

Leadership II for Fire and EMS: Strategies for Personal Success

LS II-Student Manual

3rd Edition, 5th Printing-November 2013



FEMA

FEMA/USFA/NFA

LS II-SM

November 2013

3rd Edition, 5th Printing

***Leadership II for Fire and EMS: Strategies for
Personal Success***



FEMA

Leadership II for Fire and EMS: Strategies for Personal Success

LS II-Student Manual

3rd Edition, 5th Printing-November 2013



FEMA

This Student Manual may contain material that is copyright protected. USFA has been granted a license to use that material only for NFA sponsored course deliveries as part of the course materials and it shall not be duplicated without consent of the copyright holder. States wishing to use these materials as part of State-sponsorship and/or third parties wishing to use these materials must obtain permission to use the copyrighted material(s) from the copyright holder prior to teaching the course.

This page intentionally left blank.

U.S. DEPARTMENT OF HOMELAND SECURITY

UNITED STATES FIRE ADMINISTRATION

NATIONAL FIRE ACADEMY

FOREWORD

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

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

Designed to meet the needs of the Fire/Emergency medical services (EMS) Officer, this course of Leadership provides the participant with basic skills and tools needed to perform effectively as a leader in the fire service environment. This course addresses techniques and approaches to problem-solving, identifying and assessing the needs of the officer's company subordinates, running meetings effectively in the fire service environment, and decisionmaking for the Fire/EMS Officer.

This page intentionally left blank.

TABLE OF CONTENTS

	PAGE
Foreword	iii
Table of Contents	v
Development Team	vii
Course Schedule	ix
Firefighter Code of Ethics	xi
A Student Guide to End-of-course Evaluations.....	xiii
 MANAGING MULTIPLE ROLES FOR THE FIRE/EMERGENCY MEDICAL SERVICES OFFICER	 SM MR-1
 CREATIVITY	 SM CR-1
 ENHANCING YOUR PERSONAL POWER BASE	 SM PP-1
 ETHICS.....	 SM ET-1

This page intentionally left blank.

DEVELOPMENT TEAM

Chief Charles Addington II, D.O.
Family Physician
Chief, Wolfforth Fire and EMS Department
P.O. Box 845
Wolfforth, TX 79382

John N. Carnegis MS, RN/NREMT-P
Program Specialist, ESF-4
Deputy Resource Support Section Chief NRCC
U.S. Department of Homeland Security (DHS)/Federal Emergency Management Agency (FEMA)/U.S. Fire Administration (USFA)/National Fire Programs (NFP)/Emergency Response Support Branch

Dr. Burton A. Clark, EFO, CFO, EMT-B
Chair, Management Science Program
DHS/FEMA/USFA/National Fire Academy (NFA)
Emmitsburg, MD 21727

Ken Farmer, Section Chief
Leadership and Fire Risk Reduction
USFA/NFA
16825 S. Seton Avenue
Emmitsburg, MD 21727

Stacey A. Harmon
Instructional Systems Specialist
Leadership and Fire Risk Reduction Branch
DHS/FEMA/USFA/NFA

Chief Jonathan Riffle, EMT-B
Huntington Fire and Rescue
P.O. Box 353
Huntingtown, MD 20639

Chief Dennis L. Rubin, EFO, CFO, CEM, CMO, NREMT-B
6722 3rd Street, NW #104
Washington, DC 20012-2750

Michael Stern, NREMT-P
Training Specialist
Emergency Medical Services (EMS) Program and Responder Health and Safety Program
DHS/FEMA/USFA/NFA

Chief Fred C. Windisch, EFO, CFO, EMT-B
Ponderosa Fire Dept.
17061 Rolling Creek
Houston, TX 77090-2411

This page intentionally left blank.

COURSE SCHEDULE

MODULES

Managing Multiple Roles for the Fire/Emergency Medical Services Officer

Creativity

Enhancing Your Personal Power Base

Ethics

This page intentionally left blank.

FIREFIGHTER CODE OF ETHICS

Background

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

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

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

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



FIREFIGHTER CODE OF ETHICS

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

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

Developed by the National Society of Executive Fire Officers

A Student Guide to End-of-course Evaluations

Say What You Mean ...

Ten Things You Can Do to Improve the National Fire Academy

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

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

Actual quotes from student evaluations:	Examples of specific, actionable comments that would help us improve the course:
1 "Update the materials."	<ul style="list-style-type: none"> The (ABC) fire video is out-of-date because of the dangerous tactics it demonstrates. The available (XYZ) video shows current practices. The student manual references building codes that are 12 years old.
2 "We want an advanced class in (fill in the blank)."	<ul style="list-style-type: none"> We would like a class that enables us to calculate energy transfer rates resulting from exposure fires. We would like a class that provides one-on-one workplace harassment counseling practice exercises.
3 "More activities."	<ul style="list-style-type: none"> An activity where students can physically measure the area of sprinkler coverage would improve understanding of the concept. Not all students were able to fill all ICS positions in the exercises. Add more exercises so all students can participate.
4 "A longer course."	<ul style="list-style-type: none"> The class should be increased by one hour per day to enable all students to participate in exercises. The class should be increased by two days so that all group presentations can be peer evaluated and have written abstracts.
5 "Readable plans."	<ul style="list-style-type: none"> The plans should be enlarged to 11 by 17 and provided with an accurate scale. My plan set was blurry, which caused the dotted lines to be interpreted as solid lines.
6 "Better student guide organization," "manual did not coincide with slides."	<ul style="list-style-type: none"> The slide sequence in Unit 4 did not align with the content in the student manual from slides 4-16 through 4-21. The instructor added slides in Unit 4 that were not in my student manual.
7 "Dry in spots."	<ul style="list-style-type: none"> The instructor/activity should have used student group activities rather than lecture to explain Maslow's Hierarchy. Create a pre-course reading on symbiotic personal relationships rather than trying to lecture on them in class.
8 "More visual aids."	<ul style="list-style-type: none"> The text description of V-patterns did not provide three-dimensional views. More photographs or drawings would help me imagine the pattern. There was a video clip on NBC News (date) that summarized the topic very well.
9 "Re-evaluate pre-course assignments."	<ul style="list-style-type: none"> The pre-course assignments were not discussed or referenced in class. Either connect them to the course content or delete them. The pre-course assignments on ICS could be reduced to a one-page job aid rather than a 25-page reading.
10 "A better understanding of NIMS."	<ul style="list-style-type: none"> The instructor did not explain the connection between NIMS and ICS. The student manual needs an illustrated guide to NIMS.

This page intentionally left blank.

MANAGING MULTIPLE ROLES FOR THE FIRE/EMERGENCY MEDICAL SERVICES OFFICER

OBJECTIVES

The students will:

- 1. Prepare a personal role-set analysis.*
 - 2. Identify four levels of accountability.*
 - 3. Identify possible sources of role conflict for the Fire/Emergency medical services (EMS) Officer.*
 - 4. Develop and apply a balancing strategy for resolving role conflicts.*
 - 5. Recognize the importance of the Fire/EMS Officer serving as a role model for subordinates.*
-

This page intentionally left blank.

I. IDENTIFYING AND PRIORITIZING MULTIPLE ROLES

- A. Definition: A role is a set of expected behaviors that characterize your part in a particular situation; a function or office assumed by an individual.

- B. Each of us plays multiple roles in our day-to-day lives.

- C. Roles can be formal (station commander, father) or informal (mentor, friend).

- D. Role-set analysis--a process in which an individual attempts to:
 - 1. Identify all roles.

 - 2. Prioritize roles.

 - 3. Define role expectations.

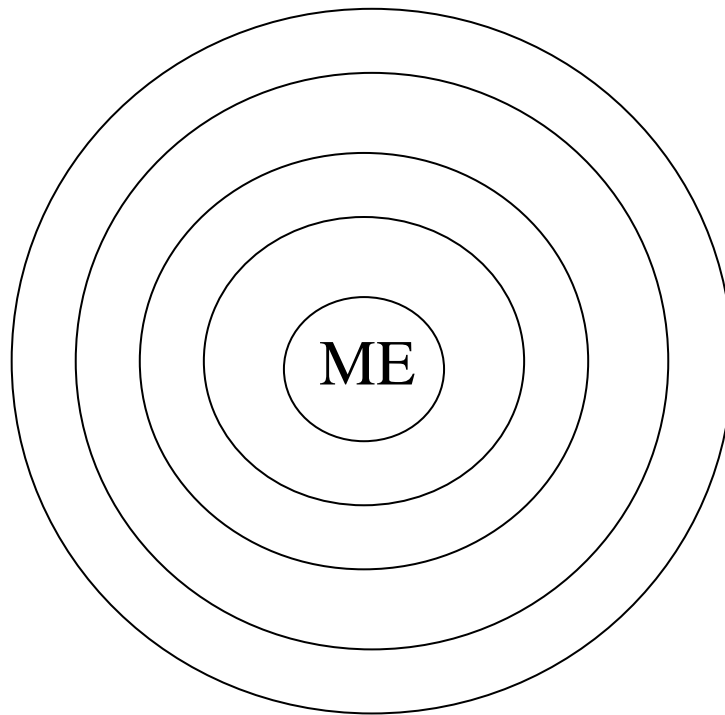
 - 4. Identify conflicts.

 - 5. Develop balancing strategies.

- E. Benefits of role-set analysis:
 - 1. Value clarification.

2. Understand others.
3. Time management.
4. Fairness to others.
5. Improved performance.

YOUR ROLE-SET ANALYSIS



Activity MR.1

Personal Role-Set Analysis Identifying and Prioritizing Roles

Purpose

To prepare a role-set analysis.

Directions

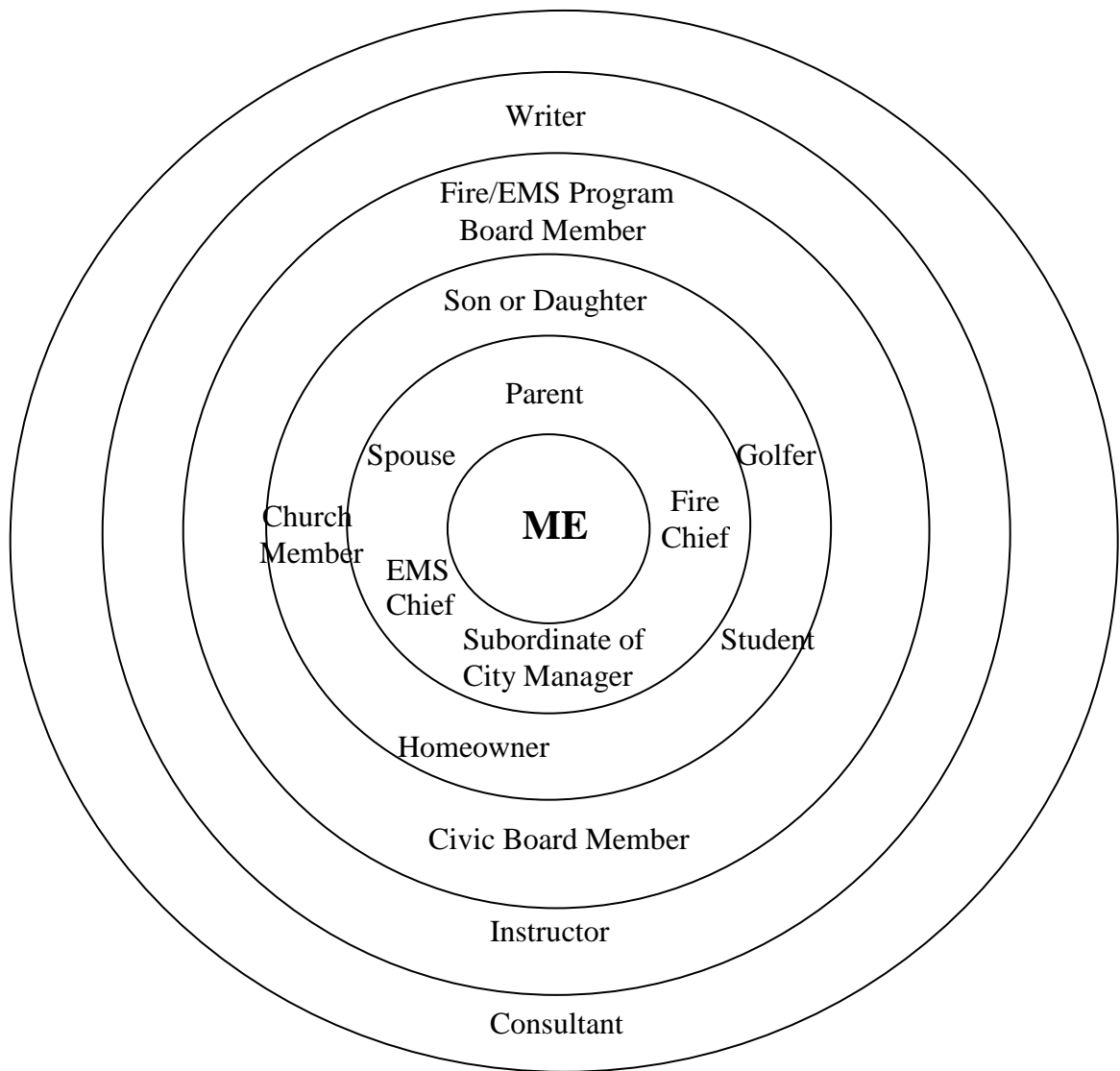
1. List all the roles you presently play in your day-to-day activities.

