

FIRE OFFICER II

NFPA 1021

STUDENT WORKBOOK

REVISION JANUARY 10, 2019

Updated to 2014 Standard

Good morning and welcome to the Fire Officer II program.

In times past the fire officer's only thoughts were to the dangers of the job. Society today, however, has forced a change in the role the modern fire officer. Now equipment costs and maintenance, management theory, budgets, and public relations combined with fire suppression, emergency medicine and hazardous materials form the areas of expertise today's fire officer must have.

Training for these situations is as important as any other function for the fire officer has. Early in the firefighter's career, he or she gained knowledge and expertise in handling a fire related emergencies. As a firefighter progresses to the ranks of additional training, such as hazardous materials, and emergency medical arguments. This initial training to prepare him or her for more complex situations. The Fire Officer I course introduced the firefighter to the basic level of management and supervision. The Fire Officer II course takes this beginning knowledge and expands to help the fire officer develop into a more complete manager.

The purpose of this program and the skills workbook is to argument a course of instruction on the competencies for Fire Officer II. Listen carefully. Then using the information given along with this information in your text and in the skill sheets, answer the questions and analyze the case studies to determine how best to handle a situation. Keep in mind. Often there is no single correct answer, only different ways to handle the same situation. Use your own expertise along with the expertise of others in the class to come up with your answers.

You must successfully complete ALL skills sheets in this packet to gain certification.

This study manual has been updated to cover the requirements of the GFSTC 2014 task book.

General Directions:

All work will be done by the student, unless otherwise authorized by the instructor. The majority of skill assignment, must be completed by the student. There are instances where group discussion, will assist in development of policies and procedures. Each student must develop his or her own policy and procedures based upon their research.

All work must be completed successfully to gain the skills credit.

All completed work is to be saved and placed on a thumb drive for submission at the end – include all materials that you developed to meet the requirements. Remember to keep a copy for yourself for future reference.

Competencies listed must be completed to meet the standard. You will see these competencies again in your career as officers. Review the 5.x.x Standards “Competencies” area before you submit your final assignments, to make sure you covered everyone.

If you need research, you must reference in your work. Do not use www.wikipedia.com for any references as it is not an academic related site. One recommended research site you should use is <http://www.galileo.usg.edu/scholar/>.

HUMAN RESOURCES MANAGEMENT II

INITIATE ACTIONS TO MAXIMIZE A MEMBER PERFORMANCE AND/OR TO CORRECT UNACCEPTABLE PERFORMANCE

Reference: NFPA 1021 2014 Edition: 5.2.1 pp 610—616 (Chapter 13 – 5th ed)

The Fire Officer Level II candidate will act as the Fire Captain for a simulated fire station. The candidate will recommend action for a member -related Human Resources issue. The candidate will provide a written description recommending a course of action for this member, then complete a memorandum to the Firefighter(s) outlining how to increase team work and address how to counsel the member(s). The will also apply Human Resource Policies and Procedures, so that member and/or unit performance improves or the issue(s) is referred to the next level of Supervision. The candidate will then write a report documenting the problem and the action taken for the ire Department Files.

The Candidate will assume the role of company officer supervising four firefighters at a fire station. One of the firefighters, a new father, was late twice last month. Each time he has provided a reasonable cause for his tardiness and called in before the shift began to alert the company. No official action has yet been taken. Today, the firefighter was late again. Again, some corrective action. The action taken is entirely up to the Candidate but is required to correct unacceptable performance so that performance improves or the issue is referred to the next officer in the chain of command. Actions taken must be reasonable, defensible, and in accordance with human resources policies and procedures. Candidate will inform the firefighter of the action taken and make a written report for purposes of documentation.

The candidate shall deliver the performance review with the evaluator as the recipient. Student will do this in an appropriate professional manner.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies: 5.2.1

From GFSTC:

1. Adequately describe to the Firefighter the nature of the problem.
2. Make it clear in plain language what level of performance is expected.
3. Choose an action designed to correct unacceptable performance.
4. Inform the Firefighter of the corrective action to be taken.
5. Follow human resources policies, procedures, or guidelines.
6. Complete a written report documenting the problem and action taken.

Respond to Scenarios Involving Human Resource Policies and Procedures

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 610–616 581–589 (Chapter 13 – 5th ed)

Introduction

One of the first priorities for a company officer when managing behavior is to review with subordinates the policies, rules, and regulations of the organization. The officers own expectations regarding company performance must be well stated and understood by each member. The company officer must constantly promote, support, and enforce these policies, rules, and regulations so that all personnel respect and adhere to them.

Directions

After reading the scenarios, answer the questions that follow. The answers to the questions should reflect the approaches that a company officer would use initiate the corrective action required for any procedural violations or unwanted behavior(s).

Describe the actions you would take in each of the following scenarios. Include the approaches that a company officer could initiate that would correct any violations or unwanted behavior(s). Utilizing the narrative report format, explain all of the behavior management approaches that might be used. Recommend the best approach that should be taken and explain why it is the best one.

Activity 1: Reporting for Duty Policy

The Anytown Fire Department has an established policy that requires that all company members remain at the station until the end of the duty shift, 0800 hours. This is to ensure that the relieving personnel have time to check their personal protective equipment (PPE) and adequately prepare for work. This regulation is also designed to promote an orderly duty transition.

Recently, a member of your company, Firefighter Kennedy, left the station when his relief, Firefighter Brooks arrived at 0730 hours. The company was dispatched to a structure fire at 0745 hours. Firefighter Brooks was in the locker room preparing for the shift and did not get on the engine. As a result, the company responded to the emergency one member short. The company arrived at the scene and was unable to perform its assigned duties due to the reduced number of personnel. There was also confusion about the disposition of Firefighter Kennedy that required a Personal Accountability Report (PAR) at the incident during suppression operations. This interrupted all operations until it was determined that Firefighter Kennedy had left the station early.

This was the first time that it was noted that firefighter Kennedy had violated Anytown Fire Department policies.

DUTIES OF PERSONNEL Reporting for Duty	ANYTOWN FIRE DEPARTMENT FIRE DEPARTMENT OPERATIONS S.O.P. 905.01 05/01 Rev. 04/06 Approval: EJV Page 1 of 1
<p>PURPOSE: To define and describe the responsibilities of fire department personnel when reporting for duty or going off duty at the change of shift. This procedure is intended to provide for an efficient and consistent change of shift transition by ensuring that all personnel have been replaced and all duty positions are fully staffed.</p> <p>SCOPE: This procedure applies to all personnel who are assigned to the fire department operations division, including battalion chiefs, captains, driver/operators and firefighters.</p> <p>POLICY: The change of shift (COS) is daily at 0800 hrs. COS is announced by the dispatch center using a radio alert tone broadcast to all stations and companies.</p> <p>All personnel are to remain in the station at their assignment until COS at 0800 hrs and their replacement has arrived and readied all personal protective equipment (PPE) for the upcoming duty shift.</p> <p>Following the COS announcement, all personnel that are off duty and relieved by their replacement on the following shift may leave the station. Personnel who have not been relieved by their replacement are to remain at their assigned station until replaced or authorized to leave by their immediate supervisor.</p> <p>Under no circumstances are on-duty personnel permitted to leave the station prior to COS regardless of the presence of their relief.</p>	

1. What policy or procedure did firefighter Kennedy violate? Describe the violation.

a. _____

b. _____

2. Describe the behavioral management tools that are available to the company officer that may be applied to help manage the behavior of company members.

a. _____

b. _____

c. _____

d. _____

3. Select the approach or approaches that would be most useful in this instance. Explain the reason for each selection.

Activity 2: Change-of-Shift Operational Checks

A new policy was recently adopted that requires all truck checks to be completed by 0900. The shift begins at 0800. Your station has two engines and a brush truck. One of the engines is a reserve truck. You have three firefighters and a driver assigned to your crew. Prior to the new policy, your crew did a thorough check of each truck. Truck checks were finished at around 0945.

At a recent early morning fire your crew had to respond in the reserve engine. On arrival you were ordered to take the crew inside for overhaul. Only one of the four SCBA on the truck was full of air. All the PASS devices were inoperable. When you got back to the station you checked the daily log and found that the inspection form for the truck was completed, including checks indicating the SCBAs were full of air. It is obvious that your crew did not check the truck and falsified the maintenance log.

DUTIES OF PERSONNEL Change-of-Shift Operational Checks	ANYTOWN FIRE DEPARTMENT RESOURCE MANAGEMENT S.O.P. 905.07 5/01 Rev. 04/06 Approval: EJN Page 1 of 1
<p>PURPOSE: To define and describe the responsibilities of fire department personnel when performing change-of-shift operational checks (CSOC). This procedure is intended to ensure that all emergency response equipment and personal protective equipment (PPE) is in a state of readiness for use.</p> <p>SCOPE: This procedure applies to all personnel who are assigned to the fire department operations division, including battalion chiefs, captains, driver/operators and firefighters.</p> <p>PROCEDURE: Following the change of shift (COS) at 0800 hrs. all emergency response equipment and PPE are to be checked by the oncoming fire department shift. These procedures are to commence immediately following COS announcement by the dispatch center. The CSOC is to be complete by 0900 hrs.</p> <p>All members are responsible for the CSOC of their assigned PPE.</p> <p>The Company Officer is responsible for CSOC of the officer's area of the fire apparatus, including map books, preplans and mobile data terminal operation.</p> <p>The driver/operator (D/O) is responsible for the CSOC of the fire apparatus, its pump, and all equipment that is carried on it. Additionally, the D/O is also responsible for performing CSOC on any reserve fire apparatus that may be quartered in their duty station (except for the reserve SCBA that is carried on it).</p> <p>Company firefighters are responsible for the CSOC of all spare SCBA units and cylinders, the hydrant connection kit, and the readiness of all preconnected fire hose lines.</p> <p>Any equipment that is missing or inoperable is to be replaced if spares are available.</p> <p>All equipment checklists are to be completed and initialed by the employee(s) responsible. The checklist is to be given to the company officer for final approval and filing.</p>	

4. Who is responsible for the SCBA on that is carried on the reserve engine?

5. Could this procedure have been misunderstood by those responsible for the CSOC of the SCBA on the reserve apparatus?

6. Are there any other personnel that may bear some responsibility for the missed deficiencies of the reserve engine SCBA?

7. What factors can be identified that could have contributed to any confusion about the CSOC of the reserve SCBA?

8. Are there grounds for disciplinary procedures to be imposed upon those responsible for this situation? What type of discipline is required?

HUMAN RESOURCES MANAGEMENT II

EVALUATE THE JOB PERFORMANCE OF ASSIGNED MEMBERS

Reference: NFPA 1021 5.2.2 pp. 610 – 621 (**Chapter 13 – 5th ed**))

The Fire Officer Level II candidate will assume the role of a Company Officer in making a written report to the Fire Chief of the job performance of assigned members so each member's performance is evaluated accurately and reported according to human resource policies and procedures. The candidate will then complete a summary sheet about member evaluations. The candidate will apply Human Resource Policies and Procedures, so that departmental policies and procedures are followed.

The Candidate will assume the role of a company officer conducting a job performance evaluation of an assigned subordinate member. Using department and human resource policies and procedures, personnel records/forms, and job description, conduct a performance evaluation interview and make a written report.

Candidate conducts/completes evaluation using a standard form utilized by their jurisdiction. If none is available, the Certification Board will provide one. The student shall submit this in writing to the examiner prior to the exam and may be asked present the evaluation to the examiner at the evaluation as if they are the person the evaluation is being done on them. The Performance Review needs to address the following major components of at least three core job duties and address strengths and weaknesses, improvement or goal setting, correct grammar and spelling, and an action plan for behavior changes. The candidate shall assume they are reviewing a subordinate member of the organization.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies 5.2.2

FROM GFSTC:

1. Gather all available performance information prior to evaluating.
2. Follow applicator policies/procedures and maintain privacy.
3. Measure employee performance against the written job description.
4. Plan the evaluation interviews as a tool to enhance performance.
5. Make a written report of performance on proper form/record.
6. Use Positive rather than Negative reinforcement whenever possible.

Directions

Review the following scenario. Based on the information in the scenario, complete Form 100-1, Annual Performance Evaluation, for Driver/Operator John Smith. Assume you are the captain on the shift and Smith's direct supervisor. Add any pertinent comments in the comment section of the form. This may include recommendations on improving performance, recognizing excellent performance, training needed, etc. Use your signature and today's date on the signature line for the company officer.

Activity

You are the supervisor of Driver/Operator John Smith. Smith has worked for you for the past 2½ years. It is time for his annual performance appraisal. The performance period is January 1 through December 31 of last year.

