamm states

> Leadership in the fire service is not determined by the amount of braid one wears on a uniform, or the number of bugles on the badge, nor by the sign on his desk, or door. Those things are but symbols, indicating that the person entitled to use them is in the position of leadership. It points out that the "man is ahead of others," but when you see a man ahead of a crowd of people, how can one be sure whether he is leading the crowd or being chased by it? The same can be true of any man in the position of leadership. Is he leading, or is he merely occupying a position ahead of others? There is something we should always remember: Leadership is not a position one fills, but the way one acts in the position held.

Authority is power given in exchange for performing a service. Authority does not always translate into leadership; however, this does not mean that a person in a position of authority cannot apply adaptive leadership. Authority **can** mobilize people to do technical and adaptive work. Authority has the power to make decisions, manage resources, and apply solutions within the constraints of the position held. Authority has access to two important resources:

- the capacity to manage the environment; and
- attention (and attention is the currency of leadership).

Authority may handle technical challenges well but often flounders when it comes to adaptive challenges. The reason is that authority is often constrained by expectations of the position held. Authority is expected to meet seven basic social functions that tend to hinder adaptive work:

- maintain direction;
- preserve equilibrium;
- provide direction, not in the form of questions, but in the form of answers;

- protect from change and painful adjustments;
- maintain orientation to current roles and organizational relationships, rather than generating disorientation;
- maintain norms; and
- control or avoid conflict.

Leadership

Leadership is the process of influencing others toward the achievement of organizational goals. You can consider leadership the art of dealing with people in a manner that commands their respect, support, and cooperation. It is the activity of influencing people to work toward a desired goal. Leadership is getting people to want to do an assigned task (mobilizing).

Activity 1.2

Leaders: The Good and The Bad

Purpose

To emphasize the leader's influence on an organization.

Directions

1. There are two phases to this activity. In the first phase, think of three personal nominees for good or successful leaders. They may be past or present leaders, and they may be famous or not. After a few minutes, you will select three personal nominees for unsuccessful or bad leaders.

Successful Leaders	Unsuccessful Leaders

2. In the second phase of the activity, you will pair up with a member from another table group. Share your choices for each category and discuss why you picked them.

3. After about 5 minutes of discussion, the instructor will ask for a list of leaders in the successful category. You will then be asked to identify the behaviors and qualities you believe contributed to these leaders' success.

4. Next, the instructor will ask for a list of unsuccessful leaders. You will be asked to identify the behaviors you feel contributed to these leaders' failures.

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Effective leaders display the following behaviors:

- supportive of the organization and its people;
- dynamic and responsive to the changing needs of their organizations and people;
- flexible and adaptable versus being rigid;
- optimistic;
- accepting of change versus wanting to preserve the status quo;
- possessing effective people skills (able to motivate and mobilize);
- works at accomplishing organizational goals through competent and committed followers;
- focuses on goal attainment and attention to the task; and
- emphasizes developing people to their full potential to maximize task accomplishment.

In addition to these behaviors, a leader must possess certain skills in order to be effective:

- technical or task skills;
- human skills;
- conceptual skills; and
- creativity.

Adaptive Leadership

Adaptive leadership has its own virtues that should be noted.

- Adaptive leadership is willing to move counter to the set norms and does not hesitate to shake up comfort zones.

- Adaptive leadership asks the hard questions and looks at the entire challenge, not just the technical aspects.

- Adaptive leadership initiates disequilibrium.

- Adaptive leadership gains attention.

- Adaptive leadership focuses attention on the challenge.

- Adaptive leadership mobilizes people to do adaptive work.

- Adaptive leadership forges partnerships.

- Adaptive leadership creates a holding environment where the people involved feel comfortable and empowered to do the work.

- Adaptive leadership considers risk and loss as part of the equation, and it does not shrink from the challenge because of the potential for risk or loss.

- Adaptive leadership considers the needs of the greater whole when confronting challenges.

The leader applying adaptive leadership must be aware of several other factors. The leader involved in leading change must

- survive in order to lead;
- seek and use feedback;
- differentiate between authority, role, and self;
- be aware of the dangers inherent in the role;
- be aware that leadership without authority has the concern of not being heard; and
- realize that gaining attention is the key to securing a platform from which to lead, and there is no way to mobilize people to do the work if attention is not gained.

Basic Elements of Adaptive Leadership

<u>Disequilibrium</u>

Disequilibrium is defined as, "the upsetting or loss of stability." It not only causes discomfort, but also shakes up assumptions and beliefs. This is exactly where its value lies. Disequilibrium generates an impact that gets attention, and this is what makes it important to initiate change. This disequilibrium may also lead you to one of these responses: assimilation or accommodation. Assimilation is the incorporation of new experiences into existing ways of thinking, without actually altering these thought patterns. Accommodation involves restructuring ways of thinking to fit the new experience. This is true change or adaptation.

Disequilibrium often brings about conflict, and conflict is necessary in orchestrating change. One thing about disequilibrium we cannot overlook is that it must be controlled in order for it to be effective. Do not allow disequilibrium to get out of control, because that would be counterproductive. This is referred to as controlling the heat.

Adaptive Leadership Gains Attention

Disequilibrium is an excellent way to gain attention. According to Heifetz, attention is the currency of leadership. When a leader has gained attention, he or she has gained a forum to lead. This attention brings a focus on the challenge.

Authority, Role, and Self

Adaptive leadership requires a leader to be aware of his or her level of authority. An adaptive leader must understand his or her role. Adaptive leadership requires an awareness of self. Awareness of the positive and negative aspects of these is crucial to the survival of the leader.

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Activity 1.3

Role and Self

Purpose

To highlight the need for the leader to differentiate between role and self.

Directions

1. This is a role-play activity involving a fictitious chief and volunteer emergency services organization.

2. A student will be asked to volunteer to take the role of chief. A table group will be asked to assume the role of the organization's volunteers. The instructor will brief those involved in the scenario on their roles.

3. In order to facilitate the effectiveness of this activity, no further information on it will be provided here. Your instructor will guide the activity and provide you with the necessary instructions as the exercise progresses.

4. The students not involved in the role-play will answer the following questions after the scenario is completed. Record answers on an easel pad.

   a. Did the chief suffer any personal attacks during the scenario?

   b. Did the volunteers attack the chief personally, or was their displeasure actually directed at the chief's role?

   c. How did the chief react to the group's comments?

   d. Was there any disequilibrium or heat?

   e. Was the chief effective in handling any disequilibrium or heat?

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Adaptive Leadership Mobilizes People to Do Adaptive Work

A leader must gain the attention and interest of those involved. Interest and excitement are necessary in order to effect change. You may need to cause disequilibrium to create a sense of impact and urgency. The authority figure must be able to give work back to the people. In order to mobilize people to do adaptive work, a leader must create a holding environment.

The effective leader is aware of the zones of tolerance. A holding environment is a space formed by a network of relationships within which people can tackle difficult and often divisive questions, without falling apart. It can be an actual physical space, a shared language and history, or trust in an institution. A holding environment contains cohesion that stands firm even in the midst of the dynamics that may arise during adaptive work. It has boundaries and procedures that allow people to feel safe when addressing problems.

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Activity 1.4

Adaptive Work

Purpose

To provide you with the opportunity to begin applying the principles of adaptive work when addressing relevant issues.

Directions

1. Each table group will be assigned one of the following challenges.

    a. Increase recruitment.

    b. Improve retention.

    c. Eliminate or reduce line of duty deaths.

    d. Increase availability of funds.

    e. Improve personnel health and safety.

    f. Improve the image of the volunteer.

2. For each challenge, the table groups will brainstorm answers to the following questions:

    a. How will we gain attention to the issue?

    b. Do we need to cause disequilibrium in order to gain the attention? If so, how?

    c. Whom do we mobilize to get the job done? How will this mobilization take place?

    d. How will we create a holding environment?

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Partnerships

A leader cannot do it alone. Adaptive leadership calls for teamwork in attacking challenges and finding solutions. Leadership has to find partners to assist in meeting the goal.

Risk and Loss

Adaptive leadership does not shrink from the challenge because of the potential for risk or loss. Adaptive leadership considers the needs of the greater whole when confronting challenges. Loss may come in many forms. It can be the actual loss of personnel or of "the old way" of doing things. Adaptive leadership requires acknowledging and mourning the loss. This is part of being connected with those being led. Acknowledging loss must come in the form of tangible actions.

The Dangers of Adaptive Leadership

A leader must survive in order to lead. When undertaking leadership, an individual has to be aware of the inherent dangers. Leadership must also be aware of its own weaknesses and potential trouble spots. These dangers and weaknesses can sidetrack leaders and render them ineffective.

Feedback

Communication is critical to organizational success. Feedback is extremely important to the leader. Leading requires connection with those being led. Adaptive leaders actively seek feedback.

Can We Apply Adaptive Leadership in the Emergency Services Organization?

All we have to do is look at the challenges facing emergency services organizations, and we know there is a need to make changes. Taking an adaptive approach may be useful in initiating and causing the change.

Emergency Services Organizations
The Challenges

Technical	Adaptive
• EMS • Fire suppression • Terrorism response • Other operational demands	• Securing community support • Health and safety • Acquiring funding • Recruitment • Retention • Organizational survival

Management Functions and Adaptive Leadership: The Management Continuum

We are familiar with the various leadership styles that abound in organizations. Many managers never analyze their styles of leadership, instead using the same behaviors that they used in the past. Generally, behaviors range from too tight to too loose a control.

The following excerpt is from IBM Chief Executive Officer Louis Gerstner's book, *Who Says Elephants Can't Dance.*

> … I discovered to my dismay, that the open exchange of ideas--in a sense, the free for all of problem solving in the absence of hierarchy that I had learned at McKinsey--doesn't work so easily in a large hierarchical-based organization. I well remember stumbling in my first few months when I reached out to people whom I considered knowledgeable on a subject regardless of whether they were two or three levels down from me in the organization. My team went into a semi revolt! Thus began a lifelong process of trying to build organizations that allow for hierarchy, but at the same time bring people together for problem solving, regardless of where they are positioned within the organization.

The style used largely determines what you see as organizational problems, solutions, and preferred behaviors of managers and workers. For example, if the tight control style is used, the manager, and perhaps the principal subordinates, will be the only ones to decide what problems the organization faces and the available solution options. The role of the subordinates would be merely to carry out management decisions. One style is not better than the other. There is a time for tight control (fire ground operations, for example) as well as a time for loose control (brainstorming recruiting techniques, for example). Each has a place.

Organization managers should analyze their departments to determine the predominant style being used. Generally, the chief officers set the style for the entire department. They should also analyze their own personal beliefs about these styles.

Management Functions

Planning

Planning is a basic management function. It is applied at all organizational levels. Planning affects strategic, tactical, and operational organizational functions. Managers must plan the direction of their organizations to meet its needs and those of the community it serves. A manager has to plan the use of resources. Effective planning calls for a good view of the organization's course, or direction.

Organizing

Managers organize the resources needed to get the job done. Organizing ensures efficient use of these resources. Team building is crucial to this area.

Staffing

People are the most valuable assets of an organization. Staffing is critical to organizational success. Work is done through people. Managers must concentrate on retention and development of their subordinates.

Directing

A manager must direct the work. Managers are accountable for the work being done.

Adaptive Leadership in Management

Planning

The adaptive leader or manager needs to be able to see the whole picture in order to facilitate change and determine where the organization needs to go.

Managers need to separate themselves periodically from what is taking place in the organization in order to get an objective view.

Organizing

Managers have to think of their organizations as adaptive systems in which every part plays an important role. Resources should be organized with this in mind.

Staffing

Managers should create holding environments. These environments facilitate retention by creating a sense of belonging and value.

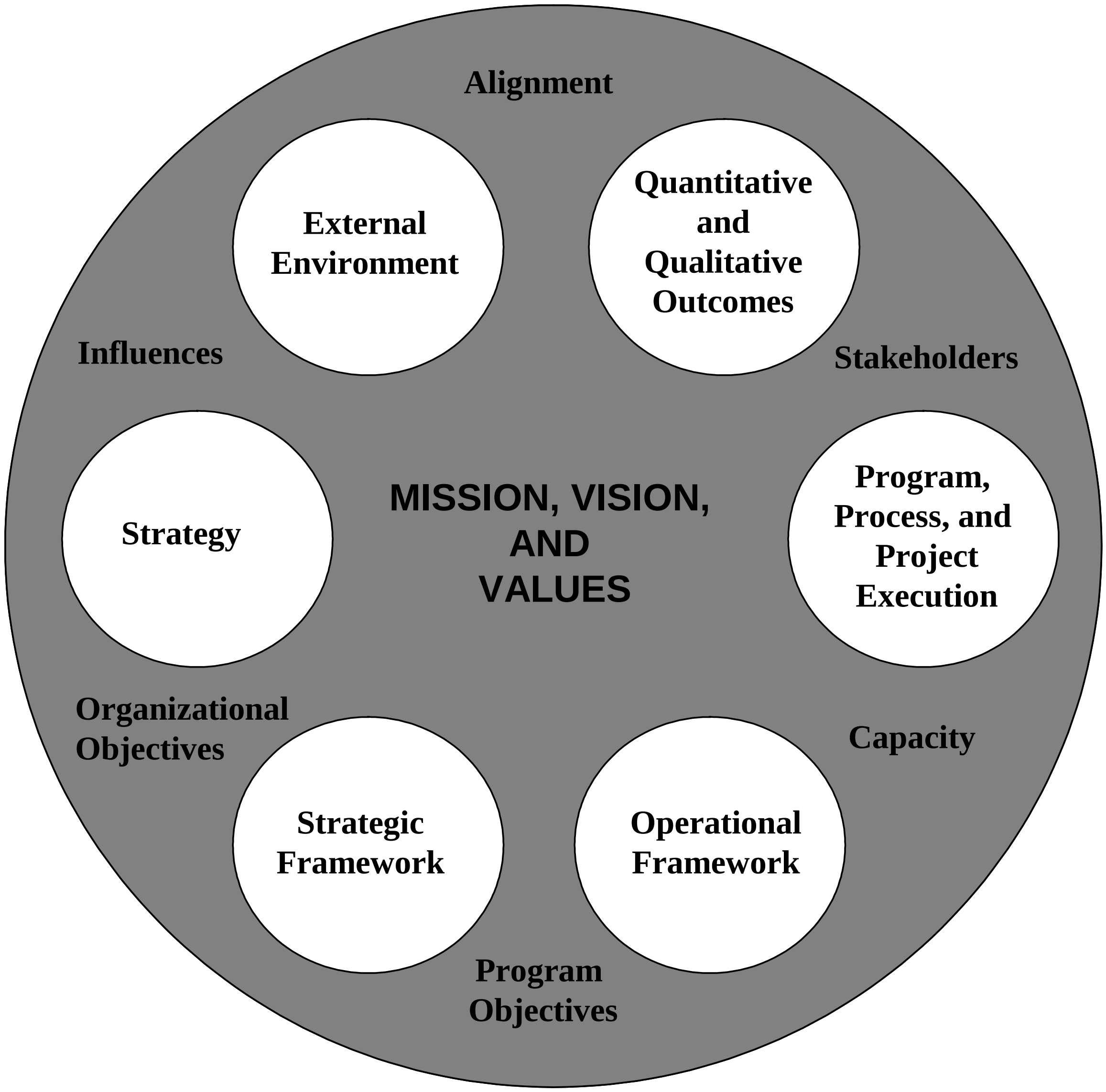
Directing

Managers need to orchestrate the work. Let the people with the skills do the job. Orchestrate much like a band conductor does. Failure to orchestrate can entangle a manager in the details of the work and render him or her less effective.

With adaptive leadership and how it relates to authority and management in mind, we can now take a look at the organization.

HOLISTIC ORGANIZATIONS

The Holistic Organization



Most effective leaders or managers understand that organizations are complex entities that require constant care and feeding. They also understand that organizations are systems with interrelated parts that are interdependent. This is also known as the systems approach. Just like the human body cannot function optimally with organs missing or ailing, organizations cannot perform efficiently unless all aspects of the organization are clearly defined and connected. All parts of the organization are important and critical toward the achievement of the mission.

Stephen Covey identified four integrated characteristics that are true of all organizations. These organizations are

- holistic;
- ecological;
- organic; and
- people-based.

An organization is made up of parts that have different functions, but these parts are interdependent. The systems view holds that the health of the organization is dependent on the effective interaction between these parts. Good, clear communication is critical to this interaction. When all aspects of an organization work well together, an organization is better able to do adaptive work. The key is a strong organizational emphasis on communication, sound decisionmaking, delegation, and coaching.

An organization and its leadership need to foster organizational wholeness. It should try to:

- establish clear lines of organizational communication;
- encourage upward and downward communication;
- encourage and seek feedback as a constant aspect of the communication process;
- develop and implement all of the departments that the organization needs to thrive;
- connect departments so the important cause-and-effect relationships are understood and managed;
- foster inter departmental interaction and networking across organizational lines;
- delegate jobs to people based upon their abilities and expertise; and
- coach and encourage people so they understand their roles and have both the skill and motivation to serve successfully.

The Holistic Organizational Model

The Foundation

The organization's mission, vision, and values are the fundamentals that form the foundation upon which everything else is built. They define the purpose of the organization's existence, and they provide direction by showing what the organization wants to accomplish and what its leaders believe in. The organization's mission, vision, and values give meaning to all of the work necessary to make the organization flourish.

External Environment

External environment is the first element. The external environment is usually the surrounding community. The influences from the external environment affect the organizational function and direction. An organization needs to be fully aware of these influences in order to interact effectively with the external environment.

Strategy

The external environment influences the development of the long-range strategy of the organization. This may be a part of a comprehensive strategic plan.

Three things need to be established:

- a clear, realistic set of goals that define what the organization is committed to accomplishing;
- an assessment of the most critical capabilities that serve as the backbone of the organization's ability to achieve its mission; and
- a set of additional strategies that are expected to enable the organization to achieve its goals.

Strategic Framework

Strategy establishes organizational objectives that provide clear direction. These objectives help determine the organization's strategic framework. The strategic framework addresses the big picture issues of what the organization looks like, what it will offer, and how it relates to other organizations. The design of specific programs is a critical part of the strategic framework, showing what services are to be provided, to whom, where, when, and how. Strategic decisions are made about whether to provide services through internal resources, or to seek partnerships with other organizations or individuals. The organizational structure can be set up in a way that aligns resources and responsibilities with the operations and the achievement of the long-range goals.

Operational Framework

Out of the strategic framework come program and departmental objectives. These form the basis for creating the best operational framework for the organization. Human resources are the most important element of operations. It is necessary to define the roles and responsibilities for each position in the organization, recruit the best possible people, train them so they have the skills to succeed, provide incentives and rewards, and provide feedback systems that support continued professional growth. Financial resources must be acquired and diligently managed. Capital resources in the form of buildings, equipment, and other such types of infrastructure may be needed.

Program, Process, and Project Execution

The operational framework provides the capacity to do the work of the organization.

This is referred to as program, process, and project execution. Everyone involved in the organization needs to work together as a team in order to serve its customers in the best way possible and carry out the other activities needed for the organization to achieve its goals.

Outcomes

Doing the organizational work leads directly to outcomes that are quantitative and qualitative. Organizational outcomes will be produced as well, such as community awareness and support, customer satisfaction, employee good will, and other such attributes that are important to the long-term survival of the organization. Aligning the outcomes that are being achieved with the needs and expectations of the external environment completes the circle.

Activity 1.5

The Holistic Organization

Purpose

To help you to gain a deeper understanding of the holistic organization.

Directions

1. Each table group will be assigned an element of the holistic organizational model to explore. There are questions under each assigned element to assist in this exploration. The holistic organizational model and accompanying information found earlier in the SM may be used in this exploratory activity.

2. Each group will be allowed 15 minutes to explore its assigned areas. Five minutes will be reserved for a debriefing.

Group #1: The foundation--mission, vision, and values.

1. Why are these the foundation of the holistic organization?

2. How do they influence the organization?

3. What do they define?

4. What if they did not exist? Would the organization function?

Group #2: External environment and strategy.

1. What is the external environment?

____
____
____

2. How does it affect the organization?

____
____
____

3. Can an organization operate independent of the environment?

____
____
____

Group #3: Strategic and operational frameworks.

1. What influences the development of an organization's long-range strategy?

____
____
____

2. What does strategy establish?

____
____
____

3. What forms the basis for creating the best operational framework for the organization?

____
____
____

4. What is the most important element of operations?

____
____
____

Group #4: Program, process, and project execution, and quantitative and qualitative outcomes.

1. What provides the capacity to do the work of the organization?

2. Who needs to work to carry out activities needed for the organization to reach its goals?

3. What does doing the organizational work lead directly to?

4. What does aligning the outcomes that are being achieved with the needs and expectations of the external environment complete?

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THE INTERDEPENDENCY BETWEEN ADMINISTRATION AND OPERATIONS

Administration and operations are subsystems of the "greater" system. One way to address this is in the context of the challenges the emergency services organization faces:

- securing community support;
- health and safety;
- acquiring funding;
- recruitment;
- retention;
- organizational survival; and
- operational demands (such as EMS, fire suppression, and terrorism response).

Do you see challenges (technical or adaptive) that are "just administration problems," or "just operational problems?" Challenges are organizational concerns, not just departmental problems. Administration and operations share in the technical and adaptive challenges. Recruitment and retention are not just administrative or human resource problems; they affect the entire organization. Funding is not solely an operational concern. Health and safety is not just an operational problem; administration policies affect this area. Good community relations are not solely an administration problem; the entire organization is involved.

An organization needs a solid administrative foundation.

INFLUENCES ON EMERGENCY SERVICES ORGANIZATIONS

A variety of influences affect the emergency services organizations. The job of leading personnel in any organization is influenced continuously by a number of variables. Federal, State, and local governments have significant influence on how an organization is managed. Leading personnel demands an open-minded and broad-based understanding of issues that affect organizational behavior. The strategic, tactical, and operational demands will also significantly influence an organization. Sources of influence are both external and internal.

External Influences

Societal trends: Local, State, and national economic trends may cause departmental budget fluctuations. The environmental movement, the educational system, and the information age are examples of trends that have affected emergency service organizations.

Civil rights: Equal opportunity, fair employment practices, and other legal mandates have improved the accountability of hiring, promotions, and other personnel management practices.

Federal government: Health and safety regulations are formulated and enforced, and the Federal government sponsors certain public safety projects.

State government: Regulations concerning emergency medical technicians may be set forth, and standardized training programs are offered by State governments.

Local: The community may apply pressure for residency requirements, or there may be neighborhood resistance to consolidation of services. The level of support a community provides is also a strong influence. The community also may demand that certain equipment services be available.

Other fire departments influence practices in other organizations through such actions as enacting salary increases and equipment changes.

Professional fire and safety organizations may sponsor certification programs or hold national conferences.

Professional non-fire organizations: National statistics and other data are provided to governmental managers who oversee public safety agencies. They may encourage increases in budget allocations for some functions, such as fire prevention, and reduction in others.

Employee organizations: Employees may moderate the volume of additional assignments or bargain for benefits.

Internal Influences

Levels of organization, leadership, personnel requirements, and the facilities are sources of internal influences.

Activity 1.6

Sources of Influence

Purpose

To clearly identify the internal and external influences that affect the emergency services organization.

Directions

1. Individually, think about those people or groups inside your organizations that influence the department's operations and decision making. List them under the "Internal" column.

2. Next, think about those people or groups outside your department that influence departmental operation or decision making, and list them in the "External" column.

3. In your table group, form a list of internal and external influences. List them on an easel pad. One individual from each table group will read the list when the instructor indicates.

Sources of Influence

Internal	External

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SUMMARY

During this module, we have discussed the following areas:

- the elements of adaptive leadership;
- holistic organizations;
- the interdependency between administration and operations; and
- influences on emergency services organizations.

With this information, we have set the stage to delve deeper into the principles of adaptive leadership and the other tools we need in order to orchestrate change in our respective organizations. With this information in hand, we are ready to move to Module 2: Planning.

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Module 1: Setting the Stage

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. Adaptive work best applies to what type of challenges?

   a. Those with undefined problems.
   b. Those that demand a technical remedy.
   c. Those that involve personal problems.
   d. Those with no technical remedy .

2. What is disequilibrium?

   a. The upsetting or loss of equity.
   b. The difficulty of maintaining equity.
   c. The upsetting or loss of stability.
   d. The gain or increase in stability.

3. What is the key to securing a platform from which to lead?

   a. Gaining attention.
   b. Mobilizing people.
   c. Differentiating roles.
   d. Gaining authority.

4. What are the four integrated characteristics that are true of all organizations?

   a. Organizations are holistic, ecological, organic, and objective-based.
   b. Organizations are holistic, ecological, organic, and people-based.
   c. Organizations are synergistic, etiological, organic, and mission-based.
   d. Organizations are synergistic, etiological, organic, and people-based.

5. Societal trends and state governments are examples of what type of influence?

   a. Intrinsic.
   b. Internal.
   c. Favorable.
   d. External.

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MODULE 2: PLANNING

TERMINAL OBJECTIVES

The students will be able to:

1. *Explain why the planning process is important in administration and leadership.*
2. *Demonstrate why the planning process must be flexible and adaptive to change.*

ENABLING OBJECTIVES

The students will:

1. *State the value of planning and differentiate among strategic, tactical, and operational planning.*
2. *Explain how internal and external influences affect planning.*
3. *List and explain the eight elements of action planning.*
4. *Identify various alternative delivery systems.*
5. *Recognize the importance of community risk assessment and its relationship to threat analysis and level of service.*

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OVERVIEW

The purpose of this module is to introduce and discuss the critical aspects of planning. The value of planning and its relationship to adaptive leadership are explored in detail. This module covers the need to plan as a valuable part of adaptive leadership.

It emphasizes the need to build flexibility into every aspect of planning to cope with changing environments and priorities. Risk assessment (community and threat) is also identified as part of action planning.

THE HIGH VALUE OF PLANNING

Introduction

Planning is the foundation of the management process. It is a management function that must be done first to complete the rest of the process. The planning process should be proactive, rather than reactive. Planning takes place within the framework of community needs and departmental effectiveness: that is, the environment. The level of commitment (time spent and depth of coverage) applied to planning is determined by the importance or urgency of the area.

Planning takes place within the framework of an overall management system. The system provides management functions that transform the input provided by the community into services provided by the emergency services organization.

The community provides input to the system in the form of resources based upon what it wants and is willing to pay for. The organization then supplies a management system whose function is to transform resources provided by the community into an efficient and effective service delivery system as defined by the community.

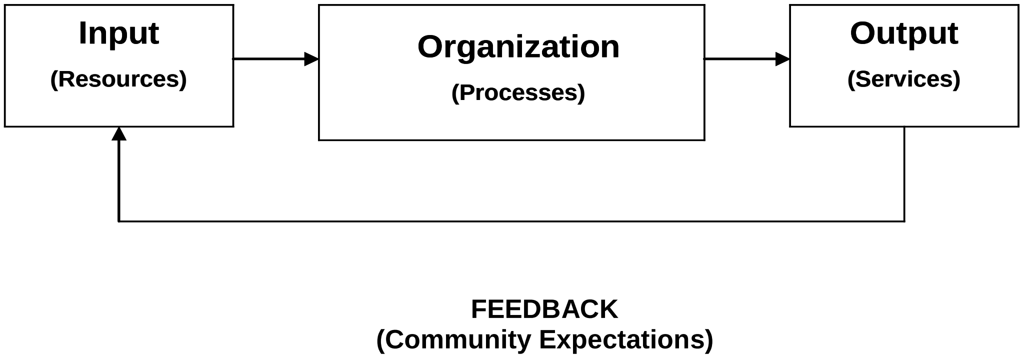


Figure 2-1
The Community Fire Protection System

Definition

Planning is a process of setting a future course of action and determining in advance who, what, when, where, and how it will be achieved. Planning allows us to:

- look at where we want to go;
- determine how we get there;
- recognize the risks;
- determine the necessary resources;
- build in flexibility; and
- prepare for change.

The Benefits of Planning

- Common purpose:

  - Gains buy-in among management and staff, and

  - Creates an action-oriented environment;

- Sense of direction:

  - Provides a road map, and

  - Provides understanding of product;

- Improved communication:

  - Feedback, and

  - Everyone knows the goal;

- Planned resources:

  - Financial support, and

  - Personnel to support the work.

What Happens When We Do Not Plan?

Lack of planning leads to:

- lack of organizational purpose;
- no common direction;
- miscommunication or no communication;
- poor use of resources or lack of needed resources; and
- waste of resources.

Strategic and Operational Planning

Strategic planning is a process of setting organizational goals and deciding on comprehensive action programs to achieve those goals. It ensures the long-term survival of the organization by giving it direction and vision through goal-setting. It also makes the organization more efficient and effective.

Strategic decisions involve significant commitment of the organization's resources and involve uncertainty. They affect the future of the entire organization and, in fact, may change the character of the organization. Strategic decisions usually are irreversible.

Strategic Planning Process

The strategic planning process involves

- setting long-term mission and goals;
- analyzing the internal capabilities, limitations, external opportunities, and threats that affect the organization;

- defining the organization's current position and possible future strategies;
- implementing the plan into operation at lower levels by setting goals that will guide operations; and
- monitoring the success of implemented plans and feedback to upper management.

It is a never-ending, evolving process.

Master Planning

Master planning is a form of strategic planning. Most departments engage in less ambitious strategic planning than a full "master-planning" process because of time constraints, economic limitations, or political considerations.

Comparing Operational and Strategic Planning

Operational and strategic planning both involve deciding on a future course of action, determining the goals people will strive to reach, and the actions they will take to reach them. They differ in that strategic planning involves broad goals and focuses on the long term, while operational planning involves narrow jobs and functions and focuses on the immediate future, usually a period of 1 year or less. Planning for apparatus and major equipment purchase and replacement, staffing, and location of new stations are examples of strategic planning. Budgets, standard rules and procedures, and schedules are examples of operational plans.

Coordinating Strategic and Operational Plans

Strategic plans guide the entire organization and operational plans should be made based on strategic plans. Coordination is difficult, but very necessary, because operational plans look for short-term results and may conflict with long-term strategies.