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

2. Prioritize the roles according to how important they are to **you**. (Do not confuse the amount of **time** you devote to a role with its importance to you.)
3. Place each role in the appropriate circle on the Role-Set Analysis Form provided on previous page. (Roles that are most important go in the circle closest to "me"; roles that are least important go in the circle farthest away, etc.)

Example:

Hypothetical Role-Set Analysis of a Chief-Level Officer



II. ROLE EXPECTATIONS

- A. Definition: how you are expected to act in any specific role.

- B. Sources of role expectations:
 - 1. Key senders.

 - 2. Yourself.

- C. Role ambiguity--when you're not sure what's expected of you in any role. This causes:
 - 1. Stress.
 - 2. Confusion.
 - 3. Feelings of inadequacy.
 - 4. Lack of direction.

- D. If you're not sure what other expect, you need to:
 - 1. Seek clarification.
 - 2. Open up lines of communication.

This page intentionally left blank.

Activity MR.2**Personal Role-Set Analysis Role Expectations****Purpose**

To prepare a personal role-set analysis.

Directions

1. List, in priority order, the roles you identified in Steps 1 and 2 (Activity MR.1). For each role, list the key sender(s). (Remember, key senders may be a group, e.g., subordinates, etc.)
2. Define the key sender(s) expectations. (What do they expect of you in each role?)
3. Define your expectations of yourself in each role?

Role	Key Senders	Sender Expectations	My Personal Expectations
Example: Husband	Example: Wife	Example: 1. Lots of time together. 2. A nice lifestyle (nice home, vacations, etc.). 3. Live for the present.	Example: 1. Be a good provider--work hard and make lots of money. 2. Willing to sacrifice time together now in order to retire early and travel. 3. Plan for the future.

This page intentionally left blank.

Activity MR.2 (cont'd)

Personal Role-Set Analysis Role Expectations

Role	Key Senders	Sender Expectations	My Personal Expectations

This page intentionally left blank.

III. ROLE CONFLICTS

- A. Intrarole conflict (a conflict within a specific role).
 - 1. Your expectations conflict with the expectations of one or more key senders.
 - 2. Expectations of one key sender conflict with the expectations of another key sender.
- B. Interrole conflict (a conflict between two or more separate roles).
 - 1. Conflicting simultaneous demands.
 - 2. Unbalanced priorities.
- C. Interpersonal role conflict (a conflict between two or more individuals playing parallel roles).

- D. Balancing role conflicts.
 - 1. Conflicts are inevitable.
 - 2. Establish priorities.
 - a. Intrarole priorities--whose expectations are most important?
 - b. Interrole priorities--which role is most important?
 - c. Interpersonal priorities--how important is the issue? Can you live with it? If not, how can you resolve it?
- E. People who handle role conflict well:
 - 1. Take initiative.
 - 2. Are confident.
 - 3. Display social poise.
 - 4. Affiliate with people.
 - 5. Desire achievement and power.
 - 6. Reach their own conclusions.
 - 7. Attain rewards from success.
 - 8. Give priority to planning.
 - 9. Lack excessive feelings of pressure.
 - 10. Agree with department policies.

Activity MR.3

Personal Role-Set Analysis Role Conflicts

Purpose

To identify possible sources of role conflict for the Fire/Emergency medical services (EMS) Officer by developing and applying a balancing strategy for resolving role conflicts.

Directions

Identify serious role conflicts and develop balancing strategies.

Intrarole Conflicts

1. Do my expectations conflict with the expectations of any key senders in any priority role(s)?

Role	Identify the conflict(s)	What can I do?
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

2. Do expectations of key senders conflict in any priority role(s)?

Role	Identify the conflict(s)	What can I do?
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Interrole Conflicts

1. Do any of my roles seriously conflict with each other?
2. Are my role priorities in balance?

Identify the conflict(s)

What can I do?

Interpersonal Role Conflicts

Do I have serious disagreements with other individuals playing parallel roles?

Identify the conflict(s)

What can I do?

Role Ambiguities

Are there any roles in which I'm not sure what others expect of me?

Role

Key Sender

What can I do?

IV. THE FIRE/EMERGENCY MEDICAL SERVICES OFFICER AS A ROLE MODEL

A. Fire/EMS Officer must do the best possible job--your subordinates will be watching.

B. The ABCDEs of professionalism:

1. Attitude.
2. Behavior.
3. Communication.
4. Demeanor.
5. Ethics.

C. Other qualities:

1. Enthusiasm.
2. Initiative.
3. Self-discipline.
4. Courage.
5. Integrity.
6. Loyalty.
7. Judgment and decisiveness.
8. Empathy.
9. Discretion.
10. Desire for self-improvement.

Activity MR.4

Role Model Profile

Purpose

To rate how important positive role model traits are to you personally versus your perceived importance to the fire/EMS department, company, and public. Significant differences in scores for a category can indicate value conflicts.

Directions

Indicate how the following characteristics are valued by you as Fire/EMS Officer, by your fire/EMS department, by your company, by the public. Rate on a scale from 1 to 10 (1 = not valued; 10 = very valued).

	Personal Value	Department Value	Company Value	Public Value
Professionalism				
Enthusiasm				
Initiative				
Self-discipline				
Courage				
Integrity				
Loyalty				
Good judgment and decisiveness				
Empathy				
Discretion				
Desire for self-improvement				

Significant differences in scores for any category may indicate serious value conflicts.

This page intentionally left blank.

V. ACCOUNTABILITY

- A. To self.

- B. To the company.

- C. To the organization.

- D. To the public.

VI. THE LEADERSHIP ROLE

- A. Interpersonal functions:
 - 1. Figurehead.

2. Leader.

3. Liaison.

B. Informational roles:

1. Monitor.

2. Disseminator.

3. Spokesperson.

C. Decisional roles:

1. Entrepreneur.

2. Disturbance handler.

3. Resource allocator.

4. Negotiator.

This page intentionally left blank.

Activity MR.5

Developing Balancing Strategies

Purpose

To develop and apply a balancing strategy for resolving role conflicts.

Directions

The instructor will show two video scenarios and lead the class in a role play. For each scenario or the role play, complete the worksheet below.

Video Scenario 1

Type of role conflict:

Intrarole conflict	_____
Interrole conflict	_____
Interpersonal role conflict	_____

What should be done? _____

Role-Play Scenario 2

Type of role conflict:

Intrarole conflict	_____
Interrole conflict	_____
Interpersonal role conflict	_____

What should be done? _____

Video Scenario 3

Type of role conflict:

Intrarole conflict	_____
Interrole conflict	_____
Interpersonal role conflict	_____

What should be done? _____

Activity MR.5 (cont'd)

Role-Play Scenario 2

Role-Play: *The scenario is inside a station break room, where two firefighters/EMTs are seated at a table.*

***FIREFIGHTER/EMT 1** is the unofficial social organizer of Company 22. **FIREFIGHTER/EMT 2**, a senior crew member, caused some minor damage to one of the pumps today and is scheduled for formal counseling next shift with the **OFFICER**. The **OFFICER** has been assigned to Company 22 for only 2 months. Up to this point the **OFFICER** has resisted the crew's efforts to socialize with them.*

*Notes or instructions for the reader are **not indented**, and should not be read out loud. Dialogue, or text to be read in the role-play exercise, is indented under each character role.*

The **OFFICER** enters the break room, holding a cup of coffee.

OFFICER

Hi, everyone! What are you still doing here? Shift change was 20 minutes ago.

FIREFIGHTER/EMT 1

We're waiting for you. The crew from Engine 22 are down at the local cafe. We want to go for a drink and you're going to be the master of ceremonies.

The **OFFICER** laughs.

FIREFIGHTER/EMT 2

Come on down and party with us.

OFFICER

I don't know. I have an awful lot of paperwork I have to finish.

FIREFIGHTER/EMT 1

We'd love to have you come down. It's a special opportunity. I know the crew from B shift are going to be there and they want to meet you.

FIREFIGHTER/EMT 2

I know what some of that paperwork's about anyway. I wanted to talk with you about the problem I had with the pump today. So just come on down and party with us.

OFFICER

I tell you what: why don't you go ahead down and start without me and if I have time after I finish my paperwork, I'll just join you then.

FIREFIGHTER/EMT 1

Don't try to slip out of this. We're looking forward to this, so come on down. Take the opportunity.

BOTH **FIREFIGHTERS/EMTs** stand up, get their jackets and begin to leave.

FIREFIGHTER/EMT 2

We'll be waiting for you.

OFFICER

Thanks for the invite.

FIREFIGHTER/EMT 1

We'll keep 'em cool for you.

OFFICER

Okay.

BOTH **FIREFIGHTERS/EMTs** exit.

The **OFFICER** sits down, thinking.

OFFICER (cont'd)

Oh, great. What do I do now? The crew expects a Fire/EMS Officer who can socialize with them. But the department expects a Fire/EMS Officer who can separate official duties from social activities.

END

BACKGROUND

All people, especially managers, engage in multiple interpersonal relationships on a daily basis. As we engage in these various relationships, it may be said that we are acting within different roles. A role may be defined as a set of expected behaviors that characterize your part in a particular situation; or a function or office assumed by someone. The Fire/Emergency medical technician (EMT) Officer must learn to apply a balancing strategy in prioritizing various roles. A thorough understanding of the concept of multiple roles will help the Fire/EMT Officer to improve the quality of role relationships, and make performance in any given role more timely and effective.

In short, the Fire/EMT Fire/EMS Officer has many demands placed on his/her time--both from inside and outside of the fire/EMT service environment. This module is designed to help **you**--the Fire/EMT Officer--to understand these demands and to develop a balancing strategy for prioritizing roles. Developing a tactful role-balancing strategy will help you to become more efficient in your capacity as a Fire/EMT Officer, and allow you to manage your time more effectively.

IDENTIFYING AND PRIORITIZING MULTIPLE ROLES

Roles can be **formal** (lieutenant, father, paramedic, mother, etc.) or **informal** (godfather, mentor, friend, etc.). It is not unusual for any individual to play many roles on a regular basis.

A role-set analysis is a process in which an individual attempts to:

- define their "role set" (all the roles presently engaged in);
- prioritize the roles according to which ones are most/least important;
- define role expectations for each role;
- identify conflicts; and
- develop balancing strategies.

ROLE EXPECTATIONS

Role expectations may be defined as behaviors/attitudes that you are expected to adopt/demonstrate when you are playing a specific role. Each role carries with it a set of expectations, which are defined by:

- Key senders--significant others with whom you interact in that specific role. (Example: In the husband role, the wife would be a key sender; in the leader role, your subordinates and your boss are key senders.)
- Yourself--in each role you are also guided by your own personal expectations of yourself.

Whenever you're **not sure what's expected** of you in any role, you experience **role ambiguity**. This can cause stress, confusion, feelings of inadequacy, and lack of direction.

ROLE CONFLICTS

Intrarole conflict is conflict **within** one specific role. It is a stress associated with performing the duties essential to the role. Intrarole conflict occurs when:

- Your personal expectations conflict with the expectations of one or more key senders. (Example: As Fire/EMS Officer you expect yourself to act with sensitivity, but your crew expects you to be tough.)
- The expectations of one key sender conflict with the expectations of another key sender. (Example: A Fire/EMS Officer receiving conflicting demands from superiors and subordinates.)

Interrole conflict is conflict between two or more roles. The demands of one role conflict with the demands of another role and you feel required to fulfill both sets of demands.

Interpersonal role conflict is conflict between two or more individuals playing parallel roles. (Example: Two parents disagreeing about how to discipline a child; station officers on different shifts disagreeing about station maintenance priorities.)

Resolving or balancing role conflicts is a matter of clearly delineating your priorities. Which roles are most important? Whose expectations have priority?

Individuals who handle role conflict well share some common characteristics. They show a preference for taking initiative; they exhibit both confidence and persuasiveness; they exhibit social poise, spontaneity, and talkativeness; and show a preference for flexibility when taking action. They exhibit a strong desire to affiliate with people; have moderate desires for achievement and power; possess the ability to reach their own conclusions despite coercive pressure from others; hold a personal view that rewards come from the success of the task or project, not just from personal accomplishment; show the tendency to attach high priorities to planning and goal-setting activities; show a general lack of excessive feelings of pressure; and are in general agreement with the policies of the department.

THE FIRE/EMERGENCY MEDICAL SERVICES OFFICER AS A ROLE MODEL

The Fire/EMS Officer has the responsibility to do the best possible job with the resources assigned to his/her control. Remember, your subordinates are watching you. This means becoming an effective **role model**--a person that both subordinates and peers can look up to. Becoming an effective role model means being a professional. Professionalism is a composite of personal skills and attitudes (the "ABCDEs"): **A**ttitude, **B**ehavior, **C**ommunication, **D**emeanor, and **E**thics.

Attitude: One's state of mind or how you feel about your leadership role. Artifactual communication is the message sent by one's appearance, attire, and adornments; in other words, your personal image. Be physically fit. Be clean and neat in your personal dressing habits. Exhibit good personal hygiene. Maintain a positive attitude.