Overall, Smith is a steady performer. He is not a 'shining star' but neither is he a sluggard. He is there when you need him and he is always willing to help when asked. On his last annual performance he received an average score of 2.33 (out of 3) overall.

Smith's one strong area is his driving and pumping ability. He is known as the best pump operator on the job. He takes time to try and teach younger firefighters how to do rule-of-thumb and set up the pump. During the 11 years he has been a driver he has never received a ticket, warning or any type of citation. He has never been involved in even a scratched fender.

In preparing for the evaluation you review the following notes you have made during the previous year.

- In January and February Smith helped two firefighters prepare for the driver/operator promotional test. Both firefighters made the promotional list and have been promoted.
- On May 3 you had to discuss the condition of Smith's uniform. It was worn and dirty when he came to work.
- At a fire on June 16 Smith had to pump the engine and assist another driver with his truck also.
- The week of July 7 Smith volunteered to attend a two-day National Fire Academy course.
- On August 19 you had to discuss the condition of Smith's uniform. It was dirty.
- On November 22 Smith was late to work by 20 minutes. He did not call in to notify you that he was going to be late. He offered no explanation about his tardiness. He was counseled about being on time.
- On December 29 Smith reported to work with trousers that were torn and unserviceable. You had to send him home to change.

Based on this information about Smith, complete Form 100-1 beginning on the next page.

Form 100-1: Annual Performance Evaluation

Employee Name: _____ Employee Rank: **Driver/Operator**

Evaluator Name: _____ Evaluator Rank: _____

Date of Evaluation: _____ Evaluation Period: _____ to _____

For each of the driver/operator job duties listed below, assign a score of '1', '2', or '3' based on the employee's performance during the annual evaluation period. If a '1' is assigned, you must provide written justification for the rating in the space provided.

3 = Exceptional performance – The employee exceeds supervisor's expectations in this job duty.

2 = Satisfactory performance – The employee meets supervisor's expectations in this job duty.

1 = Unsatisfactory performance – The employee fails to meet supervisor's expectations in this job duty.

Job Duty		Performance Rating			
a.	Station cleaning and maintenance	1	2	3	N/A
b.	Maintenance of apparatus	1	2	3	N/A
c.	Compliance with orders, directives & policies	1	2	3	N/A
d.	Personal responsibility & initiative	1	2	3	N/A
e.	Pump & equipment operation	1	2	3	N/A
f.	Driving of apparatus	1	2	3	N/A
g.	Personal appearance	1	2	3	N/A
h.	Teamwork & cooperation	1	2	3	NA/

Evaluator Comments

Employee Signature: _____ **Date:** _____

Evaluator Signature: _____ **Date:** _____

HUMAN RESOURCES MANAGEMENT II

CREATE A PROFESSIONAL DEVELOPMENT PLAN FOR A MEMBER OF THE ORGANIZATION

Reference: NFPA 1021 5.2.3 (Chapter 13 – 5th ed)

The Fire Officer Level II candidate will create a Professional Development Plan for a member of the organization so the individual acquires the necessary knowledge, skills and abilities to be eligible for the examination for the position. The candidate will apply Promotional and Human Resource Policies and Procedures, so that policies and procedures are followed. The candidate will create a professional development plan for a member of the organization, given the requirements for promotion, so that the individual acquires the necessary knowledge, skills, and abilities to be eligible for the examination for the position.

Candidate shall prepare a plan for a 4 year member who wishes to achieve the rank of captain by their ten year anniversary. Candidate shall include their jurisdictions policies specific to promotion and advancement as part of the submittal.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies 5.2.3

FROM GFSTC:

1. Identifies criteria for promotion or professional development.
2. Selects resources to adequately prepare candidate for examination or professional development.
3. Describes process for continued growth and professional development.
4. Identifies opportunities for job shadowing.
5. Discusses the professional development plan with the member.

EXPLAIN THE BENEFITS OF COOPERATING WITH ALLIED ORGANIZATIONS

Reference: NFPA 1021 5.3.1 (Chapter 13 – 5th ed)

The candidate will explain the benefits to the organization of cooperating with allied organizations, give a specific problem or issue in the community, so that the purpose for establishing external agency relationships is clearly explained.

SCENARIOS (Select one of the following)

Scenario 1:

Council has expressed interest in following suit with other communities that hold safety camps for kids and/or citizen academies adults. Models include police/fire/EM academies and multi agency safety camps.

Scenario 2:

Your community has numerous multi-family (apartment) complexes which experience a disproportionate number of fire and emergency calls. Complexes and residents are socio and economically challenged with large populations of immigrants.

Scenario 3:

You have at least five senior type residential buildings in your community with more than 300 unit's total. All were built prior to sprinkler requirements and are only protected by an alarm system. Call volume at all buildings are high and includes numerous small fires from smoking to cooking to candles. The Fire Chief has directed you to develop an education program to reduce the risk.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.3.1

FROM GFSTC:

1. Describes a problem or issue.
2. Selects the most effective plan to address the problem or issue.
3. Identifies allied agencies that would be asked to assist with the planned project.
4. Explains the benefits to the organization or cooperation with outside agencies on the project.
5. Explains potential costs associated with the project.

ADMINISTRATION RESPONSIBILITIES

DEVELOP A POLICY OR PROCEDURE

Reference: NFPA 1021 2014 Edition: 5.4.1 pp.625 – 627 (Chapter 14 – 5th ed)

The Fire Officer Level II candidate will assume the role as a Captain to prepare a concise report to the Fire Chief outlining a plan to accomplish change in the organization so that effective change is implemented in a positive manner. The candidate will also develop a policy or procedure, so that the recommended policy or procedure identifies the problem and proposes a solution. Also, the candidate will identify, in a memorandum to the Fire Chief, how this policy or procedure will be implemented.

The Candidate will create a written document containing a recommendation to senior officer(s). Given an existing problem, propose a change to a policy or procedure in accordance with departmental goals to solve a problem.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.4.1

FROM GFSTC:

1. Identifies the problem or requirements for a policy or procedure.
2. Establishes the need for policy or procedure.
3. Utilizes effective format for proposal writing.
4. Describes cost and benefits of proposed change.
5. Addresses the identified problem or requirements.
6. Directs the written proposal to the appropriate person(s).

Develop a Project or Procedure

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 625 - 627 NFPA 1021, 5.4.2 (**Chapter 14 – 5th ed**)

Introduction

Written policies and procedures are essential for the operation of any fire and emergency services organization. These documents place into writing the expectations of the organization based upon its adopted operational and strategic plans. Known by various names, Standard Operating Procedures (SOP), Standard Operating Guidelines (SOG), or Operating Instructions (OI) contain information that is current and appropriate for use by the organization. The organization must, therefore, have a process for the evaluation and revision of older existing policies and procedures. Additionally, because the emergency services are constantly changing, the process must also include methods for developing new policies and procedures. The company officer must be prepared to participate in this process.

Directions

Answer the questions below then read the scenario. Describe your course of action to develop a new fire department policy as explained in the scenario. Prepare the policy procedures on the blank SOP form provided.

Activity

1. List and describe the steps necessary for determining the need for a new or revised policy for the fire department.

a. _____

b. _____

c. _____

d. _____

e. _____

f. _____

g. _____

h. _____

i. _____

2. When are policies and procedures most effective? Who ensures that they remain effect?

Activity: Shift Exchange Policy Development

The Anytown Fire Department has been utilizing an informal method to allow members to exchange shifts with other members of the department. Recently, there have been several problems with the old method, including:

- Members of unequal rank or qualifications exchanging shifts. This has resulted in reduced performance for the company.
- Multiple exchanges (three or more party exchanges) have led to confusion as to who was working when.
- Missed shifts because the date of the exchange was forgotten by one of the parties in the exchange.
- On at least one occasion a firefighter worked four shifts (96 hours) in a row because of exchanges that were made. Fortunately, there were no major emergencies during the final tour of duty that required an emergency response.
- A firefighter became ill and could not fulfill an exchange agreement. This required the originally scheduled employee to report to work, missing a long planned trip with their family. This caused a rift in the department because many felt that both were right and fire administration was being overly harsh in its enforcement of the full staffing policy.

The City's Human Resources Department has also expressed frustration with the current method. The city's legal council is also concerned about how the system works, feeling that there may be potential liability to the city if a firefighter is injured while working a shift exchange under the current rule. They both have been pressuring Chief Nabors to adopt a policy that clarifies the provisions of a shift exchange policy that can be tracked and complies with labor rules for hours worked by firefighters. Chief Nabors has appointed you to begin the development of this new policy.

The elements of a new policy should include the following:

- Shift Exchanges can only occur between firefighters of equivalent rank.
- Duty exchanges must be initiated a minimum of two weeks prior to the first exchange date.
- All exchanges must be approved by the company officers of the personnel entering into the agreement.
- Firefighters participating in a shift exchange can work no more than 48 hours in a row.
- Shift exchanges are between two firefighters; three or more parties are not allowed in an exchange.
- Exchanges may not be made while an employee is on probation.
- Once an exchange is finalized, the firefighter who agreed to the exchange is committed to the shift agreed upon.
- Firefighters who become ill prior to or during the exchange shift must use their own sick leave for the absence. All fire department attendance policies are applied to the exchange employee.
- There are no limits on the number of exchanges an employee may enter into in a given year as long as the other limits imposed by the policy are adhered to.

To help get started, you have obtained an Exchange Policy from a neighboring department, the Nexdortown Fire Department, as an example of some of the information that might be included in the Anytown Fire Department policy. A copy of the policy is shown below.

FIRE DEPARTMENT OPERATIONS SHIFT EXCHANGE POLICY	NEXDORTOWN FIRE DEPARTMENT FIRE DEPARTMENT OPERATIONS S.O.G. 111.A February 2, 2003 Approved by: Cliff Jones Page 1 of 1
<p>PURPOSE: To establish a policy for the implementation of a shift exchange policy to permit shift trades between fire personnel of equivalent rank.</p> <p>SCOPE: This procedure applies to all employees assigned to the suppression division of the Nexdortown Fire Department and work a 24 hour shift schedule.</p> <p>PROCEDURE: Duty shift exchange is permitted between two agreeing members of the department.</p> <p>The members must each be of equivalent rank and possess identical qualifications so that the performance capabilities of the department are not degraded during the exchange.</p> <p>All exchanges occur at change of shift time and remain in effect for the entire shift.</p> <p>All exchange of shift agreements must be approved by the battalion chief of the shift and the company officers where the exchanges occur.</p> <p>Ensuring that all fire department staffing requirements are met as the result of a shift exchange are responsibilities of the parties in the exchange. Employees remain responsible and will be held accountable for the shifts they are originally scheduled to work.</p>	

FIRE DEPARTMENT OPERATIONS DUTY EXCHANGE	ANYTOWN FIRE DEPARTMENT FIRE DEPARTMENT OPERATIONS S.O.P. 734.01 DATE Approval: EJV Page 2 of

ADMINISTRATION RESPONSIBILITIES

DEVELOP A PROJECT OR DIVISIONAL BUDGET

DESCRIBE THE PURCHASING PROCESSES

(PROJECT OR DIVISIONAL BUDGET. DESCRIBE THE PROCESS OF PURCHASING, INCLUDING SOLICITING AND AWARDEDING BIDS)

Reference: NFPA 1021 2014 Edition: 5.4.2 and 5.4.3 pp. 637 – 640 (Chapter 14 – 5th ed)

The Fire Officer Level II candidate will develop a project or divisional budget so that Capital, Operating and Personnel costs are determined and justified. The candidate will also describe the process of purchasing, including soliciting and awarding bids to ensure competitive bidding.

5.4.2 Develop a project of divisional budget so that capital, operating and personnel costs are determined and justified. Candidate will use department records, police, procedures or guideline to develop the project budget.

5.4.3 Describe the process of purchasing, including soliciting and awarding bids, in order to ensure competitive bidding so that the needs of the organization are met within the applicable, federal, state and local laws and regulations.

Candidate shall choose one of the following items to complete this skill: Apparatus, SCBA or Turnout Gear, Uniforms, or Rescue Equipment for Extrication.

Did the candidate, as instructed, demonstrate competency in the following:

**Competencies
5.4.2 and 5.4.3**

FROM GFSTC:

1. Makes a written budget proposal.
 2. Allocates and accounts for all capital, operating and personnel costs.
 3. Use the correct type of budget for the project/document.
 4. Justifies the budget cost vs. benefits.
 5. Utilizes clear and concise written communications.
 6. Follows the departmental policies, procedures or guidelines.
-
1. Gathers all applicable information before beginning.
 2. Describes the process of soliciting and awarding bids either verbal and/or in writing.
 3. Describes the process of purchasing either verbally and/or in writing.
 4. Ensures competitive bidding is utilized.
 5. Utilizes clear and concise written communication.