FLEXIBILITY IN PLANNING

Organizational life cycles are fluid, and interaction with the environment requires flexibility in planning and executing those plans. Planning takes discipline, but it also demands flexibility. This is due to the fact that there are many influences affecting planning and plan implementation. These influences are internal and external in nature. In the next paragraphs, we will look at some of these influences**.**

Stakeholders

Another source of influence are the stakeholders. These are the people that have a stake or interest in your organization. Stakeholders exist internally and externally. It includes anyone who has anything to do with your organization. Here are some examples:

- members;
- citizens;
- receivers of services; and
- vendors and suppliers.

Changes in stakeholder expectations will influence your planning and plan implementation. Be prepared to adjust the plan accordingly.

Policies and Procedures

Written policies and procedures are a form of planning. Policies are expressed in general terms with a minimum of detail and define expectations; procedures are highly detailed and describe methods. A frequent question is whether you are better off legally with or without written policies and procedures. In fact, unwritten practices are policies; they will hold up in courts. Written policies are documented in the way you want them interpreted. If not written, the courts will take much more latitude in interpreting them.

Policies and procedures are guidelines and should never replace common sense. Written policies provide continuity from year to year and through officer changes and reduce the possibility of misinterpretation and misunderstanding.

Some policies and procedures are mandatory (Equal Employment Opportunity (EEO), harassment, and the like) and some clarify organizational practices, so that members know expectations and adjust to the organization's culture.

<u>Policies Define Expectations.</u>

Example: Members shall conduct themselves in a manner that is above reproach.

Procedures Describe Methods.

Example: Procedures might define classes of unacceptable behavior, the steps to be followed using progressive discipline, and possible disciplinary actions.

There does have to be flexibility in using policies and procedures. Not all situations will fit what is written down.

Flexibility

As a leader, you need to be flexible and adaptive when implementing plans. The following are things you can do to improve your flexibility and effectiveness:

- Listen and watch.

  - As a leader, be aware of your surroundings and how they are affecting your plan.

  - Listen to everyone involved, but separate yourself emotionally from what you hear. Consider other viewpoints.

  - Pay close attention to the actions and words of senior authorities.

- Be prepared.

  - Anticipate adjustment you may need to make.

  - Be prepared and do not get caught off guard.

- Be proactive.

  - Anticipate readjustments you may need to make.

  - Apply Heifetz and Linsky's metaphorical principle of "getting on the balcony."

  - Avoid being immersed in the "action" too deeply.

ACTION PLANNING

In the fire service, action planning is directed at community risk and threat assessment.

Community Risk and Threat Assessment

Community risk and threat can be defined as the possibility of meeting danger, suffering harm, or of being exposed to the chance of injury or loss.

Risk and Planning

Knowing the risks in the community is not enough. Assessing the risks and threats are effective only if planning takes place because of it. Planning occurs at two levels, strategic and operational.

Remember, strategic-level planning deals with the organization's direction and how it is going to get there. Operational planning deals with preparing both the emergency services organization and the community to respond.

Levels of Service

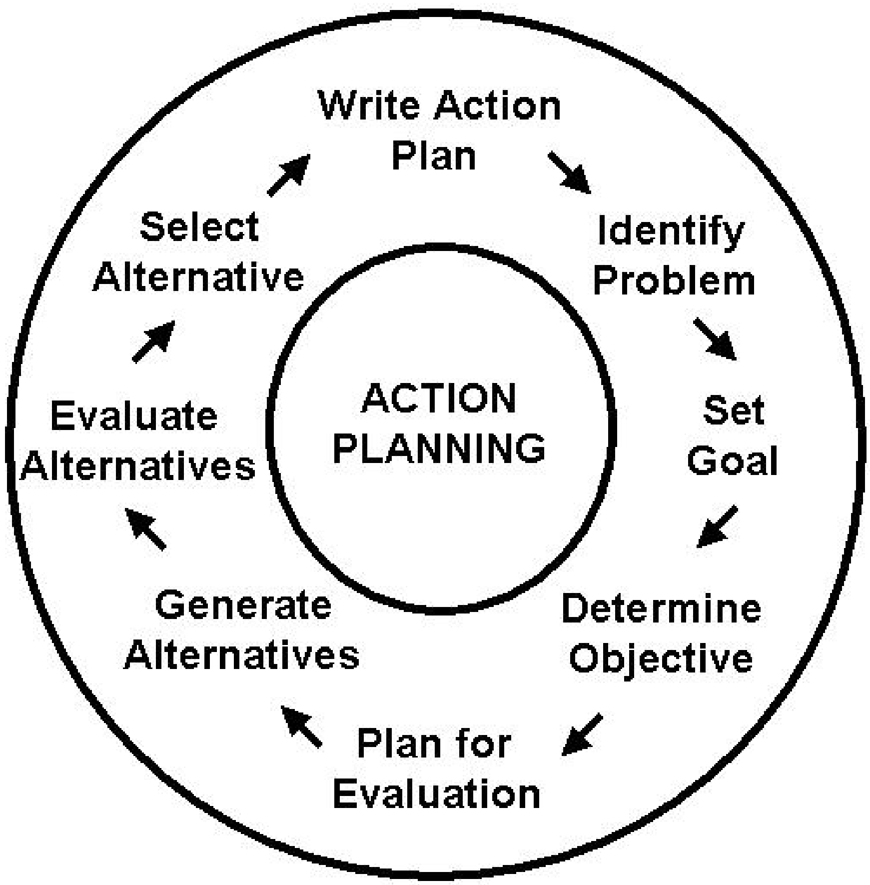
You should be able to identify risks and threats in your community against which preventive action is taken, those for which response preparation is made, and those that are ignored. You should ask if this is a conscious decision in your community, a product of an existing attitude, a mandate from a regulating body, or a part of a strategic plan. Asking this question is part of taking an honest look at the planning and the influences affecting it.

A Word About Risk, Hazard, and Value Evaluation

Through a cooperative agreement with the International Association of Fire Chiefs (IAFC), the United States Fire Administration (USFA) has released the Risk, Hazard, and Value Evaluation (RHAVE) program.

RHAVE is a software-based program used by local public policymakers who choose to collect useful information and data regarding the identification and assessment of fire and related risks within their communities. Community leaders may use information collected using the RHAVE model when developing objective, quantifiable risk-reduction policies such as the deployment of emergency service resources. The concept is a simple-to-use method combining forms, formulas, databases, and data analysis.

The program consists of a user guide, software on CD-ROM; Microsoft® Windows operating systems only; and accompanying installation instructions. The RHAVE process may be used in conjunction with the Self-Assessment for Fire and Emergency Services Manual published by the Commission on Fire Accreditation International (CFAI) or the model may be used as a stand-alone tool. CFAI will provide a complementary copy to those fire agencies that have previously received the self-assessment manual.



USFA will provide one copy of the RHAVE program to fire chiefs upon written request on department letterhead.

The Action Planning Model

Action planning is a process that leads to a written action plan. First, it is necessary to identify the problem clearly. Once the problem is identified, a goal should be set. This goal should be consistent with the mission statement of the organization. It should be a clear, yet broad, statement describing the general outcome.

Next, you should write an objective that describes the result that will help to achieve the goal. Objectives are clear, concise, time specific, and measurable. They should be challenging yet realistic, updated regularly, and have priorities assigned. Before identifying alternatives, you should decide the criteria you will use to judge the success of your plan. You should identify alternative proposals and estimate the feasibility and cost of each alternative in terms of money, people, and morale.

Select the alternative you will use and write the action plan. The actual action plan includes specific actions to be taken, resources needed, timelines, and potential problems. Detail and content of action plans vary according to the type of plan.

Planning Techniques

Gap analysis is a critical evaluation of the differences, or gap, between where the organization is and where you want it to be. The steps for carrying out a gap analysis include identifying the goal, determining the tasks or steps needed to reach the goal, and determining how they can be accomplished. This technique gives a realistic understanding of what must be done to reach the goal, that is, to close the gap.

Force-field analysis refines gap analysis by identifying driving forces and restraining forces that affect the ability to close the gap. It defines the current situation and the forces in favor of and in opposition to making a change. Needs assessment identifies and defines problems or needs that must be addressed by an organization. The steps are to

- define the focus of the study;
- collect all existing data and information;
- generate additional data;
- organize data;
- analyze information (compare and contrast data);
- interpret data;
- determine needs; and
- set priorities.

Planning for Evaluation

The method for determining the success of a plan should be decided in advance, rather than as an afterthought. The basic steps of an evaluation process include:

- determining evaluation criteria in advance;
- selecting the method to be used;
- deciding who will be part of the process;
- carrying out the evaluation;
- analyzing the results; and
- making management decisions about success or failure based on the criteria established as part of the planning process.

The first three steps are part of the planning process and are completed before beginning the program.

If an action plan does not bring about the desired outcome, it is necessary to reenter the planning cycle at some point and develop a new action plan. The point of re-entry is determined through an evaluation of why the plan failed.

Activity 2.2

Meeting the Challenge

Purpose

To allow you to apply the knowledge of adaptive leadership and the Action Planning Model to develop recommendations to address the issues identified in the scenarios provided.

Directions

1. You will be placed in four small groups that will apply the principles of adaptive leadership and the Action-Planning Model to an assigned scenario.

2. Each group will be required to identify the steps needed to implement recommended actions.

3. Each group will use its assigned scenario to develop a plan.

4. After you have completed your plan, list the elements on an easel pad and select a member to report on your assignment.

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Activity 2.2 (cont'd)

Scenario 1: EMS Call Increase

Your fire department is an all-volunteer organization. Over the past 2 years there has been a 20-percent increase in emergency medical services (EMS) calls from the hours of 6 p.m. to 8 a.m. The response to these calls has decreased from a maximum of five firefighters to approximately two-and-a-half firefighters. This has been determined to be inadequate. Your group has been assigned the task of providing a recommendation to meet the current need.

Scenario 2: Recruit Training

The county recruit academy your organization has used to provide basic training to your firefighters has established a rigid schedule. Many of your new applicants cannot attend because they work Saturdays at a local manufacturing plant that runs 24 hours a day. The applicants are available for daytime response, which is the period of time when response requirements are minimal. The recruit academy conducts classes on Tuesday and Thursday evenings. Saturdays are used for practical, or performance, training. The current recruit academy class runs approximately 8 weeks. Your group has been tasked with identifying methods for training the new recruits.

Scenario 3: Babysitting Class

The local branch of the American Red Cross (ARC) has been providing babysitting safety classes in your community for the past decade. Due to the lack of funding, the local ARC will no longer be providing this program. The local community college is now offering an 8-hour babysitting class at a cost of $50 per student. The largest local neighborhood association has requested that the emergency services organization provide this instruction, because the cost of the community college's course is prohibitive for many in the community, and they cannot attend. Your group has volunteered to sit on a task force to develop recommendations to resolve the problem.

Scenario 4: Safety Committee

You belong to an organization that is a combination department with two full-time firefighters, three stations, and 40 volunteers. In the past year, the organization's safety committee has had to cancel three safety meetings for the lack of a quorum. The safety committee is required to meet monthly. The organization's officers have been directed to identify the problem and to provide recommendations to solve the problem. Your group has been tasked to come up with a solution to this problem.

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Module 2: Planning

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. Analyzing the internal capabilities, limitations, external opportunities, and threats that affect the organization are an aspect of what type of planning?

   a. Administrative.
   b. Operational.
   c. Strategic.
   d. Tactical.

2. Are stakeholders internal or external sources of planning influence?

   a. External only.
   b. Internal only.
   c. Both external and internal.
   d. Neither.

3. What type of planning is directed at community risk and threat assessment?

   a. Action.
   b. Adaptive.
   c. Budgetary.
   d. Risk.

4. How can a leader improve flexibility and effectiveness in planning?

   a. Stay completely immersed in the plan's implementation.
   b. Seek feedback only when deemed necessary.
   c. Avoid distractions during plan implementation.
   d. Avoid being immersed in the action to deeply.

5. What planning technique is a critical evaluation of the differences between where the organization is and where it wants it to be?

   a. Budgetary analysis.
   b. Data analysis.
   c. Gap analysis.
   d. Goal analysis.

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MODULE 3:
FORGING PARTNERSHIPS

TERMINAL OBJECTIVES

The students will be able to:

1. *Explain how forging alliances is a critical component of adaptive leadership.*

2. *Given a scenario, and using information from their own jurisdiction, explain how to create, develop, and maintain effective alliances with organizations and individuals.*

ENABLING OBJECTIVES

The students will:

1. *Identify prospective partnerships.*

2. *Explain why partnering with members of the community is a critical component of adaptive leadership.*

3. *Identify techniques for establishing a good working relationship with other first responder agencies, as well as public and private organizations in the community.*

4. *Explain the importance of collaborating with the community to accomplish the changes necessary to maintain a successful organization.*

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MODULE OVERVIEW

This module provides content on the need to forge partnerships.

This module covers the criticality of forging partnerships in order to accomplish organizational goals. It details the methods used to identify potential partners internally and externally.

The methods used to forge these partnerships using adaptive leadership concepts are explored and then applied in the concluding activity.

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Activity 3.1

Who Needs Partnerships?

Purpose

To think about the need for partnerships and their value to organizational growth and change.

Directions

1. The instructor will divide you into small groups of four or five.

2. Take the challenges listed and brainstorm for about 5 minutes on who the stakeholders are, and what partnerships may need to be forged to facilitate meeting these challenges. Think about all the possible individuals, groups, and other entities in your community who may be helpful.

3. Record your list on the easel pads provided. Select one member of your group to present your ideas to the class.

Challenges	Stakeholders	Partnerships
Group 1: Recruitment		
Group 2: Retention		
Group 3: Funding		
Group 4: Personnel Health and Safety		

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THE CRITICALITY OF FORGING PARTNERSHIPS

What is a Partnership?

According to the *American Heritage Dictionary*, a partnership is "A relationship between individuals or groups that is characterized by mutual cooperation and responsibility, as for the achievement of a specified goal."

Advantages of Partnerships

Partnerships provide a strengthened base of support. They also create expanded and new opportunities. Partnerships broaden the base of support an organization has.

They also create critical networking opportunities. The most important aspect is the fact that partnerships help the organization achieve desired results, and this is especially true when it comes to the attainment of organizational goals.

The Value of Partnerships

Partnerships are very valuable to leaders and their organizations. Here are some of the reasons why:

- The public perceives information from partnership's efforts as more credible. This affects community equity in a positive way.

- Demonstrated community support is received well by the public and by elected officials.

- Each partnership member brings something to the table that is a benefit to all other members. The benefits are greater than the sum of the whole.

- Isolation is broken down and creates an environment that stimulates empowerment.

- The needed resources are brought together to achieve the goals.

IDENTIFYING PARTNERSHIPS

Thinking Politically

Adaptive leadership demands thinking politically. Establishing effective connections with people is important if you are going to get results. Contrary to popular perception, "politics" is not a bad word. It is simply people working with people. It is in many respects another word for partnership.

It is important for the emergency services organization to be politically minded. We need to use resources such as the community needs assessment, and the citizens' advisory committee. Additionally, we should always keep community equity in mind.

Find Partners Who Share the Same Goals

Always keep in mind that we cannot do it alone. Reaching most goals requires resources, and most often the organization does not possess all the resources necessary to attain the goals. Partners bring other alliances with them and, in turn, their resources.

Another reality is that finding the right partners can be difficult. A leader has to do his or her homework when forging partnerships.

Model the Behavior

Demonstrate the risks you are asking your partners to take by taking on those risks yourself. Demonstrate the standards you have set.

Keep the Opposition Close

Opponents deserve more of your attention because they have more to lose. There may also be occasion to form a partnership with an individual or group that has been opposing you. Partnerships do not necessarily translate into friendships. The attainment of a common goal is the issue.

Conflicts

When people are working together, there is always the potential for tensions to arise that may affect cooperation within the community. Issues such as establishing roles and responsibilities and dealing with egos can be sources of tension. Realistically, we have to be aware of our partners' agendas and goals. There is, however, greater risk in not forging the partnerships. Tension and conflict can be reduced through establishing trust, and it is important to make communication a priority.

FORGING PARTNERSHIPS AS PART OF ADAPTIVE LEADERSHIP

Make Cooperation a Guiding Principle

Do not be territorial. The adaptive leader emphasizes cooperation rather than competition when forging partnerships: model this behavior.

Maintain an Open Organization

Invite community participation. Avoid the stereotypical image of the "closed" fire service, and demonstrate the openness to collaborate.

Counter Internal Hesitation

- Too much time?
- Loss of control?

Think Creatively

Search for all potential allies and think about all those you come in contact with and how they could work with you for mutual benefit.

Maintain the Connection

Before a partnership begins its work, members should agree upon common goals and should reach consensus both internally and with the leaders they represent. Build a foundation for solid partnership success.

Provide resources and support in the form of administrative support, and time for meetings.

Encourage Diverse Viewpoints

Keep the lines of communication open. Using the principles of adaptive leadership, create a holding environment and manage the conflict

Develop a Shared Sense of the Future

Keep the "big picture" in mind. Stress the common goals, and keep people from becoming mired in the details (as a leader, make sure you are not drawn into the "quagmire" of details).

Share the Responsibility and Share the Credit

Keep the relationship strong. Acknowledge your "piece of the mess" and do not blame others for any negative issues. Keep the process on track, acknowledge everyone's contributions and the key role partners play, and celebrate success.

Let Coalitions Build

Start small. Allow partners to bring in their partners.

Personal Relationships Foster Professional Success

Partnerships are relationships between people. Positive personal connections will build an environment of trust. Your coalition will be stronger for it.

Communicating with Legislative Bodies

Lobbying is simply the act of influencing a legislative body. The following are the basic elements of lobbying:

- building relationships and partnerships;
- educating lawmakers; and
- lobbying takes place at local, State, and national levels.

Effective lobbying is a long-term effort. Taking the time to build the relationship is very critical to good lobbying efforts. Equally important is gaining an understanding of the system and the key players. Talk with others involved with lobbying efforts to gain insight. Establish and maintain communication with contacts. Use this to educate them about your needs and desires.

Credibility and trust are extremely important to your efforts, too. Be truthful, accurate, and make sure your partners are speaking with one voice. Losing these elements will always hinder your work. Always strive to maintain a positive reputation.

When educating lawmakers, be prepared, organized, and follow up on your efforts. This enhances trust and makes it clear you are serious about your mission.

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Activity 3.2

Forging Partnerships

Purpose

Using information from your own jurisdictions, to explain how to create, develop, and maintain effective alliances with organizations and individuals.

Directions

1. You will work in small groups.

2. Using information from your own jurisdictions, explain how to create, develop, and maintain effective alliances with organizations and individuals Group members will brainstorm together as a team, using actual information from your own organizations.

3. Consider the organizational goals that you feel need to be accomplished. Think about partnerships you may already have in place and those you may need to form to accomplish these goals. Information from Activity 3.1 may be used in this activity.

4. Use the following questions to guide your discussion:

   a. What are the organizational goals we need help with?__________________
   ____
   ____

   b. Who will I form partnerships with? ________________________________
   ____
   ____

   c. How will these partnerships be forged? What actions will need to take place? ____
   ____
   ____

   d. What will need to be done to maintain these partnerships? ______________
   ____
   ____

5. Record your answers to these questions on the easel pads provided. Select one member of your group to present your ideas to the class.

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SUMMARY

This module covered the criticality of forging partnerships in order to accomplish organizational goals. It detailed the methods used to identify potential partners, internally and externally. The methods used to forge these partnerships using adaptive leadership concepts also were explored. Now we are ready to move to Module 4: Marketing.

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Module 3: Forging Partnerships

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. What is the most important aspect of forging partnerships?

   a. Partnerships help the organization sustain current operations.
   b. Partnerships help the organization's personnel see the future better.
   c. Partnerships help the organization's leadership motivate personnel.
   d. Partnerships help the organization achieve desired results.

2. In what manner should adaptive leaders think when forging partnerships?

   a. Apolitically.
   b. Globally.
   c. Politically.
   d. Strategically.

3. What does the adaptive leader need to emphasize when forging partnerships?

   a. Cooperation.
   b. Competition.
   c. Consistency.
   d. Culpability.

4. What is one thing partners must agree on before the work begins?

   a. A common goal.
   b. Identification of adversaries.
   c. Identification of the leaders.
   d. A list of other partners.

5. Educating lawmakers is an aspect of what type of activity?

   a. Legislation.
   b. Lobbying.
   c. Politics.
   d. Positioning.

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APPENDIX

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The following information is provided to assist you in lobbying efforts.

Lobbying = Influence

Lobbying is not a "dirty" word. Hal Bruno defines it as "the fine art of influencing a legislative body." He adds

> ...Like any other skill it has to be learned, practiced, and mastered before you can do it effectively. And, to be successful, you have to do it on a professional basis, whether your target is the U.S. Congress, a State legislature, City Council, county or village board. It is no job for eager amateurs; you have to know what you're doing and, in the case of the fire service, it has to be done with total integrity.

California State Fire Marshal Ron Coleman agrees, saying, "The terms 'politics' and 'fire service' are not an inherently evil combination. Politics is nothing more than influence: people working with people."

In lobbying and politics, you are working with one of your "external" markets to achieve mutual benefit.

A Historical Perspective

At the inception of the volunteer fire service, emergency services and politics were closely intertwined. Many of those who volunteered were the leaders of their communities, and the fire service was a potent political force; however, at the time of the Boss Tweed scandals in the late 1800's, the service sought to distance itself from politics. (Tweed, the notoriously corrupt politician, had been a fire company foreman.)

Elements of Lobbying

Although most people in emergency services have considered their departments apolitical, that is not the case. As part of your community, your department is affected by politics and must be able to function effectively within the political system.

To clarify, we are **not** advocating that your department become involved in partisan politics. We are saying that your department should become adept at working within the political system to achieve governmental support for items within your strategic plan.

Bruno identifies the following elements in any lobbying effort:

- building relationships;
- educating lawmakers; and
- winning their support on the merits of each case.

Although we may not think of ourselves as such, emergency services **is** a special interest group and, for our own and our community's benefit, we should be involved in lobbying on the local, State, and national level.

Lobbying: A Long-Term Effort

As we have stressed in other areas of marketing, lobbying is not accomplished overnight. You are building relationships and gaining an understanding about the system and its "key players," ideally from many sources. You need to establish and maintain personal contact and develop mutual trust to achieve maximum political benefit. This process takes time and should be a continuous, ongoing effort.

Do not expect that you will be able to lobby effectively if you engage in a flurry of activity when there is a crisis. You need to lay the groundwork in advance to achieve the desired results when the crisis hits.

Lobbying benefits you and the lawmaker.

What are some of the perceived benefits that a lawmaker might achieve from this relationship?

Remember, you are seeking to achieve credibility and trust. To do this, strive to be truthful, accurate, and reliable. This means providing only quality information and basing your statements on fact and analysis, not emotion. To be effective, those in your organization should "speak with one voice": your efforts must be coordinated and consistent. Make sure that in your dealings with lawmakers you follow through: always do what you say you will. Through these behaviors, you will earn a positive reputation that will make elected officials even more receptive to your message.

Techniques to use in Educating Lawmakers

In the article "Bridging the Communications Gap," Dan W. Bailey identifies strategies to use in meeting with a government official to educate the office-holder about an issue. He cautions, "One of the biggest mistakes fire managers can make is failing to do enough homework before scheduling a meeting."

Plan the meeting at least 2 weeks in advance, send a two-paragraph briefing paper to the office-holder and staff assistant, and limit the meeting to 20 minutes at most. During the meeting, outline the problem, identify possible solutions, and offer to do any follow up work, if needed. Leave a two-page summary, with visuals, as well as your name, address, and telephone number.

Afterward, be patient, seek to build broad-based coalitions to deal with the problem, and maintain good communication, whatever the outcome.

How would the use of such techniques affect the issue of trust discussed earlier?

Coalitions

As in other areas of marketing, it is often beneficial to join forces with others to promote your interests. Coalitions can be employed at any level.

Name some examples of others who might join with your organization to address life safety issues on the following levels:

- local;
- State; and
- national.

Within the past few years, a new coalition has been formed at the Federal level to promote emergency services issues. The Congressional Fire Service Caucus, advanced by former Congressman Curt Weldon (a former volunteer firefighter from Pennsylvania), has 356 members out of a possible 535 members of Congress. The bipartisan group is the largest on Capitol Hill. Although this group has the potential to make a significant impact at the Federal level, it could have only a slight impact at the local level.

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MODULE 4: MARKETING

TERMINAL OBJECTIVES

The students will be able to:

1. *Explain the relationship between planning and marketing and why both are integral to the success of the organization.*

2. *Describe the important components of a marketing plan.*

3. *Describe the interrelationship of price, product, place, and promotion (the Four P's) in marketing and their applications to an emergency services organization.*

4. *Given a scenario, apply the principles of marketing to an organization.*

ENABLING OBJECTIVES

The students will:

1. *Define marketing and state its importance to an emergency services organization.*

2. *Identify the benefits of an effective marketing program.*

3. *Recognize the importance of marketing to both internal and external audiences.*

4. *Describe the components of a marketing plan.*

5. *Explain the concept of "positioning" as defined by Ries and Trout.*

6. *State why effective media relations are critical to an emergency services organization.*

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MODULE OVERVIEW

This module covers the importance of marketing by highlighting potential benefits and positive impacts on the emergency services organization. The module details the crucial aspects of a good marketing plan and covers both internal and external markets. It also identifies the "customers" that marketing targets within and outside of the organization. A marketing plan and effective strategies are reviewed. The module also addresses media relations that often prove crucial to effective, ongoing market.

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Activity 4.1

Marketing in an Emergency Services Organization

Purpose

To realize that marketing is more than advertising, and how marketing applies to an emergency services organization.

Directions

1. The class will be divided into four groups. Each group will be assigned one of the following scenarios.
2. For your scenario, develop a slogan and an approach for your sales campaign: What would your message be, to whom would you communicate it, and how?
3. You have 10 minutes to develop your ideas. Be prepared to report to the class.

Scenario 1

Blazebusters Corporation wishes to market its fire suppression services to the community of Fiery City. How would it sell its product?

Scenario 2

Rescue Rangers Company seeks to market its ambulance service to the village of Haphazardville. How would it get the community to buy?

Scenario 3

Public Protectors, Inc., wants to market its code enforcement services to the town of Careless Creek. How would it do it?

Scenario 4

Effective Educators, Ltd., wishes to market its public education service to the village of Peril Point. What strategy would it use?

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THE IMPORTANCE OF MARKETING

The term "marketing" has become a popular buzzword in today's society.

Most have heard the term, but still may not be aware of its exact meaning, or how it applies to an emergency services organization.

You may never have considered "marketing" as something your organization does, or should do. It may be easier to think of this function as achieving a comprehensive community relations program. Still, in achieving such a program, you are, in fact, marketing your organization to your community and to the various subgroups within it.

In this module, we will explore the concept of marketing, its elements and functions, particularly as they relate to an emergency services organization. We also will explore in detail some key applications of marketing and how to develop a marketing plan.

In Activity 4.1, we introduced, in simplified form, how the common view of marketing might be applied in an emergency services organization that employs the services of volunteer personnel.

Marketing Defined

Although many definitions exist, the American Marketing Association defines marketing as

> The process of planning and executing the conception, pricing, promotion, and distribution of ideas, goods, and services to create exchanges that satisfy individual and organizational objectives.

From this definition, you can see that marketing involves more than just sales, which is how many people tend to think of it. In fact, marketing is involved in everything your organization does to transfer your "product" (your service) to your "customer" (the public).

Relationship Between Sales and Marketing

Marketing includes sales, but only as one of its elements. Many experts point out that with effective marketing, selling is unnecessary.

Selling = Telling
Marketing = Asking

Selling is a **one-way** process. In sales, you **tell** the customer:

- This is what we produce.
- This is what you need.
- This is why you should obtain our product.

Marketing is a **two-way** process. In marketing, you **ask** the customer:

- What do you need?
- What do you expect?
- What do you think of our product?
- How could we serve you better?

You **listen**, then **respond**.

With effective marketing, you should know the customer's needs and expectations so well that the product sells itself!

As part of an National Fire Protection Association (NFPA)-sponsored study on marketing, Jim Crawford, Assistant Fire Marshal for the Portland, Oregon, Bureau of Fire, Rescue, and Emergency Services, observes,

> Many of us confuse advertising with marketing. We think that promotion of our product is the essence of successful sales. Even when our product is service, we tend to orient ourselves toward promotion (advertising) of that service to garner financial support. But the real essence of marketing is research and strategy development.

Marketing is actually a continuous, cyclical process, where programs are designed, implemented, assessed, and redesigned in light of their effects on the consumer.

Marketing and the Emergency Services Organization

Marketing encompasses everything your organization does.

In everything you do, you are serving the customer. To market effectively, you should always think about how your actions affect the customer, constantly monitor the quality of those actions, and assess how well you are meeting the customer's needs.

The "Four P's" of Marketing

The elements of marketing can be boiled down to what are known as the "Four P's":

- **P**roduct (goods or services offered to the customer);
- **P**rice (what the consumer must pay for the product);
- **P**lace (also known as distribution--what makes the product accessible to the consumer); and
- **P**romotion (vehicles to communicate the product's value).

Think of some examples of the "Four P's" as they relate to emergency services organizations:

- **P**roduct ____
  ____
  ____
- **P**rice ____
  ____
  ____
- **P**lace ____
  ____
  ____
- **P**romotion ____
  ____
  ____

Two related elements that affect marketing are **image** (how your customers perceive your product) and **positioning** (how they perceive your product relative to that of competitors).

In emergency services organizations:

- Our service is our product.
- We want to promote ("sell") it to our service population.
- We want it to be the best that it can be (most responsive to our community's unique features and needs).
- We want our service to be accessible to the public.
- We want our service to be supported by our community.

Marketing is not a "dirty" word. In marketing, you are not only looking out for your own organization's self-interest, but also for the interests of the community you serve.

THE BUYER

The buyer is crucial to marketing. When you ask, listen, and respond, you are seeking to assess the buyer's needs, whether you are meeting those needs, and, if not, how your organization can change to better meet those needs.

Customer satisfaction is important. You need to find out if your customers are satisfied. Most complaints are never directly expressed to the organization.