Remember the adage: "Your attitude is showing!"

Attitude Example

An elderly non-English-speaking parent received a letter from a child who was away in college.

Not knowing how to read English the parent asked another grandchild who would be able to read the letter.

The grandchild suggested getting the meat market owner to read the letter.

They went to see the owner of the meat market. They asked the owner of the meat market to read the letter to them. The owner rudely grabbed the letter, read it, tossed it back to them, and said, "Your child wants \$100."

As they left the store the grandchild asked what they were going to do. The reply was, "With that kind of attitude, I won't send a penny."

The grandchild convinced the grandparent to have the barber read the letter again.

As they walked into the barber shop the owner greeted them with a big smile and asked them what they needed.

They handed the barber the letter and asked to read it for them. The barber gladly read the letter.

"Dear Mom and Dad, How are you? How is the rest of the family? I have run into a problem. It appears that my tuition is \$100 more than I anticipated. I know that you too are short on money and if you can't send me the money I'll understand. But if you can, I will appreciate it. I miss you both. Love, your child."

As they left the barber shop, again the grandchild asked what was going to happen.

The grandparent looked at the grandchild and said, "Now that my child has a different attitude, I'll send \$300."

Behavior: Simply put, behavior is **how you act**. Your behavior will directly affect the behavior of your subordinates. Professional Fire/EMS Officers will: exercise self-discipline, maintain control over their emotions, and exercise moderation and discretion off duty as well as on duty.

Communication: How leaders get their message across. The Fire/EMS Officer accepts the responsibility of being in the "people" business versus the "things" business previously dealt with as a firefighter/EMT. Communication skills include oral communication--command of language, professionalism; written communication--how effectively you can write; and nonverbal communication--communicating without words.

Demeanor: The bearing of the supervisor, or the sum total of A, B, and C. Demeanor can be managed. **Conscious awareness** of problems in the areas of appearance, behavior, and communication skills will enable us to work on eliminating these problems. Remembering the mission and goal of the organization can help us to make our attitude more productive. Considering the consequences for poor behavior can help us break bad habits. College courses, speakers' groups, and self-development courses can help us to improve our communication skills.

Ethics: Ethics involve conforming to the standards of conduct for a given profession. Lack of ethics can destroy respect for a supervisor.

Qualities of the Supervisor as Role Model

Enthusiasm: You must display enthusiasm if you expect your subordinates to become interested and enthused.

Initiative: Recognize the need for action and act accordingly.

Self-discipline: Control your own behavior and emotions.

Courage: Not only physical, but **moral** courage; the officer must be able to stand up to resistance and criticism if necessary.

Integrity: Being honest and maintaining personal integrity in all aspects of your life.

Loyalty: To both superiors and subordinates.

Good judgment and decisiveness: Allows us to size up a situation and use mature judgment.

Empathy: Understanding where the other person is coming from.

Discretion: The exercise of prudence and common sense when making decisions.

Desire for self-improvement: The genuine desire to build on our strengths and improve our weaknesses.

Summary of the Fire/EMS Officer serving as a role model. Professionalism in the form of the "ABCDE" approach will help to ensure status as a professional. The Fire/EMS Officer should always remember: "Your employees will be watching you!"

ACCOUNTABILITY

All roles that the Fire/EMS Officer must assume fall into one of four areas of accountability:

Accountability to self. We are all accountable to ourselves first. We must be able to live with our decisions/actions. We are often harder on ourselves than others are.

Accountability to the company. As we have unique personalities and standards, so does our company. The "norm" in one company may not be the same in another company. (Example: working on personal vehicles on company time.) One job of the supervisor is to look out for the personnel assigned.

Accountability to the organization. As supervisors, you are a formal (and informal) representative of management. Blaming upper management for your problems will generally come back to haunt you! Your actions and professionalism as a Fire/EMS Officer can help to motivate others, and, ultimately, the organization itself.

Accountability to the public. We should always remember that our sworn duty is to protect and serve the public. The department mission must be carried out. The more efficient and effective we are as Fire/EMS Officers, the better the service we can provide. The better our company can work together as a team, the better the job it will do for the community.

THE LEADERSHIP ROLE

Henry Mintzberg analyzed the leadership role through observation and research. He concluded that effective leaders perform 10 critical functions in their assigned area of responsibility.

Interpersonal Functions

Figurehead: The performance of ceremonial duties. (The Fire/EMS Officer at the annual awards ceremony; the Fire/EMS Officer awarding prizes to elementary school children participating in a fire prevention poster contest.)

Leader: Taking the direct actions typical of a leader; directing, ordering, counseling, disciplining. (The Fire/EMS Officer directing personnel on the emergency scene; the Fire/EMS Officer conducting a counseling session.)

Liaison: Making contacts with others--serving as a link. (Fire/EMS Officer meeting with builders on a construction site; Fire/EMS Officer linking management and subordinates.)

Informational Roles

Monitor: Scanning the environment for critical information; staying on top of things. (The Fire/EMS Officer "360s" the building during size up; the Fire/EMS Officer keeps up with new technology.)

Disseminator: Giving out information others would not otherwise have. (Fire/EMS Officer holding a meeting with personnel; Fire/EMS Officer acting as a coach with new recruit.)

Spokesperson: Giving information to people outside of your unit. (Fire/EMS Officer addressing homeowner's association on the value of smoke detectors in the home; Fire/EMS Officer serving as departmental PIO.)

Decisional Roles

Entrepreneur: Seeking to improve the unit through necessary new approaches resulting from changes in the environment. (Fire/EMS Officer designing new preplan form on computer; officer "commandeering" the use of heavy construction equipment to help control spill of hazardous materials.)

Disturbance handler: Responding to unexpected conflicts. (Fire/EMS Officer dealing with an argument between two subordinates; officer dealing with an unruly crowd on the scene of an emergency incident.)

Resource allocator: Deciding who will get what and do what. (Fire/EMS Officer assigning daily station maintenance; officer assigning units to tactical positions on the scene of an emergency while serving as Incident Commander (IC).)

Negotiator: Settling issues and resolving conflicts. (Fire/EMS Officer dealing with the first step of a union grievance; officer serving as member of a task group containing wide representation from various segments of the community.)

SUMMARY

In order to be a successful manager, the Fire/EMS Officer must manage a variety of roles, both inside and outside the organization.

Role conflicts are an inevitable fact of organizational life; it is up to the individual manager to understand the conflicts and apply the proper balancing strategy.

The Fire/EMS Officer must be able to apply a balancing strategy between roles to function effectively in various positions.

Four areas of accountability for the Fire/EMS Officer include accountability to **self**, to the **company**, to the **organization**, and to the **public**.

As a role model, the Fire/EMS Officer should always remember: "Your subordinates are watching you!"

GLOSSARY

1. **Interpersonal role**--A conflict between two or more individuals in parallel roles.
2. **Interrole conflict**--A conflict between two different roles.
3. **Intrarole conflict**--A conflict within a specific role.
4. **Leadership function**--An organizationally expected behavior pattern because of one's status within the organization.
5. **Professionalism**--A composite of attitude, behavior, communication skills, demeanor, ethics (ABCDEs).
6. **Role**--A part that an actor or actress plays in a performance; a function or office assumed by someone.
7. **Role model**--A person that subordinates and peers can look up to.

This page intentionally left blank.

CREATIVITY

OBJECTIVES

The students will:

1. *Define creativity and innovation.*
 2. *Identify the importance of creativity and innovation in fire/emergency medical services (EMS) organizations.*
 3. *Analyze the elements of creativity.*
 4. *Identify the five steps of the creative process.*
 5. *Evaluate blocks to creativity.*
 6. *Identify ways of fostering creativity in subordinates.*
 7. *Identify effective techniques for selling new ideas.*
 8. *Develop strategies to enhance creative leadership traits.*
-

This page intentionally left blank.

I. WHAT IS CREATIVITY? WHAT IS INNOVATION? WHY ARE THEY IMPORTANT?

A. Define creativity in your own words.

B. Define innovation in your own words.

C. Importance of creativity.

D. Debunking prevalent myths.

(NOTE: All myths and realities are contained in the narrative section.)

II. ELEMENTS OF CREATIVITY

List as many round objects as you can in 4 minutes.

- A. Element 1: Fluency--the **quantity** of ideas you can generate in a specified period of time.
- B. Element 2: Flexibility--the ability to generate ideas in **different categories**.
- C. Element 3: Originality--the ability to generate **unusual** ideas.

D. Element 4: Awareness--the ability to see beyond the obvious.

E. Element 5: Drive--refusing to give up.

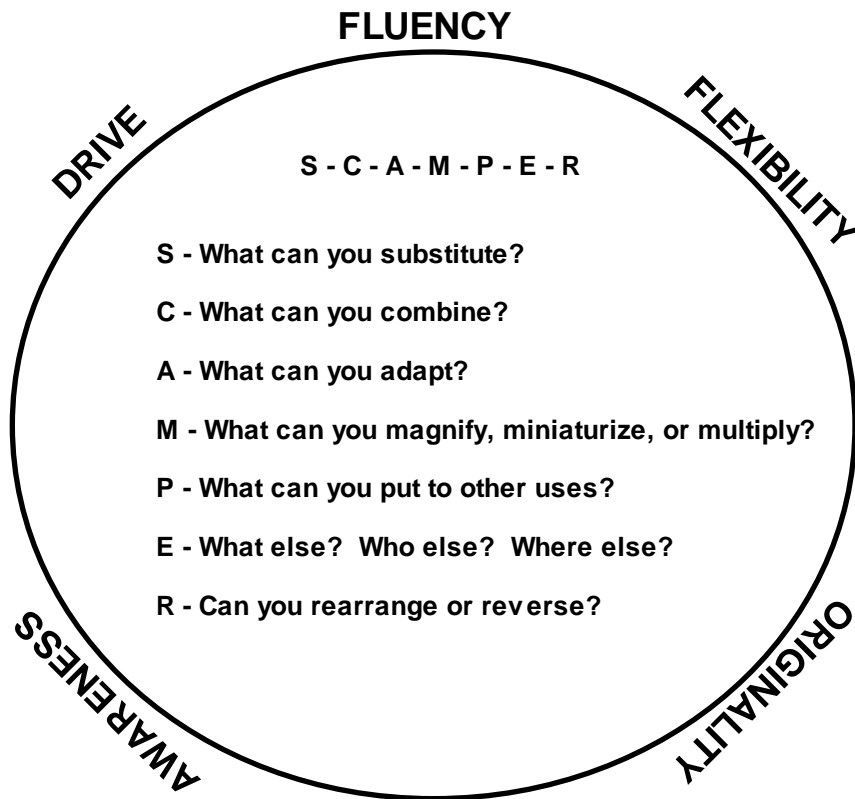
III. THE CREATIVE PROCESS

A. Preparation--getting ready; becoming aware of a need/potential for improvement.

B. Concentration--generating ideas.

- C. Incubation--"sleeping on it."
- D. Illumination--getting the answer.
- E. Verification/Production--testing.
- F. Using the "SCAMPER" technique to generate ideas.

S - C - A - M - P - E - R



IV. CREATIVITY BLOCKS

A. I don't want to look foolish.

B. I don't want to fail.

C. I'm not creative.

D. That's not my area (skill, style, job, etc.).

E. I don't get paid to have fun!

V. FOSTERING CREATIVITY IN SUBORDINATES

A. Avoid killer phrases.

(As the class generates ideas, list below any killer phrases you're guilty of using.)

B. Rules for stifling innovation.

1. Be suspicious.

2. Be inaccessible.

3. Pass the buck.

4. Criticize at every opportunity.
5. Discourage people from letting you know there's a problem.
6. Control everything carefully.
7. Make significant policy changes in secret.
8. Keep people in the dark as much as possible.
9. Pass on your dirty work in the name of delegation and participation.
10. Never forget that you, the supervisor, know everything there is to know.

- C. Characteristics of supervisors who foster creativity.
 - 1. They are willing to absorb subordinates' risks.
 - 2. They are comfortable with half-developed ideas.
 - 3. They can make quick decisions.
 - 4. They listen.
 - 5. They don't dwell on past mistakes.
 - 6. They enjoy their jobs.
 - 7. They expect subordinates to succeed.
 - 8. They capitalize on subordinates strengths.

VI. SELLING YOUR IDEAS TO TOP MANAGEMENT

- A. Assess the ability to sell your idea.
 - 1. Will it work?
 - 2. Will people accept it?

3. Is it timely?

B. Developing a persuasive argument.

1. Relate your idea to a recognized need.

2. Appeal to positive values.

3. Anticipate objections.

4. Get others involved.

5. Ensure your credibility.

This page intentionally left blank.

Activity CR.1

Self-Assessment and Personal Improvement Strategies

Purpose

To evaluate your own personal blocks to creativity and develop strategies to enhance your creative leadership traits.

Directions

Part 1: Self-Assessment

1. Fill out "Creative Leadership Assessment."
2. You will have about 10 minutes to complete the questionnaires and self-scoring.

Part 2: Personal Improvement Strategies

1. Brainstorm a list of possible strategies for improving your score in this area.
2. Jot down any ideas that you would like to try.

This page intentionally left blank.