PROJECT OR DIVISIONAL BUDGET.

DESCRIBE THE PROCESS OF PURCHASING, INCLUDING SOLICITING AND AWARDING BIDS

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 637 – 640 NFPA 1021, 5.4.2 AND 5.4.3
(Chapter 14 – 5th ed)

Introduction

On many occasions, senior fire department staff may request that company officers participate in budget planning and subsequent budget requests. This is especially true when a new program is proposed that directly affects the fire department at the company level. Preparation of a program and budget request will prepare the company officer for greater responsibilities that come with future advancement.

Directions

Develop a budget for a new program using the information described in the scenario below. Use the Project Budget Worksheet provided for the development of a budget for the program. Prepare a project proposal that includes a description of the project, and a program justification in a memo format. Attach the Project Budget Worksheet to the program justification memorandum and submit them together.

Activity: ISO Budget Request

The Anytown Fire Department has identified the need to establish an incident safety officer (ISO) program at the company level. The chief has requested that you prepare a program budget request to begin the implementation process for this position. The justification of the program is that it is required by NFPA 1500, *Standard on Fire Department Occupational Safety and Health Program*. Additionally, there have been three serious injuries during fire operations in the last 12 months. It has been determined by the fire department and the Anytown Association of Fire Fighters (AAFF) that each of these accidents could have been prevented or minimized if an ISO had been present.

You determine that all officers on the department (10 personnel) should receive a two-day course from a qualified instructional source on ISO. Following the course, an ISO kit would be placed in the battalion chief's vehicle for use by the ISO. The kit will contain a vest, ISO helmet, notebook, digital camera, and tape recorder. All these materials must be purchased. After the course is complete and items are purchased, an available officer at each scene would be appointed by the IC to be the ISO.

You have visited with the deputy chief for operations, John Larston. He has directed you to put the proposal in a memo to him. He recommended that the memo clearly explain the program, the justification, and the benefit to the department. Also, he recommended that a budget worksheet be completed on the cost of implementing the program.

The following is information about the overall project, equipment that will required, and training that will be received by those participating in the class:

- The two-day course will cost \$25 per person, not including the textbook. The textbooks are \$48 and each student must have one.
- On each day you must pay overtime for two (2) captains and two (2) lieutenants. The overtime rates per hour are \$16/hr and \$12/hour respectively. You should anticipate each day's class being 8 hours long.
- The equipment costs are listed below.
 - Leather case - \$150
 - ISO vest - \$35
 - Metal notebook/binder - \$22
 - Digital camera (waterproof) - \$750
 - Mini-cassette recorder - \$80
 - ISO helmet - \$175
 - Office Supplies (Annual) - \$200

These are start up costs for the program. An annual budget item for continuing training and for the replacements to the program as vacancies occur will be necessary.

Prepare a project proposal that includes a description of the project and a program justification in a memo format. Additionally prepare a budget request and attach it to the memo. Use the forms provided below to assist you.

ANYTOWN FIRE DEPARTMENT
PROJECT BUDGET WORKSHEET

Personnel

Budget Item	Cost
Total	

Operating

Budget Item	Cost
Total	

Total Proposed Project Budget

Personnel	
Operating	
Total	

**Anytown Fire Department
15401 Redline Avenue
Anytown, USA**

Memo

Date:

To:

From:

Subject:

ADMINISTRATION RESPONSIBILITIES

PREPARING A WRITTEN NEWS RELEASE

Reference: NFPA 1021 5.4.4 (Chapter 14 – 5th ed)

The Fire Officer level II Candidate will prepare a news release so the information is accurate and formatted correctly. The candidate will present this news release to a chosen audience.

Prepare a written news release so that the information is accurate and formatted correctly.

Candidate shall prepare a news release announcing their annual fire prevention open house, recent working structure fire at local hardware store, or promotion of two members to officer ranks. News release shall not be more than 2 pages and include the following: who, what, why, where, when and how as well as at least one photograph.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.4.4

FROM GFSTC:

1. Gathers all applicable information before beginning.
2. Utilizes proper news release format.
3. Obeys applicable policies and procedures.
4. Communicates effectively in writing.
5. Produce a clear and effective message that addresses the event or topic assigned.
6. Proofreads the news release than submits according to department policies and procedures.

PREPARE A CONCISE REPORT FOR TRANSMITTAL TO A SUPERVISOR (DEVELOP A PLAN TO ACCOMPLISH CHANGE IN THE ORGANIZATION)

Reference: NFPA 1021 5.4.5 & 5.4.6 pp. 180 – 183 (Chapter 12 – 5th ed)

5.4.5 Prepare a concise report for transmittal to a supervisor so that the information required for the AHJ is accurate and documented.

And

5.4.6 Develop a plan to accomplish the change in the organization so that effective change is implemented in a positive manner.

5.4.6 - The candidate shall develop a report and recommendations for change. Candidate will utilize their jurisdiction data and shall choose from one of the following topics: staffing trends, fire code inspection/enforcement, public fire education, additional stations, or training requirements.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.4.5 and 5.4.6

FROM GFSTC:

1. Directly answers the specific request for information.
 2. Properly accesses references data.
 3. Correctly analyzes and interprets reference data.
 4. Uses an appropriate report format.
 5. Utilizes clear and concise written communications.
 6. Transmits a written report to the supervisor.
-
1. Identifies the need and reason for change.
 2. Identifies department al policy for plan development.
 3. Lists investigation steps that research the situation and data for initiating the change.
 4. Utilizes clear and concise written communications describing the process for plan development.
 5. Properly describes the process for implementing the proposed change in a positive manner.
 6. Correctly identifies the procedure for effectively communicating the plan implementation.

PREPARE A CONCISE REPORT FOR TRANSMITTAL TO A FIREFIGHTER

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 180-183 NFPA 1021, 5.4.5, 5.6.3 (Chapter 12 – 5th ed)

Directions

You are the station officer for Station 5 in a medium-sized urban fire department. In the last ten years your community has experienced a great deal of residential growth, especially in your response area. The neighborhoods in your response area were primarily homes built in the 1940s, with residents being lower income. As the city has grown, developers are buying these older homes and building new medium- and higher-income single-family homes and condominiums. Some of the new residential properties are intended for senior citizens. In addition, the population in your response area has more than doubled in the last ten years. Statistics about the growth and station activity are listed below.

You have been assigned to write an executive summary documenting the change in responses and activity over the last ten years, and the causes for the changes. Prepare an outline for your executive summary based on the information provided. Your outline must address the introduction and the key points to be communicated.

Station 5 Activity	FY 1999	FY 2009	Change
Response Area Population	4,296	9,121	+4,825/+112%
Structure Fires	38	21	- 17/-45%
Vehicle Fires	5	14	+9/+180%
Grass Fires	61	28	-33/-54%
Request for Assistance (non-emergency)	24	48	+24/+100%
First Response (medical emergencies)	657	1424	+767/+117%
Public Education Presentations	78	172	+94/120%

ORIGIN AND CAUSE OF DETERMINATION

DETERMINE THE POINT OF ORIGIN AND PRELIMINARY CAUSE OF FIRE

Reference: NFPA 1021 5.5.1 (Chapter 15 – 5th ed))

The Fire Officer Level II candidate will utilize a fire scene, photographs, diagrams, pertinent data and/or sketches to determine if arson is suspected. This information will be provided in a written report.

The candidate will determine the point of origin and preliminary cause of the fire, given a fire scene, photographs, diagrams, pertinent data and/or sketches, to determine if arson is suspected.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.5.1

FROM GFSTC:

1. Examines the exterior of the structure or vehicles and the surrounding area.
2. Examines the interior of the structure or vehicle.
3. Interviews witnesses and other first responders.
4. Analyzes the information gathered using the scientific method.
5. Identifies the point of origin and preliminary cause.
6. Determines whether arson is suspected or rules out.
7. Determines whether to call for an investigator.

Analyze a Scenario to Determine the Point of Origin and Preliminary Cause of the Fire

References

Fire and Emergency Services Company Officer, 4th Edition, p. 704 – 712 **(Chapter 15– 5th ed)** NFPA 1021, 5.5.1

Introduction

Company officers are frequently called upon to determine the probable cause and determine the location of the origin of fires in their response areas. The first level of fire investigation that is the responsibility of a company officer is to determine whether the fire was the result of an accident or naturally occurring event. The second level involves an investigation that requires a greater understanding of fire cause and involves a determination of whether the fire was intentional or malicious. The company officer at this level should be focused on determining if the crime of arson might be responsible for the fire. Because of the complexity of arson crimes, the company officer must be familiar with the methods used by adult and juvenile firesetters, recognize the common causes of fire, isolate the basic origin and cause, and be skilled in preliminary fire investigative documentation procedures.

Directions

Review the scenario below and prepare a report that describes the point(s) of origin of the incident described. Additionally, make a determination of the cause of the fire and justify your decision in a narrative report that is to be sent to the Fire Marshal. Include a floor plan drawing of the structure and note locations of pertinent evidence regarding this fire. Include a field sketch of the site indicating where the apparatus were located during suppression operations.

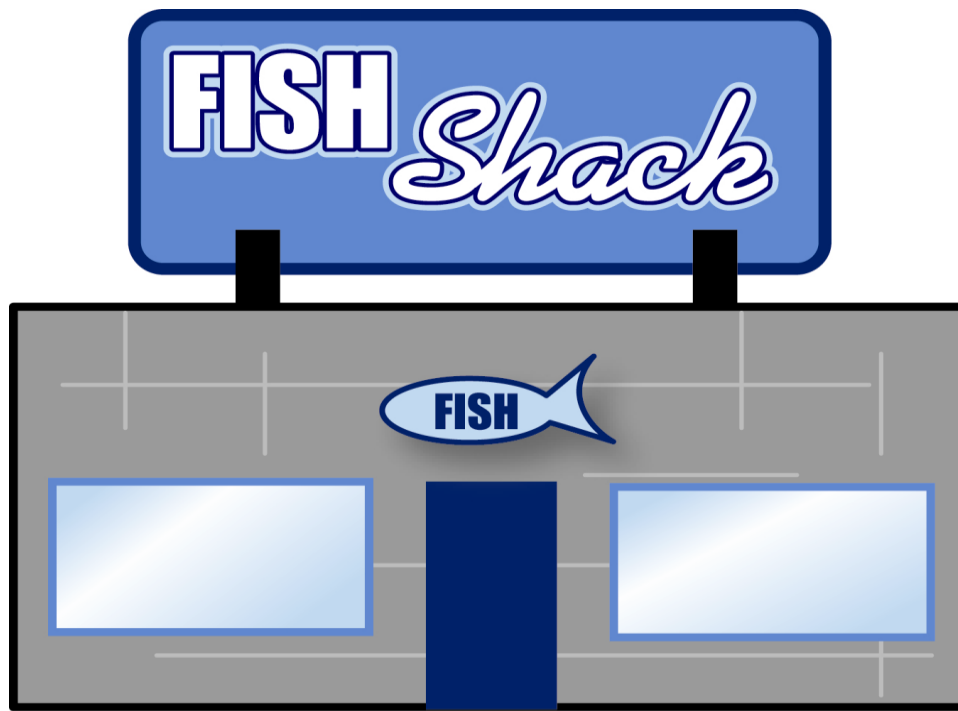
Activity

Anytown Fire Department Engine 5, commanded by Captain Smith, has been dispatched to a reported structure fire at 02:30 hours, February 15th, at 9120 West Olive Avenue. West Olive Avenue is a one-way street with east-bound traffic only. Engine 7 and Ladder (Truck) 4 are also assigned to the alarm. Engine 5 is the first unit on the scene and is positioned on the northeast corner of the structure. Captain Smith finds that light smoke is coming from the open front door of the building and flames are visible through a window located next to the door. The structure houses the Fish Shack, a small fishing, tackle, and bait shop. Captain Smith orders a 1¾" attack line to the front door to begin suppression operations. While preparing to enter with the attack crew, he notices a small fire burning in the northeast corner of the front showroom. As the crew enters the room, he sees flames behind the west service counter at the back of the room. This is a small fire inside of a 32 gallon plastic trash receptacle located against the west wall. He has the hose crew advance and extinguish this fire after they put out the fire in the northeast corner. Ladder (Truck) 4 arrives and is positioned at the front of the structure. Captain Smith assigns L-4 to shut off utilities and check the rear of the structure. While they are doing this, they notice that the rear door that leads to a storage area, is open and a small fire is burning in the southeast corner in a pile of cartons and paper. Engine 7 arrives, lays a 5" supply line from the hydrant 200 feet west of the structure to E-5, and positions beside E-5 to the east of the structure. Captain Smith orders E-7 to advance a 1¾" attack line from E-5 to the rear door and extinguish the fire that L-4 located.