Although, for the sake of simplicity, we previously have referred to your market as your community, you are not simply dealing with one market. Your organization actually has many different markets.

In an emergency services organization, you have two different types of markets:

- The **internal** market (your own people). You need to serve and market your message effectively to these people, since they carry it to others.

- The **external** market (your community). This external market consists of both those to whom you provide service and others who support your organization.

You must work effectively with both internal and external markets to achieve success.

The Internal Market

Working with the internal market is closely related to building member motivation and connection to the organization.

Members need to feel fully informed, be aware of department programs, and that the organization values them and cares about their opinions and input. Fostering these member perceptions will encourage member "buy-in" of department initiatives, help create a sense of organizational pride, and strengthen your overall organization.

Remember to ask, listen, and respond with your own people! Maintain open lines of communication and involve your members in decision-making as much as possible. Do not be so wedded to a program or proposal as you have designed it that you become blind to member input.

"Products" that you market to the internal market include organizational values, vision, and mission, as well as any "product" that you market to the external market.

Member knowledge and involvement in all aspects of your organization will not only make it stronger, it will improve your department's image and its ability to work effectively with the external market. Throughout the organization members will be knowledgeable about department efforts and will "speak with one voice" in representing your organization.

The External Markets

Your external market includes anyone outside of your organization with whom your department interacts. This includes the population you serve and others who support you, such as taxpayers, municipal officials, community leaders, and the media.

Suppliers of goods and services also fall into the external market, as do other emergency services organizations with whom you work.

To market to the external markets, use the strategies that we describe throughout this module: assess the buyer's needs, fashion your programs to address those needs, and communicate the value of your product--that it will meet those customer needs.

Remember that marketing involves everything your organization does. It is important to control your message by voicing a consistent and coordinated message through multiple sources. Everything conveys your image and your message.

As we discussed in Module 3: Forging Partnerships, work hard to market yourself (throughout your community and beyond) through forging partnerships with other individuals and organizations.

As part of this effort, do not take your community for granted. When the community assists you (for example, during a serious fire or a natural disaster), take the time to recognize, in a meaningful and visible way, those who helped. One approach is to conduct a formal recognition event inviting local lawmakers and the media. Your thanks will mean a lot to the individuals involved, and your image will be boosted in the eyes of elected officials and the community at large.

In marketing, be creative, take advantage of local resources, and build upon your promotional efforts to create a network of resources to enhance the marketing of your department.

Key External Markets: Governmental Officials

In Module 3, we talked about achieving partnerships with governmental officials, through effective lobbying to support our department's efforts. Governmental officials represent a key external market. In building relationships, educating lawmakers, and winning support, we are engaging in effective marketing.

As well as engaging in individual contact with governmental officials, as we discussed in Module 3, you also can market your organization to these officials through other means, such as using novel marketing approaches to communicate your message.

Key External Market: The Media

The media represent another key external market, and effective media relations are beneficial in promoting your department. We will cover the techniques in detail in the Media Relations section later in this unit.

Key External Market: Fundraising

In any type of fundraising, we are marketing our department to a prospective funder. Depending on the type of fundraising, these prospects can include the public, governmental agencies, and various private organizations (foundations and service clubs).

In fundraising, you employ all the elements of marketing: communicating information on your product, distributing it to prospects, conveying your financial need and cost-benefit, and promoting your product's value.
Assessing your own needs, matching those needs to those of the funding prospect, and planning a program to meet those mutual needs are critical to fundraising success.

Proposals

In conducting a marketing program, you often will be called upon to put your ideas in writing. We have, therefore, included information on proposal writing as part of this unit. A proposal is a type of persuasive writing which convinces the reader that a certain course of action is needed. This type of communication can be directed to prospective funders, governmental entities, or anyone else from within or outside your department whose support you need.

As we define it, a proposal is a written instrument in which the manager identifies a need or problem, and requests aid or permission to implement a solution.

The target audience is usually someone or a group in a position to furnish something the manager needs to solve the problem or meet the need, for example, funds, equipment, support, or cooperation. In writing a proposal, you need to be able to persuade someone who does not necessarily agree with your idea.

Writing an Effective Proposal

To write an effective proposal, you should

- Gather information. You must know the facts so that you can argue your point effectively.

- State the main point clearly. The reader needs to know your point and the facts that support it.

- Anticipate objections. Remember, you are addressing a potentially skeptical and critical audience. Try to write your proposal so it overcomes objections before they are raised.

- Use the Proposal-Link format to create your proposal.

The Proposal-Link Format

Proposal-Link is a writing technique that addresses a need and proposes a way to meet that need. It links the writer's needs to the reader's needs by uniting the proposal's points into a persuasive whole.

In this technique you:

- state the problem;
- state the proposed solution, including how the solution would work;
- describe resources available to implement the solution;
- describe resources needed to implement the solution;
- state the benefits the proposed solution will produce; and

- (in a financial proposal) outline the budget and how available funds as well as new funds will be spent.

The following brief proposal illustrates how the Proposal-Link format is used.

Sample Proposal

MEMO TO: The Board of Fire Commissioners

FROM: The Fire Chief

SUBJECT: Proposed establishment of a student bunker program

Let me follow up on our brief discussion from last month's meeting concerning the department's problem with daytime coverage at our stations.

(PROBLEM) As I mentioned at the meeting, Firefighters Green and Gray, who have for several years split standby duties during weekday hours, can no longer do so, since they both recently switched to the day shift at Weld Widget Company. Since most of our members work outside the district, this leaves us with no one who is available for immediate response during the day.

I realize that, in light of our budget situation, the board is unwilling to commit much money to a solution and does not want to set the precedent of hiring personnel to cover during the day.

(SOLUTION) After discussing the matter with administrators at the local community college, I am confident the establishment of a student bunker program would meet our needs.

Under the proposed program, two students in the college's fire science program would staff the station during the day, in exchange for a free room and academic credit.

(RESOURCES AVAILABLE) The storeroom upstairs that we recently cleaned out could easily be converted into their bunkroom, leaving our existing bunks for our own members who wish to stand by at night. Administrators promise the two students would be able to work daytime shifts, since their classes occur in the evening.

(RESOURCES NEEDED) If you approve, the two students could begin staffing the station before the month's end.

(BENEFITS) I hope you will agree that this new program provides an ideal answer to our current staffing difficulties. Not only will it improve our coverage dramatically, but it will also provide us the opportunity to provide students valuable professional experience as they prepare for emergency service careers.

I hope you will authorize establishment of this program at this month's meeting, and I stand ready to provide any further information that would assist in your decision.

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Activity 4.2

Lobbying Quiz

Purpose

To demonstrate informally your degree of familiarity with potential government contacts.

Directions

1. To test your lobbying expertise, can you recall the information from memory?

	Name	Telephone Number
Congressional representative(s)		
Staff person		
Staff person for each		
Principal local government officials (elected and appointed)		

2. How much of the information could you recall? What does this indicate about your potential thus far for effective lobbying?

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THE MARKETING PLAN

Product Planning Tips

As part of this process, an emergency services organization must take a long and critical look at itself to determine what it offers and how it "measures up" to what its community wants and needs.

To market effectively, you first need a quality product. No amount of promotion will sell a worthless product. Make sure your own house is in order before you seek to promote it.

Judge the quality of your product by how well it meets community needs. Assess that through research. Do not be afraid to ask your customers, "How well are we serving you?" (Remember, in marketing, you ask, listen, and then respond.)

Use your mission statement to state the rationale for your organization's existence, what you see as your ultimate function, and the message you wish to communicate to your community.

Take care not to construct this statement too narrowly. Using the example of the railroads, Theodore Levitt's landmark article, "Marketing Myopia," demonstrates that organizations that define themselves too narrowly risk losing their purpose if the product becomes obsolete. By Levitt's assessment, railroads declined because they defined themselves as strictly a railroad business, instead of a transportation business. They lost touch with consumer needs and interests and did not keep pace with market changes; they were product-oriented instead of consumer-oriented.

To use an emergency services example, an organization that defines itself based solely on fire suppression can lose its purpose once the number of fires declines.

Your mission statement should be defined carefully and based on the results of your community research. It should communicate your commitment to meet demonstrated needs clearly, and it should form the basis of your organization's marketing program.

Price Planning Tips

In these financially tough times of "doing more with less," emergency services organizations must find a locally valid way to demonstrate accurately that the services they provide are worth the expense.

As we will discuss, the public's perception of an organization affects its decisions on the amount of money it will pay to support the service.

Place Planning Tips

Walk-in Sites

A "walk-in site" is any location where the public can walk in for any reason. Since they are typically public buildings, any fire station usually qualifies as a walk-in site.

Think about the image of your organization that is created when the public walks into your building(s). The appearance of your facilities and how people are treated when they come to you are direct reflections on your organization's image.

Walk-in site considerations:

- Public contact.

  Treat people cordially, knowledgeably, and fairly. Communicate a welcoming attitude, not that you resent their intrusions. Yours is not a closed organization; its purpose is to serve the public.

- Appearance of facilities.

  Facilities should be neat and orderly, welcoming to the public, and should showcase your service.

  Make sure your building is accessible, so those who come to you can easily see you or, if that is not possible, leave a message. The Americans with Disabilities Act (ADA) requires accessibility to at least certain portions of your building; such accessibility also enhances the image of your organization. If your building is locked for security reasons, make sure there is a functioning doorbell that is answered when the station is staffed, and that when no one is in the station, there is a way to leave a message.

- Visuals.

  Visuals in your public areas can highlight your service. Some examples to consider: pictures highlighting department history; current service; personnel; and plaques recognizing community service.

- Customer information piece.

  Tell your public about your department in a positive, proactive way. Give citizens something that will tell them about your department and answer common questions, which they can take with them for future reference. This summary could include information such as station locations, services, and who to call or see for additional information. Convey a service orientation--to reinforce that your department exists to serve the public.

  "Place" considerations also come into play when the public comes in contact with your department at **any** location, not simply at your station. The appearance of your apparatus, your personnel, and how people are treated are every bit as important when you are at a remote location as when you are "at home" at your station.

Promotion Planning Tips

Earlier, we defined promotion as a vehicle to communicate a product's value to the consumer. Aside from this definition, you can accurately think of "promotion" by the term's common or everyday usage: when we speak of promotion, we are talking about how we publicize our services to our community.

The aim of promotion is to increase public awareness of what you do, to generate positive community feelings because of that awareness, and to foster support for your organization and the service it provides (your "product").

Promotion may either be general (for your organization as a whole) or targeted (aimed at promoting a specific program or service).

Department promotion should be a coordinated effort. Seek to convey the same message in everything you do. Because of your research and the mission statement you devise, you may wish to come up with a slogan to communicate your message.

This slogan could be used throughout the department to send your department's message every time the public comes in contact with your department.

How and Where to Promote

Whenever your organization comes in contact with the public, you should "capture the moment" and take advantage of every single interaction to promote your organization and enhance its image.

Many think of promotion in terms of advertising and public relations, but neglect other, perhaps even more important components, such as customer service.

Customer Service

To effectively promote and communicate the image of your emergency services organization, be sure to offer superb customer service.

However and wherever the customer comes in contact with your organization, the customer should be treated in a way that enhances the image of your organization.

Effective customer service should be communicated, both to your own people and to the public, as a top priority of your organization. Everyone within your organization should be trained to provide top-notch customer service.

Factors to Consider in Customer Service

Telephone service: Many organizations fail to realize the importance of quality telephone service to an organization's image.

Through telephone contact, you convey a great deal about the quality and attitude of your organization. Remember, your telephone is as much your "front door" as is the front door to your station!

Telephone pointers: Answer calls promptly, courteously, and accurately.

This communicates the message that your organization is caring, professional, and committed to effectively serving the public.

Remember that these rules apply not only to "land lines" but also to cellular phones, and at any time someone interacts with an officer or member on department business.

Avoid "lost calls:" A "lost call" is any call that is not completed because it is not answered, the caller gets a busy signal, or is disconnected by the operator. A lost call can communicate that the organization is inaccessible, uncaring, too busy to answer, or not interested in dealing with the public.

Think about how many "lost calls" your department might currently receive. (If you wish to find out the extent of this, companies can install equipment, for a small fee, that will tabulate telephone data, including "lost calls.") You can reduce "lost calls" by modifying department facilities or practices, for example, installing additional phone lines or instituting "night service" at the times an office is not staffed.

For volunteer departments not staffed around-the-clock, you can install an answering machine or voice-mail to take non emergency calls. (Make sure calls are returned promptly.) Or you can initiate "call forwarding" to refer calls to another number, such as the home number of the chief or another officer, when no one is staffing your station.

Written communication (including electronic mail): Make sure your entire department's written communications are neat, accurate, and professional. Model that practice yourself and make sure other officers and members do so as well. Think before you write. The quality of written communication from a department representative reflects strongly on the organization's image, both positively and negatively.

For official department correspondence, use an attractive and conservative letterhead that projects a professional image. Coordinate design of the letterhead with other written materials and promotional initiatives undertaken by your department.

Remember that electronic mail (e-mail) is also written communication. You and other representatives of your department should put every bit as much thought and effort into electronic communication as you do when you put thoughts on paper.

Considerations in Resolving Complaints

Complaint resolution: Handling of complaints is important. How your organization responds to a dissatisfied public affects its image as an organization.

Use a problem-solving approach: Seek to solve problems and resolve complaints cordially, expeditiously, and nonconfrontationally. Communicate the message that, even though you may not agree with the complaining individual's view of the situation, you thank the person for bringing it to your attention. Consider the person's concerns and analyze whether a reasonable action produced an unintentional effect. Once the problem is investigated or resolved, communicate the outcome to the citizen who made the complaint, and thank the person for caring enough to initiate contact with the department to resolve the problem.

Track and document all complaints: Include the date and time the complaint was received, pertinent facts, and how it was resolved. Review the records periodically to assess common issues and problems that need attention, as well as any trends. Ask how the number and types of complaints you are receiving now compare with those in the past.

Ideally, one knowledgeable person should handle complaints. Often, in a volunteer emergency services organization, this person is the chief. If this is not possible, this task should be delegated to another individual, either a high-level officer with extensive knowledge about operations or someone else with easy access to the chief. This person needs to know what is going on in order to comment and investigate effectively and to work to initiate changes in response to the complaint, if they are necessary.

Community promotion opportunities: Such opportunities are what everyone tends to think of when they hear the word "promotion." You must take advantage of opportunities to reach out to your community to solidify your organization's connection with it. Your outreach can take many forms, either activities that you initiate yourself or tie-ins with other community programs and resources. For example, perhaps one of the highlights for your community is an annual arts and entertainment festival. Participating in the kickoff parade and later, offering boom rides to children on an aerial ladder or offering high-angle rescue displays by firefighters trained in those techniques bring you in contact with your community in a very positive way. Your department benefits from the positive association it makes with the community through the event.

Events

Just about any community event, particularly those with a family orientation, offers a department the opportunity to come into contact with its community, educate the community about the services it offers, and enhance its community image. Consider what your community feels is important, then figure out how your department can forge an association to benefit.

As well as highlighting your organization at community events, you can conduct some of your own; open houses are one common example. Again, whenever possible, tie in your activity with a special occasion--for example, Fire Prevention Week for an open house; springtime for a department-sponsored community cleanup drive.

Even when you do not have a special occasion to tie in with your event, make it a special occasion. For example, sponsoring a recruitment drive that is built around a series of open houses and calling it "Volunteer Firefighter Week" enhances the image of the event and makes it more compelling in the eyes of the public than if your organization does not describe it by a name.

Other Opportunities for Increased Visibility

Put your organization in the public eye by providing assistance and advice via other media. There are several ideas (ways) to do this. One way is to initiate a department Web site.

Many departments have established Web sites to communicate their organization's message to their own members, their community, and beyond. On a Web site, you can post information concerning department services, safety messages, community newsletters, member profiles, upcoming events, member recruitment information (some departments even feature an online membership application.) The possibilities are limited only by your needs and your imagination.

As well as connecting with your external market, your Web site also serves your internal market. Many organizations have password-protected "members only" sections of their sites where the department can communicate internal information on training and other service-related topics. If most of your members have Internet access, this vehicle can largely replace a printed department newsletter (this also can be accomplished through batch e-mail.) If you employ the electronic approach to convey this information, always remember to also disseminate it via alternate means to members who are not "online" (or who do not have e-mail access).

Putting up a Web site also carries another mutual benefit regarding the internal market. Often departments are able to accomplish this through the skills of their own members, by decreasing the cost and increasing members' motivation and sense of connection with the department.

If you have a department Web site, make sure to cross-promote it through other sources so that others you wish to see it know it is there. Include the Web address on your letterhead, on your other promotional materials, on signs outside your station(s); some departments even feature the URL on their apparatus.

In designing your Web site, keep your department's image in mind. Make sure your site is professional, coordinated with your other promotion, and reflects the image that you wish to project. Keep the content timely, accurate, and updated. If new and interesting content is added frequently, people will keep coming back to see what is there and will receive your message repeatedly.

Always include an easy way for members of the public who view the site to get in touch with your department with their questions and concerns; then make sure those inquiries are answered quickly and in a professional fashion, further cementing your organization's connection with your community. Some of the actions you can take include

- Offer to write a periodic newspaper column about life safety issues, giving your community insight into what you do.
- Establish and promote a community speakers' bureau. Community organizations are always seeking relevant speakers for their meetings. Get out the message about your organization and the issues that are important to you. The personal contacts you make also strengthen your community base.
- A community newsletter is another approach. This tends to work well in a smaller community; often in a larger one, mailing costs are prohibitive. To keep mailing costs down, you may be able to "piggy-back" on other mailings for your municipality (for example, an insert sent with water bills) or cooperate with major employers in your area (a feature or insert in their employee newsletters, for example).

Community Access Programming

One avenue for promotion that more and more departments are using with success is community access programming. Virtually all cable television systems are required by law to allow local citizens access to its service to produce programs directed to the community.

You also can use television shows to communicate your need for new members (as part of a recruitment campaign), or to offer "kudos" to your current volunteers (a retention tool). Make them shine in the eyes of the community.

In producing such shows, do not forget your internal market. Undoubtedly, your audience will include your own members. Make such programming a motivational tool.

For ideas, look at how others do it--not only other emergency service or community organizations, but also local and national news magazine shows (for example, "60 Minutes" or "20/20"). Do not expect to achieve their degree of polish, but consider the program elements they use (pacing, for example) in developing your own format.

Promotional Videos

These can be produced and distributed by using your own department and community resources. For this type of program, as well as community access, draw upon the expertise of your own membership; for example, those with talents in writing or video production. Work with others in your community to gain access and production support, such as local high schools or colleges with video production facilities, or local cable or television stations. This approach both minimizes costs and helps your department create partnerships within your community.

Image and Positioning

Everything your organization does affects its image--how the product is seen in the eyes of the public. Everything the public experiences and observes when it comes in contact with your organization forms a perception that influences its view of your service.

You should be able to assess your current image from your marketing research by collecting information that will indicate how your community sees you. (For example, if you conduct survey research or focus group interviews, include questions that gauge the public's response to both the quality of service and how people believe they are treated when they encounter your organization.)

To determine where your image needs improvement, compare your assessment of your current image to your "ideal." Communicate your ideal image through your mission statement. For example, consider how the two following mission statements convey differing messages about their organizations:

- The ABC Fire Department extinguishes fires and provides emergency medical service.

- The XYZ Fire Department is dedicated to preserving and protecting the life safety of the community it serves by diligently providing full range of fire protection and rescue services. It is especially committed to working in partnership with its community to inform and educate its citizens to prevent life safety problems before they happen.

To envision "positioning," think about an automobile as a product. How do consumers perceive an economy car, such as a Ford Escort, versus a luxury car, like a Lexus? Think about other factors in the automobile market that would position the product: foreign versus domestic, utilitarian versus sporty, and so on.

Positioning also extends to the emergency services market. Think about the various products or services an organization produces--for example, how you would position your department's own Certified First Responder course related to advanced first aid classes offered by the American Heart Association (AHA) or the American Red Cross (ARC)? Or, consider how you market your organization to prospective volunteers. How do you position your own organization related to other volunteer opportunities that exist in your community?

The Importance of Research and Evaluation

As a manager, you are undoubtedly eager to get out and begin "selling" your service to the community. You may think you can skip the step of doing research. Do not assume you can. Without research, there is no marketing.

The consumer is the central focus of marketing, and you cannot know the consumer without doing research.

In this unit and beyond, we will cover a number of specific elements and applications of marketing. A common thread running through all these sections is the clear need to approach any marketing-related activities with a long-term view.

As was emphasized in Module 2: Planning, you must develop specific programs and activities in light of your community's needs, characteristics, and resources. Look at your population and your organization and develop the program in line with your community's unique "personality."

Use the eight-step planning process to guide your marketing and evaluating efforts, as well as fine-tuning your programs based on results.

- Look at your community.

- Look at yourself.

- Target your programs and promotion to your community, taking advantage of community resources.

- Monitor and evaluate to see how well you are doing.

Community Needs Assessment

In the last unit, we covered the techniques of community needs assessment. These techniques can be applied to marketing research.

Ways to Obtain Information

Some of the methods available:

- review of department records;
- surveys;
- sampling (focus groups); and
- demographic data--census data and data from market research firms.

For a fee, there are even firms that will provide information on your residents, broken down by ZIP code. Local college libraries might have similar software that does this.

Your organization can obtain information on its consumers and their perceptions, even if you do not have a lot of time or money, by using department and community resources.

Examples

In-kind support: A local business may be willing to underwrite the cost of a promotional effort.

Internships: A local college or university may allow students to conduct surveys or research projects for academic credit.

Membership: Attracting members who have market research backgrounds could enable you to do such research quickly in-house.

Evaluation

An emergency service organization must measure the success of its marketing effort in two ways: by comparing the situation to that in other communities and by the progress in meeting its own objectives. Marketing should be a continuous process. The ongoing success of the marketing depends on evaluation of results.

As discussed in Module 2, the key to successful evaluation lies in thorough planning before the project even starts.

Set clear, measurable objectives, so that you can assess your progress. In line with those objectives, assess

- What went right?
- What went wrong and needs improvement?
- How can we improve?
- Is community service improving because of this program?
- How do we know?

Chief Richard Marinucci of the Farmington Hills, Michigan, Fire Department, relates his department's view of marketing. "Everything we do," he says, "is a marketing tool--even emergencies."

Whatever your organization does, your community is out there watching and assessing the quality of service you provide.

Activity 4.3

Developing a Marketing Strategy

Purpose

To translate business marketing concepts into service marketing concepts in an emergency services organization.

Directions

In this activity, you will examine the marketing profile of the Nation's largest retailer, Wal-Mart Corporation, then work together to develop a profile that includes similar elements for a hypothetical volunteer emergency services organization.

1. Review the marketing profile of Wal-Mart that accompanies this activity.

2. As a group, briefly discuss Wal-Mart's profile.

3. You will be split into four groups--Product, Price, Place, and Promotion--which will develop strategies for the hypothetical department and community described in the scenario.

4. After 10 minutes, each group will report its findings. As each group reports, you may fill in elements on the blank chart included in this activity.

5. From information in group reports, the class will create the profile for the new department.

Scenario

You are officers of the Alabaster County Regional Fire Department, a newly consolidated combination fire department formed to serve a countywide area of 100 square miles. Six all-volunteer departments, which formerly served this region, are now part of the consolidated organization. The new department includes 250 active volunteers and 18 career staff (three assigned to each station).

The county, with a population of 80,000 is mostly rural. One small city (15,000 population) and three small incorporated villages (3,000 to 7,000 residents each) are located within it; the rest of the area consists of open farmland. Primary occupations are agriculture and modestly paying service jobs; some residents work at an industrial plant just over the county line.

Factors leading to the consolidation included community concern over inconsistency and duplication of service among the former departments, slow response times, and volunteer staffing problems (particularly for emergency medical services).

Considering the leadership challenges involved, what initiatives in the areas of Product, Price, Place, and Promotion would this new department develop to serve both its external and internal markets?

Activity 4.3 (cont'd)

Marketing Profile--Wal-Mart

PROFILE

- Value-added service to all customers
- Promote from within
- Treat our employees as associates
- Generate high profits and stockholder equity
- Growth
- Be a part of the local community

PRICE

- Low, competitive price points
- Credit card acceptance
- Volume purchase agreements with product manufacturers
- "No-hassle" return policy

PLACE

- Store locations: regional sittings in primarily non urban areas
- Within distance of distribution warehouse centers
- Prototype store design
- Well-lit, expansive display area

PRODUCT

- Well-defined product lines
- Product-trained associates
- Volume display islands/walls
- Recognized/Respected brands
- Volume purchase-regional distribution (warehousing)

PROMOTION

Advertising

- Minimal broadcast (TV/radio) use; minimal display (newspaper), some supplemental
- In-store displays

Public Relations

- Heavy sponsor/donor to community groups, schools, nonprofits

Public Information

- Consumer/Associate interaction regarding product charactristics and information
- Other sales activities

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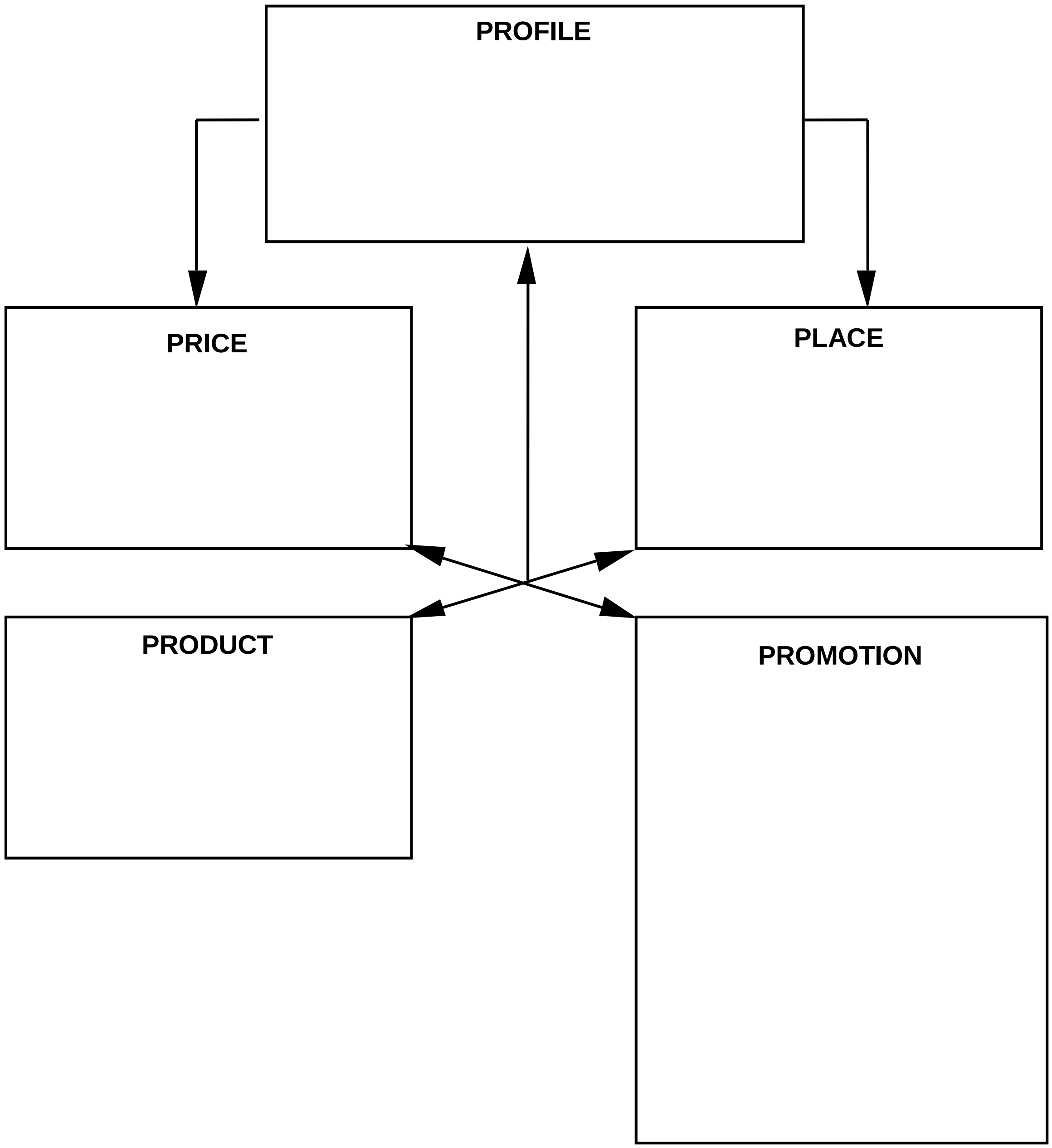
Activity 4.3 (cont'd)

Marketing Profile--Alabaster County Regional Fire Department



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Activity 4.4

Critique of a News Release

Purpose

To review and critique a news release issued by an emergency services organization.

Directions

Review the following news release and answer the question: What are the flaws in News Release A?

News Release A

**News From the
Fluster Fire Department**

Two weeks ago, the Fluster Fire Department Board of Fire Commissioners met and discussed a number of items.

After approving the minutes from the last meeting and talking about whether to buy a new flag to hang at the station to replace the one destroyed in the heavy rainstorm last month, the board addressed the issue of purchasing three new SCBAs for the department.

The commissioners debated the issue for 2 hours during which time it was stated by two of the commissioners that the purchase was not needed. The board ended up deciding to put the matter on the table for 30 days. Then the meeting was adjourned.

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THE MEDIA AND EFFECTIVE MARKETING

Can there ever be hope that those of us in emergency services will see the media as any more than a bothersome nuisance, the "thorn in our side" that interferes with our job?

The purpose of this part of the unit is to suggest that the media can actually help us do our job. By working in partnership with the media, you can forge an even stronger link with your community, which is the foundation of an effective marketing program.

Remember the following:

- The media are another of our "external" markets.

- The media are also important channels we can communicate our message to the community.

We must strive to be proactive, not merely reactive in our dealings with the media.