Activity CR.1 (cont'd)**Creative Leadership Assessment**

Read each question and select the response that most closely describes you in your present position. Place the appropriate number in the box beside each item.

Part 1: Self-Assessment

1. How often do you get unsolicited ideas/suggestions/proposals from your subordinates?

5	All the time	
4	Frequently	
3	Occasionally	
2	Rarely	
1	Never	<input type="text"/>
2. How often do you propose new ideas to upper management?

5	All the time	
4	Frequently	
3	When the risks aren't too great	
2	Rarely	
1	Only when it's "safe"	<input type="text"/>
3. How much freedom do you give your subordinates to experiment with new ideas or to help solve tough problems?

5	All they want	
4	Quite a bit	
3	Some	
2	A little	
1	None	<input type="text"/>
4. How often do you refrain from doing or saying something because you don't want to look foolish?

5	Never	
4	Rarely	
3	Occasionally	
2	Frequently	
1	All the time	<input type="text"/>

5. How often do you use "killer phrases" or do things to stifle creativity?

- 5 Never
- 4 Rarely
- 3 Occasionally
- 2 Frequently
- 1 All the time

☐

6. How often are you comfortable with "half-baked" ideas?

- 5 All the time
- 4 Frequently
- 3 Occasionally
- 2 Rarely
- 1 Never

☐

7. How often do you allow subordinates to get involved in projects that show their strengths (allow them to "star")?

- 5 All the time
- 4 Frequently
- 3 Occasionally
- 2 Rarely
- 1 Never

☐

8. How would you rate your ability to really listen?

- 5 Excellent
- 4 Good
- 3 Average
- 2 Not so good
- 1 Poor

☐

9. Do you think you're creative?

- 5 All the time
- 4 Frequently
- 3 Occasionally
- 2 Rarely
- 1 Never

☐

10. What do you do to generate ideas/suggestions from subordinates? List things you do, and give yourself one point for each item listed. (Maximum 5 points!)

1. _____

2. _____

3. _____

4. _____

5. _____

☐

Self-scoring

Add up your points from all boxes.

☐

Creative Leadership Index

- | | |
|----------|--|
| 41-50 | Excellent--Keep up the good work! |
| 36-40 | Very Good--What can you do to be excellent? |
| 31-35 | Good--You're on the right track, keep going! |
| 20-30 | Adequate--You're playing it safe--take a risk! |
| Below 20 | Poor--Let yourself go once in a while! |

Part 2: Personal Improvement Strategies

List below ideas you'd like to try from the list generated by the class.

1. What can you do to get unsolicited ideas/suggestions/proposals from subordinates?

2. What can you do to increase the number of new ideas that you propose to upper management?

3. How can you increase the freedom you give your subordinates to experiment with new ideas or to help solve tough problems?

4. What can you do to decrease the number of times you refrain from doing something because you do not want to look foolish?

5. How can you avoid using "killer phrases" or doing other things that stifle creativity?

6. How can you increase your comfort with "half-baked" ideas?

7. How can you allow your subordinates to be more involved in projects that show their strengths?

8. How can you improve your ability to listen?

9. How can you increase your own creativity?

10. What else can you do to generate ideas/suggestions from subordinates?

WHAT IS CREATIVITY? WHAT IS INNOVATION? WHY ARE THEY IMPORTANT?

Creativity is the ability to produce original ideas or products. Innovation is the ability to improve a present practice, method, or product by adaptation or alteration.

Creativity and innovation are important in order to keep up with external changes that may have an impact on the fire/emergency medical services (EMS) such as demands for new services, demands for more service for less money, and demands for increased productivity.

Creativity and innovation assure state-of-the-art methods and techniques by using technological advances effectively and by adapting principles of private business to public service.

Debunking Prevalent Myths

Many people consider creativity mysterious and/or unattainable. We tend to think of being creative as something that others do, not us! Such attitudes stem from a series of prevalent myths related to the creative process. In *The Creative Manager*, Camille Cates Barnett outlines these myths, and their reality counterpoints, as follows:

Myth 1: The more intelligent you are, the more creative you are.

Reality: Creativity is not a function of intelligence. Creativity is seeing what everyone else has seen and thinking what no one else has thought.

Myth 2: People are born creative; creativity cannot be learned.

Reality: It's true. People are born creative--that is, all of us are. But we can acquire skills to help us achieve our creative potential. Creativity can be learned, much as tennis and piano can be learned. Do you remember the first time you ever tried to ride a bicycle?

Myth 3: Creative ideas come in a flash, like lightning bolts.

Reality: Persistence and concentration are keys to creativity. You can't plant a garden until you have prepared the soil.

Myth 4: Creativity is disruptive to the day-to-day life of an organization.

Reality: Successful organizations are really two parallel, mutually supportive organizations--one innovative, one routine. Remember that every routine was once an innovation.

Myth 5: Creativity is a luxury; it should be encouraged only in times of abundance.

Reality: When you don't have money to throw at a problem you need to be more creative. Necessity is the mother of invention.

- Myth 6: True creativity is found primarily in the arts and has little practical business application.
- Reality: According to Princeton's Creative Research, Inc., 80 percent of corporate sales are from products developed or modified within the last 20 years. Forty percent of the gross national product is attributable to research and development during the past 25 years.

ELEMENTS OF CREATIVITY

After World War II, the U.S. Navy funded an extensive research program to identify what elements were involved in the creative process. The research was directed by Dr. J. P. Guilford. His studies established the foundation for most modern efforts to improve personal and organizational creativity. One of his most important contributions was the identification of five key creative elements.

Element 1 is **fluency**, which is the **quantity** of ideas you can generate in a specific period of time. The more ideas you have, the more potential for being creative.

Element 2 is **flexibility**, which is the ability to let go of predetermined categories or the ability to break through mental barriers and generate ideas in different categories--to shift from one category to another. Flexibility involves practicing free association (letting your mind wander from one unrelated idea to another) and is measured by your ability to generate ideas in a number of different categories.

Element 3 is **originality**, which is the ability to generate **unusual** ideas. The fewer times an idea appears in any one group, the more **original** the idea.

Element 4 is **awareness**, which is the ability to see with your mind and imagination as well as your eyes; the ability to see possibilities, not just reality.

Element 5 is **drive**, which is the willingness to try and try again. Refusal to give up.

THE CREATIVE PROCESS

Where do new ideas come from? An idea happens when someone suddenly discovers a new combination of existing ideas or puts into effect an adaptation of existing ideas. For example, the increasing use of 1-3/4-inch hose results in maneuverability of 1-1/2-inch hose and 70 percent of the flow of 2-1/2-inch hose. For another example, computers in stations were originally for dispatch and report writing. Now premise information (special hazards, closest hydrants, best route, etc.) is becoming a common use. Carried even further are the mobile digital terminals (MDTs), which are computers in the cab of the fire truck and ambulance. In the future all of this will be smaller and faster.

Steps Leading to New Ideas

Preparation is an initial awareness of a need for improvement or a scoping out of the situation. (What's going on? What needs to be changed?) The preparation stage lays the groundwork for creativity. It is similar to the problem identification phase of problem-solving, but more intuitive and less logical. The end result is a mental definition (a sense) of your **purpose**--why you need a creative solution.

Once you're "hooked" you become absorbed in generating various ideas. This step is called **concentration**.

When ideas run out, leave it alone for awhile. Sleep on it! This is known as **incubation**.

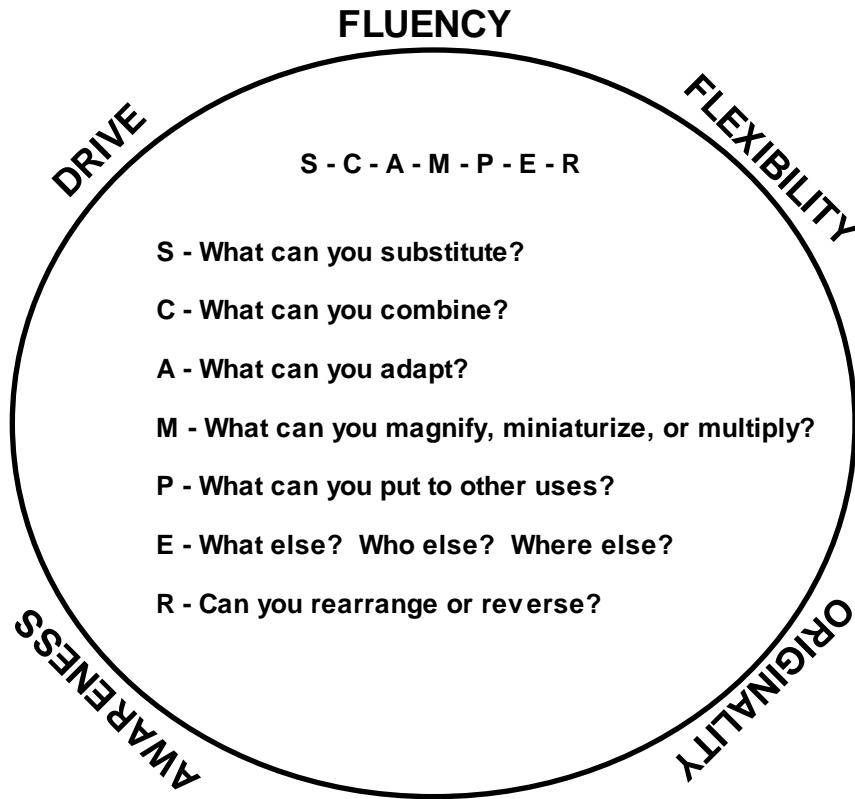
Illumination is what happens when the "light bulb" goes on. It is the "aha!" phase--getting the answer or having a "feeling" or a "hunch" that this is the way to go.

Verification/Production is testing the idea; talking about the idea with others; trying out the solution to see if it works.

The "Scamper" Technique

The concentration step described above can be enhanced by using the "scamper" technique. "SCAMPER" questions are designed to increase the **fluency** and **flexibility** of ideas generated. (The figure on the following page is from *Idea Management: How To Motivate Creativity and Innovation*.)

S - C - A - M - P - E - R



CREATIVITY BLOCKS

Each of us has certain "blocks" that inhibit our own creativity. We unconsciously create secret excuses to avoid being creative or innovative. Listed below are some of the most common blocks and how to overcome them.

"I don't want to look foolish." We are not willing to suggest something new in case someone might make fun of us or we fear that looking foolish will undermine our professional image. We need to accept the fact that most new ideas get laughed at when first proposed.

"I don't want to fail." Don't view failure as the opposite of success, rather as the **way** to success. We need to allow ourselves to fail and recognize that we **learn** from mistakes. A mistake is when we only miss the mark--failure is when we stop trying.

"I'm not creative." Research shows that the major difference between creative and noncreative people is self-confidence.

"That's not my area (skill, style, etc.)." Overemphasis on specialization limits creativity and allows us to build safe boxes around ourselves. We need to open up to new situations, challenges, and opportunities.

"I don't get paid to have fun." There is a tendency to believe that having fun is the opposite of work. Finding ways to make your job fun (enjoyable) makes you a better employee.

FOSTERING CREATIVITY IN SUBORDINATES

Allowing yourself to be creative and overcoming your personal blocks to creativity are important goals for everyone. But if you're a supervisor, these are just the first steps--you also have a responsibility to encourage and help your subordinates to be creative. In other words, you need to avoid saying or doing things that inhibit creative/innovative ideas.

Killer phrases are responses to ideas or suggestions that make the other person feel stupid and/or unimportant. Killer phrases come in many forms and we've all been on the receiving end of one at some time in our lives. Examples are: "We tried that before and it didn't work;" "What's wrong with the way we do it now?" etc. Supervisors need to be keenly aware of the debilitating effect of killer phrases on others and constantly guard against unintentionally turning off new ideas.

There are other ways in which supervisors inhibit creativity, sometimes without even realizing what they're doing. In *The Change Masters*, Rosabeth Moss Kanter defines ten ways to stifle creativity in subordinates. These "Rules for Stifling Creativity," which follow, are intended to be a humorous way to emphasize those things supervisors must **avoid**.

Be suspicious. All firefighters/emergency medical technicians (EMTs) are dumb. How could **they** possibly have any innovative ideas? Just because they're the end users of the tools, equipment, and procedures is no reason to believe they can improve on anything.

Be inaccessible. Avoid giving approval on new ideas by making yourself scarce. Say: "I don't have time right now!" After all, if your name is on a recommendation, your bosses might think you're slipping and what if it turns out to be a not-so-hot idea? You would surely be blamed.

Pass the buck. If one of your crew has a good idea, make him/her get the whole crew to approve of it. That way you can always say: "**They all** said it was a good/lousy idea--it wasn't my decision!"

Criticize at every opportunity. Don't ever tell them they did a good job--they'll probably get swell-headed. Constantly telling them about things they do wrong will give them the incentive to do better work. They most certainly should not be spending time on new ideas when they can't even do things the good old-fashioned way.

Discourage people from letting you know when there's a problem. After all, most problems will go away if we just ignore them. Anyway, only troublemakers would tell you about any problems you might have.

Control everything carefully. Don't let your crew participate in any decisionmaking. After all, you're the officer, you know what's best for everyone and everything.