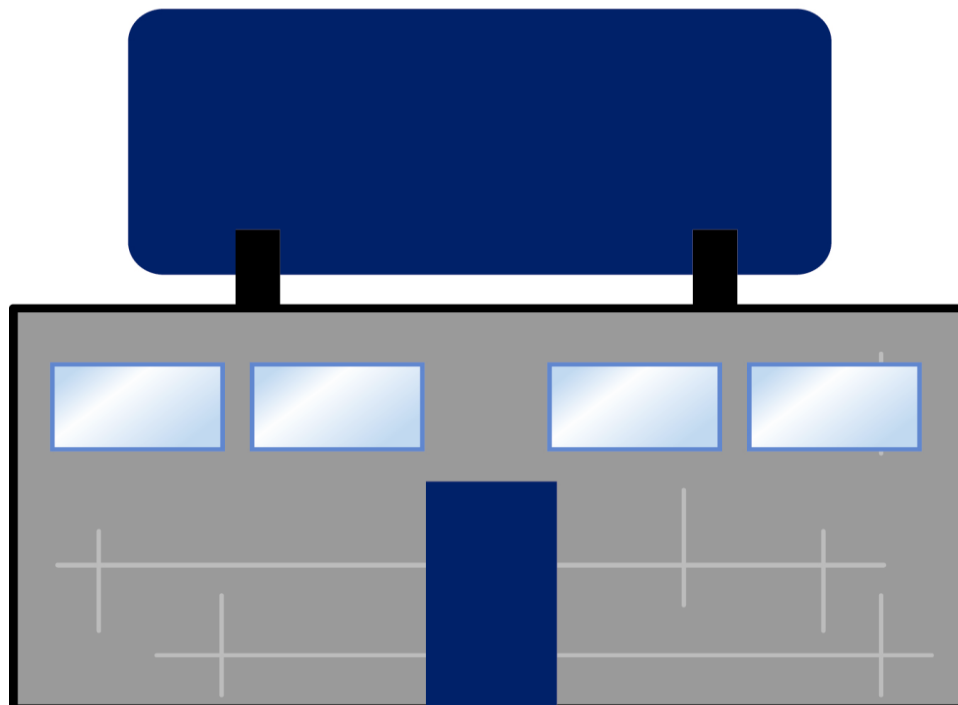
With all fires extinguished, Captain Smith begins the investigation. The front door shows no signs of forced entry. In the front of the structure, located behind the west service counter, he finds an empty can that contains a trash can of lighter fluid. Also found in the bottom of the trash receptacle with other debris are the remains of six matches taped together around what appears to be a burnt cigarette filter. Further examination at the front of the store finds a similar device in the northeast corner of the front of the store in a rack of burned clothing. Continuing to the stock room at the rear of the building, Captain Smith locates newspapers that have been tightly wadded on top of the cardboard and paper that had burned in the southeast corner. During his investigation, Captain Smith finds a small natural gas jet on the tackle repair table in the "ON" position. This table is located on the east wall of the stock room.

The incident structure's dimensions are 24 X 48 feet with a wall at the mid-point of the structure. A doorway in the middle of this wall has display counters on either side. There is a non-rated door in the middle of this wall that leads to the stock room. There is a plate glass front door set in a metal frame and a steel door at the rear of the structure. Each of the doors are located at the mid-point of the front and rear walls.

There are display windows on either side of the front door and small high windows located on the rear wall. Parking is located on the east side of the structure with a vacant lot on the west side. An alley is to the rear of the structure.



9120 WEST OLIVE AVENUE
Front View



9120 WEST OLIVE AVENUE
Rear View



ANYTOWN FIRE DEPARTMENT
Origin and Cause Report



ANYTOWN FIRE DEPARTMENT

FIELD SKETCH





ANYTOWN FIRE DEPARTMENT

FLOOR PLAN

DELIVERY OF EMERGENCY SERVICES II

PRODUCE ORGANIZATIONAL PLANS TO MITIGATE AN INCIDENT

Reference: NFPA 1021 5.6.1 (Chapter 16 – 5th ed)

The Fire Officer Level II candidate will produce operational plans so that required resources and their assignments are obtained and plans are carried out in compliance with NFPA 1600 and approved safety procedures resulting in the mitigation of the incident. The candidate will further develop and conduct a post-incident analysis, given multi-unit incident and post-incident analysis policies, procedures and forms, so that all required critical elements are identified and communicated and the approved forms are complete and processed.

The candidate will develop and implement an operational plan for hazardous materials incident scenario and another multi-unit emergency scenario. Candidate must analyze emergency scene condition, allocate resources, communicate verbally and in writing, operate within an emergency management system, supervise and account for assigned personnel so that resources are effectively and safely deployed to mitigate the situation.

The candidate will produce operational plans, given an emergency incident requiring multiunit operations, the current edition of NFPA 1600 any authority having jurisdiction approved safety procedures, so that required resources and their assignment are obtained and plan are carried out in compliance with NFPA 1600 and approved safety procedures resulting in the mitigation of the incident.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies 5.6.1

FROM GFSTC:

1. Identifies incident priorities.
2. Allocates, supervise, and accounts for human and equipment resources.
3. Implements necessary safety precautions and personnel accountability.
4. Establishes the incident command system relative to the incident.
5. Completes an Incident Briefing (ICS 201) form or other tactical worksheet/boards used by the AHJ.

NFPA 1021 5.6.1

Your Task:

Produce Operational Plans

As the Fire Officer, you are to produce an operational plan to mitigate this multi-unit emergency. Be sure to allocate, supervise and account for human and equipment resources. It is important to implement necessary safety precautions and personal accountability, all while incorporating the necessary components of NFPA 1600.

OPERATIONAL PLANS:

[illegible]

DEVELOP AND CONDUCT A POST-INCIDENT ANALYSIS

Reference: NFPA 1021 5.6.2 pp. 735 – 756 757- 758 (**Chapter 16 – 5th ed**)

The Fire Officer Level II candidate will produce operational plans so that required resources and their assignments are obtained and plans are carried out in compliance approved safety procedures resulting in the mitigation of the incident. The candidate will further develop and conduct a post-incident analysis, given multi-unit incident and post-incident analysis policies, procedures and forms, so that all required critical elements are identified and communicated and the approved forms are complete and processed

Develop and conducts a post incident analysis so that all required critical elements are identified and communicated and the approved forms are completed and processed.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.6.2

FROM GFSTC:

1. Gathers information form the multi-unit incidents/scenario.
2. Analyzes policies, procedures, guidelines and forms.
3. Identifies strengths and weaknesses, safety issues, strategic and tactical concerns.
4. Conducts a post-incident analysis using effective verbal and written methods.
5. Completes approved forms.

DEVELOP AND CONDUCT A POST- INCIDENT ANALYSIS

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 753 – 756 (Chapter 16 – 5th ed)
NFPA 1021, 5.6.2

Introduction

A post-incident analysis (PIA) is essential to successful and safe operations during emergency operations. When the PIA is properly developed and written, it will help identify the strengths and weaknesses of the organization when responding to an emergency. It is a training tool as well as the basis for future emergency response planning. The PIA will also motivate changes in policies and procedure that have become outdated or ineffectual due to the current needs of a given response area.

Directions

Answer the questions provided below then read the scenario and prepare a post-incident analysis as described in the text. The PIA is to be constructive and not critical of the actions of any of the participants. A post-incident analysis checklist is provided to help collect information for the analysis. Use the reports and forms provided to complete the analysis.

Activities

1. What is a post-incident analysis (PIA) and why is it prepared?

2. List the objectives of a post-incident analysis.

3. As described in the lesson, list the response areas that should be considered during the analysis.

FORM USED TO COMPLETE ASSIGNMENT NFPA 1021 5.6.1

Your Task:

Produce Operational Plans

As the Fire Officer, you are to produce an operational plan to mitigate this multi-unit emergency. Be sure to allocate, supervise and account for human and equipment resources. It is important to implement necessary safety precautions and personal accountability, all while incorporating the necessary components of NFPA 1600. Utilize the NFPA 1600 found in the back of this manual.

OPERATIONAL PLANS:

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

Scenario: Restaurant Fire

The Anytown Fire Department is dispatched to a reported structure fire at Diggins Restaurant, 8704 West Thunderbird Road at 0327 hours, February 17, 2007. You are a Captain assigned as BC-19's Chief's Aid. Wind is out of the northwest at 7 mph and the temperature is 37°F. The front of the structure faces south on Thunderbird Road with an access way on the west side. There is a parking lot around the building. Fire hydrants are located on the west side of the access way with another at the rear in the parking lot. The structure does not have a fire sprinkler suppression system, there is; however, a Type K hood system in the kitchen.

Anytown Fire Department has an established response target for the first-arriving company of three minutes and thirty seconds for all areas of the city.

You are to prepare a PIA of the Diggins Restaurant Fire for BC-19. Use the PIA form provided to complete the PIA while referring to the dispatch record, the Incident Briefing form, and the Division/Group Assignment Lists.

DISPATCH RECORD

Incident Number 07-004285

Channel F1, Dispatch

Channel F2, Tactical

0326	911 Call:	Smoke from structure at 8704 West Thunderbird Road.
0327	Dispatch:	Initial Assignment: E-2, E-4, and L-4
0328	E-2:	On Scene, Capt. Jameston Size-up: 50 X 100 ft. frame structure with smoke showing. Establishes Thunderbird Command. Requests the rest of the first alarm on the assignment. Staging is to be located at 88 th Avenue and Thunderbird Road, Milestone Automotive parking lot. E-2 in offensive mode, advancing an attack line to the front door of the building.
0328	Dispatch:	Rest of a 1 st alarm assignment to 8704 West Thunderbird Road. E-5, E-6, L-1, BC-1, BC-19, ISO-19, U-26, Rehab-1, PA-101, and E-8 as RIT.
0329	E-4, L-4:	On Scene.
0329	Command:	E-4 to establish water supply for E-2.
0329	Command:	E-4 crew is to advance a second line from E-2 and backup E-2 attack line.

0329	E-4:	Confirms order. Establish water supply for E-2. Advance second line as backup for E-2 crew.
0329	Command:	Ladder 4 to check utilities and force entry for E-2 at front of structure.
0330	L-4:	Confirms order. Check utilities and force entry for E-2.
0330	Command:	Ladder 4 is to perform initial search after utilities and forcible entry complete.
0331	L-4:	Confirms order. Perform initial search after utilities checked and forcible entry complete.
0332	Command	L-4, E-2 has forced entry.
0333	E-6:	On scene.
0334	E-5, L-1, BC-19:	On scene.
0334	BC-19:	BC-19 (BC Lewis) assuming Thunderbird Command. E-2 company officer to be Interior Division. Operations remain in offensive mode with an interior attack by E-2 and E-4.
0334	ISO-19:	On scene.
0334	E-8 RIT:	On scene as RIT.
0334	Command:	E-8 on scene assigned to RIT. RIT to stand by at command.
0330	E-8 RIT:	Copy command E-8 RIT standing by at command.
0335	Command:	L-1 is Ventilation Group. Ladder the roof and prepare to perform vertical ventilation.
0335	L-1:	Confirms order. L-1 is Ventilation Group, laddering roof to perform vertical ventilation.
0336	Command:	E-5 and E-6 are ordered to rear of structure.
0336	E-5:	Confirms order. Going to the rear of the structure.
0337	E-12:	On scene at command vehicle. Designated as RIT.
0337	E-6:	Confirms order. E-6 going to the rear of the structure.
0338	ISO-19:	To command, structure is stable enough for interior operations.

0338	Command:	Confirms, structure stable enough for interior operations.
0339	BC-1:	On scene.
0339	Command:	BC-1 is assigned to the rear of the structure Division C and is assigned E-5 and E-6.
0339	BC-1:	Confirms, Division 1, assigned E-5 and E-6.
0339	L-1:	On the roof ready to ventilate.
0339	Command:	Copy L-1, on roof ready to ventilate.
0341	Utility 26:	On Scene
0341	Command:	U-26 to set up scene lighting on side A of the structure.
0341	U-26:	Confirms, set up lighting on structure side A.
0342	E-5:	Division C, E-5 and E-6 making entry with attack lines through back door.
0342	Division C:	Confirms, E-5 and E-6 making entry with attack line through back door.
0342	E-5:	Division C, heavy fire conditions encountered in kitchen area at rear of structure. Attacking fire.
0342	Division C:	Copies, E-5 reports heavy fire conditions in kitchen area at rear of structure and is attacking fire. Command copy.
0342	Command:	Command copies, E-5 reports heavy fire conditions in kitchen area at rear of structure and is attacking fire.
0343	Rehab 1:	On scene.
0343	Command:	Rehab 1 is to set up Rehab Group on side B.
0343	Rehab1:	Rehab 1 confirms, set up Rehab Group on side B.
0343	PA-101:	On scene. Side B.
0343	Command:	EMS 101 assigned to Rehab Group.
0343	PA-101:	Confirm going to Rehab Group.
0344	E-6:	Division C, E-6 and E-5 are getting hit by hose streams on interior of structure, backing out.