Similarities Between the Media and Emergency Services

In some ways, what we are trying to achieve in working with the media is similar to our considerations in working with elected officials. In both areas, we are seeking to:

- build positive, long-term relationships;
- achieve mutual respect and trust;
- educate the other about our service, its needs, and constraints; and
- cooperate for mutual benefit.

Both efforts also require long-term, ongoing effort to achieve success.
Note that the media also can serve as an intermediary between the public and us.

Although you may not have thought about it, there are similarities between those in the media and those in the emergency services:

- Both serve the public, emergency services to protect, media to inform.

- The command structure is similar.

In a news organization, an editor or news director sets policies and objectives (as does the chief), the assignments editor or producer implements those policies (as does the company officer), and the reporters carry them out in the field (as does the firefighter or EMT). Both fields are also labor-intensive; personnel are what enable those in both fields to achieve objectives.

Remember, when we interact--each of us is simply doing our job.

Laying the Groundwork For a Positive Relationship

As a first step toward building a positive relationship with the media, initiate contact. Remember, our colleagues in the media are not our enemies. Get to know the people behind the notepads, cameras, and microphones. That means getting in touch, not only with the reporters who cover your "beat," but also with their bosses--the editors and news directors who set the policy.

Achieving a positive relationship with both levels of the hierarchy is important. The department heads set goals and priorities and allocate resources (including their people), but it is the individual reporters with whom you deal with on a day-to-day basis. It is usually the reporter's firsthand view of the story that will determine the message relayed to the public.

To initiate contact, you can set up an informal get-to-know-you meeting with the individual in question to discuss mutual needs and concerns. You also can set up a group meeting with media people as a department orientation event. Even if you opt for a group meeting, do not neglect the personal contact; you are trying to develop positive, individual relationships that will pay off for your department.

Invite media organizations to cover your activities; communicate that yours is not a closed organization. Welcome their participation in department events such as banquets and other nonemergency events. Not only may you receive coverage, but also the personal contacts that are made will forge relationships that will enhance the tone and content of reporting later on.

Make sure that any discussion that takes place during such a meeting is a "two-way street." Do not just take control of the meeting and tell the media person what you need. Gain insight into what the media need as well.

Remember, you are seeking to achieve mutual understanding.

Make yourself available on a continuing basis. Reporters will write their stories anyway. Let them know your side. Do not try to censor what the media report. If you feel you need to do that, it shows that you and the media have failed to achieve mutual understanding. Try harder!

Educating the Media About our Needs

Some departments have achieved success by undertaking organized educational programs for the media. Some have found that producing media handbooks, including names and telephone numbers of contact people, a summary of department policies, and other pertinent information, has improved relations with reporters and the quality of coverage.

Others have run "media day" programs or "fire schools" for media professionals, which educate the media about the needs and constraints under which the emergency services operate.

One department that has used this approach successfully is the Loudoun County, Virginia, Department of Fire and Rescue Services. In its "Meet the Press" program, it brings media and emergency services professionals together periodically to learn from one another.

In the first part of the program, media people "gear up" for live firefighting at the department's burn building and find out first-hand what the emergency services are like; later, the reporters advise emergency personnel how to work with the media.

A similar idea on a smaller scale: put a reporter or reporters through recruit training, or initiate a ride-along program. These efforts produce a "good story" for the reporter and develop understanding of the emergency services' procedures, needs, and constraints. By fostering close contact between organizations and individuals, they encourage cooperation, tending to lead to better coverage.

What the Media Need

The media need: timely, accurate information, access to reliable sources who can provide that information, and sensitivity to cycles in the news business.

Deadlines are a major constraint for the media. Deadline requirements vary greatly, depending on the type of media organization involved. A magazine may have a once-a-week deadline, a newspaper once a day, a television station two or three (for different newscasts) times a day, a radio station every hour, or even every few minutes, depending on the type of station and time of day. The facts, or as many as can be released, are needed by that reporter by that deadline. Immediacy of information is a major concern, particularly for the electronic media.

"Slow days" are days in which very little is happening, and news organizations are looking for news. Your organization can benefit if it has something ready to fill that void. For example, for a human-interest story, or a report on a new department program. Common "slow days" include weekends, Monday mornings, and holiday periods.

How to Produce a News Release the Media Will Use

Your news release must first appeal to the reporter or editor who receives it. This is the first "audience" you are addressing, the person who decides whether, and where, it will run.

Form

Use the "inverted pyramid" style. This simply means putting the most important facts first and the less important details later. Your "lead" (the first sentence and paragraph) should capture the reader's interest.

Get to the point quickly and clearly. Use active verbs and short sentences to make the release lively and easy to read. Avoid passive verbs, such as "is" and "are" as much as possible.

Traditional rules for news releases dictate a double-spaced format, with a limit of about two pages; however, those rules no longer apply in these days of facsimile or electronic mail transmission of most news releases. These days, single-spaced releases are common and acceptable, with a common limit of a page or two.

Content

The most important facts in any news story are the five W's and H. Communicate who, what, when, where, why, and how. Make sure that the structure of your release features these elements prominently.

Include only accurate, credible information, conveyed in an impartial manner. Remember that you are communicating with the public, not with other emergency services personnel. Do not use technical jargon; put information in layman's terms. Say it better than the reporters can say it themselves, and your release may be used verbatim--exactly as you want it said.

Timeliness

Remember immediacy. News is supposed to be "new." Cast your story in terms of what is happening now, or its impact in the future.

Distribute your news quickly--via fax or electronic mail. Create groups of media e-mail contacts or preprogrammed batch speed dial groups of media phone numbers into your fax machine so that you can disseminate your information quickly and easily with a couple of clicks when the time comes. It is generally best to create at least two batches of contacts: one for local media (for routine and other information), the other for regional media (for the more important stories which would be of regional interest.)

Post your news releases on your Web site, if you have one, to complement the media coverage. This also lets your community know what you are doing through this direct source.

Impact

Impact should be a news organization's most important consideration in deciding whether to run your story. Emphasize how this development will affect the media's audience (your service population).

To highlight what makes a story attractive to reporters, remember "the six C's of the media":

- conflict;
- chaos;
- catastrophe;
- colorful;
- corruption; and
- closeness.

Also consider the following statements:

- "If it bleeds, it leads."

- The media "comfort the afflicted, afflict the comfortable."

Followup

Make it easy for reporters to cover your story. List a knowledgeable contact person and phone number(s) on the release for the reporter to contact for additional information and comments. The contact person should be available at times reporters would be likely to call.

Review News Release B in the Appendix of this unit. Compare its content and approach to News Release A found in Activity 4.4.

Media Relations at Emergency Incidents

Emergency incidents are the biggest test of the strength of your media relations program. When tensions are high and tempers on both sides are prone to flare, the groundwork you have laid in fostering relations will pay off.

The media are drawn to emergency incidents, especially major ones. In many cases, they are "instant news"; the lights and action are what the visual media look for.

What does the article summarized on the next page tell us about effective media relations at an emergency incident?

NOTES:

Article Summary

"A Matter of Trust: Dealing With the Media"
By Chuck Ferrell
Television news reporter and licensed paramedic
Published in *Emergency*, February 1987

This article focuses on how media and emergency services interacted after the crash of Delta Flight 191 near Dallas-Fort Worth Airport on August 2, 1985.

Hit by a wind shear during a thunderstorm, the plane was forced down, veered out of control, collided with two water towers, and broke up. The crash occurred just after 6:00 p.m., during the evening news. Two local TV stations aired the story within minutes, beginning virtually continuous coverage that lasted all evening and sparked intense viewer interest, as demonstrated later by the ratings.

Dr. James Atkins, the medical director who coordinated operations at the crash site, indicates the EMS response was quick and so large, officials had no idea how many agencies responded. Many came from more than 100 miles away without being called. Triage was efficient, with all but six of the 33 people injured long-term survivors.

Concerning relations with the media, Dr. Atkins observes, "I think we handled it as well as you ever can. We were sensitive to the news media, we provided the news media with access, we tried to be as open with the news media as we could possibly be." Media gained immediate access to the crash site. Mock disaster drills had always included the media; the media were considered part of the response team. Disaster planning also included P.R. people from the hospital, EMS, and the airline, to serve as intermediaries between emergency personnel and reporters.

The public information command post was established in a corner of the disaster control area, a location where news organizations could get detailed pictures, but outside of routes emergency personnel needed to use to access the crash site.

Although news teams were restricted to part of the control area, reporters voiced few complaints. One television administrator praised the spirit of cooperation. "I think because we have worked with them in rehearsals and drills, everyone knew what to expect. I would say on a scale of 1 to 10, it's (access) about a 9.5 for Dallas-Fort Worth."

Dr. Atkins observes, "The news media are going to be there, you can use them to your benefit or try to be antagonistic to them. When you're antagonistic, you're not going to win, so it's much better to be a friend."

Pointers for Working With the Media at Emergency Incidents

Establish prior relationships and cooperation by:

- providing accurate information from a reliable source;
- using a media command post and a Public Information Officer (PIO); and
- providing access for success.

Media need to be close enough to the action to cover the story and get pictures, but not so close that they could be harmed or interfere with operations.

Consider media part of the "response team." Involve them in disaster planning. They can also serve as a valuable ally in protecting the public.

The Public Information Officer

A PIO serves as a liaison to the media. Although many metropolitan paid departments have PIO's, such a position tends to be rare in a smaller volunteer department.

The advantages of designating one person as PIO:

- allowing the department to "speak with one voice" and control the quality of information that is released;
- providing information to, and "crowd control" of, the media without interfering with operations;
- fostering positive public relations by giving the media a consistent person to deal with, and helping achieve a trusted, one-on-one working relationship that maximizes the chances for positive, accurate coverage; and
- at an emergency scene, the public information officer functions within the Incident Command System (ICS) and reports to the Incident Commander (IC).

At times other than emergencies, the PIO also generates positive public information campaigns on the department's behalf.

Your PIO should possess knowledge of your service and the ability to interact with the media, projecting a positive image for your department. Strong writing and presentation skills, as well as an ability to "think on one's feet" are important.

Here are some pointers if you are serving as the PIO or as an officer and are providing information to the media at a media briefing, news conference, or other media event.

- Before you speak with the media, **think**! What message do you want to convey? What information do you want the reporters to take away with them and relay to the public? What is the strongest impression you want reporters to have from your presentation?

- If you are briefing the media at an incident or at a news conference, it is often helpful to prepare a series of talking points, even if it is just a few scribbled notes on a card or piece of paper that you can refer to. If you have those points in your head, you will often have the opportunity to provide that information in response to a number of questions the media has.

- Anticipate potential negatives, and think in advance how you will respond to such questions honestly, but emphasizing the positive aspects of the situation.

- Keep calm and project a professional, caring, and helpful attitude. Remember that in dealing with the media in such a situation, you **are** your department, in the eyes of the media and of the public.

Speaking about the benefits of his department's media relations and community relations plan, Chief Richard Marinucci of Farmington Hills says his department "bends over backwards" to cooperate with the media and, as a result, has gained "a lot of good, positive coverage." He adds, "We've burned down buildings, and the paper says, Fire Department Saves Half of Building."

Succinctly, that is the type of result you want to achieve.

Activity 4.5

A Mock Lobbying Situation

Purpose

To demonstrate marketing knowledge in a role-play situation.

Directions

Read the following scenario, upon which the activity will be based.

Scenario

The community of Alexander is a small but rapidly expanding southwestern city with a population of 30,000 covering an area of approximately 50 square miles. Because of rapid development, the community's size has increased ten-fold in a little more than a decade.

Alexander had been served by a volunteer fire department, but contracted with a private fire protection firm, FireSafe Associates, 9 years ago, as growth began to skyrocket. Lawmakers had feared the volunteer service, whose membership was dwindling, would be unable to meet the increased demand, as their small country town became a suburban community. They contracted with FireSafe over the vehement objections of those in the volunteer company. Under the agreement with FireSafe, the city owned the stations and the apparatus.

For 6 years, FireSafe Associates provided service without incident, despite some continued grumbling from former members of the volunteer department, many of whom had subsequently affiliated with the volunteer company in the neighboring community of Goddard.

Then, debate over adequacy of FireSafe's service erupted after a 10-year-old boy died of heart failure on a school playground in Alexander; FireSafe had dispatched an engine, but not a paramedic, to the scene.

As part of a heated and emotional battle over the quality of FireSafe's service, critics charged the private service was overpriced and substandard, that response times were too slow, manning levels too low, and overall protection inconsistent. The private firm, it was argued, failed to participate in mutual-aid agreements with surrounding career and volunteer departments.

It also was charged that FireSafe put almost no effort into fire prevention activities. With an increasing number of fires and inconsistent protection, critics argued, the public was losing faith, not only in FireSafe but also in the emergency services in general.

As the Alexander City Council considers a citizen petition to cancel FireSafe's contract, the Goddard Fire Department (GFD) has come forward with an offer to serve Alexander through a fire protection agreement.

Since the change would more than double Goddard's service area, Goddard asks Alexander to support half of the department's annual operating budget. The Goddard Fire Department's budget typically totals approximately $160,000. Alexander currently pays FireSafe approximately $250,000 a year for its services.

Officials from FireSafe have already appeared before the council, standing by their service and charging that Goddard has made its offer in an attempt to solve its own financial problems, without the ability to follow through and provide the promised service. FireSafe alleges that Goddard cannot adequately serve its own district, much less more than double the area, and that Goddard is threatened by the possibility that its own town board might consider contracting with FireSafe

The Alexander City Council has called a special committee meeting to learn how the Goddard Fire Department would provide service and meet community needs, should the fire protection agreement be initiated.

The council has asked Goddard to address each of the following areas:

- service delivery (quality and accessibility);
- budgetary and financial considerations; and
- how the public will be informed and educated on life safety issues, restoring their confidence in the quality of their protection.

The department has formed task forces to address each of these areas.

Meeting Agenda

- Welcome--outline of meeting's purpose by Mayor Wilson
- Presentations--Goddard Fire Department (9 minutes)
- Follow-up questions from mayor and council (5 minutes)
- Questions from the media and the public (5 minutes)
- Adjournment (Mayor Wilson)

1. You will be divided into six groups, as follows:

   Group 1: Elected Officials

   - Mayor Wilson
   - Councilor Smith
   - Councilor Jennings

   Group 2: Goddard Volunteer Fire Department Service Quality Task Force

   - Chief Wood
   - Member #1
   - Member #2

   Group 3: Goddard Volunteer Fire Department Budget/Finance Task Force

   - Assistant Chief Sharp (also department treasurer)
   - Member #1
   - Member #2

   Group 4: Goddard Volunteer Fire Department Information/Education Task Force

   - Assistant Chief Gordon (department public education/PIO)
   - Member #1
   - Member #2

   Group 5: Media Representatives

   - Radio reporter
   - TV reporter
   - Print reporter

   Group 6: Citizens

   (Remainder of class)

2. Make character assignments within your group. (See group tasks below.)

3. Read section on developing proposals and the Proposal-Link format in the SM.

Group assignments:

Group 1: Elected Officials

- Mayor Wilson, spokesperson
- Councilors will ask questions after group presentations.
- Review agenda.
- Based on the scenario, develop likely followup questions to be asked of each group following presentations.

Groups 2 to 4: Goddard VFD Task Forces

Chief Wood, Assistant Chiefs Sharp and Gordon, spokespeople

- Based on scenario, develop a 3-minute presentation covering your task force area employing the eight-step planning process and using guidelines of the Proposal-Link format.

- You may fill in notes and key points on the Proposal-Link Guide contained in this activity.

- Anticipate likely followup questions to be asked by the council, media, and the public and how to effectively respond to them.

Group 5: Media Representatives

Each reporter will ask at least one question during the question-and-answer period.

- Decide on names and hypothetical organizational affiliations for each reporter, by which each will identify himself or herself before asking questions.

- Develop contrasting portrayals of each reporter, incorporating common characteristics (for example, abrasiveness, or ignorance of emergency services issues).

- Based on scenario, develop likely questions to ask following presentations. Questions should be directed at Goddard VFD officers and related to the content of their presentations.

Group 6: Citizens

At least three representatives will ask questions during the question-and-answer period. The group will also evaluate effectiveness of presentations.

- Based on scenario, develop likely questions, to be directed at Goddard VFD officers and related to the content of their presentations.

- Identify group members to ask the questions. Discuss key points that should be covered in presentations--in line with the scenario, the eight-step planning process, and elements of Proposal-Link Format. Also, develop a means to evaluate effectiveness. You may fill in notes and key points on the Proposal-Link Guide contained in this activity.

In-Class Activity

You will perform a role-play exercise and evaluation based on out-of-class work at the beginning of the next day of class.

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SUMMARY

In this unit, you have learned to apply marketing principles to an emergency services organization and how the "Four P's" of marketing (Product, Price, Place, and Promotion) relate to the emergency services.

You have learned that marketing involves more than just sales. Marketing is a comprehensive program in which the organization asks, listens, and then responds to what its community wants. To do that, your organization must conduct research and evaluate your community's needs and make a comparison to how well your organization is meeting them.

You have learned that, to market effectively, you must direct your message to your own people as well as to constituencies, including your service population, governmental officials, and media representatives; and that marketing encompasses everything your organization does. It comes into play whenever your organization and the public, or your organization and its people, interact.

By marketing itself effectively, both your organization and your community benefit. By asking, listening, and then responding to your community, your organization makes itself the best it can be.

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Module 4: Marketing

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. What type of communication process is marketing considered?

   a. One-way.
   b. Two-way.
   c. Three-way.
   d. Four-way.

2. What are the four "P's" of marketing?

   a. Product, Price, Practicality, and Promotion.
   b. Product, Price, Place, and Promotion.
   c. Product, Price, Place, and Positioning.
   d. Product, Price, Positioning, and Promotion.

3. What term refers to how customers perceive your product relative to that of your competitors?

   a. Positioning.
   b. Provision.
   c. Promotion.
   d. Price.

4. The external market consists of both those to whom you provide service and others who support your organization.

   a. True.
   b. False.

5. What is the first step toward building a positive relationship with the media?

   a. Learn the names of the local media personalities.
   b. Acknowledge they are not useful to your organization.
   c. Invite them to the organization's social functions.
   d. Initiate contact.

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APPENDIX

NEWS RELEASE B

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NEWS RELEASE B

For further information:
John Smith, Chairman 555-3333 (office)/555-2431 (home)

News from the
Fluster Fire Department

<u>FOR IMMEDIATE RELEASE</u>

Commissioners for the Fluster Fire Department will seek more information before deciding how to respond to the suspected theft of equipment discovered earlier this month. Three self-contained breathing apparatus (known as SCBAs), air tanks, and respirators that allow firefighters to breathe safely while in a hazardous environment, came up missing two weeks ago. The department is investigating unconfirmed reports that a disgruntled member who recently left the department took off with the items to sell them out of state.

While the board initiates legal action to recover the stolen units, it last night delayed a decision on whether to immediately replace them. In a debate that lasted nearly two hours, Commissioner Joe Brown argued that recovery of the missing items is by no means assured, and that the department should purchase replacements immediately. Not to do so, he maintained, will compromise the safety of the department's firefighters.

But the board's majority, led by Chairman John Smith, responded that to be fiscally responsible to residents of the district, the board must first investigate whether insurance will cover the loss before placing an additional burden on taxpayers. Spending the extra $X,XXX right now, he stated, would exceed the department's budget, already strained by expenses forced by the flooding earlier this year. He added that immediate purchase is unnecessary, since three neighboring organizations each have loaned one unit to the department, until the missing equipment is recovered or replaced.

The Board last night authorized Fire Chief Harold Wilson to contact the insurance company to obtain further information before next month's meeting

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MODULE 5:
HUMAN RESOURCE MANAGEMENT

TERMINAL OBJECTIVES

The students will be able to describe the role of human resource management in the management of an emergency services organization.

ENABLING OBJECTIVES

The students will:

1. *Explain the benefits of good communications and people skills in their organization.*

2. *Identify the components of good interpersonal and organizational communication.*

3. *Describe the steps of a staffing needs analysis for an emergency services organization.*

4. *State the importance of designating a personnel officer or committee responsible for designing and implementing a comprehensive human resources management program.*

5. *Explain the value of diversity as an organizational resource.*

6. *State the importance of identifying the unique contributions every individual can make to meet organizational needs.*

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OVERVIEW

The purpose of this module is to address the critical issue of human resource management with strong emphasis placed on recruitment and retention of personnel. This module stresses the fact that personnel are an organization's most vital resource, and a diverse membership provides a broad range of valuable abilities and skills. The need to create a work environment that welcomes everyone's participation also is emphasized strongly.

Personnel are the most important resource. Managers are judged by what their people accomplish. Good managers put people first because good workers are an organization's most valuable resource.

Fire service managers can attract the best people by creating a work environment that welcomes the participation of all. A diverse membership provides a broad range of valuable skills and abilities.

Human resource planning is an important part of overall planning. It requires a systematic approach to developing action programs that provide trained personnel to fill present and future needs of the organization. It includes the selection and training of individuals and the development, maintenance, and use of the skills and abilities of actual and potential members. Human resource development takes place within the culture of your organization.

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Activity 5.1

The Most Significant Human Resource Challenges

Purpose

To get you to focus on the human resource management challenges the emergency services organization faces.

Directions

1. Working and brainstorming with your table group, list what you think are the major human resource management challenges (however you care to define that term) that are significantly affecting emergency services organizations today.

2. Your group has 10 minutes to compile the list, place it on an easel pad, and appoint a spokesperson to present your list to the class.

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COMMUNICATION

Communication is a very important aspect of human resource management. We begin with this subject to emphasize its criticality to this area.

Principles of Effective Communication

Make the connection! It is not only what you say, but also how you say it.

How Communication Relates to Human Resource Development

Effective communication is the key to effective human resource development, since people are your most valuable resource. Without communicating with your people, you cannot develop, motivate, train, retain, or build your organization.

Forge links between what the organization wants or needs and what its members want or need. Achieve mutual understanding and "buy-in."

Application to Adaptive Leadership

Get their attention. Tell members what they need to hear, not just what they want to hear. Work through people to make adaptive change. Engage people in adjusting expectations.

Basic Communication Skills

Get on the balcony. Analyze and gain awareness of your own communication skills and effectiveness. By doing this, you can change your communication style to become a more effective leader.

Active Listening

Actively engage in communication. Communicate through more than just words, but also through attitude. This builds your connection and relationship with the person.

There are five levels of active listening and responding skills (simple to more complex):

- Basic acknowledgements such as verbal or nonverbal responses, indicating that you are listening.

- Silence--If you are silent when the other person expects you to respond, you often will find out more information.

- Questions--Asking questions tells a person you are interested in what is being said and that you want to know more.

- Paraphrasing--Focus on content and tell a person what you think was said, then obtain verification.

- Reflective listening--Identify and respond to a person's apparent emotion. Clearly show concern without being critical or judgmental.

Active listening is hard work, and this is a skill you need to build as a leader.

Pointers for Effective Communication

- Make eye contact and smile!

- "Fit in" with the other person and synchronize your body language with his/hers.

- Capture the imagination through your use of language.

- To persuade--"KFC":

  - **K**now what you want,

  - **F**ind out what you are getting, and

  - **C**hange what you do until you get what you want.

- To lead effectively, project a positive, useful attitude through your body language, voice, and words. Use enthusiasm, curiosity, humility, and "open" body language.

- Congruence--body language, tone of voice, and words all match. This communicates credibility.

Give and respond to feedback. This gives design, depth, and direction to interactions and enhances the quality of the encounter. It also makes people feel that you are giving them your attention and ensures the communication is having an impact. Be sure to talk in the positive.

Note the cause and effect. Indicate and clarify the "why" and "because." Research has shown that people tend to comply when given a reason they should.

Tips for effective interaction.

- get them talking;
- find common ground;
- stay focused;
- observe actively;
- listen actively;
- give feedback and encourage;
- make sure to listen more than you talk;
- ask open questions to open people up;
- focus on the person you are with; and
- stay curious and engaged.

Use of Various Media to Communicate

When communicating with the internal market, ask how your members prefer to receive information. Pay attention to those preferences and gear your communication to them. Use principles of effective communication and adapt them to the various media.

Written Communication

Examples of written communication are memos, Standard Operating Procedures (SOP's), Standard Operating Guidelines (SOG's), email, and Web pages. There are several things to consider when putting together the content:

- Think before you write!

- Information should be clear, accurate, and meaningful.

- Watch your tone!

Meetings

Avoid holding meetings for meetings' sake. Respect your members' time. Strive to conduct effective meetings. Some of things you can do to make your meetings more effective:

- Advance planning: Have an agenda.
- Notify the people who need to be there.
- Gather resources such as written material.
- Set time limits.
- Work to keep discussion moving and on track.
- Give out assignments to facilitate further research and include deadlines.
- Plan the next meeting and gain agreement.
- Be open to communication changes and improvements your members suggest.

Activity 5.2

Speaking and Listening

Purpose

To bring about awareness concerning your own communication style, including good and bad habits.

Directions

1. The instructor will select a pair of students from each table group. These pairs will conduct a role-play in front of the remaining students.

2. The members of each pair will alternately assume the roles of listener and speaker. When playing the role of listener, each student will do nothing but listen. When in the role of the speaker, the student will take 30 seconds to talk about a hobby or an interest that he/she has outside of work. The listener is given 90 seconds to ask questions. The students then will switch roles.

3. After each pair finishes its role-play, the instructor will ask them the following questions:

    a. Which role, talker or listener, was easier for you? Why?

    ____
    ____
    ____

    b. In the listener role did you notice any good or bad habits that you have?

    ____
    ____
    ____

    c. In the listener role did you feel that you had control of the communication? Why or why not?

    ____
    ____
    ____

    d. Did you listen more effectively in the activity than you do in real life?

    ____
    ____
    ____

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DIVERSITY

As the work force diversifies, volunteer emergency services organizations will include more individuals from cultures with differing values, perspectives, and behaviors. This diversity will require the leader to communicate with people cross-culturally, through the generation gap, among races, and between genders.

Valuing cultural diversity means acknowledging that cultural differences exist and that growing diversity in the work force presents an exciting opportunity. While we may not recognize it, the traditional fire service culture tends to resist diversity and can pose difficulties for others who seek to become involved.

One of the ways to prevent burnout and decreased participation is to develop a group of members with diverse backgrounds and interests whose widely varying knowledge, skills, and abilities allow for spreading the work around and preventing overload.

By better enabling it to respond to changing conditions and adapt, achieving a diverse membership is an asset to an emergency services organization.

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Activity 5.3

Biases and Perceptions

Purpose

To take an honest look at your individual biases and perceptions you may have about other people. The intent of this activity is to use adaptive leadership situation assessment principles to look at personal views.

Directions

1. In Part 1, select three or four of the groups listed in the following Student Activity Worksheet (SAW) about which you have strong feelings, and list one or two facts and a conclusion about them.

2. After you have worked on the activity for about 10 minutes, there will be a brief discussion using several examples that volunteers from the class are willing to share.

3. Because of the personal nature of the rest of the activity, you are strongly encouraged to complete it this evening or upon your return home.

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Activity 5.3 (cont'd)

Worksheet

Part 1

Below are some categories of emergency services personnel. Select three or four of the groups about which you have strong feelings and list one or two facts and a conclusion about them. Carefully review your facts and try to identify whether or not they are stereotyped images or factual conclusions. For groups about whom you have few facts, think of ways to gather facts before forming conclusions.

Group **Fact(s)** **Conclusion**

60 year-old firefighter ____________________

____

____

Female firefighter ____________________

____

____

Male firefighter ____________________

____

____

Career firefighter ____________________

____

____

Volunteer firefighter ____________________

____

____

Rural firefighter ____________________

____

____

Metropolitan firefighter ____________________

____

____

Group **Fact(s)** **Conclusion**

Northeast firefighter ____

____

____

West Coast firefighter____

____

____

Hazmat team member____

____

____

EMS member ____

____

____

Fire marshal ____

____

____

Part 2

Below are some categories of people. List one or two facts and a conclusion about each group. Carefully review your facts and try to identify whether or not they are stereotyped images or factual conclusions. For groups about whom you have few facts, think of ways to gather facts before forming conclusions.

Group	Fact(s)	Conclusion
African-Americans ______		
Asian-Americans ______		
Hispanics ______		
Native Americans ______		
Whites ______		
Men ______		
Women ______		
Christians ______		
Jews ______		

Groups **Fact(s)** **Conclusion**

Muslims____
____
____

Homosexuals____
____
____

Heterosexuals ____
____
____

Review the lists and identify any negative messages about particular categories of people. Are these messages rooted in fact and personal observation or are they based on generalizations unfounded in reality? Did you have an easier time on the first or second list? Why? In what ways have your perceptions and biases affected your organization?

Culture

A culture refers to any group of people who share common beliefs, values, and ways of doing things. Examples of such commonalities include dialect, religion, age, gender, or national origin. Culture is **not** restricted to race or nationality. People absorb culture through their upbringing. Culture can be seen in how people talk about themselves and about cultural groups different from their own. Individuals are affected by the organizational culture, and the organization is affected by cultural influences of the individual.

Cultural misconceptions and perceptions are conclusions we draw about persons, objects, qualities, and relationships based on information we receive from our environment. Our environment often limits us to seeing things in only one way. With determination and training, we can learn to see things from many different points of view.

Misconceptions and Inaccurate Perceptions

One form of misconception is bias. We have preconceived ideas, often without basis in fact, that guide actions relating to people from different cultural backgrounds. If we are aware of our biases, we can control them in our interactions with different people. Biases are filters.

Stereotypes are another form of misconception. A stereotype is a mental picture of a set of characteristics that is believed that all members of a particular group have in common. Once stereotypes are formed, they influence the information we process about others. We tend to use the information that fits the stereotype and reject that which does not fit.

Diversity

Diversity means variety, being different, or having different qualities.

Every person has characteristics that make him or her distinct or different from other people. Some of these differences are more easily identifiable than others.