Make significant policy changes in secret. Change seniority policies just before vacations are selected.

Keep people in the dark as much as possible. If your crew knows too much they'll try to take over your job. Things will go much smoother if only **you** have vital information.

Pass on your dirty work in the name of delegation and participation. Wait until you have a day off and let your fill-in handle those nasty tasks. You have to live there--it wouldn't be fair if you had to do it.

Finally, above all else, never forget that you, the supervisor, know everything there is to know.

Characteristics of Supervisors Who Foster Creativity

They are willing to absorb the risks taken by subordinates. They expect errors when trying something new. They defend subordinate failures to upper management.

They are comfortable with half-developed ideas. They have the ability to pick out incomplete ideas that have potential. They don't immediately focus on all the reasons why a new idea might not work. They don't require all the answers before considering a new idea.

They are able to make quick decisions. They don't procrastinate approving pursuit of a good idea because they're afraid it might fail. They don't use their own fears as an excuse to hold back subordinates.

They are good listeners. They draw out the best ideas of subordinates and add to them. They don't ram new policies down the throats of subordinates; they listen to the other side and take it into consideration.

They don't dwell on past mistakes. They practice the theory that says, "When it's over, it's over." They are future-oriented, not past-oriented.

They enjoy their jobs. They **like** being able to bring out creative ideas from subordinates. They add energy to the workplace.

They **expect** subordinates to succeed. They use praise more than criticism. They genuinely **care** about subordinates. They work at helping subordinates enjoy their jobs.

They capitalize on subordinate strengths. They recognize unusual talent and help it grow. They allow subordinates to get involved in projects that show their strengths.

SELLING YOUR IDEAS TO TOP MANAGEMENT

Selling new ideas to top management is often more difficult than generating them. We commonly make the mistake of assuming that just because we've spent a lot of time and effort developing a new procedure/technique/concept it will be immediately apparent to others that it's a good idea worthy of adopting.

Unfortunately, this is rarely true! Getting others to accept and adopt our ideas requires planning and effort on our part. The planning process outlined below allows us to assess the "sellability" of our ideas and provides pointers on how to persuade others that our ideas are worth trying.

Consider the following questions **before** proposing new ideas to management:

- **Will your idea work?** (Test it several times.) Is it practical? Is it distinctly better than the present way?
- **Will people accept it?** Will it improve quality? Will it increase productivity? Will it use personnel more effectively? Will it improve present methods of operation or present equipment? Will it improve safety? Will it eliminate unnecessary work? Will it reduce costs? Will it improve working conditions?
- **Is your idea timely?** Is it fully developed? Is top management ready for it? If it's approved, are **you** ready to **act** on it? Are you sure it doesn't conflict with other projects that already have top-management approval/priority?

In order to develop a persuasive argument, emphasize how your idea relates to a recognized need. Identify the **most** "sellable" features of your idea. Evaluate the priorities of top management. (What's bothering them most right now? What do they care most about?)

Emphasize the feature(s) of your idea that top management will be most interested in.

Appeal to positive values. Emphasize the "ideal" qualities of your idea. Relate your idea to "improved public service." Clearly spell out the benefits to citizens, employees, etc.

Anticipate objections. Think of all the possible reasons why top management may be reluctant to accept your idea. Build a response to all possible objections into your initial proposal. Get others involved. Whenever possible, work at building support for your idea at **your** level first. Remember, there is strength in numbers.

Ensure your credibility. Don't make false claims. Don't exaggerate. Don't be defensive. If someone raises a question to which you don't have an answer, offer to research the question and provide a followup response.

SUMMARY

Most individuals underestimate their own creative potential and have a natural hesitation about getting involved in a creative process. Hopefully, this module has convinced you that everyone can be creative if they're willing to tear down the "blocks" they've established in their lives.

GLOSSARY

1. **Creativity**--The ability to produce original ideas or products.
2. **Creative awareness**--The ability to envision possibilities (potential) and not just reality.
3. **Creative drive**--Willingness to keep trying to find new ideas.
4. **Creative flexibility**--The ability to generate ideas in different categories; the ability to practice free association.
5. **Creative fluency**--The quantity of ideas you can generate in a specific period of time.
6. **Creative originality**--The ability to generate ideas that others don't think of.
7. **Innovation**--The ability to improve a present practice, method, or product by adaptation or alteration.
8. **Killer phrase**--A quick response to a proposed idea which "turns off" the proposer.

This page intentionally left blank.

APPENDIX

This page intentionally left blank.

What is Management's Role in Innovation?

Published: November 30, 2007

By: Jim Heskett

<http://hbswk.hbs.edu/item/5821.html>

In early December, a colloquium on "Creativity, Entrepreneurship, and Organizations of the Future" is being held as part of the 100th anniversary celebration at the Harvard Business School. To kick off the colloquium, senior managers of 4 sizeable organizations heavily involved in innovation have been asked to pose "burning questions" to the assembled researchers and practitioners of innovation and creativity. Given their importance for global economic health and progress, the questions are worth pondering.

One highly successful Silicon Valley entrepreneur will ask whether management is a net positive or negative in fostering creativity and invention. He will cite a growing body of evidence that suggests that bottom-up "discovery" has a superior record in comparison with "top down 'deliberate' strategies from headquarters." He asks whether companies should call a halt to managing the innovation process, "intentionally abandoning control of their scarcest resources."

Another senior executive will ask whether creativity scales. Can an innovator be more productive with the substantial resources that a large organization can provide? Or does the process work better in the loneliness of the garage with limited resources, little collective advice, and a predictably high failure rate? Are resource-constrained entities more creative because they have to find ways of dealing with the constraints? One question posed by this panel member sums up the tension associated with management's role in creativity and innovation: Is there "a theoretical sweet spot where scale fosters innovation, beyond which the complexity starts to stifle it?"

A third executive will raise questions concerning the impact of the Internet on the management of these processes. He will lament the "'lone genius' myth of creativity and innovation (that) may be limiting our ability to make meaningful progress in everything from technology to organizations to education—even society itself." The implication here is that the Internet has the potential to encourage the kind of collaboration that can prove useful in creative work. But in doing so, does it foster a kind of anarchy in which ideas flow directly between innovators with little involvement by management in a networked world? In fact, are management processes so out of tune with networked processes that they will represent a brake on collaborative innovation?

The fourth will ask what needs to be done to foster a culture of creativity in an organization. Specifically, how do managers avoid "the temptation to apply simplistic process management tools to the discovery process?"

One feature of these questions, posed independently by four thoughtful senior practitioners, is their remarkable consistency. All ask whether management, as it is currently practiced, has much to contribute to innovation and creativity. If the answer is little, one might ask what kinds of changes will be necessary to allow managers, particularly in larger organizations, to add value to the creative process? Or is it more productive to explore ways of providing incentives to the innovators of the world, largely outside large organizations, possibly by facilitating the market that mediates resources between investors and innovators? What do you think?

This page intentionally left blank.

ENHANCING YOUR PERSONAL POWER BASE

OBJECTIVES

The students will:

1. *Identify five types of power.*
 2. *Identify the sources and limits of different types of power.*
 3. *Differentiate between use and abuse of different types of power.*
 4. *Explain how influencing and networking can complement one's power base.*
 5. *Identify potential activities for enhancing their power base.*
 6. *Begin to develop a Personal Power Enhancement Plan.*
-

This page intentionally left blank.

I. DEFINITION AND IMPORTANCE OF POWER

A. Power is being able to influence the attitudes and/or behavior of others.

B. Relationship to leadership.

1. Appropriate use of power is an essential leadership skill.
2. Leadership is influencing others toward the accomplishment of organizational goals.
3. Leader's effectiveness is dependent on cooperation of others.
4. Power minimizes this dependency.

C. Obligations of power.

1. Ethical power usage excludes:
 - a. Exploiting others.
 - b. Influencing others to illegal or immoral conduct.
 - c. Reducing others' self-esteem.

2. Positive power usage assumes:
 - a. Sensitivity.
 - b. Preference for win-win solutions.
 - c. Effective interpersonal skills.

II. TYPES OF POWER

- A. Formal power:
 1. Tied to your **position**.
 2. Your position guarantees a certain level of **authority**.
 3. You can **direct** or **order** subordinates.
 4. The higher your position the more formal power.
 5. Others comply because they believe you have the **right** to tell them what to do and they have an **obligation** to do it.

B. Reward power:

1. The ability to give rewards in exchange for compliance.
2. Rewards can be official or informal.
3. Rewards must be meaningful.
4. Others comply because they want to obtain some benefit that you control.

C. Coercive power:

1. The ability to punish for noncompliance.
2. Punishments can be official or informal.
3. Punishments must be meaningful.
4. Others comply because they want to avoid some punishment that you control.

D. Expert power:

1. Having more knowledge and/or ability than others in some specific area and using it to your advantage.
2. Others must be aware of your expertise.
3. Others comply because they respect your expertise.

E. Referent power:

1. Being liked, admired, and trusted by others.
2. Using charisma to your advantage.
3. Others comply because they want to please you and/or want your approval.

III. SOURCES AND LIMITS OF POWER

A. Two sources of power:

1. Ascribed or position power.
 - a. The power goes with an individual's **position**.

- b. Generally, your rank or position determines the amount of formal, reward, and coercive power you possess.
 - c. Subordinates comply because they **must!**
 - 2. Achieved or personal power.
 - a. The power is earned.
 - b. Expert and referent powers are in this category.
 - c. Subordinates comply because they **want to!**
- B. Power has limits.
 - 1. Formal, reward, and coercive powers only work **downward.**
 - 2. Formal power is limited by your assigned scope of authority.
 - 3. Reward power is limited by the desirability of the reward.
 - 4. Overuse of coercive power leads to covert resistance.
 - 5. Expert power is limited by other's perception of how important or useful the area of expertise is.

C. Other facts:

1. Expert and referent powers can work downward, across, and upward.
2. Individuals with low self-confidence rely more on formal and coercive power.
3. Most effective leaders prefer referent and expert power.
4. Less visible/more creative tasks demand expert or referent power.
5. More sophisticated/capable individuals respond better to expert or referent power.
6. The more you use, the more you lose.

The chart on the following page is a handy guide to help you predict how subordinates might respond to your use of power in varying situations.

Using Different Power Types and Likely Outcomes

TYPE OF POWER	TYPES OF OUTCOMES		
	Commitment	Compliance	Resistance
Referent power	LIKELY If request is believed to be important to leader.	POSSIBLE If request is perceived as unimportant to leader.	POSSIBLE If request is perceived as harmful to leader.
Expert power	LIKELY If request is persuasive and subordinates share leader's goals.	POSSIBLE If request is persuasive but subordinates don't care about goals.	POSSIBLE If leader is arrogant or insulting, or subordinates oppose goals.
Formal power	POSSIBLE If request is polite and appropriate.	LIKELY If request is seen as appropriate.	POSSIBLE If request is arrogant and/or inappropriate.
Reward power	POSSIBLE If used in a subtle, very personal way.	LIKELY If used in a routine, impersonal way.	POSSIBLE If used in a manipulative, arrogant way.
Coercive power	VERY UNLIKELY Regardless of how it's done!	POSSIBLE If used in a helpful, nonpunitive way.	LIKELY If overused or used in a hostile or manipulative way.

Chart is adapted from Gary A. Yukl's *Leadership in Organizations*. New Jersey: Prentice-Hall, Inc., 198, p. 45.

This page intentionally left blank.

Activity PP.1

Analyzing Appropriate Use and Abuse of Power

Purpose

To differentiate between the use and abuse of different types of power.

Directions

You are about to watch seven video scenarios. After each video scenario is shown, complete the video scenario questions provided below. Use the Do's and Don'ts Checklist to help analyze behaviors.

Video Scenario 1

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

Video Scenario 2

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

Video Scenario 3

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

Video Scenario 4

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

Video Scenario 5

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

Video Scenario 6

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

Video Scenario 7

Type of Power:

Appropriate Use ☐ or Abuse ☐

What did the leader do which indicated either appropriate use or abuse?

By adhering to the following rules you can ensure the most effective and appropriate use of all five power types and you can avoid a reputation of abusing power.

Activity PP.1 (cont'd)

Do's and Don'ts Checklist

Formal Power	
Do	Don't
Be polite.	Make demands outside of your scope of authority.
Make requests in a confident tone.	Be arrogant and/or discourteous.
Be specific.	Give ambiguous orders.
Check for comprehension.	Make needless demands just to prove you are in charge!
Make sure your request is within your scope of authority.	Bully subordinate.
Require compliance.	
Be responsive to subordinate concerns.	

Reward Power	
Do	Don't
Make sure request is achievable.	Offer rewards for an undoable task.
Make sure the reward is meaningful (desired).	Offer meaningless rewards.
Make sure you have the ability/authority to deliver the reward.	Offer rewards you can't deliver.
Make sure your request is proper and ethical.	Offer rewards for improper behavior (bribes).

Coercive Power	
Do	Don't
Inform subordinates about rules and penalties for violation.	Make up rules as you go along.
Administer discipline fairly and consistently.	Play favorites.
Stay calm and avoid hostility.	Punish without being sure of your facts.
Administer punishment privately.	Threaten to do something you know is beyond your authority.
Make sure you have the ability/authority to deliver the threatened punishment.	Punish in public.