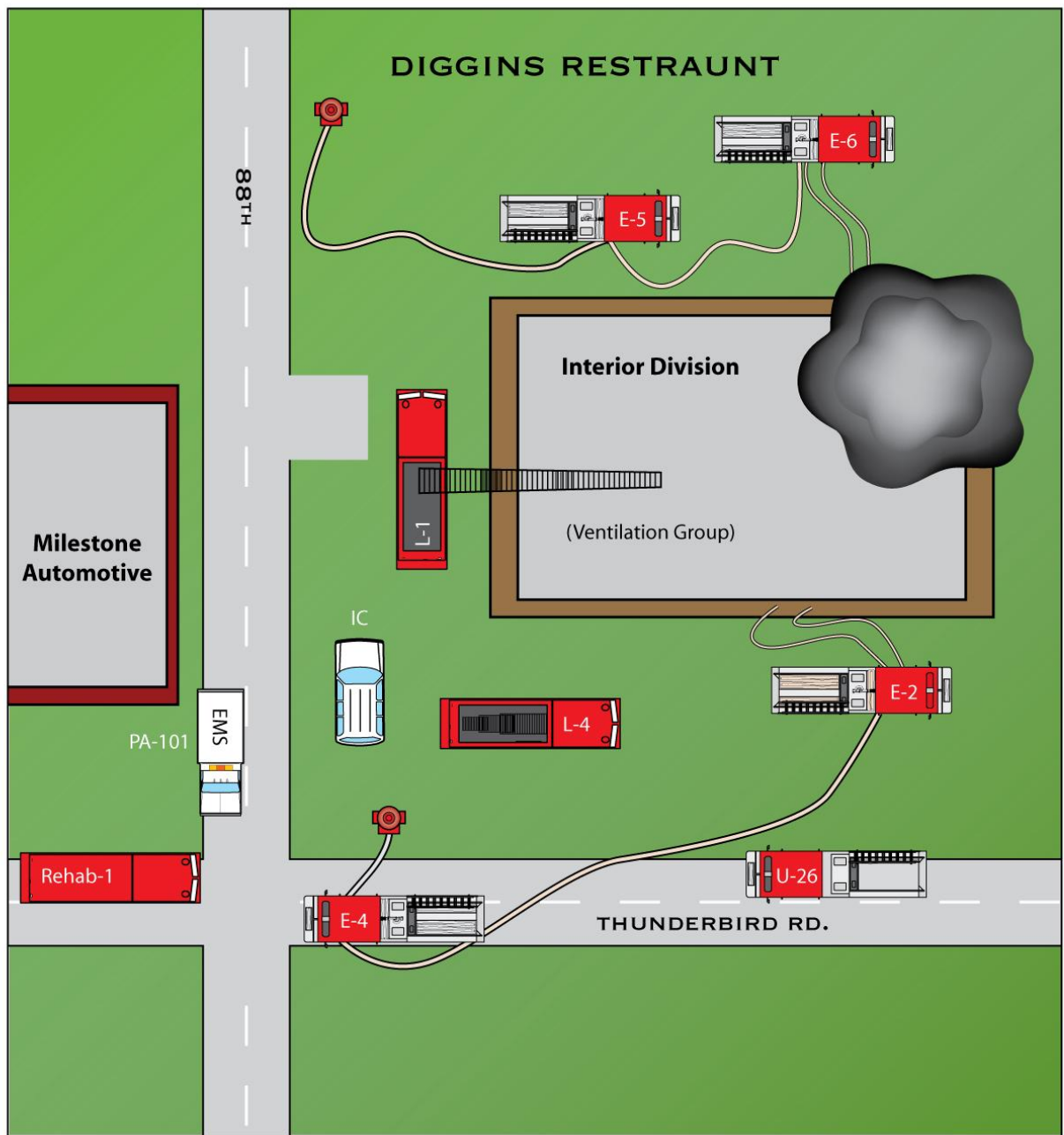
0344	Division C:	Division C copies. Command, E-5 and E-6 have been hit by hose streams inside the structure. They are backing out of the building at this time.
0344	Command:	Command copies E-5 and E-6 struck by hose streams inside structure. Advise if there are injuries.
0344	Division C:	E-5 do you have any injuries?
0344	E-5	Negative Division C.
0344	Division C:	E-6 do you have any injuries?
0345	E-6	Negative Division C.
0345	Division C:	Command, E-5 and E-6 report no injuries.
0345	Command:	Command copies.
0345	Command:	Interior what's your status?
0345	Interior:	We're making progress on the fire.
0345	Command:	Copy Interior, making progress on the fire.
0345	L-1:	Command, roof is ventilated, ISO-19 has ordered us off the roof.
0345	Command:	Copy L-1, roof ventilated, ISO-19 has ordered off the roof.
0345	Command:	ISO-19, check with Division C and determine condition of E-5 and E-6.
0346	ISO-19:	Copy command, check with Division C and determine condition of E-5 and E-6.
0347	Interior:	Command, we have fire control at this time.
0347	Command:	Copy, Interior fire control at this time. Dispatch, we have fire control at this time.
0347	Dispatch:	Copy fire control 0347 hrs.
0347	Dispatch:	Command this is your 20 minute elapsed time notification.
0347	Command:	Copy dispatch, 20 minute elapsed time notification.

0348	ISO-19:	Command, E-5 and E-6 are fine. They are outside of the building at this time.
0348	Command:	Copy E-5 and E-6 are outside of the structure and are fine.
0349	Command:	To all units - give me a Personnel Accountability Report (PAR).
0350	Interior:	Command I have a PAR on E-2, E-4 and L-4 personnel.
0350	Command:	Copy PAR on E-2, E-4 and L-4.
0350	Division C:	Command I have a PAR on E-5 and E-6.
0350	Command	Copy PAR on E-5, and E-6.
0350	Command:	ISO-19 we have a PAR on all units.
0350	ISO-19	Copy Command, PAR on all units.
0350	Command:	Dispatch we have a PAR on all units.
0351	Dispatch:	Copy Command, PAR on all units, 0351.
0353	Command:	L-1 report to Interior to perform loss control.
0353	L-1:	Copy command, report to Interior for loss control.
0408	Dispatch:	Command this is your 40 minute elapsed time notification.
0408	Command:	Copy dispatch, 40 minute elapsed time notification.
0414	Interior:	Command, we have loss stop at this time.
0414	Command:	Copy Interior, loss stop.
0414	Command:	Dispatch, we have loss stop at this time.
0414	Dispatch:	Copy command, loss stop at this time, 0414 hrs.
0415	Command:	Dispatch, please assign an on-duty fire investigator to respond to this location.
0415	Dispatch:	Copy Command, the fire investigator will be dispatched to the scene.
0430	I-1990:	Dispatch, I-1990 on scene for investigation.
0430	Dispatch:	Copy I-1990 on scene to conduct the fire investigation.

0501	Command:	Dispatch, L-4 will be remaining on scene with I-1990 to assist with the fire investigation. All other units to go back in service and return to quarters. Thunderbird Command is terminated.
0501	Dispatch:	Copy Command, L-4 to remain and assist I-1990, all other units are to go back in service and return to quarters. Thunderbird Command is terminated 0501 hrs.

INCIDENT OBJECTIVES	1. Incident Name Thunderbird	2. Date 02/17/07	3. Time 0326
4. Operational Period 0326 to incident termination.			
5. General Control Objectives for the Incident (include alternatives) Contain fire in area of origin. Conduct search and rescue operations. Provide ventilation. Reduce loss through suppression operations.			
6. Weather Forecast for Period Clear, light to moderate wind out of northwest 7 mph. Temperature 47°F.			
7. General Safety Message Be aware of potential ceiling and roof collapse. PPE is to be worn by all fire service personnel. ISO 19 assigned to incident. Evaluated structural conditions. RIT (E-8) assigned, on stand by at command vehicle. Scene lighting provided by Utility 26. Rehab Group established.			
8. Attachments (mark if attached)			
<input type="checkbox"/> Organization List - ICS 203	<input type="checkbox"/> Medical Plan - ICS 206	<input type="checkbox"/> (Other)	
<input checked="" type="checkbox"/> Div. Assignment Lists - ICS 204	<input checked="" type="checkbox"/> Incident Map	<input type="checkbox"/>	
<input type="checkbox"/> Communications Plan - ICS 205	<input type="checkbox"/> Traffic Plan	<input type="checkbox"/>	
9. Prepared by (Planning Section Chief) Battalion Chief 19, Lewis		10. Approved by (Incident Commander) BC Lewis	

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<input type="checkbox"/> Communications Plan - ICS 205	<input type="checkbox"/> Traffic Plan	<input type="checkbox"/>	
9. Prepared by (Planning Section Chief) Battalion Chief 19, Lewis		10. Approved by (Incident Commander) BC Lewis	



(Not To Scale)

Anytown Fire Department Post-incident Analysis Information Form

Date of Incident: ____/____/____

Time of Incident: _____hrs.

Weather Conditions: _____ Temperature: _____

Wind Speed and Direction: _____

Initial Report By: _____

Initial Report: _____

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="background-color: #f2f2f2;">First Alarm</td> </tr> <tr><td>BC -</td></tr> <tr><td>BC -</td></tr> <tr><td>E -</td></tr> <tr><td>E -</td></tr> <tr><td>E -</td></tr> <tr><td>E -</td></tr> <tr><td>L -</td></tr> <tr><td>L -</td></tr> <tr><td>RIT -</td></tr> <tr><td>ISO -</td></tr> <tr><td>Rehab -</td></tr> <tr><td>Utility -</td></tr> <tr><td>Spec. -</td></tr> <tr><td>Spec. -</td></tr> <tr><td> </td></tr> <tr> <td style="background-color: #f2f2f2;">EMS</td> </tr> <tr><td>PA -</td></tr> <tr><td>PA -</td></tr> <tr><td> </td></tr> </table>	First Alarm	BC -	BC -	E -	E -	E -	E -	L -	L -	RIT -	ISO -	Rehab -	Utility -	Spec. -	Spec. -		EMS	PA -	PA -		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; background-color: #f2f2f2;">Scene Sketch</td> <td style="width: 80%; height: 400px;"></td> </tr> </table>	Scene Sketch	
First Alarm																							
BC -																							
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Spec. -																							
Spec. -																							
EMS																							
PA -																							
PA -																							
Scene Sketch																							

Incident Action Plan:	Time:
Medical Dispatched:	On Scene:
ISO Dispatched:	On Scene:
Rehab Dispatched:	On Scene:
Fire Investigator Dispatched:	On Scene:
Law Enforcement Dispatched:	Outside Agencies Requested:

Fire Communications

	Channel F1	Channel F2	Channel F3	Channel F4	Channel F5
Dispatch					
Tactical 1					
Tactical 2					
Tactical 3					
Tactical 4					
Tactical 5					

EMS Communications

	Channel E1	Channel E2	Channel E3	Channel E4	Channel E5
Dispatch					
Operations					

Law Enforcement Communications

	Channel P1	Channel P2	Channel P3	Channel P4	Channel P5
Dispatch					
Tactical A					
Tactical B					

Analysis of Incident Elements

Dispatch:

Size-up:

Incident Action Plan:

Command Records:

Site Plan:

Incident Safety Plan:

Personnel Accountability System:

Weather:

Communications:

DEVELOP AND CONDUCT A POST-INCIDENT ANALYSIS

Conduct a Post-incident Critique

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 757- 758 (Chapter 16 – 5th ed)
NFPA 1021, 5.6.2

Introduction

Post-incident critiques can be formal or informal. The informal critique is usually held by the company officer and members of the unit immediately following the incident and prior to leaving the scene. All unit members are encouraged to provide their impressions of the incident and how it was conducted. Alternative approaches to the emergency operation can be suggested and discussed.

The formal critique is held if the post-incident analysis indicates that it is necessary or if the incident involves numerous agencies and jurisdictions. Following an overview of the incident presented by the IC, each company officer and outside agency representatives present a brief report of their participation.

Directions

Read and answer the following questions about conducting a post-incident critiques.