Cultural Diversity

Traditional philosophy is one of assimilation. It considers everything as a melting pot. It strives to make everyone the same. In an organization the newcomer should conform to the dominant group, blend in, and not expect special treatment. The problem with this is that it creates barriers for newcomers. It also wastes talent and creativity. This lack of adaptation promotes high turnover of personnel. Current philosophy is one of cultural diversity. Instead of a melting pot we see a mosaic. It values the differences in thoughts, values, and behaviors that result from a person's unique background and upbringing. These differences are based on a number of factors, including gender, race, religion, national origin, ability (people with and without disabilities), sexual orientation, age, and class. It values individual backgrounds and contributions. This view supports "E Pluribus Maximus": Greatness from Many. It pays attention to what work environment is like for everyone. This view is crucial to building a fire service culture where all function productively together. This view also produces new ideas, greater organizational harmony, improved credibility, and community image.

A New View of Diversity

Diversity covers innumerable differences, not just race, gender, or nationality. Different people with different experiences can create different solutions to problems. These different solutions can be positive for the individual and the organization.

The long-term effectiveness of an organization is a function of its ability to build on all of the strengths of all of its members.

The Adaptive Leader and Cultural Diversity

First, we need to perceive cultural differences objectively. Listen to people positively. Be sensitive to and acknowledge others' points of view. Avoid the danger of marginalization. Marginalization makes members feel invisible, and it ignores members' contributions. Women and other out-groups often experience it. Another area to avoid is tokenism. This is simply not treating members as full partners. One thing to note is that the majority group typically does not notice the dynamic.

The solution to this is to institutionalize changes through policies and procedures. Use a practical approach focused on how cultural diversity affects everyday life.

Organizational Benefits of Diversity

In his book, *Cultural Diversity in Organizations*, Taylor Cox found that the organization's positive "diversity climate" produced individual outcomes, such as greater satisfaction, involvement, and organizational identification.

Also noted was a sense of greater organizational effectiveness. Members' perceptions of being valued had significant effects on their involvement and conscientiousness.

The Basis for Nondiscrimination

We should understand the legal basis for nondiscrimination and the cost of discrimination. We also should recognize the benefits of a culturally diverse organization in sharing ideas, perceptions, and experiences and in strengthening the organization.

Equal Employment Opportunity

Equal employment opportunity (EEO) refers to the right of all individuals to compete on an equal basis for a job without regard to race, creed, national origin, religion, disability, gender, or age. Originally equal employment laws were written to eradicate intentional and unethical acts of discrimination. Many organizations also have discriminated unintentionally against minorities and women. Both court decisions and laws say that minorities and women not only will be employed, but also will be recruited actively and selected appropriately. Action to the contrary is permitted only if a particular person is incapable of performing valid job-related tasks. Many people think that volunteer organizations are immune from EEO actions, but more and more actions have been decided against them.

Affirmative Action

Affirmative action is the voluntary and deliberate action on the part of an employer to ensure that personnel practices meet EEO requirements. A prerequisite to successful affirmative action is commitment that begins at the top and works its way down. Since it is difficult to change attitudes, the initial efforts should be directed at changing nonsupportive behavior. The climate generated by hostile behavior or attitudes creates mistrust and destroys motivation for prospective members. Many are discouraged by having to confront a hostile environment.

Sexual Harassment

Sexual discrimination occurs when employment decisions are based on an employee's gender instead of his or her qualifications. Sexual harassment occurs when an employee is subjected to unwelcome behavior from an employer (or someone under the employer's control) that happens only because of the employee's gender.

There are two types of sexual harassment:

- "Quid pro quo" harassment involves demands for sexual favors in return for employment benefits.

- "Hostile environment" harassment involves behavior motivated by the target's gender that makes the workplace offensive, hostile, or intimidating.

Cultural diversity issues have to be considered as part of the human resource development plan of the organization.

Activity 5.4

Cultural Bias

Purpose

To help you assess the cultural perspective from which situations are viewed. This exercise facilitates the examination of cultural biases. It will also assist in changing the perspectives from which we view a situation so that we can examine our cultural biases.

Directions

1. While viewing the video, "The Job Interview, Part 1" list the stereotypical comments that take place in the interview in the female-dominated society.

2. At the conclusion of the video, you will be divided into groups of four. Discuss and list similar behaviors and comments that you have observed in the existing white, male-dominated emergency services culture.

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STAFFING

Assess and Forecast Organizational Needs

The recruitment and selection of personnel are challenging tasks that clearly require the expertise of leaders and personnel specialists. Today, we need to hire employees with a range of skills and abilities that can help accomplish a fire service mission that goes beyond fire suppression. Today's firefighters must be capable of learning and performing more technical and administrative skills than in the past. The physical skills necessary for fire suppression and rescue must be evaluated as well as personal orientation and cultural awareness. Forecasting and assessing organizational needs is a critical part of selecting the right staff to accomplish organizational goals. Examine the jobs and know what your organization needs to meet the demand of the mission. Additionally, assess the job descriptions. Other things to consider are community growth--look at retention, assess the changing services, and prepare for future staffing needs.

Insurance Services Office

The Insurance Services Office (ISO's) Public Protection Classification (PPC) program evaluates communities according to a uniform set of criteria, incorporating nationally recognized standards developed by the National Fire Protection Association (NFPA) and the American Water Works Association (AWWA).

The PPC program provides a useful benchmark that helps fire departments and other public officials measure the effectiveness of their efforts and plan for improvements. This includes staffing.

Apply Good Planning Techniques

Look at the strategic goals of the organization. Remember that staffing is part of resource procurement and management.

SUMMARY

In this module the issue of diversity was approached from the adaptive leadership standpoint of it being an asset, and not a liability. The main theme of this section was the need to eliminate fire service stereotypes that may be hindering it progress.

Such diverse human differences as culture, values, and age and their potential effect on the job were discussed. Particular emphasis was placed on significant contributions these differences can bring to an organization.

Also covered were the legal and governmental perspectives of concern to any organization. The legal implications discussed were in reference to Federal Equal Employment Opportunity Commission (EEOC)-related mandates.

Module 5: Human Resource Management

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. Silence on the part of the listener is involved in what form of listening?

   a. Passive.
   b. Inactive.
   c. Condescending.
   d. Active.

2. What does a group of people who share common beliefs, values, and ways of doing things define?

   a. A community.
   b. A culture.
   c. A consortium.
   d. An alliance.

3. The traditional philosophy of culture is one of diversity.

   a. True.
   b. False.

4. The term "equal employment opportunity" refers to the right of all individuals to compete on an equal basis for a job without regard to race, creed, national origin, religion, disability, gender, or age.

   a. True.
   b. False.

5. Today's firefighters must be capable of learning and performing more technical and administrative skills than in the past.

   a. True.
   b. False.

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MODULE 6: RECRUITMENT

TERMINAL OBJECTIVES

The students will be able to:

1. *Describe the elements and tools needed to design and implement an effective recruitment and selection program.*

2. *Apply the adaptive leadership model to recruitment and retention.*

ENABLING OBJECTIVES

The students will:

1. *State the importance and elements of documenting organizational roles and responsibilities.*

2. *State the importance of a formal promotional program based upon qualifications, succession planning, and discipline.*

3. *Identify the obstacles to recruiting and retaining personnel.*

4. *Design a recruitment plan.*

5. *Explain the criticality of recruiting and selecting members to meet organizational needs.*

6. *Describe the relationship between marketing and recruiting.*

7. *State the importance of identifying the unique contributions every individual can make to meet organizational needs.*

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OVERVIEW

The purpose of this module is to address the critical issue of recruitment. Like the previous module, this module stresses the fact that personnel are an organization's most vital resource, and a diverse membership provides a broad range of valuable abilities and skills. The need to create a work environment that welcomes everyone's participation also is emphasized strongly.

- Personnel are the most important resource.

- Managers are judged by what their people accomplish. Good managers put people first, because good workers are an organization's most valuable resource.

- Fire service managers can attract the best people by creating a work environment that welcomes the participation of everyone.

- A diverse membership provides a broad range of valuable skills and abilities.

- Human resource planning is an important part of overall planning. It requires a systematic approach to developing action programs that provide trained personnel to fill present and future needs of the organization.

- It includes the selection and training of individuals and the development, maintenance, and use of the skills and abilities of actual and potential members.

- Human resource development takes place within the culture of your organization.

THE CRITICALITY OF RECRUITMENT

What is Recruitment? What Affects It?

Recruitment is the process of manipulating the quality of people who seek to join your organization. Selection is the process of choosing from among those people to obtain additional members for your organization.

Why Recruitment Is Important

An effective member recruitment program is critical to an emergency services organization that uses the services of volunteers. Your people are your most valuable resource. Your people enable your organization to fulfill its mission and to meet your community's expectations. All the equipment and technology in the world will not make up for a lack of good people. Getting good people and keeping good people (which we will discuss in Module 7: Retention) should be among an organization's top priorities.

One clear fact is that the lack of an effective member recruitment program will damage your organization.

The Internal Impact

Safety issues are the first area of concern. The following problems may arise:

- having too few people compromises the safety of your personnel;
- respiratory protection standard "Two-In/Two-Out;"
- safety lapses caused by tension, fatigue and carelessness;
- vehicle accidents; and
- impact on qualifications and standards.

The second area of concern is the impact it will have on your personnel. You will have to deal with such issues as the following:

- promotes "burn-out," and
- too much to do, too few to do it.

Third, you will have the negative effect on motivation and retention. These will affect your organization in the following manners:

- Organizational quality suffers.

- Leaders often are blamed for not having "the answer."

- Frustration--wanting to "do something," but do not know what.

- Overwork creates tension that can produce organizational discord and strife.

There also will be very noticeable external impacts that could result in the failure to meet community expectations and fulfill your mission. Some of the affects you may encounter are

- longer response times;
- ineffective performance at emergency incidents;
- cutback in "nonessential" services; and
- increased losses.

These could compromise community safety and damage the emergency services organization's image.

Why Recruitment Is An Issue

When dealing with the issue of recruitment there are several external and internal factors to consider.

The external factors to consider are

- demographics;
- changing structure of the family;
- economic pressures;
- housing patterns; and
- personal values.

The internal factors (within the emergency services) are

- Increasing certification and training demands.

- Increasing time requirements because of those increased demands, and fewer people to perform the work required (because of membership decline). The nature of the business is changing. There is more structured commitment than in the "old days." There also is an increased call volume. Additionally, there is less emphasis on the social aspects of the organization.

- Internal conflict within the organization also may be a factor.

Volunteers are being asked to do more and more while they feel able to do less and less. In a time when a number of factors make it more difficult than ever for people to volunteer, we are competing for their time and their interest. Recruitment is crucial to mission accomplishment, community safety, and meeting community expectations.

Why Do People Volunteer?

According to Snook and Olsen the common motivations for people to volunteer are:

- a sense of belonging;
- achievement;
- economic security;
- freedom from fear;
- love and affection;
- self-respect;
- understanding;
- challenge;
- recognition;
- reward; and
- have fun and enjoy life.

These individual needs must be addressed in order for the process to be successful. Membership benefits should be communicated to show how involvement could meet prospective members' needs. Benefits offered by organizations enhance recruitment.

Nontraditional Volunteers

The nontraditional volunteer performs in capacities other than the traditional emergency services, such as firefighting or emergency medicine. The benefits of hiring such volunteers are many. They can provide specialized services (such as administrative duties), free up emergency personnel, and broaden your organization's volunteer (and community support) base.

Internal Issues Regarding Nontraditional Volunteers

Incorporating nontraditional volunteers requires adaptive change within the organization. Be aware, however, that there may be some resistance. There may be a perception of not being "real" volunteers--as they do not respond to emergencies. There also may be the issue of voting and having "full power" within the organization. This will require internal marketing --communicate to members the value of the nontraditional member to the organization. It also is critical to provide nontraditional members guidance and support. This will make them feel welcome and a part of the organization.

Organizational Bylaws and Recruitment

Examine whether your bylaws remain relevant, because they can enhance or hinder your recruitment program. Do they reflect current reality, or reality as it should be? Adaptive change may be necessary, because many organizational bylaws are out-of-date. Traditional standards or requirements are no longer relevant. Inflexibility of bylaws can hinder your efforts to recruit members who meet your department's needs. A good example is permitting only responders to be members, and other issues.

DESIGNING A RECRUITMENT PLAN

Recruitment is a form of marketing. Recruiting is one component of your organization's overall marketing program. It is an outgrowth of marketing research knowledge about your community and its citizens. Recruitment is affected by public awareness and department image generated by your marketing program. Your recruitment program must be individually tailored to your organization and community. It should be designed to meet your department's needs, and it should take advantage of available community resources. You may borrow strategies and approaches used elsewhere. To be successful, however, your program must adapt those elements (or initiate new ones) that will reach capable prospects through the appropriate channels in your community.

Strategies for Recruitment

The first thing we need to do is ask the question, when do we formulate a recruitment plan? You form a plan when you have, or expect to have, too few people to meet the department's personnel needs. You also form one when you have sufficient numbers of people, but not the right kinds of people. Although your department's past recruitment campaigns may have been successful, a new campaign (change in direction) may be needed if you find those you brought in are not meeting your needs.

One thing to keep in mind always is, do not enter recruitment with a crisis mentality. This attitude will hinder the process and cause you further delays. Also remember that recruitment is **not** a body count. To quote Chief David Bierwiler in his article, "Recruiting to Reduce Turnover," "Some departments believe they should accept any warm body that walks through the door. Invariably, what they end up with is a steady stream of warm bodies and an organization in constant transition."

So where do you start? Begin by looking at your own department first. Focus on such areas as numbers and types of personnel, and the special skills they may need. Also pay attention to the department's problems (address any internal problems, such as morale, leadership, or bylaws) and its capabilities. Look for such capabilities as:

- Does the application process need to be changed?
- Is capacity and content of basic training adequate?
- Is there new member support?

One crucial element is that your department must recognize a staffing problem and make recruiting a top priority--from the chief down.

Remember: your aim is to attract quality people and give them a quality experience.

The next area to consider is your membership. Ask, who are your "productive" members? Also ask, why did these people join? How do these people feel about your department (likes and dislikes)? How could your department serve these people better? One way to assess such information is through market research, such as a survey or a focus group interview. Use that information to guide your recruitment campaign--but this does not mean that others are excluded.

The next step is to look at your community. Build upon your community needs assessment. Identify sources of more "productive" volunteers and the vehicles to reach them (expand your definition of "productive members," such as nontraditional volunteers). Are there any special populations that could be tapped for volunteers? Identify community resources that can assist in your recruitment effort. Coordinate recruitment with your ongoing marketing program (promotion and media relations).

Next, determine qualifications for the positions in your department. Focus on the local attributes, as opposed to the national standards. Ask what preparation is needed for success.

As with all planning, set objectives for your campaign before it starts. This enables you to focus your campaign and monitor your progress. It does not have to be a hard-and-fast number; it can be a range, or a list by types of skills sought. Here are two examples of objectives:

- To recruit five to eight new suppression firefighters to fill the next basic training class.

- To recruit support personnel to meet the department's needs in the following areas: financial management, dispatch services, and vehicle maintenance.

Strategies and Tactics in the Recruitment Campaign

The first thing we have to do is get the leadership involved.

The Volunteer Coordinator

Recruitment should be everybody's job, an ongoing department priority. One person, however, should oversee or coordinate the entire effort.

The Recruitment Task Force

Groups of people work with the volunteer coordinator to research, plan, execute, monitor, and evaluate the organization's recruitment program. This task force names responsible "doers" to this group; they are the ones who make sure things are done. They also decide the techniques and the message conveyed.

Benchmarking

Another thing to do is look at other organizations' successful campaigns and adapt the ideas that might work for you. Think of other organizations in your community that have achieved success in recruiting volunteers and how you might adapt their techniques.

The Campaign Theme

The campaign theme should be based on needs and appeals that came up in research. The theme should be active, catchy, and descriptive. It also should be driven home repeatedly.

The Type of Campaign

The campaign should be long term and ongoing. One-on-one contact is very important because satisfied members bring in new members (another reason we are all recruiters). The long-term campaign may be punctuated by specific recruitment events.

There are many promotional ideas and resources to support your campaign. There are many opportunities, and the recruitment campaign should be an element of your overall community relations program. A recruitment campaign should involve **both** "umbrella" promotion to create awareness and personal contact. Keep in mind that many people indicate that they joined because they were asked. Another important factor is you need to lead and motivate your members to become actively involved.

Organization is very important to a successful campaign. Decide up front who does what and make sure everyone follows through. In order to give people a picture of what needs to be done and when, establish project timelines and checkpoints. Once your campaign is underway monitor and assess whether any changes are needed. This is the evaluation phase.

Evaluation of a Recruitment Campaign

At a previously agreed-upon time, look at your progress. Ask the following questions:

- Did you meet your objectives?
- If not, why not?
- Are your objectives unrealistic?

Assess the structure or the approach of the campaign and ask

- Does it need fine-tuning?
- Is the right message getting to the right people?
- Do logistics need to be modified?
- How do your members feel about your campaign?

Your ongoing recruitment campaign should be examined continuously, monitored, and fine-tuned. Complacency is your worst enemy. As conditions change, your recruitment program should change to produce the optimum results for your department.

TECHNIQUES FOR DEALING WITH PROSPECTS

The first thing to do is value the prospects' interest. This can be demonstrated to the prospective employee by following up quickly and effectively. Additionally, explain opportunities and the process in terms prospects can understand. Finally, avoid bureaucratic responses. They have a tendency to be very impersonal and can be perceived negatively.

As recruiters we also need to represent our department well. You are probably the prospect's first contact with your department and, as such, the impression you make will be one that the prospect will apply to your entire organization. It is important to communicate friendliness and professionalism.

During the course of your interaction with the prospect, you need to communicate high standards and expectations. Remember, you should be looking for quality, not simply quantity. High expectations tend to be a self-screen: they tend to attract high quality personnel.
Now we are ready to get into the actual process of selecting personnel to serve in your organization.

The Selection Process

Why is screening candidates so important? The issue of selection based on qualifications is one of this module's major points. This may be contrary to the traditional methods, but it is the method that should be employed.

The first step in your selection process is screening. Here are the basic elements of that process:

- Determine the appointing authority.
- Prepare a job description for each position you wish to fill.
- Advertise.
- Develop an application packet.
- Consider conducting a written test.
- Conduct a work performance test.
- Conduct an oral interview and score it.

- Conduct a criminal background check.
- If previous steps are successful, make a conditional offer of employment and schedule a physical examination.
- Have successful candidates serve a probationary period.
- Develop written, objective means for rating their performance during that time.

Membership Categories

Maximize opportunities for involvement in the organization in line with individual capabilities and needs. Possible classifications (for fire service organization) are suppression, fireground support, and Emergency Medical Services (EMS).

The Application Process

The process should be timely, consistent, and legal (remember, you may not discriminate against a protected class--intentionally or unintentionally). You may wish to ask for past addresses and employers. Another area you may gather information on is the applicant's criminal background. Be cautious in this area. There are limitations on what you may ask (for example, you may consider only convictions, not arrests. If conviction exists, it must be job-related). It is also important to remember confidentiality. Only those with a need-to-know (chief and membership review committee) should have access to criminal background information. Candidates always should certify that the information is true, and be warned that filing a false statement is a crime. Any misrepresentation will be cause for dismissal.

The Mechanics

Tailor your process to your department's structure (lines of authority, and company reviews required). Make sure the process keeps moving. Someone in your organization (for example, the volunteer coordinator) should oversee all applications under review, to ensure a timely response.

The Application Design

Decide what information you need to capture. Design your application so it reflects what you are looking for. Here are some of the areas your application may cover:

- Previous addresses and employers
- Criminal background
- Ask, "Have you ever been convicted of a crime?" and, if yes, get details.
- Include a waiver to permit a criminal background check.
- Candidate should certify that the information is true, and be warned that filing a false statement is a crime. Any misrepresentation will be cause for dismissal.

Limitations: You consider only convictions, not arrests. If a conviction exists, it must be job-related. You must consider how recently the conviction occurred (for example, a conviction 6 months ago carries more weight than one 10 years ago). Consider conviction in the context of everything else you know about the candidate. Existence of a conviction is not an automatic bar to membership. The importance of confidentiality: only those with a need-to-know (chiefs and membership review committee) should have access to criminal background information.

The Interview

The interview serves a dual purpose: to inform and to evaluate. If you use the interview to evaluate, make sure you have written standards and criteria, as well as a mechanism to verify in standard fashion how candidates meet the criteria.

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Activity 6.1

Developing Recruitment Strategies

Purpose

To allow you to demonstrate the ability to develop a recruitment plan.

Directions

1. Each group will be assigned one of the scenarios below. This is an after-class evening assignment.

2. Each group is responsible for identifying:

   a. Target markets.

   b. Strategies for reaching those markets.

   c. Means of promotion.

   d. Community resources.

   e. Objectives.

   f. Possible obstacles that might interfere with reaching objectives.

3. Your group will draft a one-page news release that would be appropriate to distribute to assist in the search for volunteers.

4. Each group also will prepare a presentation.

5. Groups may prioritize tasks and make work assignments within the group as they wish.

6. Limit your group report to 5 minutes.

The General Scenario

Your organization has been directed by your chief to present a briefing on the subject assigned. You can use any media (PowerPoint®, overhead projector, and so forth) available to enhance your presentation.

Scenario 1

Placid Township is a small rural community. Although most of its citizens traditionally had farmed, and formed the backbone of the town's volunteer fire department, in recent years, farming has declined, primarily because of economic pressures. Farmers who are at retirement age or beyond now work the land. Most of them still belong to the fire department, but are no longer active.

The younger people in town no longer farm, but commute to manufacturing and service jobs in the city of Metropolis, 15 miles away. Aside from a few families with young children, in most families both the husband and wife work. A few of the younger people are active firefighters, but all of them work during the day, creating a particular problem with daytime coverage.

How would you approach Placid Township's staffing problems?

Scenario 2

Collegeville is a small city whose primary business is education. It is home to both a medium-sized liberal arts college and a small, regional community college. The community college offers 2-year degrees, mostly in technical programs. The stability of education has spared Collegeville from economic problems, but its volunteer fire and ambulance corps has experienced membership declines. Many blame the past chief for the problem, charging that his mismanagement of the department drove many devoted people away. Since theirs is a close-knit community, they blame word-of-mouth that has created a poor community image, with a common view that there's "bad blood" at the department, and that it is a good place to stay away from.

How would you reverse Collegeville's membership decline?

Scenario 3

Alliance is a small city whose city council recently decided not to fill five paid firefighter vacancies to save money and, instead, to supplement the city's all-paid department with volunteers, thereby making it a combination department. Throughout the debate leading to the decision, the union vehemently opposed the change, lobbying lawmakers and waging a well-financed media campaign that accused the city of union-busting and alleging that any volunteer who joins is a worthless "scab." Now, the union maintains its members will refuse to speak to or work with any volunteer who joins the department.

How would you recruit volunteer personnel to initiate this new program?

SUMMARY

During this module the impact of recruitment mission accomplishment was discussed. The module addressed the inflexibility of bylaws, consequences of failing to meet community expectations, and safety concerns. Another area discussed was the need to look for and hire nontraditional volunteers.

We tackled the actual design and implementation of an effective recruitment plan. The first subject addressed was the need to eliminate obstacles such as attitudes, traditions, peer pressures, unrealistic expectations, and lack of support within the organization that may be hindering the process.

Strategies and tactics used in recruitment were highlighted. The discussion included techniques for dealing with prospective recruits, and reviewed screening and selection processes necessary for effective recruitment. The need to evaluate the recruitment effort continually in order to ensure successful enlistment of personnel was stressed.

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Module 6: Recruitment

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. What is an internal factor an emergency services organization has to consider when recruiting?

   a. Changes in the culture's family structure.
   b. Demographics.
   c. Economic pressures.
   d. Increasing certification and training demands.

2. When does an organization formulate a recruitment campaign?

   a. When it has, or expects to have, too few people to meet the department's personnel needs.
   b. When it has, or expects to have, just enough people to meet the department's mission needs.
   c. When it has personnel leaving the organization due to cuts in pay.
   d. When it has begun to lose personnel due to increased mission pressures.

3. What is the first step in the employee selection process?

   a. Involving the potential employee's family.
   b. Screening.
   c. Involving the leadership.
   d. Advertising.

4. The application process should be timely, consistent, and legal.

   a. True.
   b. False.

5. The interview serves the dual purposes of informing and evaluating.

   a. True.
   b. False.

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MODULE 7: RETENTION

TERMINAL OBJECTIVES

The students will be able to:

1. *Describe the elements and tools needed to retain personnel.*

2. *Apply the adaptive leadership model to retention.*

ENABLING OBJECTIVES

The students will:

1. *Describe the elements of a personnel performance measurement system.*

2. *Identify and list five of the best human resource practices for developing and managing a volunteer or combination organization.*

3. *State the importance and elements of documenting organizational roles and responsibilities.*

4. *Identify the characteristics of a performance-based training program that will affect retention in a positive way.*

5. *Describe the elements of effective feedback mechanisms and the positive impact on human resource development.*

6. *Describe the motivational process individuals use in determining their volunteer involvement in an organization.*

7. *Explain the motivational differences that need to be identified in order to maintain balance between the needs of volunteers and career personnel in a combination organization.*

8. *Identify various benefits packages that can be used to promote retention.*

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OVERVIEW

The purpose of this module is to address the critical issue of personnel retention. This module stresses that personnel are an organization's most vital resource and that a diverse membership provides a broad range of valuable abilities and skills. The need to create a work environment that welcomes everyone's participation also is emphasized strongly.

MOTIVATION

The job is not done after you have recruited the personnel you need. Retaining your staff is as much of a challenge as is recruitment. Beginning with this lesson we will discuss what you, as leaders, need to do to improve retention of personnel in the emergency services organization. We will begin by looking at motivation.

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Activity 7.1

Rate Yourself as a Volunteer Motivator

Purpose

To acquaint you with your current skills and attitudes with respect to motivating and retaining volunteers in your organization.

Directions

1. You will be given a questionnaire, Rate Yourself as a Volunteer Motivator.

2. The instructor will survey the questionnaire with the class, identifying and discussing trends as you respond to the questionnaire.

3. Be prepared to discuss the following questions.

   a. Why is it important to motivate people?

   b. Why might volunteers be less committed today than in the past?

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Actions Leaders Should Take to Motivate

Effective leaders do the following to motivate those they lead:

- communicate and praise;
- consult with others;
- encourage participation; and
- counsel regularly regarding teamwork and opportunities.

Keep in mind that people are individuals and should be treated as such. To lump everyone together into one group would be unfair to the individual and to the organization.

- Be innovative.

- Different strokes for different folks:

  - What works for one volunteer may not work for all.

  - Success changes from day to day.

  - One may have to try several times to "hit the right button."

Basic Human Needs

Meet individual needs. Make sure that you maintain awareness that people need to have a sense of belonging, achievement, economic security, freedom from fear, love and affection, self-respect, understanding, and have fun and enjoyable lives.

Humans want to be recognized and rewarded. There are a multitude of tangible rewards that help motivate your personnel. They can range from monetary incentives to awards dinners.

People like to be challenged. We like to be able to set goals and strive upwardly. Examples of these are moving up in rank, assignments, membership in task forces, and setting goals and objectives.

Sound and effective supervision contributes greatly to motivation. Some of the ways to do this are training, fair promotion standards, allowance for input from various sources, communication (keep no secrets), and listening with an open mind.

Self-Motivation

As human beings, we are motivated by several factors, but the biggest motivator is oneself. Self-motivation is defined as the fear that leads to achievement, success, and happiness. We demotivate ourselves many times before we ever get started because we are afraid of failure. Tune out your fears of failure; concentrate on positive magnets. Self-motivated people focus on goals, desires, and solutions, always moving in the direction of their currently dominant thoughts.

Motivation

Motivation is defined as the amount of physical and mental activity a person is willing to invest in a particular activity or project. To motivate someone is to provide that person with an incentive or to impel that person to action.

Types of Motivation

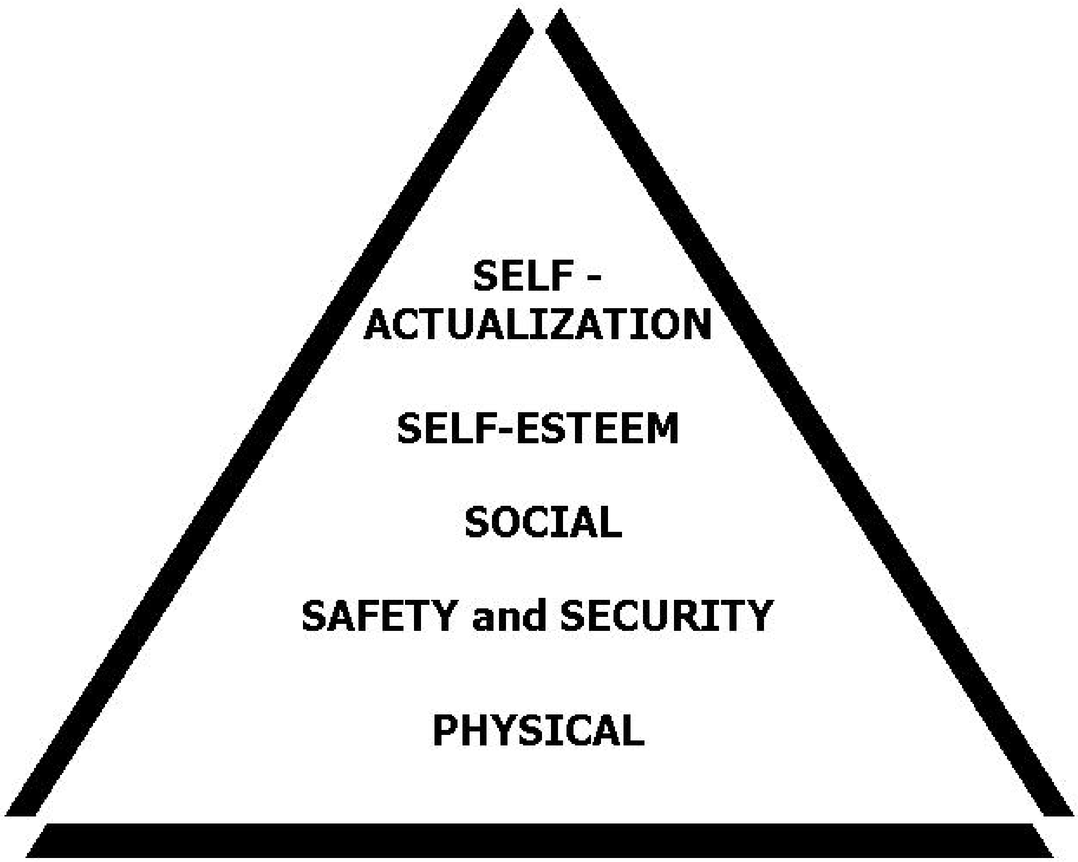
- positive--provides tangible rewards; and
- negative--threatens with consequences.