Expert Power	
Do	Don't
Promote/Advertise your own expertise in a subtle way.	Flaunt your expertise.
Prove/Demonstrate your expertise.	Claim expertise you don't possess.
Use your expertise to help others.	Use your expertise to reduce others' self-esteem.
Use your expertise to solve organizational problems.	Hoard information that others need.
Stay humble.	Become conceited and arrogant.

Referent Power	
Do	Don't
Accept others as they are.	Overuse personal appeals.
Express affection and trust.	Violate others' trust in you.
Show concern for others' welfare.	Take advantage of others because they like you.
Be a good role model.	Ask others to do something improper out of friendship.
Learn how to make personal appeals. (Do it for ME.)	

IV. POWER SKILLS

A. Influencing.

1. Successful leaders map out an **influence plan** whenever an intended influence attempt is important.
2. To formulate an influence plan, answer the following questions:
 - a. Whom do you want to influence?
 - b. What exactly do you want them to do?
 - c. What's in it for them if they agree? (Can you use any reward power?)
 - d. Do they lose anything if they refuse? (Can you subtly use any coercive power?)
 - e. How do they feel about you? (Do you have any referent or expert power?)
 - f. What will be the main objections offered by the person(s) you wish to influence? (Be specific.)
 - g. How will you respond to each objection? (Be specific.)
 - h. What exactly do you plan to say when you make your initial suggestion? (Write it down and rehearse.)

This page intentionally left blank.

Sample Influence Plan

What do you want to influence?

As Fire/Emergency medical services (EMS) Officer, you have become aware of the lack of any physical fitness activities of your company. There isn't a mandatory program in the department but you realize that good physical fitness is important to all firefighter's/emergency medical technician's (EMT's) health and safety.

Whom do you want to influence?

Each member of your company.

What exactly do you want them to do?

- Participate in a walking/jogging program.
- Become stronger.
- Lose some weight.
- Become more agile and flexible.

What's in it for them if they agree?

- Lose some fat.
- Become more fit.
- Feel better.
- Suffer fewer injuries.
- Prevent heart attacks.
- Guaranteed time on duty to work out.
- Maybe play volleyball or softball after working out.
- Look better.

Do they lose anything if they refuse?

- The whole company will be required to go to the park, gym, pool, etc. every duty day-- regardless of whether or not they participate.
- Maybe have nonparticipants clean apparatus and equipment if not participating in physical fitness activities while at the park, gym, pool, etc.

How do they feel about you?

- I maintain an exercise program for myself.
- I know a great deal about physical fitness programs.
- I am reasonably fit.
- I have stamina.
- I am trusted.

What will be the main objections offered and how will I respond?

Objection #1 If we jog for 30 minutes, we'll be too tired to fight fires or perform patient care.

Response #1 Walking or jogging should only slightly tire you out if it is done properly.

Objection #2 I'm too old for this.

Response #2 You're never too old to improve your fitness. There are people in their 70s who run marathons!

Objection #3 I'll have a heart attack!

Response #3 Physical fitness is much safer than fighting fires or lifting patients. If we all start slowly and don't overdo, there is practically no risk.

Objection #4 I have a bad back, bad knees, etc.

Response #4 If walking, jogging is too stressful, we'll try to find a site where there is a pool and/or stationary bicycles.

Objection #5 We've started these programs before and they've all fizzled out.

Response #5 I'll give you my word that as long as I'm at this station, we'll go everyday to work out, unless there is a major fire or something beyond our control.

What exactly do you plan to say when you make your initial suggestion?

- I'll call a meeting when everybody is on duty and outline what I have in mind.
- I'll cover the possible objections to the program before the crew raises them. I'll give everyone a chance to air their feelings both for and against it.
- I'll make sure the following points are covered:
 - We all need to be physically fit.
 - It's our duty and responsibility.
 - No one will be forced to participate.
 - I hope that everyone is at least willing to try it out.
 - That I'll need their help with scheduling and site selection.
 - That all of us will be stronger, more flexible, and have more endurance.
 - That all of our chances for line-of-duty injuries and heart attacks will be lessened.

This page intentionally left blank.

IV. POWER SKILLS (cont'd)

3. Characteristics of influential people (Quinn).
 - a. Know what they want.
 - b. Know they have a right to get what they want.
 - c. Are articulate.
 - d. Are sensitive.
 - e. Have credibility.
 - f. Know how to deal with opposition.
 - g. Have good selling skills.
 - h. Know what motivates others.
 - i. Seek visibility.

B. Networking.

1. Develop cooperative relationships with people who can or might someday be able to assist you in reaching a goal.
2. A **network** is an informal, unstructured support system.
3. Look for people with:
 - a. Expertise.
 - b. Power.
 - c. Information.
 - d. Access to decisionmakers.
 - e. Resource control.
4. Networking techniques:

V. INCREASING YOUR POWER BASE

(From the ideas generated in class, list below those you'd like to try.)

- A. Formal power.
- B. Reward power.
- C. Coercive power.
- D. Expert power.
- E. Referent power.

Activity PP.2

Developing a Personal Power Enhancement Plan

Purpose

To begin to develop a Personal Power Enhancement Plan.

Directions

1. Your instructor will briefly summarize the material covered in this module.
2. Follow the steps of the Personal Power Enhancement Plan on the following page.

This page intentionally left blank.

Activity PP.2 (cont'd)

Personal Power Enhancement Plan

Present Power Base Analysis

For each type of power listed below, assess and describe how much you presently possess. Use the following scale to assign a score:

0 = none

1 = a minimal amount

2 = a moderate amount

3 = a lot

1. Formal Power Personal Score: _____

List examples of formal power you possess:

_____	_____
_____	_____
_____	_____
_____	_____

2. Reward Power Personal Score: _____

List examples of reward power you possess:

_____	_____
_____	_____
_____	_____
_____	_____

3. Coercive Power Personal Score: _____

List examples of coercive power you possess:

_____	_____
_____	_____
_____	_____
_____	_____

4. Expert Power Personal Score: _____

List examples of expert power you possess:

_____	_____
_____	_____
_____	_____
_____	_____

5. Referent Power Personal Score: _____

List examples of referent power you possess:

_____	_____
_____	_____
_____	_____
_____	_____

Scoring:

Add up each of the scores listed above. Total score: _____

0-5 Means your power base is weak. You need to consciously work on enhancing your present power base!

6-9 Means your power base is average. Work on ways to use it effectively.

10-15 Means your power base is extremely strong. Be careful not to overuse or abuse it!

Power Enhancement Strategies

For each type of power, list specific actions you can take to use your present power base more effectively and/or increase your present power base.

1. Formal Power:

a. Actions I can take to use the power I have more effectively:

b. Actions I can take to increase my power base:

2. Reward Power:

a. Actions I can take to use the power I have more effectively:

b. Actions I can take to increase my power base:

3. Coercive Power:

- a. Actions I can take to use the power I have more effectively:

- b. Actions I can take to increase my power base:

4. Expert Power:

- a. Actions I can take to use the power I have more effectively:

- b. Actions I can take to increase my power base:

5. Referent Power:

- a. Actions I can take to use the power I have more effectively:

- b. Actions I can take to increase my power base:

Power Plan Implementation

Make a personal commitment to follow through on your selected strategies. Be persistent--don't expect immediate results. Eventually you'll see an obvious improvement in your leadership effectiveness!

This page intentionally left blank.

Activity PP.3 (Optional)

Developing an Influence Plan

Purpose

To begin developing an Influence Plan.

Directions

1. Your group will have 10 minutes for each person to describe a future influence situation that could be encountered.
2. Your group then has 5 minutes to reach consensus on selecting **one** of the situations to role-play.
3. You have 5 minutes to write on an easel pad:
 - a. A brief, but complete, description of the situation.
 - b. Role of influencer (Fire/EMS Officer, union president, etc.).
 - c. Role of influenced (firefighter/EMT, etc.).
4. Divide your group into two subgroups (A and B).
5. Subgroup A (Influencer role).
 - a. Develop an influence plan for a meeting with the influenced. (Use the process outlined in the Using Different Power Types and Likely Outcomes chart on SM p. PP-9.)
 - b. Select a person to play the role of the influencer.
6. Subgroup B (Influenced role).
 - a. Develop a counterinfluence plan for the influenced.
 - b. Select a person to play the role of the influenced.

This page intentionally left blank.

DEFINITION AND IMPORTANCE OF POWER

The very mention of the word "power" automatically conjures up a negative image to most individuals. This is unfortunate because power, in itself, is neither good nor bad, neither moral nor immoral! It is a neutral skill which can be used effectively or abused.

Power is the ability to influence the attitudes and/or behaviors of others. In other words, it's your ability to get others to do what you want. When viewed in this way, it becomes clear that most of us use power regularly in our daily lives.

Since effective leadership requires influencing others toward goal achievement, successful leaders are highly skilled at using power effectively. They consciously strive to enhance their own power base, thus, increasing their ability to control their leadership environment.

The use of power over other persons implies their submission. The person using power has an obligation to recognize this submission and protect those being influenced. **Positive** power usage demands a sensitivity to others and a preference for "win-win" solutions. Using power to exploit others, or to encourage illegal conduct, or to reduce others' self-esteem is a **negative** use or **abuse** of power.

TYPES OF POWER

Formal power is tied to your official position within the organization (chief, captain, Fire/EMS Officer, etc.). The position you hold guarantees you a certain level of authority over your subordinates. Obviously, the higher your position in the organization, the more formal power you possess. When formal power is used effectively, others comply because they believe **you** have the **right** to tell them what to do and **they** have an **obligation** to do it.

Reward power is the ability to give rewards in exchange for compliance. Rewards may be **official** (raises, awards, promotions, etc.) or **informal** ("atta-boys/girls," special recognition, etc.). But, whether official or informal, the reward must be desired by the other person in order to work. When reward power is used effectively, others comply because they **want** to obtain some **benefit**, which you control.

Coercive power is the ability to **punish** others for noncompliance--the opposite side of the coin from reward power. Punishments, like rewards, can be either **official** (reprimand, suspension, etc.) or **informal** (isolation, ignoring, etc.). When coercive power is used effectively, others comply because they want to **avoid** some **punishment**, which **you control**.

Expert power is having more knowledge and/or ability than others in some specific area and using this to your advantage. When expert power is used effectively, others comply because they believe **you know more** than they do and they **respect** your expertise.

Referent power is being liked, admired, and trusted by others. When referent power is used effectively, others comply because they **want to please you** and they **want your personal approval**.

SOURCES AND LIMITS OF POWER

All five types of power come from two basic sources--the **organization** or **oneself**. Power derived from the organization is called **ascribed** or **position** power. **Formal**, **reward**, and **coercive** powers all fall into this category. Generally, your official rank determines how much of these kinds of power you possess.

Power derived from oneself is called **personal power**. **Expert** and **referent** powers fall into this category. Your position in the organization carries no guarantee of these power types--they must be **earned** through persistent accumulation of specialized knowledge/skill and through effective interpersonal relationships.

Personal power carries a lot more weight than position power. With position power, others comply based on an imposed acceptance of your organizational authority. In other words, they comply because they **must!** With personal power, others comply based on respect and/or admiration for you as an individual. They comply because they **want to!**

All five types of power can be used to your advantage, but there are limits.

Formal, **reward**, and **coercive** powers generally only work on subordinates--downward power only! **Formal** power is limited by your assigned scope of authority. **Reward** power is limited by the desirability of the promised reward. Overuse of **coercive** power leads to covert resistance. Individuals with **low self-confidence** rely more on legitimate and coercive powers.

Expert and **referent** powers can work downward (subordinate), across (peers), and upward (superiors). **Expert** power is limited by others' perception of the importance/usefulness of the area of expertise. The most effective leaders rely more on referent and expert powers.

Compliance in visible, routine tasks can be influenced by formal power alone. Less visible, more creative tasks require referent or expert power. All power types are a **limited** source of energy--the more you use, the more you lose!

Using any of the five power types can produce various responses from those you are trying to control. These responses range from **commitment** (enthusiastic cooperation) to **compliance** (neutral acceptance) to **resistance** (unwillingness to comply).

POWER SKILLS

Two types of power skills that complement and enhance an individual's power base are influencing, and networking. Successful leaders carefully plan their attempts at **influencing** others. An influence plan helps a leader determine power strategies that would be appropriate. To formulate an effective influence plan, answer the following questions:

- Whom do you want to influence?
- What exactly do you want them to do?

- What's in it for them if they agree? (Can you use any reward power?)
- Do they lose anything if they refuse? (Can you subtly use any coercive power?)
- How do they feel about you? (Do you have any referent or expert power?)
- What will be the main objections offered by the person(s) you wish to influence? (Be specific.)
- How will you respond to each objection? (Be specific.)
- What exactly do you plan to say when you make your initial suggestion? (Write it down and rehearse.)

Networking is developing cooperative relationships with people who can, or might someday be able to assist you in reaching a goal. A **network** is an informal, unstructured support system which enhances your ability to use power effectively. Successful leaders cultivate relationships with many different individuals. Their **network** includes people who:

- have expertise in a variety of areas;
- have lots of power;
- have access to vital information;
- control necessary resources; and
- have access to decisionmakers.