Activity

1. When should a post-incident critique be conducted for incidents involving single units?

2. When is it necessary to conduct a formal critique? _____

3. Who should be invited to a formal critique if units from only one jurisdiction participated?

4. Who should be invited to a formal critique when the incident involves a number of jurisdictions and agencies? _____

5. What is the first item that should occur during a formal post-incident critique agenda?

6. What are considered the greatest failures of a post-incident critique?

PREPARE A WRITTEN REPORT ON MAJOR CAUSES FOR SERVICE DEMANDS (what is trending out there?)

Reference: NFPA 1021 5.6.3 pp 581 – 589, 736 – 778 (Chapter 16 – 5th ed))

The Fire Officer Level II candidate will write a written report so that the major causes for service demands are identified for various planning areas within the service area of the organization.

The candidate will prepare a written report, given incident reporting data from the jurisdiction, so that the major causes for service demands are identified for various planning areas within the service area of the organization.

The candidate shall use the previous three complete years of jurisdiction response data to complete this skill. Based on your data, conduct an analysis and produce a report that details current and future needs for equipment, personnel, stations, training programs and fire prevention programs defined as code/fire inspection, public education, and fire cause origin/investigation. This report should be typed, include photos, site references if applicable, and organized in a logical fashion.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies

5.6.3

FROM GFSTC:

1. Identifies process for obtaining incident reporting data.
2. Describes process for reviewing and analyzing incident reporting data.
3. Identifies steps for categorizing received data.
4. Describes the methods for interpreting incident response data.
5. Produces a written report in accordance with department policies and procedures.

SAFETY INVESTIGATIONS AND ANALYSES

ANALYZE A MEMBER'S ACCIDENT, INJURY, OR HEALTH EXPOSURE HISTORY

Reference: NFPA 1021 5.7.1 pp. 581 – 589, 763 – 758 (**Chapter 17 – 5th ed**)

The Fire Officer Level II candidate will analyze a member's accident, injury or health exposure history, so that a report including action taken and recommendations made is prepared for a Supervisor (Fire Chief).

The Candidate will examine a case study of a member's accident injury, or health exposure and prepare a written report for a supervisor. Report will identify unsafe environments and behaviors, document action taken, and make recommendations to prevent reoccurrence.

Did the candidate, as instructed, demonstrate competency in the following:

Competencies 5.7.1

FROM GFSTC:

1. Identifies unsafe work environment and/or behavior.
2. Induces all contributing factors in the report based on the case study.
3. Document actions taken in response to illness, injury, or exposure.
4. Creates a written report of illness, injury, or health exposure.
5. Ensures the written report is clear and concise.
6. Provides recommendation to prevent reoccurrence.

ANALYZE A MEMBER'S ACCIDENT, INJURY, OR HEALTH EXPOSURE HISTORY (SCENARIOS)

References

Fire and Emergency Services Company Officer, 4th Edition, pp. 581 -589 (**Chapter 17 – 5th ed**) NFPA 1021, 5.7.1

Introduction

In life as well as the fire and emergency services, people use analysis and evaluation on a daily basis. While at emergency incidents, company officers analyze each piece of information during size-up to determine the most appropriate action to take. This approach is also true during other events that the company officer must review and evaluate. A critical area that requires continuing attention is that of accident, injury, illness or fatality evaluation and analysis. This analysis is then used to determine how the item or project works or how an incident occurred. During this process each piece, component, or factor must be looked at to determine how it interacts with other parts of a system or event.

Directions

Using the methods described in the lesson, answer the questions provided below. Then analyze the information contained in the scenario and Employee Accident Reports, Form 104. Determine the best course of action to take that will assist in the prevention of further injuries. Once the analysis is completed, then prepare a memo to your battalion chief (manager/supervisor) that provides the following information:

- Any recurring problem resulting in injury
- Recommendation of actions that can be taken to prevent future injuries

Activity

1. Define the term analysis.

2. Why is the analysis process used?

3. List the types of analysis that will most benefit the company officer. Describe what each is used to determine.

- a.

b. _____

c. _____

d. _____

e. _____

4. The steps in the analysis process progress from specific items to general items; that is from the smallest part or element to the complete subject item, program, or process. List the steps needed to accomplish the analysis process.

a. _____

b. _____

c. _____

d. _____

e. _____

Employee Accident Analysis

You have just been appointed as company officer on E-1. The company is composed of a four person crew, Driver/Operator Tim Smith, Firefighter Teresa Johnson, Firefighter Lawrence Johnson and yourself. All of your crew members have been on the job for at least five years.

Last shift your crew responded to a structure fire during the day. Your company was ordered to extend an attack line into the structure. While taking the pre-connected attack line out of the hose bed at the rear of the truck, Firefighter Teresa Johnson stumbled and suffered a severely sprained ankle. She was transported to the hospital and treated and released. She will be off duty for three weeks. You completed all the appropriate reports and notification.

After the fire, you interviewed Johnson at the station before she left for home. She stated that her foot slipped off one of the small side steps while she was trying to reach up and get the hose. She further explained that her boot was wet and she wasn't able to get all of her foot on the step. Without stepping up she wouldn't have been able to reach the pre-connected hose line.

At shift change you mentioned the injury to the on-coming officer. He said that one of his firefighters had suffered the same type of injury while removing a pre-connected hose line during training. After he mentioned this, you also remembered that D/O Smith suffered a similar injury at a fire last year while attempting to pull hose from the hose bed at a hydrant.

You decide that it may be worth your time to investigate the other injuries at the station to determine if a problem exists. After reviewing the injury incident reports from the three accidents you find:

- The fire apparatus that were involved in these accidents were part of a two-engine contract that were delivered in 1995 and 1996.
- One of the specifications for the engines was a provision to provide over-sized compartments on the rear step of the apparatus.
- These compartment openings interfered with the attachment of larger steps in this location.
- Engines with this configuration were limited to the two in this contract.
- It is not understood why the larger compartment doors were requested for use on these vehicles.

When you share your intention with your boss – Battalion Chief Jim McCardle – he applauds your efforts and directs you to send the results to him in a memo along with any recommendations.

Anytown Fire Department

Employee Accident Report

Date: May 25, 2005	Date of Accident: May 25, 2005 Time of Accident: 1950 hrs
Accident Classification: X Injury <input type="checkbox"/> Illness <input type="checkbox"/> Fatality	Incident/Accident Location: 1916 N. Chisolm
Employee Name: Johnson, Teresa	Incident Number: 05-032462
Employee Assignment Location: Shift: X A <input type="checkbox"/> B <input type="checkbox"/> C	Employee Rank/Classification: Firefighter
Employee Age: 27 Gender: X Female <input type="checkbox"/> Male	Type of Injury: Sprain of left ankle
Weather at Time of Accident: Fair/Night	Temperature at Time of Accident: 62°
Scene Conditions at Time of Accident: Structure Fire, Blowing Smoke	
Incident Commander: You	Shift Commander: Battalion Chief McCardle
Safety Officer: Captain Brad Kline	EMS Unit(s): PA 103
Motorized Equipment Involved in Accident: 1995 Engine (E-1).	
Personal Protective Equipment: All PPE was being worn in correct manner.	
Narrative 1. How did the accident occur? F.F. Johnson was ordered to help extend a 1¾" line to the front door of the house at that address. Johnson stepped up on the tailboard and then stepped on a small side step with her left foot to be able to reach the hose line. While pulling on the hose to remove it from the hose bed her left foot slipped off of the side step resulting in a twisted ankle.	

<p>Narrative 2. Why did the accident occur?</p> <p>Firefighter Johnson slipped while pulling attack line from hose bed of engine. Due to the height of the hose bed where the attack line is stored, F.F. Johnson used the side step provided. The side steps on the rear of the apparatus are small and do not fit the boots that we use for suppression.</p>	
<p>Narrative 3. What could be done to reduce exposure risk for future accidents?</p> <p>Side steps need to be improved with either larger steps or the application of a non-skid surface.</p>	
<p>Name of Witnesses:</p> <p>F.F. Lawrence Johnson</p>	
<p>Signature of employee:</p> <p><i>Teresa Johnson</i></p> <p>Date: 05/25/05</p>	<p>Signature of Employee Supervisor:</p> <p>You</p> <p>Date: 05/25/05</p>
<p>Name of person filling out report</p> <p>You</p>	

FORM 104 (2006)

Anytown Fire Department Employee Accident Report

Date: July 7, 2004	Date of Accident: July 7, 2004 Time of Accident: 1030 hrs
Accident Classification: X Injury <input type="checkbox"/> Illness <input type="checkbox"/> Fatality	Incident/Accident Location: AFD Training Center
Employee Name: Clark Purdy	Incident Number: 04-026985
Employee Assignment Location: Shift: <input type="checkbox"/> A <input type="checkbox"/> B X C	Employee Rank/Classification: Firefighter
Employee Age: 36 Gender: <input type="checkbox"/> Female X Male	Type of Injury: Sprain of left ankle
Weather at Time of Accident: Warm, Sunny	Temperature at Time of Accident: 88°
Scene Conditions at Time of Accident: Clear, Dry	
Training Officer: Captain Todd Blake	Shift Commander: Battalion Chief Close
Safety Officer: Captain Kline	EMS Unit(s) PA 108
Motorized Equipment Involved in Accident: 1996 Engine (E-7).	
Personal Protective Equipment: All personnel protective equipment was being worn in a proper manner.	
<p>Narrative 1. How did the accident occur?</p> <p>Injury occurred at the training grounds during single company drill on hose lays and hose advances. I had directed Purdy to advance a 1¾" preconnected hose line to the front door of the tower. Purdy stated that his left foot slipped off of a side step while trying to pull the hose load onto his shoulder. Purdy was examined at the scene and then taken to the hospital ER for evaluation. No break but moderate sprain. Doctor told Purdy he had to be off work for four days.</p>	

<p>Narrative 2. Why did the accident occur?</p> <p>Firefighter Purdy was directed to advance an attack line during a training exercise at the AFD Training Center. Purdy used the side step to reach the preconnect hose line in the hose bed. His foot slipped off of the step resulting in the injury.</p>	
<p>Narrative 3. What could be done to reduce exposure risk for future accidents?</p> <p>The step that F.F. Purdy was using is very small. Firefighting boots are too large for the step. The step needs to be larger or the preconnect attack fire hose needs to be relocated so it does not require a step to reach it.</p>	
<p>Name of Witnesses:</p> <p>F.F. Robert Nehls</p>	
<p>Signature of employee:</p> <p><i>Clark Purdy</i></p> <p>Date: 07/07/04</p>	<p>Signature of Employee Supervisor:</p> <p><i>Todd Blake, Capt.</i></p> <p>Date: 07/07/04</p>
<p>Name of person filling out report</p> <p>Todd Blake</p>	

Anytown Fire Department Employee Accident Report

Date: March 15, 2004	Date of Accident: March 15, 2004 Time of Accident: 0335 hrs
Accident Classification: X Injury <input type="checkbox"/> Illness <input type="checkbox"/> Fatality	Incident/Accident Location: 810 N. Adams Drive
Employee Name: Smith, Tim	Incident Number: 04-009653
Employee Assignment Location: Shift: <input type="checkbox"/> A <input type="checkbox"/> B X C	Employee Rank/Classification: Driver Operator
Employee Age: 43 Gender: <input type="checkbox"/> Female X Male	Type of Injury: Sprain of right ankle
Weather at Time of Accident: Clear	Temperature at Time of Accident: 48°
Scene Conditions at Time of Accident: Dark	
Incident Commander: Battalion Chief McCardle	Shift Commander: Battalion Chief McCardle
Safety Officer: Lt. William Graham	EMS Unit(s): PA 103
Motorized Equipment Involved in Accident: 1995 Engine (E-1)	
Personal Protective Equipment: All personnel protective equipment was worn as required.	
<p>Narrative 1. How did the accident occur?</p> <p>E-1 responded to a structure fire at 810 N. Adams. After arrival the IC directed Smith to take E-1 back to a hydrant and lay a double forward supply line to E-3. Smith stated that he had stepped up on the tailboard to pull the donut off of the hose bed when his right foot slipped off of a small step on the right side of the tailboard and the injury occurred. He was evaluated at the ER and sent home for four days.</p>	

<p>Narrative 2. Why did the accident occur? Right foot slipped off of small step located on tailboard of the engine. The step is very small and it is difficult to keep footing when wearing fire boots.</p>	
<p>Narrative 3. What could be done to reduce exposure risk for future accidents? Increase the size of the step.</p>	
<p>Name of Witnesses: F.F. Bloom</p>	
<p>Signature of employee: <i>Tim Smith</i> Date: March 15, 2004</p>	<p>Signature of Employee Supervisor: <i>Joseph Dragin</i>, Captain Date: March 15, 2004</p>
<p>Name of person filling out report Capt. Dragin</p>	

**Anytown Fire Department
15401 Redline Avenue
Anytown, USA**

Memo

Date:

To:

From:

Subject:

TO BE USED WITH ASSIGNMENT FOR NFPA 1021 5.6.1

NFPA 1600 Information includes:

1.1* **Scope.** This standard shall establish a common set of criteria for all hazards disaster/emergency management and business continuity programs, hereinafter referred to as “the program.” A.1.1 The emergency management and business continuity community comprises many different entities, including the government at distinct levels (e.g., federal, state/provincial, territorial, tribal, indigenous, and local levels); business and industry; nongovernmental organizations; and individual citizens. Each of these entities has its own focus, unique missions and responsibilities, varied resources and capabilities, and operating principles and procedures.