The Motivational Climate

- The motivational climate reflects how it feels to belong here--the atmosphere of the group.

- How the place feels is an important motivator.

- The leader is one of the most important determinants of organizational climate.



Maslow's Hierarchy of Needs

Maslow's Hierarchy of Needs

To understand Maslow's Hierarchy of Needs, it is important to know the following:

- A person must achieve low-level needs before moving on to higher level needs.
- Unsatisfied needs are not motivators.
- Internal motivators cannot provide external conditions.
- Different motivators apply to different levels at different times in a person's life.
- A person goes through the list several times a day, week, or month, depending on what project or phase he or she is going through.

Physical Needs

The basic physical needs:

- food;
- water;
- clothing; and
- bodily comfort.

Safety and Security

Safety and security involve a danger or perceived threat to life, health, and an orderly environment. To meet these needs, we:

- plan carefully;
- have task materials ready;
- provide protective clothing; and
- have a safety program.

Social Needs

Social needs concern a sense of belonging, group membership, and love and acceptance by others. To meet these needs, we:

- have staff and volunteer "get-acquainted" gatherings for new members;
- use the fire station as a location for mingling;
- discourage cliques; and
- assign an experienced member to assist new members.

Esteem Needs

Esteem needs involves self-respect and respect from others. To meet these needs, we:

- have a "Volunteer of the Month" award;
- submit names for community-level volunteer awards;
- run stories about individual volunteers in the newspaper or on television or radio; and
- Give certificates of appreciation at annual ceremony.

Self-Actualization Needs

Self-actualization needs concern the development of our abilities, creativity, and a fulfilled personal life. To meet these needs, we:

- have effective orientation and training;
- give opportunities to work without close supervision;
- let volunteers know they are trusted;
- provide training opportunities that encourage personal growth; and
- encourage the member to be creative.

Positive Motivators

The following leadership actions are positive motivators and are very effective in meeting personnel needs:

- provide leadership;
- establish goals and objectives;
- make informed decisions;
- seek and give feedback;
- resolve conflict;
- communicate;
- act with openness and sincerity;
- provide interesting work;
- show courage; and
- share recognition.

Categories of Motivation

Achievement

An achievement-motivated person:

- wants to do his or her personal best;
- will take only highly calculated risks;
- likes to solve problems and to take responsibility for same;
- likes to achieve; likes pressure and hard work;
- wants to complete something; and
- takes responsibility for something and wants to prove that what he or she does has worth.

Actions necessary to motivate this type:

- Spending time thinking about how to improve the job.
- Being very specific as to what you want them to do.
- Telling employees or volunteers how and when success will be measured.
- Giving them something concrete and measurable to work on.

Affiliation

This type of volunteer wants to fulfill social needs and has a strong need to belong. This need is especially important in building a group that works as a team to reach a goal. An affiliation-motivated person:

- has the need to be accepted and liked;
- will focus on relationships;
- needs interaction;
- has a deep concern for keeping people happy;
- works to fill a social need; and
- desires to avoid risk.

Actions necessary to motivate this type:

- Spending time thinking about relationships, keeping the peace, being liked, or helping others.
- Establishing a personal relationship with them.
- Giving them opportunities to interact with others.
- Recognizing them in front of their peers.
- Helping them feel included.

Power

We want to be able to leave some mark of our existence. This type of person wants to bring individuality to the job and to be recognized for his or her uniqueness or accomplishments. If the need for power goes unmet, the company member may conclude that no one cares.

A power-motivated person:

- desires to affect and influence positively;
- has the willingness to take high-risk assignments; and
- is concerned for reputation and position.

Actions necessary to motivate this type:

- Spending time thinking about influence, advising, channeling other people and other programs in the directions of their visions.

- Giving them access to information they need.

- Giving them challenging work.

- Allowing them to take risks.

- Giving them a title that commands respect.

- Giving them authority and responsibility.

- Recognizing and encouraging enthusiasm.

- Moving them to new projects--they become bored easily.

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Activity 7.2

Why Do People Leave An Organization?

Purpose

To help you think about the factors that relate to retention problems in emergency services organizations.

Directions

Answer the following questions and be prepared to discuss your answers.

1. What are some of the reasons active people leave their departments?

2. In general, why do people leave emergency services organizations?

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BENEFITS AND INCENTIVES

Reasons People Leave

While there can be a multitude of reasons why people leave their jobs, and here are the more common ones:

- Tired or fatigued.
- Inability to meet physical demands.
- Change in family commitments.
- Change in job requirements.
- Found other employment.
- Organization is not going in the direction the volunteer wants it to.
- Department is progressing too fast.
- Commitment of time is greater than the volunteer expected.

The Exit Interview

The purpose for the exit interview is to:

- gather information;
- develop data for possible improvements needed by the organization;
- ascertain reason for leaving; and
- change the volunteer's mind or perception.

Reasons for not conducting exit interviews include time and the unpleasant nature of the task.

Everyone who leaves the organization should be given the opportunity for an exit interview, and it should be done either in writing or in person.

Pitfalls of an exit interview:

- The interview may become a personality-bashing event.
- The interview may cause hurt feelings.

The Role of Benefits

Benefits become more important as fires decrease. Benefits create interest in membership and they also provide reimbursement for time spent.

Incentives

Incentives are offered to members as enticements to stay with the organization. You do need to ask, do they cost money? The answer, of course, is yes.

Types of Incentives

There are two types of incentives, tangible and intangible. The incentives must fit your organization, and they must be relevant to the job being done.

Positive and Negative Aspects of Incentives

The following examples of incentives will be used to demonstrate the positives and negatives you may encounter.

Medical Insurance

Positive--meets membership needs, and provides stability in organization.

Negative--can be expensive, and costs are hard to control.

Awards Banquet

Positive--volunteers enjoy these, and they are useful for recognizing personnel efforts.

Negative--the costs may be high, require use of facilities, and it takes time to prepare.

Uniforms, Shirts, or Jackets

Positive--portray professional image, and are a good marketing tool.

Negative--can be expensive, and proper wear is hard to control.

Length-of-Service Award (Pension)

Positive--good retention tool, and adds stability.

Negative--can be costly, and amount of benefit may not be enough for personnel.

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Activity 7.3

Incentives

Purpose

To allow you to develop a list of incentives.

Directions

1. The class will be put into table groups and assigned to develop 1) incentives that cost money or 2) incentives that do not cost money. You have 15 minutes to develop this list.

2. Within your group, develop a list of the negative and positive aspects of the incentives noted.

3. Categorize the list under the previously discussed categories for the type of personality that would appreciate the benefit of incentive. You have 15 minutes to develop this particular list. Select a spokesperson to present your group's report.

4. Use the activity worksheet provided on the next page.

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Activity 7.3 (cont'd)

Worksheet

	Currently Used	Future Considerations
Social activities		
Clothing		
Awards		
Organizational structure		
Training		
Use of department property		
Community gifts and incentives		
Special assignments		
Employee benefits		
Recognition and acknowledgement		
Gifts		

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PERFORMANCE AND PROMOTION

Performance Appraisals

Performance appraisal is a tool for fitting individual behavior to organizational goals. Without an appraisal system, supervisors form subjective judgments about subordinates. It is better to have a formal system. Personnel must be evaluated continually, and given feedback about performance.

Appraisals may be used for:

- Development--to improve motivation and productivity; to help individuals improve performance, plan future work, and develop skills and abilities.

- Evaluation--to provide basis for pay, promotion, and other evaluation-related decisions by evaluation of past performance to make personnel decisions.

<u>The Four Elements of Performance Appraisals</u>

- A job analysis describes the work and personal requirements for a particular job.

- Performance standards translate job requirements into levels of acceptable and unacceptable performance.

- Performance appraisal and conference describe job-related strengths and weaknesses of each individual.

- Written documentation.

Appraisal techniques--formal (established form or procedure) are better than informal (no established form or procedure):

- narrative appraisal--description of strengths and weaknesses of performance or behavior;
- goal setting and review--appraising individual performance in relation to goal-based criteria; and
- checklist--list of job factors against which individual performance is compared.

Appraisal Conferences

- Go over what has been achieved since the last review and discuss reasons for success and failure.
- Learn about individuals' interests and desires and relate them to organizational goals.
- Discuss ideas about what can be done to improve performance.
- Discuss member anxieties that might be affecting performance.
- Get commitment for improvement from individual.

Appraisal Problem Areas

The first area of concern is rater bias. Here are some of problems in this area:

- Leniency or severity.
- Central tendency--rater assigns all subordinates ratings that are neither too high nor too low.
- Halo effect--if a person has an outstanding single characteristic, it is generalized to include every other characteristic.
- Contrast effect--rating of individual depends upon whether the person rated just before was excellent or average.
- First-impression errors--early information biases later judgments.
- Using single criterion--most jobs cannot be rated on a single criterion and multiple criteria should be used.

Most people feel threatened by appraisal. Unfortunately many rating systems are unfair.

Good Appraisal Systems

A good appraisal system should be fair and accurate. It should document appraisal efforts to ensure fairness and to avoid grievances. A good system provides continuous feedback and serves as a motivational tool. The greater the participation by the member, and the more objective and observable the criteria, the better the program. Good discipline is founded on a fair and objective appraisal system.

Coaching

Coaching is a "face-to-face leadership skill that pulls together people with diverse backgrounds, talents, experiences, and interests, encourages them to step up to responsibility and continued achievement, and treats them as full-scale partners and contributors." (*A Passion for Excellence*)

Characteristics of effective coaches:

- positive attitudes (pride, loyalty, and self-discipline);
- dedication;
- trustworthiness;
- dependability; and
- credibility.

In order to build and develop a winning team, you need to set clear values. There has to be an understanding of the purpose and a clearly identified mission. The goals have to be achievable and the priorities clearly communicated.

Discipline

Definition

- behavior and order maintained by training and control;
- a disciplinary system that spells out specific punishments for specific infractions;
- regular training (obedience and efficiency);
- system (planning, orderly control, and conduct); and
- a system of punishment or rewards.

An effective discipline program should define to the leader what to do, how to do it, and why it should be done.

Styles of Discipline

There are essentially two styles of discipline, negative and positive.

Negative discipline uses the threat of punishment and results in an employee doing only enough to get by.

Positive discipline, on the other hand, is more effective, as it involves more communication.

Six guidelines for positive discipline:

- set a good example;
- explain what is expected;
- create a good atmosphere;
- provide counseling;
- be firm and impartial; and
- do follow ups.

The Three F's of Discipline are be Fair, be Firm, and be Friendly.

Rules and Regulations

Rules and regulations are the key to effective discipline in an organization. They must be understood thoroughly and communicated well. They must be applied equally to all employees. Regulations also must be enforced. Of course, they must be written.

The Corrective Action Legal Process

The steps to progressive discipline:

- Warning--may be written, oral, or informal. A detailed record should be kept of each important warning given to a volunteer.

- Reprimand--formal record of an interview with a volunteer who has been told that more serious action will be taken unless there is immediate improvement in performance or behavior.

- Suspension--most serious action taken before discharge.

- Demotion or discharge--usually involves the top leadership in the organization.

Disciplinary Guidelines

The following are disciplinary guidelines to help you be more effective in your discipline efforts.

- Treat every case as if it will be appealed.

- When discipline has been administered, it is over. Do not keep referring to someone's mistakes.

- Apply discipline consistently, fairly, and impartially.
- Deal with behavior, not personality.
- Never discipline when angry.
- Reinforce good behavior.
- Set a good example.
- Do not "save up" discipline--act as soon as possible.
- Do not threaten punishment you cannot deliver.
- If you suspect substance abuse, get help from the chief's office.
- If in doubt on any disciplinary action, ask the chief's office.
- Do not transfer your problems; solve them.
- Know your rules and regulations thoroughly.
- Praise in public--criticize in private.
- Be willing to treat an honest mistake as an honest mistake.

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Activity 7.4

Coaching Techniques

Purpose

To allow you to demonstrate proper coaching techniques.

Directions

Part 1

1. You will observe while two of your classmates participate in a role-play with coaching techniques.

2. Analyze and discuss the role-plays.

Scenario 1

You invite Firefighter Jones to your office to discuss a driving incident that occurred 3 days ago. The incident involved Firefighter Jones backing the ambulance over a child's bicycle at the scene of a house fire. This is the first time that you have had to have a disciplinary discussion with Firefighter Jones.

Firefighter Jones failed to walk all the way around the vehicle before getting in the driver's side. Firefighter Jones' attitude is that the problem is one that occurs every day in the real world and that many other drivers are breaking the same rule. He or she does not really accept the fact that he or she is wrong, and resents this discussion.

Scenario 2

You have not seen Firefighter Jackson for about a month. During that time, his or her emergency response attendance has dropped from 45 percent to 15 percent. You have talked with him or her briefly and he or she is coming by your office today to talk with you. You really do not know what might be causing this to happen.

Firefighter Jackson has been in the department for 3 years. During that time, he or she has been a very active member. During the last month, he or she has experienced a personality conflict with another firefighter. This other firefighter has accused him or her of not being able to fulfill his or her responsibility as a firefighter.

Part 2

3. The class will broken into five groups.

4. Depending on time constraints, work on one scenario or all five scenarios, as assigned by the instructor.

5. The purpose of this exercise is to determine what actions would be appropriate in handling the given situation, and to give you an opportunity to practice coaching methods.

Participate in the discussion phase so you can learn why differing points of view create different reactions to given situations.

Scenario 3

Though his or her performance objective is to bring his or her hose deployment time up to standard, 2 months after the performance appraisal, Firefighter McNeil is repeatedly unable to meet the time limit for times hose deployment. What coaching techniques should you use with Firefighter McNeil?

Scenario 4

Firefighter Langley puts off doing station chores until the very last minute. Often he or she misses the chores for a variety of reasons. You and he or she have addressed this time management problem in the performance appraisal, but you see no improvement. What coaching techniques would be proper for you to use with firefighter Langley?

Scenario 5

Captain Jones has not been seen around the station for over 3 weeks. During this time Captain Jones has failed to respond on calls in his or her district and failed to complete the duty officer weekend program. What coaching techniques should be used on Captain Jones?

Scenario 6

EMT Smith often forgets to wear disposable gloves when examining a patient on EMT calls. You have reprimanded Smith verbally for his unsafe work procedure. What coaching activity would be proper for handling EMT Smith?

Scenario 7

Firefighter Buckman has not worked at improving his or her donning time. He or she still fails to don self-contained breathing apparatus (SCBA) in the time agreed upon during his or her last performance appraisal. What coaching activity would be proper for handling Firefighter Buckman?

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Activity 7.5

Discipline and Adaptive Leadership

Purpose

To allow you to demonstrate your application of adaptive leadership in discipline.

Directions

1. Individually complete the following disciplinary scenarios based on your own perception of the problem.

2. Upon completion, gather in the same groups you formed in the last activity. Your group should reach consensus on the best approach to this situation.

3. Your group should develop procedures and write them on the easel pad.

4. Each group should select a spokesperson to present its procedures to the class.

Scenario 1

Firefighter Jackson repeatedly has played practical jokes on other members of the department. Firefighter Jackson has been told on several occasions to stop the practical jokes. Today Firefighter Jackson placed thumbtacks in the company's bunker boots.

You are the officer in charge of Firefighter Jackson. What actions must be taken?

Scenario 2

Volunteer Firefighter Jones regularly misses the weekly training session. What actions must be taken?

Scenario 3

EMT/FF Weiss used abusive language while handling a difficult patient on an EMS call. This is the first outburst and bad report on Weiss since he or she joined the department 3 years ago. What actions must be taken?

Scenario 4

Firefighter DePriest has been harassing other company members about purchasing the life insurance he or she is selling. An officer has talked to him or her on at least two occasions, and he or she has refused to stop. What actions must be taken?

Scenario 5

Firefighter Davidson responded to a call while attending a wedding reception and reported to duty while obviously under the influence. What actions must be taken?

SUMMARY

This module covered the critical aspect of meeting personnel needs and maintaining an effective level of motivation. A good motivational climate was emphasized as crucial to retaining personnel within an organization.

Maslow's Hierarchy of Needs and its usefulness in understanding individual needs was reviewed. The Hierarchy's main points, from meeting basic needs to achieving self-actualization, were explored. The lesson stressed the application of adaptive leadership in providing responsive management as a means of meeting personnel needs.

Benefits and incentives were discussed as a method of improving retention.

Employee performance assessment and its relationship to promotion and retention were reviewed in detail. The lesson addressed the criticality of writing good job descriptions and classifications. Performance measurement methods such as written testing, competency testing, and the use of regular evaluations were also detailed. Feedback was discussed as a valuable communication tool that can be used to enhance performance. Proven feedback techniques and other ways to enhance its effectiveness also were provided.

Coaching was addressed as a means of enhancing retention and performance. In light of adaptive leadership, the lesson reiterated the need to differentiate between technical and adaptive work when setting standards and assessing performance. Knowing how, and what, to coach in relation to technical and adaptive skills was discussed.

This section discussed the need for a consistent disciplinary process. Discipline was defined and the different approaches to disciplinary action were addressed.

We are now ready to move to Module 8: Needs Assessment and Asset Management.

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Module 7: Retention

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. What must effective leaders do to motivate those they lead?

    a. Consult with them on a limited basis
    b. Communicate and praise
    c. Counsel occasionally regarding teamwork
    d. Encourage a "company person" mentality

2. Humans also want to be recognized and rewarded.

    a. True
    b. False

3. Motivation is defined as the amount of physical and mental activity a person is willing to invest in a particular activity or project.

    a. True
    b. False

4. What are the basic physical needs?

    a. Air, water, shelter, and love
    b. Rewards, compensation, and security
    c. Food, water, clothing, and body comfort
    d. Love, sense of belonging, and security

5. Why are incentives offered to members?

    a. As a means of getting their attention
    b. For the purpose of securing their loyalty
    c. For the purpose of recruitment
    d. As enticements to stay with the organization

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MODULE 8: NEEDS ASSESSMENT AND ASSET MANAGEMENT

TERMINAL OBJECTIVES

The students will be able to:

1. *State the importance of fiscal stewardship, including raising, spending, and investing the funds of an emergency services organization.*

2. *Identify traditional and nontraditional funding sources for an emergency services organization.*

ENABLING OBJECTIVES

The students will:

1. *Explain how the volunteer organization's desire for autonomy may conflict with its stewardship of public funds.*

2. *Explain the relationship of planning and determining the fiscal needs of their organization.*

3. *Relate the operating and capital budgets to the mission and values of the organization.*

4. *Relate the budget process and fulfilling the organization's mission.*

5. *Describe the need for internal and external controls.*

6. *Understand the compliance requirements of a nonprofit organization.*

7. *Describe the key components of the grant-writing process.*

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OVERVIEW

The purpose of this module is to emphasize strongly the need to balance sound financial stewardship with the very real needs of the organization. We will be looking at identifying funding resources, both the traditional and nontraditional.

FINANCIAL STEWARDSHIP

One of the fundamental tasks facing fire service managers involves control of resources. Knowledge of financial management is essential to managing resources. In these days of limited funds and taxpayer revolt, we have to make more effective use of existing resources.

Emergency services organizations are no longer "sacred cows" for which citizens are willing to provide revenue without understanding needs. Emergency services organizations must demonstrate strong ethical and fiduciary behavior.

Fiduciary Responsibility

Fiduciary responsibility demands ethical behavior. You are considered caretakers of funds entrusted to your organization. You are stewards and the community expects fund management to be taken care of. The organization and its leadership are considered trusted parties who must carry out their responsibilities well and provide financial management steeped in good faith, honesty, integrity, loyalty, and undivided service.

Do you believe the public or community would see excess chrome or gold leaf on a new apparatus as good financial stewardship?

Fiduciary responsibility entails the following:

- Duty of care--exercise responsible oversight and carry out responsibilities in good faith.
- Duty of loyalty--place public and organizational interests above personal ones.
- Duties of obedience--remain true to the mission and stay within legal and ethical boundaries.

Accountability is crucial to fiduciary responsibility. Fiduciary responsibility is an integral part of sound financial management.

Financial Management

Financial management is the art or skill of directing the wise use of money to reach organizational goals. The key words in sound financial management:

- art or skill;
- directing (managerial responsibility);
- wise (accountable);
- money (from where, how much, how used); and
- goal (tied to organizational mission).

Financial management is a challenge--especially in light of the reality that emergency service organizations rarely receive sufficient money to provide necessary services and other required support. It is reasonable to expect a fair share of the budget pie and to expect enough money to allow delivery of the level of services demanded by the community.

Usually, the organization's ability to get enough money depends on the perceptions of outside entities (the public and elected officials) of your financial management credibility. It is determined by your ability to market your needs. It also is determined by your ability to manage finances in a proactive way and knowing the rules of the game.

Who is responsible for managing the finances? Responsibility usually rests on the following individuals:

- the chief;
- the board of directors;
- the fiscal officer;
- local government;
- members of the organization (in meetings); and
- citizens (in town meetings).

In reality, effective financial management requires a shared participation throughout the department.

The financial management cycle involves

- planning;
- budget preparation;
- budget justification and adoption; and
- budget administration.

Organizational Autonomy and Fiduciary Responsibilities

In your organization, do the desire for organizational autonomy and the demands of fiduciary responsibility ever conflict?

The first thing we always must remember is that operating and capital expenses come from the municipality. Funds always should go for the intended purpose.

Now, consider this question: Should the preservation of organizational autonomy take precedence over fiduciary responsibilities? Why or why not?

This is clearly an adaptive challenge that every organization must face. It is critical to balance organizational needs with the fiduciary demands placed on it. It is just as crucial to assess and differentiate real needs from perceived needs.

With this in mind, we will proceed to look at the budget and the mission.

THE BUDGET AND THE MISSION

The Planning Process

Strategic planning is the process of defining desired future conditions and determining the specific actions needed to achieve them. The mission requirements are an integral part of the budget planning process. It is linked to sound financial management.

An organization's budget document is an expression of organizational plans in financial terms. It reflects how the community needs will be met. Your budget process is only as good as your planning process and your analysis of future trends. The analysis must take an honest look. The budget process shapes and directs resources toward achievement of desired results. The financial projections should include long-range considerations such as these:

- resources required to accomplish identified goals and objectives;
- new programs mandated by external agencies;
- capital expenditures;
- long-term obligations;
- additional personnel required (shift from volunteer to career);
- maintenance requirements;
- increased or decreased revenues; and
- timeframe.

Short-range projections require organizations to prepare budgets for the next year. Well-planned task analyses assure effective budget control.

The Budget Process

The first thing to do is to identify the sources of revenue.

Passive sources (minimal member involvement) of revenue:

- tax revenues (major source of financing for many departments);
- incurring debt (bonds, mortgage or remortgage property, lease or purchase, and leased equipment);
- intergovernmental revenue--very little money available and heavy reporting requirements;
- licenses and permits;
- fines and penalties;
- investment income;
- rental income;
- fees for service;
- cost avoidance--donations; and
- cost recovery.

Another source of revenue is fundraising (this is also considered a department source). Fundraising does require high member involvement. Many projects seem successful until the time expended by volunteers is considered. Examples include bingo, carnivals, and picnics.

Other funding sources available:

- private;
- public;
- Federal;
- State;
- local; and
- corporate.

A budget is a plan for the future expressed in financial terms. It matches anticipated resources with projected expenditures. It should reflect the real mission requirements and it should be prioritized accurately. Budgets also are cyclical. There are annual cycles, but budget cycle schedules do vary by agency.

Elements of Budget Preparation

The three elements of budget preparation:

- Mechanical--making sure figures add up, the right forms are used, and the timeframe is met.

- Analytical--making sure effective and efficient alternatives are chosen.

- Political--making sure political realities are considered.

Two Types of Budgets

- The operating budget is an annual process and is used for daily organizational needs.

- A capital budget is money set aside for future expenditures, and is accumulated over time.

The forward-looking approach to budgeting demands that we plan proactively. Use the previous budget as a guide rather than basing plans completely on past practice. Allow those responsible for spending and for achieving goals and objectives to participate in the process. Know the real cost for services provided.

Examining and Choosing a Budget Type

Choosing a budget type can be a daunting task, but the more common type is the line-item budget. There are also budget types that put more emphasis on programs. Some of the other methods can be more effective, but they require an unreasonably large management time commitment. Actually reviewing every possible type is beyond the scope of this course. What your organization uses is, of course, based on its specific needs.

CONTROLS AND COMPLIANCE

Controls

Operating and capital expenses come from the municipality; the need to maintain controls to ensure compliance is of high priority. The integrity and credibility of those charged with financial management is crucial to maintaining the internal and external community's confidence in the organization.

Internal controls ensure

- accountability;
- credibility for money managers;
- confidence from internal and external community;
- inventory controls; and
- development and implementation of personal responsibility.

Internal controls in practice include

- Line-item accounting, with which every expense is deducted from the amount remaining in the account.

- Budgetary accounting reports that show how much has been spent for what and how much is left in each account.

- Percentage deviation reports that show percentage spent compared to what "normally" should have been spent in a period.

- Allotment splits allocation into quarterly or monthly segments and allows department heads no more funding during the allotment period without a hard time from the budget office.

- Position controls that limit the number of employees.

- Purchase order and contract award review requires the department head to get approval from the budget office before buying budget-authorized items.

- A review and reduction of specific expenses.

- Minimization of the costs associated with keeping inventory.

- Jointly authorized disbursements.

External controls also ensure

- accountability;
- integrity of the system; and
- confidence from the community.

External controls in practice (audits) include an annual audit by an independent person or agency. Keep in mind that the law may require audits.

Personal controls, on the other hand, ensure accountability, integrity, and service. Personal controls in practice help us to:

- be accountable to authority and peers;
- be open and honest at all times; and
- put service above all else.

The bottom line is simple: do not violate the community's trust, and do not use funds frivolously.

Compliance

Compliance demands that organizations follow all Federal, State, and local requirements. Organizations should demonstrate full accountability at all times. Compliance also includes spending allotted money according to the guidelines defined in the budget.

Areas of Budget Administration

These areas demand accountability and sound stewardship practices:

- accounting;
- managing cash flow;
- developing controls;
- financing; and
- investing.

Accounting is the recording and reporting of transactions. It is a system by which financial transactions of an organization are confirmed, classified, recorded, and reported. Accounting supplies information about financial condition and operations.

Bookkeeping is maintaining records carefully and having records reviewed periodically by an independent outside examiner who can certify that the organization is operating legally and following "generally accepted accounting procedures" (audit).

Reporting the financial condition can be done in various ways:

- A balance sheet is a picture of financial condition of an entity at a single point in time.

- An income statement is a comparison of revenue and expenditures over a period of time.

A statement of changes in financial condition shows

- financial sources, uses of working capital, and the differences in fund balance between the beginning and end of the year;
- monthly reports that show actual revenues and expenditures compared to budget authorization; and
- yearly reports.

Fund management and all it entails should be open to scrutiny (by those who have a need to know). The community entrusts the organization with the funds to meet the needs. It is imperative that we do not violate that trust.

Tax Status and Liabilities

Securing Nonprofit and Tax-Exempt Status

Nonprofit is defined as a legally constituted, nongovernmental, nonhospital organization that has been granted an exemption from the payment of Federal and State income taxes and that actively seeks to contribute to the public welfare. (Wacht, 12)

Qualifying

Nongovernmental fire departments may seek exemption under Section 501(c)(3) or Section 501(c)(4) of the Internal Revenue Code; both are exempt from Federal income tax. Section 501(c)(3) is the preferred status because it places the organization in a more favorable status to attract contributions. An organization must meet requirements such as

- organized and operated exclusively for public safety purposes;
- may not attempt to influence legislation;
- may not participate in political campaigns; and
- no part of the net earnings may benefit any private shareholder or individual.

Individuals contributing to Section 501(c)(3) organizations may take allowable deductions on personal tax returns. In some circumstances, contributions made by individuals to Section 501(c)(4) organizations may not be deductible. Section 501(c)(4) organizations may engage in legislative activities but may not participate in candidates' campaigns for public office. Both Section 501(c)(3) and Section 501(c)(4) organizations are required to pay taxes on unrelated business income.

Applying

Even though the organization meets all of the requirements for exemption as either a Section 501(c)(3) or Section 501(c)(4) organization, it is not automatically exempt from tax. To be recognized as tax exempt by the Internal Revenue Service (IRS), the organization must file an IRS Application for Recognition of Exemption as follows:

- Use IRS Form 1023 for a Section 501(c)(3) organization.

- Use IRS Form 1024 for a Section 501(c)(4) organization.

Organizations should get assistance from a tax advisor when applying for tax-exempt status and when initially filing tax returns. Both are complex and time consuming.

Required Tax Returns for Nonprofit Organizations

Federal

- Apply for Federal employer identification number--Social Security Administration form SSA-4.

- IRS Form 990--annual information return required to maintain nonprofit status.

- Unrelated business income tax--income produced by activities not substantially related to exempt purpose.

You need to keep in mind several employment taxes:

- Social Security and Medicare taxes;
- Federal unemployment, unless 501(c)(3);
- must prepare employee W-2 forms; and
- information returns Form 1099-MISC for any nonemployee compensation.

Federal Excise Tax

IRS Revenue Ruling 55-545 exempts volunteer fire departments (because a nonprofit volunteer fire department is formed to perform functions ordinarily carried on by a governmental unit) from manufacturer's excise tax, and from payment of Federal manufacturer's excise tax on any article purchased for exclusive use for its exempt purpose.

The exemption also applies to liquid fuels and communications facilities and services furnished to the volunteer fire department.

Activity 8.1

Adaptive Leadership and Meeting the Needs

Purpose

To give you practice at developing financial approaches and strategies necessary to meet organizational needs.