Once you target an individual as someone you would like to have on your side, you need to **cultivate** your relationship by saying and doing things that make him/her like you, need you, respect you, and want to help you. Capitalize on areas of common interest, trade resources, etc.

INCREASING YOUR POWER BASE

Once you become aware of the potential benefits of effective power usage, you will want to take specific steps to increase your power base. Remember that formal, reward, and coercive powers are largely dependent on your position in the organization. Thus, your ability to increase these powers is somewhat limited, but you **can** work on ways to **use** them more effectively. On the other hand, your ability to increase your own expert and referent powers is unlimited.

SUMMARY

Appropriate use of power is a critical leadership skill. Fire/EMS Officers have a wide variety of powers available to them. The key is to be aware of **position powers** you possess and learn to use them to your own advantage. Then consciously strive to build your **personal powers** so that you can rely more on them and less on your position in order to influence others.

This page intentionally left blank.

GLOSSARY

1. **Ascribed Power**--Power attained by virtue of one's official position (sometimes called position power).
2. **Coercive Power**--The ability to punish for noncompliance.
3. **Expert Power**--Having more knowledge/ability than others in some specific area.
4. **Formal Power**--Power derived from your official position that gives you the authority to direct or order others. (Sometimes referred to as bureaucratic, legitimate, or position power.)
5. **Networking**--Developing cooperative relationships with people who can or might someday be able to assist you.
6. **Personal Power**--Power earned by the individual.
7. **Power**--Being able to influence the attitudes and/or behavior of others.
8. **Referent Power**--Being liked, admired, and trusted by others. (Sometimes referred to as charismatic power.)
9. **Reward Power**--The ability to give rewards in exchange for compliance.

This page intentionally left blank.

ETHICS

OBJECTIVES

The students will:

1. *Identify the importance and impact of ethics on the fire/emergency medical services (EMS) department and its members.*
 2. *Identify the roles of the Fire/EMS Officer in establishing, modeling, and managing ethical behavior.*
 3. *Analyze their own department's existing ethical rules and guidelines, and where the gaps might be.*
 4. *Demonstrate decisionmaking involving ethical practices.*
-

This page intentionally left blank.

Activity ET.1

Ethics at Any Level

Purpose

To identify the importance and impact of ethics on the fire/emergency medical services (EMS) department and its members.

Directions

1. Read the following scenario, which illustrates several typical ethical dilemmas any Fire/EMS Officer might face.
2. After reading the scenario, should put it away for use later in the module.

Scenario

You are the Chief Officer in Strafford County. Within the county is the city of Clarkmont, which has its own career fire/EMS department. Your duties involve oversight of the 9-1-1 center, emergency management, and coordination of the workings of ten volunteer departments to the south and west of Clarkmont. Mutual aid is in place. Upon taking this position you were under the impression that there was a good working relationship within and among the various volunteer departments who receive a mill tax from the county, as well as revenue from other fundraising events. Part of your job is to insure that volunteer departments are meeting standards before disbursing money as you finalize your budget. You get a call from a local newspaper.

The reporter is working on a story and asks for some input from you. Allegedly "The Wayward Volunteer Department" has violated its own rules. The president of the department has the authority to fire any volunteers who miss calls and do not pay annual dues of \$10 by the end of the month. The reporter says that at the meeting the previous night, the president fired six of its younger members, and it is only the 5th of the month. All six live in the district and are career fire/EMS personnel. They have excellent records of participation, especially on their nonduty days when the department is understaffed. The reporter contacted the president, who said "they did not pay their dues on time" and "we can always get mutual aid from Bellevue and Greenleaf..." as well as two other departments whose name was not mentioned. The reporter further states that the people who called the paper said those departments are as far as 20 minutes away and usually respond via an old highway, which is very difficult to drive on, especially in the winter.

You have heard rumors that the president, who has been in power for over 30 years and has created an "old dogs" network, playing favorites with the buddies, is fearful that the younger group will try to replace the president in a job for which there isn't a salary but enjoys standing within the community. Without divulging to the reporter that you have heard this rumor, you state you will investigate and ask for names of those who complained. The reporter refuses to divulge sources but says the minutes of the meeting mysteriously disappeared when trying to access them under the Freedom of Information Act.

This page intentionally left blank.

I. ETHICS AND THEIR IMPACT

A. What is the meaning of ethics?

1. A given system of conduct.
2. Principles of honor or morality.
3. Guidelines for human action.
4. Rules or standards.
5. Expected behavior.

B. Ethics have roots in:

1. Ancient history.
2. Religion.
3. Systems of law.
4. Social customs.

5. Personal code of conduct.

C. Codes of ethics are standards of behavior for:

1. Professional life.

2. Relations with the public.

3. Relations with employers.

4. Relations with coworkers.

II. SAMPLE CODE OF ETHICS

The American Society for Public Administration (ASPA) exists to advance the science, processes, and art of public administration. ASPA encourages professionalism and improved quality of service at all levels of government, education, and the not-for-profit private sector. ASPA contributes to the analysis, understanding, and resolution of public issues by providing programs, services, policy studies, conferences, and publications.

ASPA members share with their neighbors all of the responsibilities and rights of citizenship in a democratic society. However, the mission and goals of ASPA call every member to additional dedication and commitment. Certain principles and moral standards must guide the conduct of ASPA members not merely in preventing wrong, in pursuing right through timely and energetic execution of responsibilities.

To this end, we, the members of the Society, recognizing the critical role of conscience in choosing among courses of action and taking into account the moral ambiguities of life, commit ourselves to:

A. Serve the public interest.

Serve the public, beyond serving oneself. ASPA members are committed to:

1. Exercise discretionary authority to promote the public interest.
2. Oppose all forms of discrimination and harassment, and promote affirmative action.
3. Recognize and support the public's right to know the public's business.
4. Involve citizens in policy decisionmaking.
5. Exercise compassion, benevolence, fairness, and optimism.
6. Respond to the public in ways that are complete, clear, and easy to understand.
7. Assist citizens in their dealings with government.
8. Be prepared to make decisions that may not be popular.

B. Respect the Constitution and the law.

Respect, support, and study government constitutions and laws that define responsibilities of public agencies, employees, and all citizens. ASPA members are committed to:

1. Understand and apply legislation and regulations relevant to their professional role.
2. Work to improve and change laws and policies that are counterproductive or obsolete.
3. Eliminate unlawful discrimination.
4. Prevent all forms of mismanagement of public funds by establishing and maintaining strong fiscal and management controls, and by supporting audits and investigative activities.
5. Respect and protect privileged information.
6. Encourage and facilitate legitimate dissent activities in government and protect the whistle blowing rights of public employees.
7. Promote constitutional principles of equality, fairness, representativeness, responsiveness, and due process in protecting citizens' rights.

C. Demonstrate personal integrity.

Demonstrate the highest standards in all activities to inspire public confidence and trust in public service. ASPA members are committed to:

1. Maintain truthfulness and honesty and to not compromise them for advancement, honor, or personal gain.
2. Ensure that others receive credit for their work and contributions.
3. Zealously guard against conflict of interest or its appearance: e.g., nepotism, improper outside employment, misuse of public resources, or the acceptance of gifts.
4. Respect superiors, subordinates, colleagues, and the public.
5. Take responsibility for their own errors.
6. Conduct official acts without partisanship.

D. Promote ethical organizations.

Strengthen organizational capabilities to apply ethics, efficiency, and effectiveness in serving the public. ASPA members are committed to:

1. Enhance organizational capacity for open communication, creativity, and dedication.
2. Subordinate institutional loyalties to the public good.
3. Establish procedures that promote ethical behavior and hold individuals and organizations accountable for their conduct.
4. Provide organization members with an administrative means for dissent, assurance of due process, and safeguards against reprisal.
5. Promote merit principles that protect against arbitrary and capricious actions.
6. Promote organizational accountability through appropriate controls and procedures.
7. Encourage organizations to adopt, distribute, and periodically review a code of ethics as a living document.

E. Strive for professional excellence.

Strengthen individual capabilities and encourage the professional development of others. ASPA members are committed to:

1. Provide support and encouragement to upgrade competence.
2. Accept as a personal duty the responsibility to keep up to date on emerging issues and potential problems.
3. Encourage others, throughout their careers, to participate in professional activities and associations.
4. Allocate time to meet with students and provide a bridge between classroom studies and the realities of public service.

This page intentionally left blank.

Activity ET.2

Differing Expectations and Ethical Conflicts

Purpose

To demonstrate decisionmaking involving ethical practices.

Directions

1. In your small group, discuss your assigned scenario, the formal expectations, and the informal expectations.
2. Determine the ethical considerations if informal expectations are allowed to continue.
3. The following scenarios describe situations in which formal (organizational) expectations conflict with informal expectations of the public, a supervisor, subordinates, or oneself. Differing expectations often create ethical conflicts which need to be resolved.
4. Determine how a Fire/EMS Officer should handle the situation.
5. List your results and select a spokesperson to report on your ethical considerations and the resolution of the situation.
6. You have 10 minutes to complete the exercise.

This page intentionally left blank.

Activity ET.2 (cont'd)**Worksheet****Group 1: Community Expectations**

Scenario: Your fire/EMS station, located next door to the public tennis courts, has always had citizens come into the station to use the restrooms, water fountain, and cold drink machine. During the summer, cold drink sales made enough money to buy a television set for the rec room. Since the city recently installed lighting for the courts, citizens frequently come in during the evenings. Several attractive youths have been spending a few hours after playing tennis watching television and joking around with the crew members of the company.

Informal Expectations of Involved Citizens and Subordinates

The fire/EMS station is public property and therefore open to the public. They are not interfering with official activities and are causing no harm.

Formal Expectations (Official Department Policy)

Visitors to the fire station should be approved by the station officer and the duration of visits should be limited to the time it takes to conduct whatever business is needed.

Ethical Considerations	How Should the Fire/EMS Officer Handle?
1.	
2.	
3.	

Group 2: Supervisor's Expectations

Scenario: The shift commander, when visiting your fire/EMS station, usually spends a half hour or more talking about the Chief-level Officer in a very negative manner. The shift commander finds fault with every order or policy that comes from the office. The members of your company think the shift commander is great because of the understanding of how they think and feel.

Informal Expectations of Involved Citizens and Subordinates

The shift commander has a duty to keep all members of their battalion informed about the orders and policies of the department and they also have the right to add personal opinions to policy matters.

Formal Expectations (Official Department Policy)

All members of the department should demonstrate loyalty to the department, their superiors, their subordinates, and to each other.

Ethical Considerations	How Should the Fire/EMS Officer Handle?
1.	
2.	
3.	

Group 3: Subordinates Expectations

Scenario: For many years, several times a week, your company has stopped by a local ice cream parlor for ice cream cones. The owner doesn't discount the price, but does give double scoops at no extra charge to the firefighters/emergency medical technicians (EMTs).

Informal Expectations of Involved Citizens and Subordinates

This stop for ice cream has become somewhat of a tradition of this company. No one sees any problem if the store owner wants to give a little extra to the firefighters/EMTs who stop by.

Formal Expectations (Official Department Policy)

No member of the department shall accept any tips, gratuities, presents, money, etc., as representatives of the department.

Ethical Considerations	How Should the Fire/EMS Officer Handle?
1.	
2.	
3.	

Group 4: Self-Expectations

Scenario: A new firefighter/EMT recently graduated from recruit school and has been assigned to a Fire/EMS Officer at a different station from yours. The officer does not know the new recruit is a member of your family. Today at a critique you both attended, this Fire/EMS Officer mentioned that someone is pilfering some station supplies and the new recruit is suspected and will be watched over the next several days to try and catch him in the act. This would result in the new recruit's termination.

Informal Expectations of Involved Citizens and Subordinates

This is a family member and I owe my family a warning.

Formal Expectations (Official Department Policy)

Any member caught stealing will be immediately suspended without pay and criminal charges sought by the department.

Ethical Considerations	How Should the Fire/EMS Officer Handle?
1.	
2.	
3.	

Activity ET.3

Ethical Decisionmaking

Purpose

To examine the day-to-day ethics of a group to determine: consistency, agreement, and differences. To discover the actual principles or culture and values that influence certain decisions in the group, and to discover if there is an impact on decisions by missions, goals, policies, procedures, training, performance standards, etc. To provide an actual opportunity to wrestle with some tough day-to-day decisions, calling into play both personal and organizational ethics.

Directions

1. In your small group select one person to act as coordinator/timekeeper.
2. Each person, including the coordinator, lists all others in the group (minus coordinator) on the Ethical Decisionmaking Worksheet.
3. The first volunteer reads the scenario (privately), and has **2 minutes** to decide a course of action. If the options are not acceptable, a new one can be created. Each person should decide what is ethical (proper and right) for the situation "in the real world."
4. The coordinator will read the scenario aloud, give the decision made, and explain why that option was chosen. (**1 minute.**)
5. Without discussion, others in the group score on the worksheet how much they agree with the choice and the reasons for it. (**1 minute.**)
6. Group members then tell the decisionmaker what scores they gave and why.
7. The group then has 5 minutes to question the decisionmaker and ask for justification of the choice. (Why **that** option? Why not others?) Do not try to **solve** the original problem or avoid it. Discuss the **ethics** of the decision made.
8. The coordinator moves on to the next decisionmaker, who picks a scenario. The process is repeated until all (including the coordinator) have made an ethical decision and justified it to the group.