The National Commission on Terrorist Attacks upon the United States (the 9/11 Commission), recognized NFPA 1600 as our National Preparedness Standard. Widely used by public, not-for-profit, nongovernmental, and private entities on a local, regional, national, international and global basis, NFPA 1600 has been adopted by the U.S. Department of Homeland Security as a voluntary consensus standard for emergency preparedness

NFPA 1600

Standard on Disaster/Emergency Management and Business Continuity Programs 2013 Edition

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NOTICE: An asterisk (*) following the number or letter designating a paragraph indicates that explanatory material on the paragraph can be found in Annex A. Changes other than editorial are indicated by a vertical rule beside the paragraph, table, or figure in which the change occurred. These rules are included as an aid to the user in identifying changes from the previous edition. Where one or more complete paragraphs have been deleted, the deletion is indicated by a bullet (•) between the paragraphs that remain. Information on referenced publications can be found in Chapter 2 and Annex J.

Chapter 1 Administration

1.1* Scope. This standard shall establish a common set of criteria for all hazards disaster/emergency management and business continuity programs, hereinafter referred to as “the program.”

1.2* Purpose. This standard provides the fundamental criteria to develop, implement, assess, and maintain the program for prevention, mitigation, preparedness, response, continuity, and recovery.

1.3* Application. This document shall apply to public, not-for-profit, and nongovernmental organizations (NGOs) and to private entities.

Chapter 2 Referenced Publications

2.1 General. The documents or portions thereof listed in this chapter are referenced within this standard and shall be considered part of the requirements of this document.

2.2 NFPA Publications. (Reserved)

2.3 Other Publications.

2.4 References for Extracts in Mandatory Sections. (Reserved)

Chapter 3 Definitions

3.1 General. The definitions contained in this chapter shall apply to the terms used in this standard. Where terms are not defined in this chapter or within another chapter, they shall be defined using their ordinarily accepted meanings within the context in which they are used. *Merriam-Webster's Collegiate Dictionary*, 11th edition, shall be the source for the ordinarily accepted meaning.

3.2 NFPA Official Definitions.

3.2.1* Approved. Acceptable to the authority having jurisdiction.

3.2.2* Authority Having Jurisdiction (AHJ). An organization, office, or individual responsible for enforcing the requirements of a code or standard, or for approving equipment, materials, an installation, or a procedure.

3.2.3 Shall. Indicates a mandatory requirement.

3.2.4 Should. Indicates a recommendation or that which is advised but not required.

3.2.5 Standard. A document, the main text of which contains only mandatory provisions using the word "shall" to indicate requirements and which is in a form generally suitable for mandatory reference by another standard or code or for adoption into law. Nonmandatory provisions are not to be considered a part of the requirements of a standard and shall be located in an appendix, annex, footnote, informational note, or other means as permitted in the *Manual of Style for NFPA Technical Committee Documents*.

3.3 General Definitions.

3.3.1 All-Hazards. An approach for prevention, mitigation, preparedness, response, continuity, and recovery that addresses a full range of threats and hazards, including natural, human-caused, and technology-caused.

3.3.2* Business Continuity. An ongoing process to ensure that the necessary steps are taken to identify the impacts of potential losses and maintain viable recovery strategies, recovery plans, and continuity of services.

3.3.3 Business Impact Analysis. A management level analysis that identifies, quantifies, and qualifies the impacts resulting from interruptions or disruptions of an entity's resources. The analysis may identify time-critical functions, recovery priorities, dependencies, and interdependencies so that recovery time objectives can be established and approved.

3.3.4 Capability. The ability to perform required actions.

3.3.5 Competence. Demonstrated ability to apply knowledge and skills to achieve intended results.

3.3.6 Continual Improvement. Recurring process of enhancing the management program in order to achieve improvements in overall performance consistent with the entity's policy, goals, and objectives.

3.3.7* Continuity. A term that includes business continuity, continuity of operations (COOP), operational continuity, succession planning, continuity of government (COG), which support the resilience of the entity.

3.3.8 Crisis Management. The ability of an entity to manage incidents that have the potential to cause significant security, financial, or reputational impacts.

3.3.9 Damage Assessment. An appraisal or determination of the effects of the incident on humans; on physical, operational, economic characteristics; and on the environment.

3.3.10 Disaster/Emergency Management. An ongoing process to prevent, mitigate, prepare for, respond to, maintain continuity during, and to recover from, an incident that threatens life, property, operations, or the environment.

3.3.11 Entity. A governmental agency or jurisdiction, private or public company, partnership, nonprofit organization, or other organization that has emergency management and continuity of operations responsibilities.

3.3.12* Exercise. A process to assess, train, practice, and improve performance in an organization.

3.3.13 Incident. An event that has the potential to cause interruption, disruption, loss, emergency, crisis, disaster, or catastrophe.

3.3.14 Incident Action Plan. A verbal plan, written plan, or combination of both that is updated throughout the incident and reflects the overall incident strategy, tactics, risk management, and member safety requirements developed by the incident commander.

3.3.15* Incident Management System (IMS). The combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure and designed to aid in the management of resources during incidents.

3.3.16 Interoperability. The ability of diverse personnel, systems, and organizations to work together seamlessly.

3.3.17 Mitigation. Activities taken to reduce the impact from hazards.

3.3.18* Mutual Aid/Assistance Agreement. A prearranged agreement between two or more entities to share resources in response to an incident.

3.3.19 Preparedness. Ongoing activities, tasks, and systems to develop, implement, and maintain the program capabilities.

3.3.20* Prevention. Activities to avoid or stop an incident from occurring.

3.3.21* Recovery. Activities and programs designed to return conditions to a level that is acceptable to the entity.

3.3.22* Resource Management. A system for identifying available resources to enable timely access to resources needed to prevent, mitigate, prepare for, respond to, maintain continuity during, or recover from an incident.

3.3.23* Response. Immediate and ongoing activities, tasks, programs, and systems to manage the effects of an incident that threatens life, property, operations, or the environment.

3.3.24 Risk Assessment. The process of hazard identification and the analysis of probabilities, vulnerabilities, and impacts.

3.3.25 Situation Analysis. The process of collecting, evaluating, and disseminating information related to the incident, including information on the current and forecasted situation and on the status of resources for management of the incident.

3.3.26 Test. Procedure for evaluation with a pass or fail result.

3.3.27 Vital Records. Information critical to the continued operation or survival of an entity.

Chapter 4 Program Management

4.1* Leadership and Commitment.

4.1.1 The entity leadership shall demonstrate commitment to the program to prevent, mitigate the consequences of, prepare for, respond to, maintain continuity during, and recover from incidents.

4.1.2 The leadership commitment shall include the following:

- (1) Support the development, implementation, and maintenance of the program
- (2) Provide necessary resources to support the program
- (3) Ensure the program is reviewed and evaluated as needed to ensure program effectiveness
- (4) Support corrective action to address program deficiencies

4.1.3 The entity shall adhere to policies, execute plans, and follow procedures developed to support the program.

4.2* Program Coordinator. The program coordinator shall be appointed by the entity's leadership and authorized to develop, implement, administer, evaluate, and maintain the program.

4.3 Program Committee.

4.3.1* A program committee shall be established by the entity in accordance with its policy.

4.3.2 The program committee shall provide input and/or assist in the coordination of the preparation, development, implementation, evaluation, and maintenance of the program.

4.3.3* The program committee shall include the program coordinator and others who have the expertise, the knowledge of the entity, and the capability to identify resources from all key functional areas within the entity and shall solicit applicable external representation.

4.4 Program Administration.

4.4.1 The entity shall have a documented program that includes the following:

- (1) Executive policy, including vision, mission statement, roles, and responsibilities, and enabling authority
- (2)*Program scope, goals, performance, objectives, and metrics for program evaluation
- (3)*Applicable authorities, legislation, regulations, and industry codes of practice as required by Section 4.5
- (4) Program budget and schedule, including milestones
- (5) Program plans and procedures that include the following:
 - (a) Anticipated cost
 - (b) Priority
 - (c) Resources required
- (6) Records management practices as required by Section 4.7
- (7) Change management process

4.4.2 The program shall include the requirements specified in Chapters 4 through 9, the scope of which shall be determined through an “all-hazards” approach and the risk assessment.

4.4.3* Program requirements shall be applicable to prevention, mitigation, preparedness, response, continuity, and recovery.

4.5 Laws and Authorities.

4.5.1 The program shall comply with applicable legislation, policies, regulatory requirements, and directives.

4.5.2 The entity shall establish and maintain a procedure(s) to comply with applicable legislation, policies, regulatory requirements, and directives.

4.5.3* The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.

4.6 Finance and Administration.

4.6.1 The entity shall develop finance and administrative procedures to support the program before, during, and after an incident.

4.6.2* There shall be a responsive finance and administrative framework that does the following:

- (1) Complies with the entity’s program requirements
- (2) Is uniquely linked to response, continuity, and recovery operations
- (3) Provides for maximum flexibility to expeditiously request, receive, manage, and apply funds in a nonemergency environment and in emergency situations to ensure the timely delivery of assistance

4.6.3 Procedures shall be created and maintained for expediting fiscal decisions in accordance with established authorization levels, accounting principles, governance requirements, and fiscal policy.

4.6.4 Finance and administrative procedures shall include the following:

- (1) Responsibilities for program finance authority, including reporting relationships to the program coordinator
- (2)*Program procurement procedures
- (3) Payroll
- (4)*Accounting systems to track and document costs
- (5) Management of funding from external sources

- (6) Crisis management procedures that coordinate authorization levels and appropriate control measures
- (7) Documenting financial expenditures incurred as a result of an incident and for compiling claims for future cost recovery
- (8) Identifying and accessing alternative funding sources
- (9) Managing budgeted and specially appropriated funds

4.7* Records Management.

4.7.1 The entity shall develop, implement, and manage a records management program to ensure that records are available to the entity following an incident.

4.7.2 The program shall include the following:

- (1) Identification of records (hard copy or electronic) vital to continue the operations of the entity
- (2) Backup of records on a frequency necessary to meet program goals and objectives
- (3) Validation of the integrity of records backup
- (4) Implementation of procedures to store, retrieve, and recover records onsite or offsite
- (5) Protection of records
- (6) Implementation of a record review process
- (7) Procedures coordinating records access

Chapter 5 Planning

5.1 Planning and Design Process.

5.1.1* The program shall follow a planning process that develops strategies, plans, and required capabilities to execute the program.

5.1.2 Strategic planning shall define the entity's vision, mission, and goals of the program.

5.1.3 A risk assessment and a business impact analysis (BIA) shall develop information to prepare prevention and mitigation strategies.

5.1.4 A risk assessment, a BIA, and a resource needs assessment shall develop information to prepare emergency operations/response, crisis communications, continuity, and recovery plans.

5.1.5 Crisis management planning shall address issues that threaten the strategic, reputational, and intangible elements of the entity.

5.1.6 The entity shall include key stakeholders in the planning process.

5.2* Risk Assessment.

5.2.1 The entity shall conduct a risk assessment to develop required strategies and plans.

5.2.2 The entity shall identify hazards and monitor those hazards and the likelihood of their occurrence.

5.2.2.1* Hazards to be evaluated shall include the following:

- (1) Natural hazards (geologic, meteorological, and biological)
- (2) Human-caused events (accidental and intentional)
- (3) Technology-caused events (accidental and intentional)

5.2.2.2 The vulnerability of people, property, operations, the environment, and the entity shall be identified, evaluated, and monitored.

5.2.3 The entity shall conduct an analysis of the impacts of the hazards identified in 5.2.2 on the following:

- (1) Health and safety of persons in the affected area
- (2) Health and safety of personnel responding to the incident
- (3)*Continuity of operations
- (4)*Property, facilities, assets, and critical infrastructure
- (5) Delivery of the entity's services
- (6) Supply chain
- (7) Environment

- (8)*Economic and financial conditions
- (9) Regulatory and contractual obligations
- (10) Reputation of or confidence in the entity

5.2.4* The analysis shall evaluate the potential effects of regional, national, or international incidents that could have cascading impacts.