Directions

1. The class will be divided into five groups and each group will be assigned one of the following financial need scenarios:

    a. **Group 1:** Develop and implement an ICS system in the department. There is no system in place at present.

    b. **Group 2:** Develop and implement a program to provide for routine (nonemergency) transportation of citizens by ambulance when they are not able to travel by car.

    c. **Group 3:** Develop and implement a babysitter safety program for interested teenagers.

    d. **Group 4:** Design and purchase a medium rescue truck.

    e. **Group 5:** Specify and purchase a computer system adequate for the needs of the department for the next 10 years.

2. Each group will forecast resource requirements and prepare a budget estimate for its program. Approach the assignment in a general way and do not get bogged down in details.

3. The following guidelines might be useful:

    a. Estimate installation, startup, or maintenance costs.

    b. Identify training or other technical costs and describe how long the program will take to be realized.

    c. Specify how the resources will be used.

    d. Describe the benefits to be derived.

    e. Describe why the need exists, and what it will replace or improve.

f. Explain why we need the program now and the potential impact on nonfunding.

g. Each group will have 10 minutes to work.

4. Each group will give a 2-minute summary of its work.

WRITING GRANTS

We could spend hours discussing the principles of effective grant writing for the fire service. In fact, there are seminars that spend days on this topic.

The purpose of this section is to introduce the grant writing and fund development process that officers can use to help their departments by acquiring outside funding.

Look at the chart below and you can see the amount of grant money the Federal Emergency Management Agency (FEMA) awarded in 2002.

FEMA Assistance to Firefighters Grant Program Fiscal Year 2002		
Categories	**Number of Awards**	**Amount Awarded**
Fire Operations and Firefighter Safety	4,363	$262,791,635
Fire Prevention	199	$9,412,914
Firefighting Vehicles	305	$37,447,493
EMS	50	$43,043,109
Totals:	4,920	$312,695,151

Source: FEMA

Grants are a good source of funds. The processes are lengthy, but the potential dividends are well worth it.

What is a Grant?

A grant is an approved request for goods, services, or cash.

<u>Different Types and Sources</u>

- Public (government agencies): Federal, State, and local.

- Private: foundations, corporations, academic, organizations, individuals (roughly 80 percent of all charitable giving comes from individuals).

- More than simply FEMA grants.

Examples of Available Grants

The following is just a small sampling of what is available:

- FEMA Assistance to Firefighters Grant Program.

- Volunteer Fire Assistance Program.

- U.S. Department of the Interior Rural Fire Assistance Program.

- Federal Excess Property Program.

- Community Facilities Grants and Loans.

- Community Development Block Grants (CDBG).

- Public Safety Officers' Benefits Program.

- State Domestic Preparedness Equipment Support Program.

A grant is any type of gift that comes to your organization, from "outside" sources (other than your normal budget funding).

In these financially challenging times, a successful fund development program, through securing grants, can provide valuable supplemental funding to underwrite department needs not supported through your regular budget.

The Development Process In Perspective

More than just writing, it involves fund development: a long-term process of matching department needs and potential resources. A successful effort will address **all** needs:

- department needs;
- community needs; and
- needs of the funding source.

The process fully involves needs assessment, program planning, and collaboration. It is an element of your department's marketing program and it involves

- asking, listening, responding;
- program quality, organization image;
- outreach and partnerships; and
- both external and internal factors.

The Two Types of Grant Opportunities

Direct (Reactive)

- Identify a funding **source** and fulfill a need.
- Such sources may include grant solicitations:

  - FEMA and other government grant programs; and

  - Advertised grant programs by local agencies and others.

Indirect (Proactive)

- Identify a **need** and search for a funding source.
- Research or prospecting--be on the lookout for potential funding sources that could meet your need.
- Use either approach, depending on program and opportunity.

Needs Assessment and Program Planning

- This is an essential element.
- Collaborative effort--program-specific.
- **You** are the expert on **your** program!

The Process

The process is continuous and is referred to as "The Circle of Grants." These are the steps:

- idea;
- research (and contacts);
- writing;
- submission;
- outcome; and
- evaluation.

Researching and Finding Funding Prospects

It is important to think outside the box and be creative. This process is not restricted to fire-related programs. Some local resources to consider:

- organizations;
- corporations; and
- businesses.

Other sources to consider are foundations:

- Local or elsewhere.
- Fund or endowment managed by trustees or directors.
- Supports activities within fields of interest for public good.
- Priorities that match your program.
- Foundation directories (foundations are listed by funding interests and lists are available in libraries).
- Web sites (for research go to "Foundation Center" and others. Many larger foundations have Web sites).

Then we have government programs. There are many ways to find these sources. One way is through the many Internet resources, for example, the USFA Web site. You can also look at the Code of Federal Domestic Assistance (Web site contains a searchable directory). Another government source is the Federal Register (this also is available online and contains a daily listing of grant solicitations, and other information related to government programs by agency).

Grant-Writing Pointers

When pursuing a grant consider these pointers:

- Document the need at the very beginning of your proposal.

- Statement of need=problem statement

- Understand your funder:

  - Their mission and priorities, and

  - Their record of giving, including size and types of grants.

- Follow the funder's guidelines and process exactly as outlined on their forms and procedures. Neatness and professional appearance count.

  - Make sure you use a readable font such as "Times New Roman" (12-point or larger),

  - Ensure that you have the required headings,

  - Use 1-inch margins, and

  - number the pages.

- Elements (typical):

  - One-page Executive Summary,

  - Project narrative which includes

    -- The goals and objectives,

    -- The budget (your's and the funder's share), and

    -- Answers the question: How will the project be sustained after the funding period ends?

  - Cover letter, and

  - Other items as the funder requires.

- Think from the funder's point of view and answer the following questions:

- What is the cost-benefit?

- What is the funder's return on investment?

- How does the proposal meet the funder's priorities and community needs?

- If you are rejected, do not get discouraged. Here is what you do:

  - Follow up the effort,

  - Thank them for their consideration,

  - Ask how the proposal could be improved, and

  - Do not give up. You may succeed the next time--either with this prospect or with another.

- If you succeed:

  - Follow up with a thank-you,

  - File any required reports on time, and

  - If there is no firm schedule, keep funder informed on progress at regular intervals.

Securing grants can be time-consuming and often discouraging. However, these are not reasons not to pursue grants. There are countless opportunities out there, and they are well worth the effort.

SUMMARY

During this module, we have discussed the following areas:

First was the challenge of balancing sound financial stewardship and fiduciary responsibility with the emergency service organization's desire for autonomy. The identification of the technical and adaptive aspects was revisited. The module emphasized fiduciary responsibility and ethics. It challenged you by asking whether or not organizational autonomy should be preserved in light of potential conflict with fiduciary obligations.

It emphasized the need for planning in order to meet the fiscal demands of the organization as it works to satisfy the mission requirements. Adaptive leadership was presented as a necessary element for addressing and dealing with the real problems encountered.

We looked at establishing mission requirements in order to facilitate the projection of the operating and capital budgets.

The integrity and credibility of those charged with financial management is crucial to maintaining the internal and external community's confidence in the organization.

The module supported the need for controls (internal, external, and personal) to ensure the integrity of the system and those involved. At the forefront was accountability to the organization and the community it serves. The lesson emphasized how this inspires confidence in the community and is tied in with other elements previously discussed in this course.

We also introduced the grant as another financial resource for meeting organizational needs. Private and public grants were reviewed followed by the writing requirements for grant applications.

Now we are ready to move on to Module 9, where we will be looking at risk assessment.

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Module 8: Needs Assessment and Asset Management

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. What three elements of duty does fiduciary responsibility entail?

    a. Care, loyalty, and obedience.
    b. Accountability, loyalty, and obedience.
    c. Loyalty, obedience, and responsibility.
    d. Care, loyalty, and responsibility.

2. What does an organization's budget document express?

    a. The community plans in financial terms.
    b. The organizational and community plans in financial terms.
    c. The organizational plans in financial terms.
    d. The organizational forecasts in layman's terms.

3. What is the first step in the budget process?

    a. Identification of the organizational needs.
    b. Identification of the sources of revenue.
    c. Identification of the community needs.
    d. Identification of the sources of expenditure.

4. What type of budget consists of money set aside for future expenditures and is accumulated over time?

    a. Strategic budget.
    b. Operating budget.
    c. End-of-year budget.
    d. Capital budget.

5. A budgetary accounting report is an example of what type of control?

    a. Internal control.
    b. External control.
    c. Position control.
    d. Purchase order control.

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MODULE 9:
RISK ASSESSMENT

TERMINAL OBJECTIVES

The students will be able to:

1. *Identify the major areas of risk or liability in a volunteer emergency services organization.*

2. *Recognize the need for and understand how to conduct community risk assessment.*

ENABLING OBJECTIVES

The students will:

1. *Identify the common sources of liability that affect an emergency services organization.*

2. *State the importance of risk assessment and control.*

3. *Learn the importance of recordkeeping in the risk assessment process and describe the five documentation factors.*

4. *Differentiate between civil and criminal law.*

5. *Define and explain the four elements of negligence.*

6. *Contrast a regulation and a voluntary standard from a legal perspective.*

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OVERVIEW

This module covers the most common sources of high liability exposures encountered by emergency services organizations. It emphasizes the need to approach liability reduction proactively and not reactively.

The module stresses the priority of risk management and control as a way to reduce personal and organizational risk. It also covers the core aspects of criminal and civil law and the impact on the emergency services organization.

SOURCES OF LIABILITY

Common Sources of Liability

The following are key areas of concern to the emergency service organization:

- vehicle safety;
- liquor liability;
- sexual harassment; and
- training qualifications.

Reducing the Risk

Emergency services organization officers can work to reduce their personal and organizational liability exposure. Some simple common-sense steps can be taken that will reduce their operational and administrative exposure.

Be professional at all times--this is especially true at the scene of emergency incidents, no matter how routine they may appear. It also means "off duty." The public has very high expectations of its public safety personnel. Do not let them down.

Example: "letting your hair down" at the local saloon while wearing anything identifying you as a member of an emergency services organization.

Use "accepted practice"--keep your training and operational procedures up-to-date. Avoid implementing the avant-garde until research provides acceptance. At the same time, keep abreast of new developments, legal and otherwise, that may affect your organization.

Example: Emergency services organizational tactics, priorities, and strategies have changed in the last decade. Are you "up" on positive-pressure ventilation, initial company tactical operations, and critical incident stress?

Observe confidentiality--this includes personnel records, incident reports, and oral communications.

Example: Protecting patient information during and after emergency medial services (EMS) incidents.

Act reasonably--remember, "reasonableness" includes the concept of what an ordinary, prudent person (with your level of training and experience) would do in the same circumstances.

Adhere to National Fire Protection Association (NFPA) standards--whether your agency adopts their standards or not, they still may be held up as a measure of acceptable performance. If you do not like the standards, work within the system to have them changed.

Example: Going out of your way to be polite to a rude citizen.

Deal with all people fairly--the "golden rule" also applies in the law. Treat your "customers" (the public) fairly and treat your volunteers fairly.

Document your actions--again, that means operationally and administratively. Use the five documentation factors as a "final filter" for all of your writing.

IMPORTANCE OF RISK MANAGEMENT AND CONTROL

The important thing in dealing with risk and its control is to be proactive and not reactive. Take the time to examine the areas of risk or potential risk. Get "off the dance floor" and take in a full view. The implications of not doing this can be serious and costly.

Take a Proactive Approach

- responder safety;
- health and wellness;
- physical evaluations;
- scene safety;
- safety program;
- incident command;

- line-of-duty death; and
- alcohol in the emergency services organization's facilities.

Considerations

Most emergency service organizations are becoming all-hazards response agencies. There is now a greater variety of emergencies to which to respond. Risk assessments should take all hazards into consideration.

Follow the same logic used in fire prevention for all types of emergencies. This should include the most frequent activity (EMS), the least likely (terrorism), and everything in between.

When making risk assessments there are three areas to consider:

1. Life safety--What is the hazard to life? What events threaten injury or death? What is the likelihood that the hazard will cause injury or death?

2. Responder risks--What is the potential risk to responders? What can be done to protect responders from harm, and what are reasonable risks for firefighters to take?

3. Property loss--What is the potential for property damage or loss?

Some Other Legal Issues in the Forefront

Sovereign Immunity and "Good Samaritan" Statutes

One area of concern that we should track, for example, is sovereign immunity (also known as governmental immunity) and the related area of States' "Good Samaritan" statutes. In effect, many States have abolished governmental immunity as a defense to most civil suits. On the other hand, most States retain some form of the Good Samaritan doctrine, by which a volunteer rescuer cannot be held negligent in attempting a rescue (provided the rescue attempt is not recklessly made).

This is based on the concept of governmental immunity. Many States no longer recognize governmental immunity from suits.

Emergency services organizations may not claim governmental immunity automatically in some States. They should determine the applicability of sovereign immunity and "Good Samaritan" statutes in their own States.

Americans With Disabilities Act

The Americans with Disabilities Act (ADA) may benefit an estimated 43 million disabled Americans.

The programs, services, and activities of emergency services organizations are affected under ADA's Title II, which became effective January 26, 1992. Here are some of the pertinent provisions:

- "No qualified individual with a disability shall, by reason of such disability, be excluded from participation in or be denied the benefits of the services, programs or activities of a public entity, or be subjected to discrimination by any such entity."

- A person must be designated as the agency's ADA coordinator.

- Your agency must have grievance procedures with which to resolve complaints.

- As public buildings, your fire stations must ensure that access problems (such as doorways too narrow for wheelchairs, or not having parking spaces for the handicapped) are resolved.

- Volunteer application forms and job descriptions should be reviewed to ensure that they do not restrict unfairly those with disabilities from doing fire service jobs within their capabilities.

There has been very little case law involving the ADA and emergency service organizations.

Discrimination

One of the major provisions of the Civil Rights Act of 1964 (amended in 1991) is discrimination. This is defined as "the process of distinguishing on the basis of a perceived feature or characteristic, one item or person from a group of items or persons."

- Titles VI and VII of the Civil Rights Act of 1964 (which was extended in 1991) cover this area and includes damages for illegal discrimination based on sex, religion, race, color, age, national origin, and disability.

- As it relates to emergency service organizations, illegal discrimination can include, but is not limited to, recruiting or hiring, promotion, and sexual harassment.

- Sexual harassment is defined as "unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature." (EEOC Guidelines, 29 CFR 1604.11).

- Nationally, only about 4 percent of firefighters are female, while they make up about 51 percent of the general population. It is possible that emergency services organizations will have more female members in the future.

Here are some review steps to reduce sexual discrimination:

- Are application and tests job-related?

- Is there an effective anti-harassment policy and have personnel been trained in it?

- Are performance criteria for recruits clear?

- Are clothing and equipment appropriate for females?

Many recent issues affect the legal liability exposure of an emergency services organization. By taking a proactive viewpoint (that you want your organization to be the best it can be) you will also reduce your liability exposure. Professionalism pays off in many ways.

Managing Information

Documentation Factors

"You can't fight fires with paper." In the so-called "old days," that quote said it all. Those who were considered good firefighters did not concern themselves with reports, memos, and other types of documents--they put the fires out! Let someone else worry about the paper. Now, however, a good firefighter is someone who puts the fire out well, and documents well.

The term "document" has been defined for discovery purposes as:

> The original or true copy of all memoranda, correspondence, letters, minutes of meetings, indexes, working papers, proposals, contracts, agreements, notes, surveys, studies, analyses, reports, bulletins, logs, appointment calendars, recorded entries, telephone message slips, charts, ledgers, tapes, tape recordings, data retrieval media, filmstrips, video cassette tapes, accounting media,

> micro-film, or any other printed, written or tangible statements or records of communications, regardless of the form thereof, prepared by, for, or in the possession or control of (respondent).

Does this definition leave anything out? Essentially, any memory aid is a document. Examples of organizational documents: fundraising brochures, application forms, and standard operating procedures (SOP's).

A commonsense way to ensure that a completed incident report sheet (or any other organizational document) "does the job" it was designed to include is to ask yourself if the document is

- Complete: contains all the necessary information.

Example: Our "run sheet" will have the names and addresses of the involved parties and a description of their injuries and our treatments. No important data will be missing.

- Pertinent: does not contain unnecessary information.

Example: Our "run sheet" will not have extraneous information, such as our opinion of the personality of one of the victims.

- Accurate: reflects what really happened.

Example: our "run sheet" will not speculate on the cause of the accident (we are not trained accident investigators).

- Timely: completed according to usual business practice.

Example: Our "run sheet" is completed as soon as the incident is over.

- Neat: legible, not sloppy, words spelled correctly, and correct grammar used.

Example: When we go to court with our "run sheet" we want it to reflect our professionalism.

Regulations and Standards

As was mentioned earlier, Congress and the State legislatures enact laws and statutes. For example, Congress passes a law on fair labor standards. Subordinate agencies then interpret and write regulations. These regulations, known as administrative law, have the force of law, and civil and/or criminal penalties can be given for violating them. You are legally required to obey them. Courts try to interpret what the legislature wrote (consideration of "legislative intent").

When these regulations are discussed in court, consideration is given to legislative intent (what the legislature meant when it wrote the law). On occasion, members of the legislature appear in court to relate the specific meaning of their words in the law.

- We are legally bound to obey all laws.

Example: mandated training (bloodborne pathogens).

- Standards are developed by a variety of agencies or groups.

Example: NFPA; Federal and State agencies.

- Key difference: Voluntary compliance (not legally required to obey, if not adopted by statute).

- If your organization adopts the Standard, it can be enforced.

Even if your organization does not adopt a Standard the Standard still can be cited in a civil negligence lawsuit by an expert witness hired by a plaintiff attempting to establish a standard of care that should have been used by an emergency services organization.

Example: NFPA 1500, *Standard on Fire Department Occupational Safety and Health Program*, which deals with firefighter safety issues.

CIVIL AND CRIMINAL LAW

Sources of Law

This section provides some basic but necessary material on the legal issues that may affect your organization. It will raise your awareness about the importance of being proactive in managing your liability exposure. Further, it provides you with practical ways to accomplish that.

Our laws come from two main sources:

1. Common law practices as recognized and enforced through court decisions. These old English customs and practices have become accepted as legal principles and handed down as a main source of our laws.

2. Statutory law comes from the statutory enactments of Congress and State legislative bodies (for example, Florida's State Legislature has passed a Firefighters' Bill of Rights.)

A further source is court decisions (for example, *Brown* v. *Board of Education* was a U.S. Supreme Court decision that struck down the concept of "separate but equal").

Criminal and Civil Law

Our legal system is divided further into criminal law and civil law. Criminal law protects the rights of society. Thus, since arson harms society, not just an individual, it is a criminal law violation. On the other hand, civil law deals with suits between private parties. Torts are a type of civil wrong. One rapidly growing area of torts is the negligence suit.

Negligence

Negligence is defined as a lack of ordinary care. This is not the same as being as careful as an ordinary person, since ordinary people are careful every day. The courts expect the standard used to be the degree of care that an ordinary, prudent person would exercise under the same circumstances. Sometimes an expert witness in a court case helps the jury decide what an ordinary, prudent person with the same level of training and experience would do.

There are four elements of negligence:

1. Duty. Whether we as members of emergency service organizations have a duty owed to a member of the public is one question. Clearly, if we respond to an emergency incident we have assumed that duty. Once you have a legal duty, you must act reasonably in carrying out that duty. The reasonableness of your actions should take into consideration your training, experience, and even your SOP's and the standards that you have chosen to adhere to.

2. Breach. This means failure to complete that duty properly. For example, if your SOP's require you to come to a complete stop at all intersections, even when responding to an emergency incident with lights and siren activated on your apparatus, and you do not, you have breached that duty.

3. Causation. As a result of a breach of duty, an individual (or organization) is harmed in some way. They claim that what you did had a direct causal relationship to what happened to them. Continuing to use the example from the second element, your apparatus collides with a privately owned vehicle in the intersection. They will allege that what you did, by failing to follow your SOP, caused the accident.

4. Damages. The individual or group (now known as the plaintiff) who alleges harm seeks a legal remedy in the appropriate court. If the court finds in their favor, you and your organization may be ordered to pay compensation.

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Activity 9.1

High Exposure Areas

Purpose

To give you the opportunity to apply adaptive leadership in dealing with a high exposure area.

Directions

1. Given a scenario, you will develop a strategy and process to address the risk. In small groups of four or five, you will brainstorm a strategy and outline the process.

2. Based on the answers to the questions, outline a basic strategy to deal with the risks this facility may pose to responders. Record this strategy on the easel pads provided.

3. Each group will present its outlines to the class.

Scenario

Your community has become the home to a new chemical shell manufacturing facility. It is located well away from residential or the main industrial areas, but it does fall within your emergency services organization's jurisdiction.

There are many risks involved with the facility, but your task is to assess the risks to responders and develop a strategy to minimize the risk should an emergency occur at this facility.

Use the following outline to guide your assessment:

Life Safety

1. What are the hazards to life?____

   ____

2. What events threaten injury or death? ______________________________

   ____

3. What is the likelihood that the hazard will cause injury or death?________

   ____

Responder Risks

1. What is the potential risk to responders? ______________________________
____

2. What can be done to protect responders from harm? ____________________
____

3. What are reasonable risks for firefighters to take? ______________________
____

Legal Risks

1. Causation____
____

2. Breach of duty____
____

3. Negligence ____
____

SUMMARY

This module discussed the most common sources of liability emergency service organizations encounter. It detailed the areas that involve the highest exposure to liability. We also looked at ways to reduce liability through proactive or preventive practices. Adaptive leadership was applied in the aspect of looking at risk honestly.

This module also reviewed the importance of reducing personal and organizational risk. It emphasized the need to be active in risk management and control.

The module differentiated between civil and criminal law. It reviewed the basic definition and details of both types. This section addressed how these two legal areas affect emergency volunteer organizations.

Also covered were the definition of negligence and the probability of it occurring during day-to-day operations.

Rather than heightening your fear of lawsuits, our intention was to provide practical ways to reduce your liability exposure risk. More importantly, reducing your risk also serves another purpose: you deliver services more effectively.

We are ready to move to Module 10, where we will look at leading change.

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Module 9: Risk Assessment

Learning Check

Directions: Circle the letter of the correct answer in the following questions.

1. What is an area of concern to emergency services organizations in relation to risk management?

    a. A balanced budget.
    b. Effective marketing.
    c. Training qualifications.
    d. Volunteer age.

2. Confidentiality must be observed in relation to personnel records, incident reports, and what other area?

    a. Oral communications.
    b. Radio communications.
    c. E-mail communications.
    d. Internet communications.

3. What is the most important thing to remember when dealing with risk and its control?

    a. Be reactive.
    b. Be proactive.
    c. Be selective.
    d. Be reflective.

4. What are the areas to consider when making risk assessments?

    a. Responder risks, civilian life safety, and equipment loss.
    b. Responder risks, civilian life safety, and property loss.
    c. Life safety, responder risks, and equipment loss.
    d. Life safety, responder risks, and property loss.

5. On what concept are the "Good Samaritan" statutes based on?

    a. Governmental immunity.
    b. Good intent immunity.
    c. Firefighter immunity.
    d. Emergency responder immunity.

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MODULE 10: LEADING CHANGE

TERMINAL OBJECTIVE

Given a scenario, the students will be able to apply adaptive leadership to organizational change.

ENABLING OBJECTIVES

The students will:

1. *Describe the four components of the change management model.*
2. *Explain how change, or the lack of change, affects an organization.*
3. *Contrast the top-down and bottom-up concepts of change.*
4. *Compare change that originates from internal and external sources.*
5. *Relate adaptive leadership to organizational change.*

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OVERVIEW

This module provides content on change management, and further involvement with adaptive leadership concepts. As we go into this module, we need to have an attitude that change, although inevitable, can be "guided" into a predetermined direction by the application of adaptive leadership principles and the use of effective planning, implementation, and evaluation techniques. We are not "in it alone"; there are resources available to prepare us for change.

A Note on Professional Development

Before change is implemented, you should determine resources and constraints. These can take a variety of forms: grants, training programs, and materials.

The following training resources are available through the National Fire Academy (NFA):

- *Fire Command Operations*: Provides skills in implementing the Incident Command System (ICS), and tactical operations of multialarm incidents.

- *Community Fire Protection: Master Planning*: Concepts from teambuilding to plan presentations, for a comprehensive community fire protection and life safety services delivery plan.

- *Fire Service Financial Management*: How to plan and manage a fire department fiscal program. Elements include a systems approach to financial management from strategic planning through budget administration.

- *Organizational Theory in Practice*: Provides fire service managers with an understanding of the theoretical basis for organizational practices.

- *Interpersonal Dynamics in Fire Service Organizations*: Prepares fire service managers to understand the dynamics of behavior within an organization.

- *Executive Planning*: Focuses on needs and methods for strategic planning, project leadership requirements, process analysis, acquisition requirements, and implementation skills.

You also should

- use your network--the one you will start to build with this course; attend and participate in conferences and seminars;
- join and participate in professional associations (like the National Volunteer Fire Council (NVFC));
- read (not just fire service publications either); and
- continue your professional education by attending college and university programs.

Activity 10.1

The Challenges

Purpose

To stimulate your critical thinking and problem-solving skills.

Directions

1. You will be assigned to a group. In your groups, come to consensus on what you see as the four major challenges (however you care to define that term) emergency services organizations face at this time. Use this space to jot down your ideas about the four major challenges that face the organization.

   Problem 1:____

   Problem 2:____

   Problem 3:____

   Problem 4:____

2. Your group has 10 minutes to compile the list, place it on an easel pad, and appoint a spokesperson to present your list to the class.

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THE FOUR COMPONENTS OF THE CHANGE MANAGEMENT MODEL

The Nature of Change

Defining Change

Today's organizations are in the midst of seemingly unmitigated change. Change has been defined in various ways. One definition that seems especially pertinent is that change is a process of determining new directions. The word "determining" conveys the active role that can be used in making change happen in a certain way and in predicting the results of that change.

Change is Constant

Change does not happen just once to an organization or to an individual. It is something that is constantly occurring as we interact with the environment around us.

Change is Inevitable

Change will occur. However, if you want it to occur in a certain way, you will have a better chance if planning and actions take place to further that change. Some type of change occurring in the future is a certainty; there is an absolute probability of occurrence. Organization-initiated change can also have a high (but not usually absolute) probability of occurrence.

Change Usually is Resisted

Both organizations and individuals resist change to some extent. Often this is caused by fear that the change will somehow cause disruption or conflict. If the change is not thought out and conducted carefully, that fear may be justified.

Basic Change Process Consists of Five Steps

Planning for Change

Before change can occur, there must be an awareness of the need for change. Change should be planned and managed in a systematic fashion. The nature of the problem, or proposed change, is studied. The internal organizational culture and the external environment are assessed.

Resources and constraints are identified. An attempt is made to predict the impact. At this point, change is resisted.

Unfreezing

The organization and personnel must make an "attitude adjustment" to be open to the new way. Resistance to change is lower.

Implementing Change

Previously unknown advantages and disadvantages are discovered. Counterintuitive events (that is, events not based on common sense) sometimes happen. The change is amended.

Refreezing

After some lag time, the new method is accepted into the organization. Resistance to new ideas and methods returns.

Evaluating the Change

An assessment is made of what has happened because of the change. Content analysis and other forms of analysis are used to quantify and qualify the results. Implement redirection as needed.

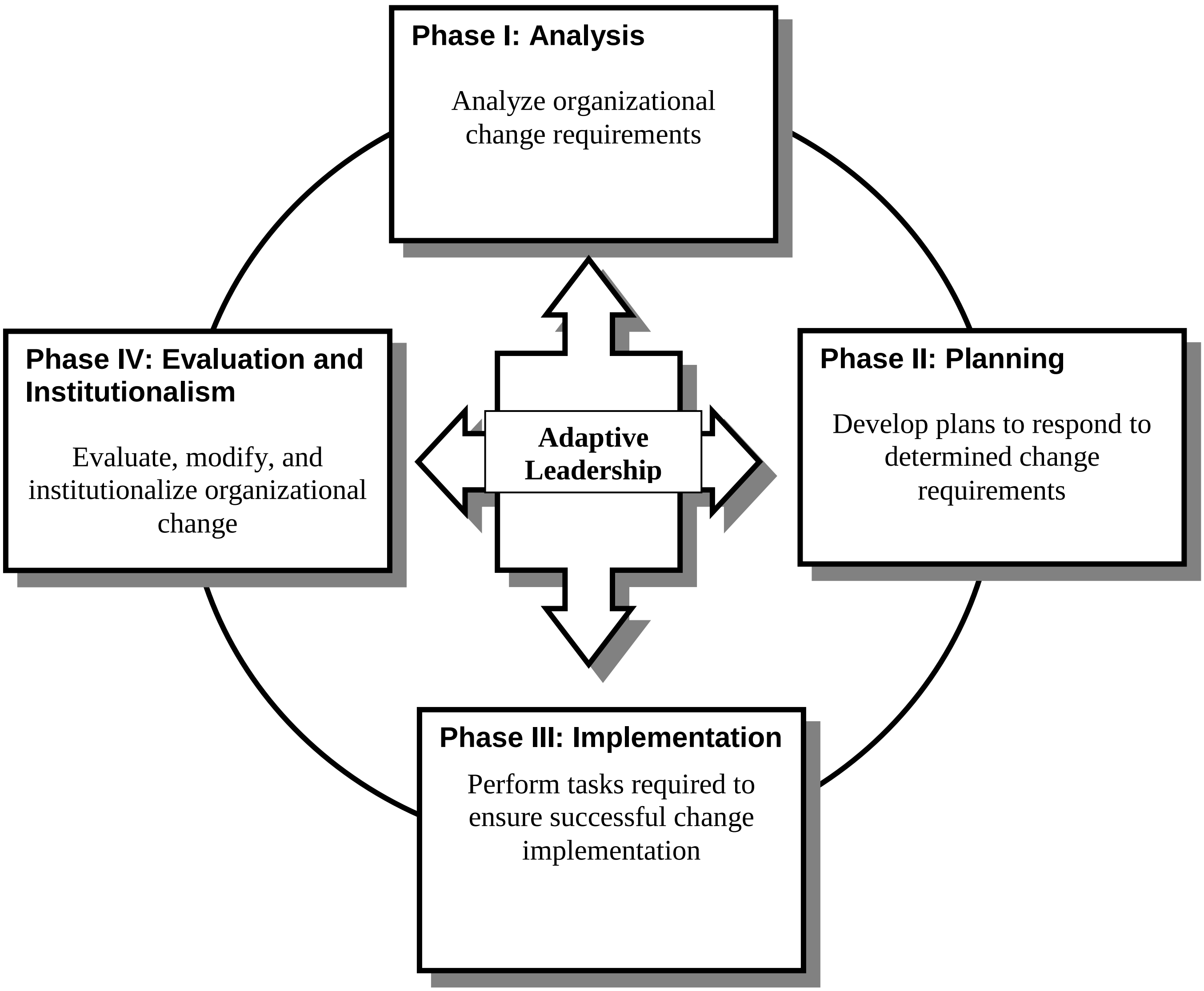

Figure 10-1
The Change Management Model

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Activity 10.2

The Effects of Change on the Organization

Purpose

To highlight how change effects an organization.

Directions

On September 11, 2001, acts of terrorism shook up one of the world's biggest organizations, the United States Government. Many questions arose, and those questions all had one common theme--change. Here are three of those questions:

1. Were there rumblings from inside and outside the organization, warning signs that could have led to change or improvement in intelligence and response?

2. Could some of these ideas have been tried to give the leaders leeway in addressing future challenges?

3. Were there undue concerns that any expenditure of funds, failure, or mistakes would be considered serious leadership flaws?

On January 30, 2002, U.S. Secretary of Defense Donald Rumsfeld addressed military leaders attending the National Defense University (War College). He made comments based on the questions presented above regarding the need for change and restructuring in the military in light of the war on terrorism.

Secretary Rumsfeld told the military leaders that he had gathered the "best people" to help initiate a mindset change within the U.S. military. He emphasized that the leadership must be positioned to make critical changes in the armed forces' ability to protect our Nation. Secretary Rumsfeld highlighted the fact we face the challenges of terrorism, cyberspace war tactics, and high-tech aerial attack and must make battle plans to deal with innovative terrorist threats. New strategies must be developed to include cooperation with new players. A good example was the use of horseback-style cavalry tactics by Army Special Forces fighting alongside anti-Taliban forces in Afghanistan.

The Secretary concluded by saying, "… we don't have two-and-a-half years to change … it must happen now."

1. Now think about your organizations and answer the following questions.

   a. How did 9-11 affect your organization?

   b. How is it still affecting your organization?

   c. How were the effects of 9-11 handled in your organization?

2. Record your group's responses on an easel pad.

THE EFFECTS OF CHANGE ON THE ORGANIZATION

Change, or the lack of it, clearly has an effect on an organization. Change effects the organization at all levels, from the top to the bottom. All we have to do is look at the countless examples set all around us every day. Some examples are subtle, while others are more dramatic.

Effects of Change

Change in an organization results in several things:

- continued organizational survival;
- improved effectiveness in meeting mission demands;
- organizational growth; and
- enrichment of personnel.

Effects of Lack of Change

The lack of change also has an impact on organizations. The following are some of the possibilities:

- organizational demise;
- ineffective in meeting mission demands;
- organizational stagnation;
- personnel not challenged; no personal enrichment or growth; and
- no progress in meeting challenges.

SOURCES OF CHANGE

External Influences

This is what we often call the "environment." Organizations have no control over most external influences. These influences may be local or global in nature. Common external influences are legislation, social and political upheaval, shifting economic tides and currents, and global events. Organizations need to be aware of the external forces that may have an effect on operations. The organization's reaction to these influences is critical in leading or managing change.

Internal Influences

Influences within the organization are varied in nature. The directions from which these come from can vary as well. This area is greatly affected by the leadership and culture within the organization. Here are some of the influences:

From the Top Down

- the leadership or management style;
- organizational mandates from the leadership;
- communication;
- planning; and
- directing.

From the Bottom Up

- informal leaders;
- flow of communication (feedback); and
- organizational culture.

CHANGE AND ADAPTIVE LEADERSHIP

What is a Leader to do With Change?

There are many ways to deliver effective emergency services to a community. Each has its own advantages and disadvantages. You probably have come into this course with a positive bias toward your organization, but you should recognize that other methods of service delivery might have techniques that you can borrow to make your system better.

There are many models for change to choose from. Deciding which one to use is dependent on the needs of the organization. Some models work very well with technical challenges, while others are better suited for adaptive change. All of these models provide a systematic approach:

- Strategic Management of Change;
- The Purpose, Process, and People Model; and
- Integrated Emergency Management System (IEMS).

So Which One Works Best?

Since a systematic approach is always advisable, any of the models could be used. Determine the need with respect to the organizational mission and goals. Apply the approach that fits the challenge (adaptive or technical).

The 5-Step Change Model	Adaptive Leadership
1. Planning for change a. Awareness b. Nature of problem c. Resources and constraints d. Culture or external environment e. Impact f. Change is resisted	**Remember…** Adaptive challenges cannot be treated as technical problems. Leadership is not the same as authority.
2. Unfreezing a. Organizational adjustment b. Resistance lowered	Adjust unrealistic expectations a. Create disequilibrium b. Refashion loyalties c. Mobilize people to do work d. Stimulate resistance that challenges habits, beliefs, and values e. Create a holding environment f. Control the temperature g. Pace and delegate the work h. Show them the future
3. Implementing a change a. Advantages and disadvantages b. Counterintuitive events c. Change amended	
4. Refreezing a. New method accepted b. Resistance to change returns	
5. Evaluating the change a. Assessment of what happened b. Analysis to quantify and qualify results c. Implement redirection as needed	

Figure 10-2
Adaptive Leadership in the Midst of It All

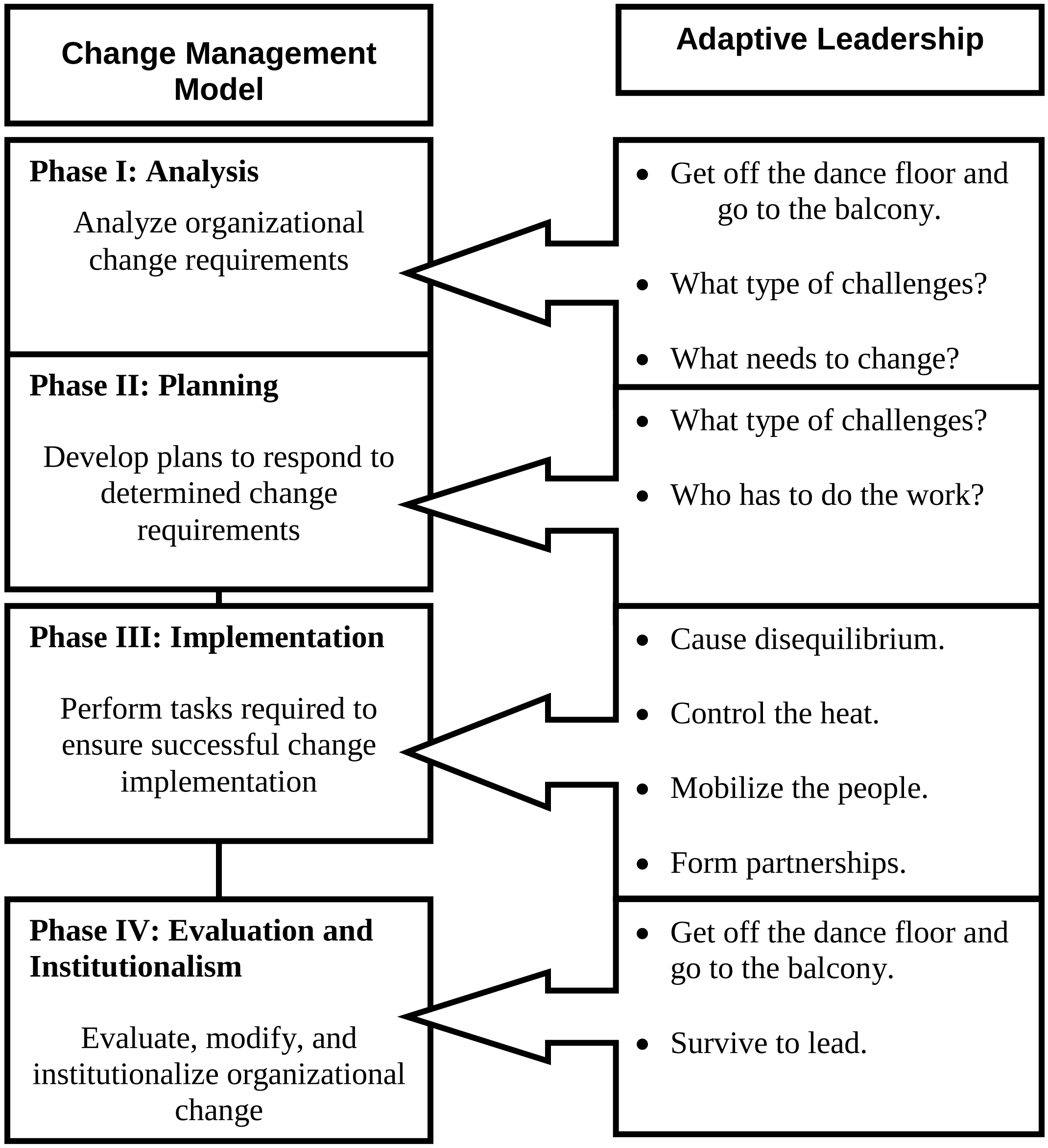

Figure 10-3
Applying Adaptive Leadership to Change Management

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Activity 10.3

Applying Adaptive Leadership to Change

Purpose

To help you identify common threads regarding organizational change through the application of adaptive leadership.

Directions

1. You will be placed into the same four small groups that worked together in Activity 10.1 and will apply the principles of adaptive leadership and the change management process to the four challenges identified in that activity.

2. List the four challenges identified in Activity 10.1.

3. Select one of the challenges and apply the first three steps of the five-step change model to that challenge.

4. Using an easel pad, record the events you believe need to occur or may occur in order to meet this challenge. Select an individual from your group to present this to the class.

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SUMMARY

During this module, we have discussed the following areas:

- We defined change as an ongoing process with steps that could be learned and anticipated.

- We used a sample problem to work on alternative delivery strategies using the concepts of adaptive leadership and the change management process.

With this information in hand, we are ready to move to the next unit, Module 11: Putting It All Together.

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Module 10: Leading Change

Learning Check

Directions: *Circle the letter of the correct answer in the following questions.*

1. What are the components of the four-phase change management model?

   a. Analysis; planning; implementation; and institutionalism and reanalysis.
   b. Analysis; planning; implementation; and evaluation and institutionalism.
   c. Planning; implementation; reevaluation; and institutionalism.
   d. Planning; initiation; institutionalism; and evaluation and analysis.

2. What effect does the lack of change have on an organization?

   a. Maintains steady progress in meeting challenges.
   b. Leads to organizational equilibrium.
   c. Leads to organizational stagnation.
   d. Results in personnel being better able to concentrate fully on their jobs.

3. What is considered a bottom-up change influence?

   a. Informal leaders.
   b. Leadership.
   c. Planning.
   d. Directing.

4. What does the five-step change management model consist of?

   a. Planning for change, unfreezing, implementing change, refreezing, and directing the change.
   b. Planning for change, thawing, initiating change, freezing, and evaluating the change.
   c. Planning for change, unfreezing, refreezing, evaluating the change, and planning for the next change.
   d. Planning for change, unfreezing, implementing change, refreezing, and evaluating the change.

5. Adaptive challenges cannot be treated as technical problems.

   a. True.
   b. False.

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MODULE 11: PUTTING IT ALL TOGETHER

TERMINAL OBJECTIVE

Given a scenario, the students will be able to apply the concepts and skills learned in this course.

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OVERVIEW

This module is an opportunity for you to ask questions and discuss any concerns you may have. Additionally, this time will be used to practice applying what you have learned in this course.

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Activity 11.2

A Case of Leadership: Southwest Airlines

Purpose

To allow you to observe the subjects discussed in this course being applied. This application is observed in the video on Southwest Airlines.

Directions

1. You will watch the video "The Excellence Files: Southwest Airlines."

2. After watching the video on Southwest Airlines' success story, you will form into small groups of four or five.

3. Within your groups, you have 45 minutes to discuss and answer the questions on the following Student Activity Worksheet (SAW). Record your responses on an easel pad.

4. In the last 15 minutes of the activity, each group will share its responses with the class.

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Activity 11.2 (cont'd)

Questions

1. What areas of significant disequilibrium did you observe in the video?

   a. What was the cause or causes?

   b. How did the leaders provide direction?

   c. How did the employees respond?

   d. What were the results?

2. Who was responsible for establishing the culture?

   a. How did this affect recruitment or selection?

   b. What about retention?

c. Motivation?

3. How did the leadership handle change?

4. How did the personnel handle change?

5. What marketing strategies did you observe?

6. What partnerships were developed?

7. What risks were taken?

8. Where was planning in all this?

Activity 11.3

A Case of Leadership: The Fire Service

Purpose

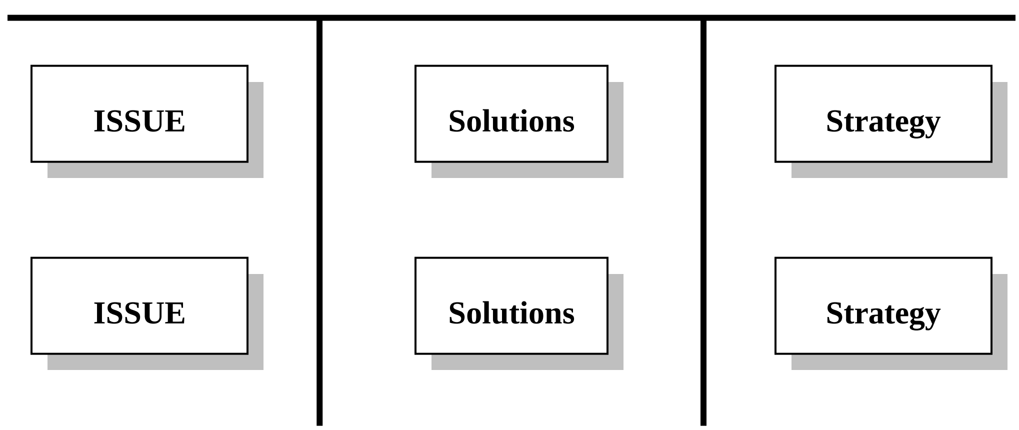
To tie the concepts of the class together in a culminating activity relevant to the fire service.

Directions

1. Read the scenario on the following page and discuss with the members of your table group.

2. Put the key points of your group's solution and strategy on an easel pad in the following fashion.

3. When the points are presented, ask the questions on the SAW for each issue before going onto the next issue.



Note: Use the above format for each issue identified.

Scenario

The Community

The ABC Fire Department serves a community of 20,000 people. It is predominantly a bedroom community that covers 50 square miles. It has some light industry and a large shopping mall. A rail line divides the community down the middle, north and south. Both fire stations are located in the south, where most of the development exists. A large, new housing development is being planned for the north side of town. Most of the residents are shift workers.

The Department

The department is a completely volunteer department supported by community tax dollars. It is involved with fire suppression and emergency medical services (EMS), including transport. The department has two stations, three pieces of fire apparatus, and one ambulance. The nearest mutual-aid company is more than an hour away. The department has 36 members, most of whom have at least 15 years in the department. Members average approximately 100 fire calls and 700 EMS calls annually.

The Concerns

Approximately 90 percent of the members are available after 6 p.m. only. They have four members who are retired from their jobs that are running all of the daytime calls, but they are not getting out in a timely fashion due to call volume and burn out.

The town board and the community are very resistant to raising taxes.

Due to the increasing amount of fundraising responsibilities and other administrative duties, fewer and fewer members are attending training or work details.

Activity 11.3 (cont'd)

Questions

1. What type of adaptive change or changes would you make in this scenario?

   a. How high would you turn up the heat?

   b. How would you regulate it?

2. How would you create a state of disequilibrium?

3. Whose values and attitudes need to be changed in order to implement the change(s) you suggest?

4. What risks and losses are involved?

5. How would you implement the change?

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FINAL SUMMARY

You have just spent 6 days discussing a multitude of subjects. Take all the knowledge and skills you have gained in this course and use them in your organizations; do not place this them "on the shelf" and forget about them. Apply the principles of adaptive leadership to every aspect of what you do.

Emergency services organizations will continue to face many challenges in the coming years. Only through forward thinking and adaptive leadership will these challenges be met.

CD-ROM TOOLKIT

Each student will recieve a CD-ROM Toolkit containing job aids, sample forms, various examples, models, and Web site listings. You are encouraged to use the resources found on the CD-ROM to help you lead your respective organizations.

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GLOSSARY

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GLOSSARY

Accrual Accounting	Takes into account both actual deposits and payments, and what is owed to and by the organization.
Achievement Needs	The goals that the individual sets for himself or herself.
Administrative Law	That division of law that deals with the rules and regulations of governmental agencies.
Affiliation Needs	Belonging to a group. Accepted by the group.
Affirmative Action	Voluntary and deliberate action on the part of an employer to ensure that personnel practices meet equal employment opportunity requirements.
Allegation	A statement that must be proved.
Alternative Future	The projection of what is reasonably possible as an outcome of current events. Not necessarily intended to be factual, merely informational.
Assets	Things of value that belong to an organization.
Audit	A formal examination of an organization's accounts or financial condition.
Balance Sheet	Picture of the financial condition of an organization at a single point in time.
Benchmarking	Comparing your own organization to others; adapting ideas and approaches used by another organization to benefit your own.
Biases	Preconceived ideas, often without basis in fact, which guide actions relating to people from different cultural backgrounds.
Budget	A plan for the future expressed in financial terms. It matches anticipated resources with projected expenditures.
Budget Administration	Spending allotted money according to the guidelines defined in budget.
Budget Justification	Establishing the need or benefit to be derived by making expenditures.

Bureaucracy	An organization characterized by specialization of function, adherence to fixed rules, hierarchy of authority, and rigid formal routine.
Capital Expenditure	Expenditures for the purchase or improvement of assets.
Case Law	Body of law developed because of court decisions.
Cash Accounting	Transactions are recorded only when cash changes hands.
Civil Law	Body of law dealing with suits between private parties, rather than laws concerned with criminal acts.
Coaching	One who trains; a private tutor who trains someone for a performance.
Common Law	Body of law based on old English customs and usage. It is recognized and enforced through court decisions.
Content Analysis	The analysis of changes based on historical precedent and an understanding of the relationship of an event to its environment.
Counterintuitive	Events not based on common sense.
Credit	An amount placed at an organization's disposal by a financial institution.
Criminal Law	Body of law that protects the rights of society.
Cultural Diversity	Differences in thoughts, values, and behaviors that result from a person's unique background and upbringing.
Culture	Refers to any group of people who share common beliefs, values, and ways of doing things.
Current Expenditure	Expenditures for ordinary and recurring needs of the organization.
Damage	Harm, injuries, or losses that result from a behavior.
Demographics	Socioeconomic factors; characteristics such as age, sex, and income level of potential consumers.

Discrimination — The process of distinguishing one item or person from a group of items or persons because of a perceived feature or characteristic.

Diversity — Variety, being different, or having different qualities.

Equal Employment Opportunity — Refers to the right of all individuals to compete on an equal basis for a job without regard to race, creed, national origin, religion, disability, gender, or age.

Evaluation — To determine significance of work by careful study.

Expert Witness — A person determined by a court to have specialized knowledge in a specific field. The expert witness gives testimony in court.

Feedback — The return of a portion of the output of any process or system to the input. To provide information on the results of a process to the source for bringing about improvement.

Financial Management — The art or skill of directing the judicious use of money to accomplish an end.

Force-Field Analysis — Refines gap analysis by identifying driving forces and restraining forces that affect ability to close gap.

Gap Analysis — A critical evaluation of the differences, or gap, between where the organization is and where you want it to be.

Goals — Clear yet broad statements about where the organization should go and what the organization should accomplish.

Good Samaritan Statute — A statute that provides some immunity from liability for those who act as volunteers providing emergency care. Does not provide immunity for those volunteers who commit grossly negligent acts.

Grievance — A feedback mechanism to provide input to management about personal concerns of subordinates.

Human Resource Development — A comprehensive program for developing human resources to meet present and future personnel needs of the organization.

Illegal Discrimination	Conduct that unjustifiably distinguishes among similarly situated people on a basis prohibited by law. These bases are race, color, religion, national origin, sex, age, and disability.
Image	How customers perceive an organization's product.
Impact	The array of results (anticipated or otherwise) caused by a change.
Income Statement	Comparison of revenue and expenditures over a period of time.
Intangible	Not tangible, elusive.
Integrative Budget	A program budget presented in line-item format.
Inverted Pyramid	A news writing technique that presents information in order of importance--the most important facts first, the less important later on.
Investment	An outlay of money, usually for producing revenue.
Lag Time	The time it takes a system to adapt in response to change.
Lead	The first sentence or paragraph in a news story or news release.
Leadership	The ability to guide, conduct, influence, to be ahead of or at the head of.
Liabilities	Claims against assets.
Line-item Budget	Lists the organization's proposed expenditures item by item in specific detail.
Lobbying	The art of influencing a legislative body.
Management	The process of accomplishing organizational objectives through people.
Marketing	The process of planning and executing the conception, pricing, promotion, and distribution of ideas, goods, and services to create exchanges that satisfy individual and organizational objectives (American Marketing Association definition).

Membership Benefits	Features the organization offers that meet members' individual needs.
Mission Statement	A statement that indicates the scope and direction of the organization's activities, and provides a pattern for decisionmaking at all levels.
Needs Assessment	Used to identify and define problems or needs that must be addressed.
Negative Motivation	Threatens with consequences for lack of action.
Negligence	A lack of ordinary care. Also, the failure to exercise that degree of care that an ordinary, prudent person would exercise under the same circumstances. The result is a breach of a legal duty that causes damage.
Nontraditional Volunteers	Members of a volunteer emergency services organization who perform services other than emergency response.
Objectives	Statements identifying the alternatives chosen to achieve the goal. Objectives are clear, concise, time-specific, and measurable.
Operational Planning	Planning that involves narrow jobs and functions and focuses on the immediate future.
Organization	Exists to do work related to the mission. It creates structure, establishes formal lines of authority and responsibility, delineates lines of formal communication, and provides accountability.
Performance Appraisal	A tool for fitting individual behavior to organizational goals through a systematic description of job-related strengths and weaknesses.
Performance Budget	Emphasizes efficient transformation from inputs to outputs.
Place	What makes the product accessible to the consumer (also known as distribution).
Plaintiff	The person who initiates a civil suit.

Planning	A process of setting a future course of action and determining in advance who, what, when, where, and how it will be achieved.
Planning-Programming Budget	Focused on optimizing resources used to achieve objectives by systematically evaluating alternative strategies.
Policies	High-level, overall plans of action that guide and determine present and future decisions.
Positioning	How customers perceive an organization's product relative to competitors' product(s).
Positive Motivation	Provides reward for acceptable action.
Power Needs	The desire to control things or people.
Predictions	The act of specifying in detail what may occur in the future.
Price	What the consumer must pay for the product.
Probability of Occurrence	The relative likelihood that something will happen.
Procedure	Established ways of doing something through a series of steps followed in a definite order.
Procurement	Process by which tangible needs of organization are secured.
Product	Goods or services offered to the customer.
Program Budget	Describes outcomes, how their achievement will be measured, and puts total cost on delivery of each program.
Promotion	Vehicles to communicate the product's value to the consumer.
Proposal	A type of persuasive writing that convinces the reader that a certain course of action is needed, identifying the problem, and requesting aid or permission to implement a solution.
Public Education	The act of receiving or providing information with demonstrated behavior or cognitive learning or attitude modification.

Public Relations	The act of receiving or providing information.
Recruitment	The process of manipulating the quality of people who seek to join your organization.
Respondent Superior	The common law concept that an employer (including a supervisor of volunteers) is responsible for the wrongful acts of his/her employees (including volunteers), if the employees are acting within the scope of their duties.
Revenue	Income produced by a source.
Risk Management	Process of analyzing the risks that might be faced by an organization and developing a plan to limit the adverse impact.
Selection	Choosing from among the people seeking to join your organization to obtain additional members.
Self-Actualization	Reaching potential. Able to stretch and succeed.
Self-Esteem	To feel good about who you are and what you stand for.
Sexual Discrimination	Occurs when employment decisions are based on employees' gender instead of their qualifications.
Sexual Harassment	Occurs when an employee is subjected to unwelcome behavior from an employer or someone under an employer's control, which happens only because of the employee's gender: Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature.
Sovereign Immunity	A common law doctrine that the government is protected from civil suits by individuals unless the government chooses to waive this immunity. This also is called governmental immunity.
Statement of Change of Financial Condition	Shows financial sources, uses of working capital, and the differences in fund balance between the beginning and the end of the year.
Statute of Limitations	A legislative statute limiting the time in which a lawsuit can be brought.

Stereotype	A mental picture of a set of characteristics believed to be held in common by all members of a particular group.
Strategic Planning	A process of setting organizational goals and deciding on comprehensive action programs to achieve those goals.
Succession Planning	A systematic process of defining future management needs, identifying candidates, and matching supply and demand.
Tangible	Real, concrete.
Tort	A civil wrong or injury, other than a breach of contract, for which a court will provide a remedy.
Walk-in Site	Any location where the public can walk in for any reason.
Zero-base Budget	Introduced decision packages for deciding policy alternatives by requiring rejustification of every expenditure each year.

APPENDIX

POSTCOURSE MATERIALS

POSTCOURSE QUESTIONS AND ACTIVITIES

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Postcourse Activity

Personal Financial Planner

Complete the Personal Financial Planner as it relates to your department.

Financial Management

1. Has your organization determined which method of accounting is most appropriate for its needs, (for example, cash or accrual basis)?

2. Does your organization have a properly prepared balance sheet and income statement that together accurately report the organization's net worth and fiscal year's financial activity?

3. Has your governing body developed a regular procedure for monitoring income and expenditures and amending the budget?

4. Are there proper controls over check writing, dealing with incoming money, and handling cash in your organization?

5. Is the organization properly protected from financial loss through bonding?

6. Does your organization file required financial forms in a timely manner (including IRS Form 990, Form 990-T, Form 940, Form 941, Form W-3, Form 1099-MISC, and Form 1096)?

7. Does your organization provide the necessary tax forms to employees and independent contractors in a timely manner (including IRS Form W-2 and Form 1099)?

8. Does your organization file the required State and local financial forms in a timely manner?

Adapted from "Managing a Nonprofit Organization," by Thomas Wolf, p. 191, 228.

Budget Preparation

1. What are the strengths of your budgeting process?

2. How can the process be improved?

3. Describe what you will do to improve the process now.

4. What would you like to be able to do?

5. What would be required to make it possible?

Budget Justification

1. How can your department improve its image or visibility in the community?

2. How can your budget justification process be improved?

Budget Administration

1. Are your department's internal financial controls achieving their purpose?

2. What improvements can be made?

3. What improvements need to be made in your organization's purchasing procedures?

4. How often is a budget report published in your department?

5. Do people rely on it to make financial decisions?

6. What additional information would be useful?

7. Can you effect this change?

Fundraising

1. Has your organization developed strategies to increase the number and amount of ongoing, individual, and business gifts?

2. Does your organization evaluate its direct mail solicitation, before sending them? Are letters personalized? Are there follow-up mailings?

3. Does your organization do at least one fundraising event annually?

4. Does your organization do research on corporate prospects before soliciting them?

5. Has your organization tried any nontraditional fundraising efforts in the past year?

Adapted from "Managing a Nonprofit Organization," by Thomas Wolf, p. 191, 228.

Planning

1. Write a mission statement for your organization or modify the existing one.

2. Are there new or modified services and programs that your organization could provide for your community?

3. Develop a strategic plan for starting the programs or services described in your answer to question 2.

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Postcourse Activity

Human Resource Management

Your Cultural Background

Introduction

The purpose of this activity is to help you identify your own cultural background and to make you aware of the influence your background has on your cultural perceptions and biases. The real benefit comes when you complete this activity after you return home and have time to reflect on the influence your cultural background, perceptions, and biases have on the way you interact with people from different cultural backgrounds.

In order to be sensitive to cultural diversity and to manage it effectively, you must first be aware of your own cultural background and how it influences your interactions with people from different backgrounds. Usually we think of **other people** as different from us when we, in turn, are also different **from them**. Although some of us have stronger cultural or ethnic ties than others, we all have cultural backgrounds.

The following sequence of questions is designed to help you identify your own cultural background. When questions refer to "parents" or "family" you may respond based on biological parents, adoptive parents, or parent substitutes--whoever raised you, if appropriate.

Age

What are some of the values and beliefs held by the generation you grew up in?

Gender

What messages did you receive about what it was to be a "good man" or a "good woman" or to be feminine or masculine?

Ethnicity

What is your ethnic background? What are some of the values, beliefs, or characteristics of your ethnic background?

Nationality

What country or countries did your mother's family and your father's family come from? Was more than one language spoken in your home? If yes, which ones?

Religion

Were you brought up in a formal religion? If so, which one? What part did religion play in your life as you grew up?

Class

What were your parents' occupations?

How would you describe your family as you were growing up: low income, working class, middle class, or upper class?

Geography and Location

Did you grow up in the city, the suburbs, or the country? What benefits or drawbacks do you associate with the location in which you grew up?

Was your neighborhood homogeneous (people were pretty much all from the same background) or heterogeneous (lots of different nationalities, religions, or economic groups)?

☐ Homogeneous ☐ Heterogeneous

If heterogeneous, what groups were represented? (for example, racial, ethnic, religious, economic)

Other

Do you remember family stories about "the good old days," the family "character," how the family migrated from the homeland to the United States, how they made it through tough times? If yes, describe your memories.

Review and Summary

Which of the above factors were most influential in your development?

How would you summarize your cultural background?

How have the characteristics that you have described influenced the way in which you interact with people who are different from you?

Adapted from: Emergency Management Institute, "Instructional Presentation Skills," Washington, DC: Federal Emergency Management Agency, 1993, p. 42-45.

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