5.2.5 The risk assessment shall evaluate the adequacy of existing prevention and mitigation strategies.

5.3* Business Impact Analysis.

5.3.1 The entity shall conduct a BIA.

5.3.2 The BIA shall evaluate the potential impact resulting from interruption or disruption of individual functions, processes, and applications.

5.3.3* The BIA shall identify those functions, processes, infrastructure, systems, and applications that are critical to the entity and the point in time [recovery time objective (RTO)] when the impact of the interruption or disruption becomes unacceptable to the entity.

5.3.4 The BIA shall identify dependencies and interdependencies across functions, processes, and applications to determine the potential for compounding impact in the event of an interruption or disruption.

5.3.5* The BIA shall evaluate the potential loss of information and the point in time [recovery point objective (RPO)] that defines the potential gap between the last backup of information and the time of the interruption or disruption.

5.3.6* The BIA shall be used in the development of recovery strategies and plans to support the program.

5.4 Resource Needs Assessment.

5.4.1* The entity shall conduct a resource needs assessment based on the hazards identified in Section 5.2 and the business impact analysis in Section 5.3.

5.4.2 The resource needs assessment shall include the following:

- (1)*Human resources, equipment, training, facilities, funding, expert knowledge, materials, technology, information, intelligence, and the time frames within which they will be needed
- (2) Quantity, response time, capability, limitations, cost, and liabilities

5.4.3* The entity shall establish procedures to locate, acquire, store, distribute, maintain, test, and account for services, human resources, equipment, and materials procured or donated to support the program.

5.4.4 Facilities capable of supporting response, continuity, and recovery operations shall be identified.

5.4.5* Agreements. The need for mutual aid/assistance or partnership agreements shall be determined; if needed, agreements shall be established and documented.

5.5 Performance Objectives.

5.5.1* The entity shall establish performance objectives for the program in accordance with Chapter 4 and the elements in Chapters 5 through 9.

5.5.2 The performance objectives shall address the results of the hazard identification, risk assessment, and business impacts analysis.

5.5.3 Performance objectives shall be developed by the entity to address both short-term and long-term needs.

5.5.4* The entity shall define the terms *short term* and *long term*.

Chapter 6 Implementation

6.1 Common Plan Requirements.

6.1.1* Plans shall address the health and safety of personnel.

6.1.2 Plans shall identify and document the following:

- (1) Assumptions made during the planning process
- (2) Functional roles and responsibilities of internal and external agencies, organizations, departments, and positions
- (3) Lines of authority
- (4) The process for delegation of authority
- (5) Lines of succession for the entity
- (6) Liaisons to external entities
- (7) Logistics support and resource requirements

6.1.3* Plans shall be individual, integrated into a single plan document, or a combination of the two.

6.1.4* The entity shall make sections of the plans available to those assigned specific tasks and responsibilities therein and to key stakeholders as required.

6.2 Prevention.

6.2.1* The entity shall develop a strategy to prevent an incident that threatens life, property, and the environment.

6.2.2* The prevention strategy shall be kept current using the information collection and intelligence techniques.

6.2.3 The prevention strategy shall be based on the results of hazard identification and risk assessment, an analysis of impacts, program constraints, operational experience, and a cost-benefit analysis.

6.2.4 The entity shall have a process to monitor the identified hazards and adjust the level of preventive measures to be commensurate with the risk.

6.3 Mitigation.

6.3.1* The entity shall develop and implement a mitigation strategy that includes measures to be taken to limit or control the consequences, extent, or severity of an incident that cannot be prevented.

6.3.2* The mitigation strategy shall be based on the results of hazard identification and risk assessment, an analysis of impact, program constraints, operational experience, and cost benefit analysis.

6.3.3 The mitigation strategy shall include interim and long term actions to reduce vulnerabilities.

6.4 Crisis Communications and Public Information.

6.4.1* The entity shall develop a plan and procedures to disseminate information to and respond to requests for information from the following audiences before, during, and after an incident:

- (1) Internal audiences, including employees
- (2) External audiences, including the media, functional needs populations, and other stakeholders

6.4.2* The entity shall establish and maintain a crisis communications or public information capability that includes the following:

- (1)*Central contact facility or communications hub
- (2) Physical or virtual information center
- (3) System for gathering, monitoring, and disseminating information
- (4) Procedures for developing and delivering coordinated messages
- (5) Protocol to clear information for release

6.5 Warning, Notifications, and Communications.

6.5.1* The entity shall determine its warning, notification, and communications needs.

6.5.2* Warning, notification, and communications systems shall be reliable, redundant, and interoperable.

6.5.3* Emergency warning, notification, and communications protocols and procedures shall be developed, tested, and used to alert stakeholders potentially at risk from an actual or impending incident.

6.5.4 Procedures shall include issuing warnings through authorized agencies if required by law as well as the use of prescribed information bulletins or templates.

6.6 Operational Procedures.

6.6.1 The entity shall develop, coordinate, and implement operational procedures to support the program.

6.6.2 Procedures shall be established and implemented for response to and recovery from the impact of hazards identified in 5.2.2.

6.6.3* Procedures shall provide for life safety, property conservation, incident stabilization, continuity, and protection of the environment under the jurisdiction of the entity.

6.6.4 Procedures shall include the following:

- (1) Control of access to the area affected by the incident
- (2) Identification of personnel engaged in activities at the incident
- (3) Accounting for personnel engaged in incident activities
- (4) Mobilization and demobilization of resources

6.6.5 Procedures shall allow for concurrent activities of response, continuity, recovery, and mitigation.

6.7 Incident Management.

6.7.1* The entity shall develop an incident management system to direct, control, and coordinate response, continuity, and recovery operations.

6.7.1.1* Emergency Operations Centers (EOCs).

6.7.1.1.1* The entity shall establish primary and alternate EOCs capable of managing response, continuity, and recovery operations.

6.7.1.1.2* The EOCs shall be permitted to be physical or virtual.

6.7.1.1.3 On activation of an EOC, communications and coordination shall be established between incident command and the EOC.

6.7.2 The incident management system shall describe specific organizational roles, titles, and responsibilities for each incident management function.

6.7.3 The entity shall establish procedures and policies for coordinating mitigation, preparedness, response, continuity, and recovery activities.

6.7.4 The entity shall coordinate the activities specified in 6.7.3 with stakeholders.

6.7.5 Procedures shall include a situation analysis that incorporates a damage assessment and a needs assessment to identify resources to support activities.

6.7.6* Emergency operations/response shall be guided by an incident action plan or management by objectives.

6.7.7 Resource management shall include the following tasks:

- (1) Establishing processes for describing, taking inventory of, requesting, and tracking resources
- (2) Resource typing or categorizing by size, capacity, capability, and skill
- (3) Mobilizing and demobilizing resources in accordance with the established IMS
- (4) Conducting contingency planning for resource deficiencies

6.7.8 A current inventory of internal and external resources shall be maintained.

6.7.9 Donations of human resources, equipment, material, and facilities shall be managed.

6.8 Emergency Operations/Response Plan.

6.8.1* Emergency operations/response plans shall define responsibilities for carrying out specific actions in an emergency.

6.8.2* The plan shall identify actions to be taken to protect people, including those with access and functional needs, property, operations, the environment, and the entity.

6.8.3* The plan shall identify actions for incident stabilization.

6.8.4 The plan shall include the following:

- (1) Protective actions for life safety in accordance with 6.8.2.
- (2) Warning, notifications, and communication in accordance with Section 6.5.
- (3) Crisis communication and public information in accordance with Section 6.4
- (4) Resource management in accordance with 6.7.7
- (5) Donation management in accordance with 6.7.9

6.9 Business Continuity and Recovery.

6.9.1* The continuity plan shall include recovery strategies to maintain critical or time-sensitive functions and processes identified during the business impact analysis.

6.9.2* The continuity plan shall identify stakeholders that need to be notified; critical and time-sensitive applications; alternative work sites; vital records, contact lists, functions, and processes that must be maintained; and personnel, procedures, and resources that are needed while the entity is recovering.

6.9.3* The recovery plan shall provide for restoration of functions, services, resources, facilities, programs, and infrastructure.

6.10 Employee Assistance and Support.

6.10.1* The entity shall develop a strategy for employee assistance and support that includes the following:

- (1)*Communications procedures
- (2)*Contact information, including emergency contact outside the anticipated hazard area
- (3) Accounting for persons affected, displaced, or injured by the incident
- (4) Temporary, short-term, or long-term housing and feeding and care of those displaced by an incident
- (5) Mental health and physical well-being of individuals affected by the incident
- (6) Pre-incident and post-incident awareness

6.10.2 The strategy shall be flexible for use in all incidents.

6.10.3* The entity shall promote family preparedness education and training for employees.

Chapter 7 Training and Education

7.1* Curriculum. The entity shall develop and implement a competency-based training and education curriculum that supports all employees who have a role in the program.

7.2 Goal of Curriculum. The goal of the curriculum shall be to create awareness and enhance the knowledge, skills, and abilities required to implement, support, and maintain the program.

7.3 Scope and Frequency of Instruction. The scope of the curriculum and the frequency of instruction shall be identified.

7.4 Incident Management System Training. Personnel shall be trained in the entity's incident management system (IMS) and other components of the program to the level of their involvement.

7.5 Recordkeeping. Records of training and education shall be maintained as specified in Section 4.7.

7.6 Regulatory and Program Requirements. The curriculum shall comply with applicable regulatory and program requirements.

7.7* Public Education. A public education program shall be implemented to communicate the following:

- (1) The potential impact of a hazard

- (2) Preparedness information
- (3) Information needed to develop a preparedness plan

Chapter 8 Exercises and Tests

8.1 Program Evaluation.

8.1.1 The entity shall evaluate program plans, procedures, training, and capabilities and promote continuous improvement through periodic exercises and tests.

8.1.2 The entity shall evaluate the program based on post-incident analyses, lessons learned, and operational performance in accordance with Chapter 9.

8.1.3 Exercises and tests shall be documented.

8.2* Exercise and Test Methodology.

8.2.1 Exercises shall provide a standardized methodology to practice procedures and interact with other entities (internal and external) in a controlled setting.

8.2.2 Exercises shall be designed to assess the maturity of program plans, procedures, and strategies.

8.2.3 Tests shall be designed to demonstrate capabilities.

8.3* Design of Exercises and Tests. Exercises shall be designed to do the following:

- (1) Ensure the safety of people, property, operations, and the environment involved in the exercise or test
- (2) Evaluate the program
- (3) Identify planning and procedural deficiencies
- (4) Test or validate recently changed procedures or plans
- (5) Clarify roles and responsibilities
- (6) Obtain participant feedback and recommendations for program improvement
- (7) Measure improvement compared to performance objectives
- (8) Improve coordination among internal and external teams, organizations, and entities
- (9) Validate training and education
- (10) Increase awareness and understanding of hazards and the potential impact of hazards on the entity
- (11) Identify additional resources and assess the capabilities of existing resources, including personnel and equipment needed for effective response and recovery
- (12) Assess the ability of the team to identify, assess, and manage an incident
- (13) Practice the deployment of teams and resources to manage an incident
- (14) Improve individual performance

8.4 Exercise and Test Evaluation.

8.4.1 Exercises shall evaluate program plans, procedures, training, and capabilities to identify opportunities for improvement.

8.4.2 Tests shall be evaluated as either pass or fail.

8.5* Frequency.

8.5.1 Exercises and tests shall be conducted on the frequency needed to establish and maintain required capabilities.

Chapter 9 Program Maintenance and Improvement

9.1* Program Reviews. The entity shall maintain and improve the program by evaluating its policies, program, procedures, and capabilities using performance objectives.

9.1.1* The entity shall improve effectiveness of the program through evaluation of the implementation of changes resulting from preventive and corrective action.

9.1.2* Evaluations shall be conducted on a regularly scheduled basis and when the situation changes to challenge the effectiveness of the existing program.

9.1.3 The program shall be re-evaluated when a change in any of the following impacts the entity's program:

- (1) Regulations
- (2) Hazards and potential impacts
- (3) Resource availability or capability
- (4) Entity's organization
- (5)*Funding changes
- (6) Infrastructure, including technology environment
- (7) Economic and geographic stability
- (8) Entity operations

9.1.4 Reviews shall include post-incident analyses, reviews of lessons learned, and reviews of program performance.

9.1.5 The entity shall maintain records of its reviews and evaluations, in accordance with the records management practices developed under Section 4.7.

9.1.6 Documentation, records, and reports shall be provided to management for review and follow-up.

9.2* Corrective Action.

9.2.1* The entity shall establish a corrective action process.

9.2.2* The entity shall take corrective action on deficiencies identified.

9.3 Continuous Improvement. The entity shall effect continuous improvement of the program through the use of program reviews and the corrective action process.