This page intentionally left blank.

Activity ET.3 (cont'd)**Ethical Decisionmaking Worksheet****Scoring**

1	2	3	4	5	6	7	8	9	10
<	<	<	<			>	>	>	>

Shades of Disagreement

I totally disagree with your choice and your reasons.

I accept your choice, but disagree with why you chose that option.

Shades of Agreement

I totally agree with you on your choice and your reasons.

Group Members	Score I Gave to Decision	Scores Others Gave
1.		
2.		
3.		
4.		

When you have completed one round, discuss the following questions:

1. What makes ethical decisions difficult?
2. How much difference or similarity were there in the scores and why?
3. What did your group learn from this exercise?

This page intentionally left blank.

III. GUIDELINES AND RESOURCES

A. Recap.

1. Many people have a stake in decisions.
 2. Different people may have legitimate but **contradictory** expectations.
 3. The Fire/EMS Officer's **own personal** ethics count too.
 4. Ethical decisions need to consider community/organizational/personal standards.
 5. The clearer the standards, the easier the decision.
- B. Evaluating available resources/guidelines can help you resolve ethical dilemmas.

This page intentionally left blank.

Activity ET.1 (Revisited)

Guidelines and Resources to Assist in Decisionmaking

Scenario

Point out that the following scenario illustrates several typical ethical dilemmas any Officer might face.

You are a Chief Officer in a Strafford County. Within the county are is the city of Clarkmont which has its own career fire department/EMT. Your duties involve oversight of the 9-1-1 center, emergency management and coordination of the workings of ten volunteer departments which are around and mostly to the south and west of Clarkmont. Mutual aid is in place. Upon taking this position you were under the impression that there was a good working relationship within and among the various volunteer departments who receive a mill tax from the county in addition to other fundraising events. Part of your job is to insure volunteer departments are meeting standards before disbursing money and as you are finalizing your budget. You get a call from a local news paper.

The reporter tells you she is working on a story and asks for some input. Allegedly "The Wayward Volunteer Department" has violated its own rules. The president of the department has the authority to fire any volunteers who miss calls and do not pay annual dues of \$10 by the end of the month. She says that at the meeting the previous night, the president fired six of its younger members and it is only the 5th of the month. All six live in the district are career fire/EMT people from surrounding cities and counties and have excellent records of participation especially on their nonduty days when the department is understaffed. The reporter contacted the president who said "they did not pay their dues on time" and we can always get mutual aid from Bellevue, Greenleaf and two other departments whose name he did not know. She further states that the people who called her paper said those departments are as far as 20 minutes away and usually respond via an old highway, which is very difficult to drive on, especially in the winter.

[Without divulging to her you have heard rumors of the president who has been in power for over 30 years creating an "old boy" network and playing favorites with his buddies but is afraid the younger group will try to replace him in a job for which he gets no salary but standing within the community.] You inform her you will investigate and ask for names of those who complained. She refuses to divulge sources but says the minutes of the meeting mysteriously disappeared when she tried to access them under the Freedom of Information Act.

Do you investigate? If not, why not?

How do you involve the supposedly aggrieved and "fired" volunteer members?

Do you get the county manager involved due to political ramifications?

Do you demand immediate resignation of current president and Board members of the Wayward Department?

Other(s)?

This page intentionally left blank.

III. GUIDELINES AND RESOURCES (cont'd)

C. An ethical decision will:

1. Honor formal department decisions and documents.
2. Not violate laws, rules, etc.
3. Reflect reasonable and positive cultural characteristics.
4. Reflect the interest of all parties as much as possible.
5. Feel right!

IV. CHARACTERISTICS OF ETHICAL ORGANIZATION AND AN ETHICAL LEADER

A. Characteristics of an ethical organization.

1. Senior management defines and clarifies standards, values, and ethics.
2. Senior management demonstrates a commitment to those ethics, expects a similar commitment of all members.
3. The organization supports and rewards ethical behavior and ethical solutions to problems.

4. The organization gives consideration to all stakeholders--the community, policymakers, employees, and special interest groups.
5. The organization as a whole prides itself on its ideals and on striving toward them.

B. Characteristics of an ethical leader.

1. Models ethical behavior after others.
2. Attempts to balance personal ethics with those of the organization.
3. Considers impact of decisions on all others who will be affected.
4. Operates with integrity, honesty, and courage.
5. Approaches ethics from a positive point of view, guided by their own ethical compass or conscience.

C. Test of an ethical decision.

1. Do I feel unembarrassed, unashamed, not guilty, or not defensive?
2. Do I object to my decision being published openly?

3. Am I willing to risk criticism for my decision?
4. Could I justify and defend my decision to my greatest critics and enemies?
5. Have I considered all who would be affected by the decision and given them proper priority or weight?
6. Does it feel right in my gut--is my conscience clear?

This page intentionally left blank.

INTRODUCTION

The issue of **ethics** is one that has a direct impact on the fire/EMT service middle manager or Fire/EMS Officer. The Fire/EMS Officer must make decisions, provide guidance and leadership, and set an example for subordinates in the context of what is right/wrong, acceptable/unacceptable, or good/bad.

The ethical standards of the fire department/EMT are influenced by what society in general expects, what the local community believes is the job of the fire department/EMT, and by numerous laws, codes, and other standards of behavior. Each department's ethics also mirror what is valued and rewarded, as well as what is not valued and therefore penalized. This internal value system or culture is a powerful regulator of ethics, and can be a help or a hindrance to the Fire/EMS Officer trying to do the right thing in all situations. It is not an easy job!

The key concepts of this module are

- That personal and professional ethics are shaped by such differing sources as:
 - Our family's values and culture.
 - Community attitudes, including conflicting social and economic expectations.
 - The U.S. Constitution and Bill of Rights, and numerous laws, codes, and ordinances.
 - Religious beliefs and teachings.
 - Our life and work experience, including the standards, beliefs, and attitudes of peers, superiors, subordinates, and policymakers.
- That ethics and standards **change**, causing ethical dilemmas for fire department/EMT officers. For example, until recently the dumping of hazardous wastes was rather casual and considered "OK" if done economically and short distances from human activity. Now, with changing public attitudes, new legislation, and rigid restrictions, fire department/EMTs must be prepared to enforce the law, mitigate unsafe storage and transport, and carry out tricky cleanup of hazardous materials spills. Ethical questions arise about the acceptable level of exposure to firefighters/EMTs and other emergency personnel. The acquired immunodeficiency syndrome (AIDS) epidemic is causing similar soul-searching as well as changes in policies and procedures.
- That codes of ethics can only serve as rough guidelines for ethical decisions, since day-to-day ethical dilemmas cannot be specifically anticipated and solved with a formula. Rather, Fire/EMS Officers must rely on numerous sources of guidance for decisions, and anticipate gaps or organizational blind spots where no explicit guidelines exist to help with decisions.

- That midmanagers or Fire/EMS Officers play a difficult and key role in managing and influencing the day-to-day operational ethics of the department. For example, they are primarily responsible for ensuring that the community gets their money's worth (return on investment) by the effective use of personnel, materials, and time on a day-to-day or shift-to-shift basis.
- That Fire/EMS Officers, with proper planning and foresight, can avoid falling into ethical traps that would haunt them throughout their fire/EMS careers.

ETHICS AND THEIR IMPACT

Introduction

One of the greatest desires of most Fire/EMS Officers is to provide service in an honorable way and to follow a long history of leaders who performed great good to great numbers of people. This module will assist you in sorting out the ethical demands placed upon you, and in preparing for ethical challenges in the future.

Ethics

What is the meaning of ethics? Dictionaries define ethics as a given system of conduct; principles of honor or morality; guidelines for human actions; rules or standards for individuals or professions; and the character of a group based on its agreements about what is proper or expected behavior.

Ethics have roots in ancient history, religion, systems of law, social customs, and our own personal code of conduct.

Ancient History

The Greek culture adopted rules for its citizens, such as "Do the greatest good for the greatest number."

Religion

- All of the great religions of the world have the equivalent of the "Ten Commandments" to guide the thinking and actions of their members.
- These guidelines specifically state how people should act, especially in relationships with other human beings.

- The **golden rule**, "do unto others as you would have them do unto you," is universal, as are universal values of honesty, courage, justice, tolerance, and full use of talents.

Systems of Law

- Laws summarize decisions of technically trained judges as well as juries of peers who decide if a wrong has been committed.
- New laws also arise as the values and attitudes of the community change.
- Ethics often begin where the law leaves off.

Social Customs

- Define what is acceptable and unacceptable in a certain community.
- Members of any community either condone (support) or condemn (resist) specific actions.
- There is a vast difference between which standards are upheld and which are relaxed. Within some fire department/EMS, a state of constant readiness means equipment only; in others, the standard **also** includes the physical and mental readiness of all personnel.

Our Own Personal Code of Conduct

Based upon a very personal assessment of what's right or wrong, our code of conduct begins with early childhood and matures through our life experiences and the attitudes of people we respect, the confidence we have in our own standards, how often we've been supported or burned by past decisions, etc.

What is often described as a gut feeling about what's right has medical confirmation! **Except for rare sociopaths, people receive a distinct message from the pit of their stomachs when either thinking about or doing what they believe to be wrong!**

The **galvanic skin response**, used in the controversial but common lie detector test, takes advantage of this basic physiological response to truth or falsehood. It is similar to the fight or flight reflex we have when we are in a stressful situation. Our body alerts us to our most basic options!

Codes of Ethics

This arose over centuries to provide specific guidelines to members of a profession, craft, or business. They are designed to inform in-group members of a common set of standards, encouraging them to live by those standards. Their purpose is to protect the integrity and reputation of the whole group **by publishing** what is considered to be correct or expected behavior, and an individual's obligations to the group. A well-known code of ethics is the **Hippocratic oath** of physicians, which states in part, "Above all, do no harm."

Codes of ethics spell out standards of behavior for:

- Professional life--Example: "Recognize badge of office as a symbol of public faith, and accept it as a public trust to be held as long as s/he is true to the ethics of his/her office." (Fire Marshal's Association of America.)
- Relations with the public or society--Example: "Be courteous, considerate, enthusiastic, and cooperative. Be especially tactful and considerate in dealing with those who have experienced a loss due to fire." (Firefighter's Ten Commandments; Carl E. McCoy, author.)
- Relations with employers--Example: "Not accept, for the same service, compensation of any kind (other than from the client, principal, or employer) without full disclosure, knowledge, and consent of all parties concerned." (International Society of Fire Service Instructors.)
- Relations with other employees/coworkers--Examples: "Be honest in all my professional relationships." (Data Processing Management Association.) "Handle all matters of personnel on the basis of merit so that fairness and impartiality govern (a member's) decisions, pertaining to appointments, pay adjustments, promotions, and discipline." (International City Manager's Association.) "Share benefits and responsibility; help each other." (Hewlett-Packard Co.) "Maintain the highest standards of personal integrity; be honest and straightforward in dealings with others, and avoid conflicts of interest." (International Association of Fire Chiefs.)

SAMPLE CODE OF ETHICS

Serve the Public Interest

Serve the public, beyond serving oneself. ASPA members are committed to:

- Exercise discretionary authority to promote the public interest.
- Oppose all forms of discrimination and harassment, and promote affirmative action.
- Recognize and support the public's right to know the public's business.

- Involve citizens in policy decisionmaking.
- Exercise compassion, benevolence, fairness, and optimism.
- Respond to the public in ways that are complete, clear, and easy to understand.
- Assist citizens in their dealings with government.
- Be prepared to make decisions that may not be popular.

Respect the Constitution and the Law

Respect, support, and study government constitutions and laws that define responsibilities of public agencies, employees, and all citizens. ASPA members are committed to:

- Understand and apply legislation and regulations relevant to their professional role.
- Work to improve and change laws and policies that are counterproductive or obsolete.
- Eliminate unlawful discrimination.
- Prevent all forms of mismanagement of public funds by establishing and maintaining strong fiscal and management controls, and by supporting audits and investigative activities.
- Respect and protect privileged information.
- Encourage and facilitate legitimate dissent activities in government and protect the whistleblowing rights of public employees.
- Promote constitutional principles of equality, fairness, representativeness, responsiveness, and due process in protecting citizens' rights.

Demonstrate Personal Integrity

Demonstrate the highest standards in all activities to inspire public confidence and trust in public service. ASPA members are committed to:

- Maintain truthfulness and honesty and to not compromise them for advancement, honor, or personal gain.
- Ensure that others receive credit for their work and contributions.

- Zealously guard against conflict of interest or its appearance: e.g., nepotism, improper outside employment, misuses of public resources, or the acceptance of gifts.
- Respect superiors, subordinates, colleagues, and the public.
- Take responsibility for their own errors.
- Conduct official acts without partisanship.

Promote Ethical Organizations

Strengthen organizational capabilities to apply ethics, efficiency, and effectiveness in serving the public. ASPA members are committed to:

- Enhance organizational capacity for open communication, creativity, and dedication.
- Subordinate institutional loyalties to the public good.
- Establish procedures that promote ethical behavior and hold individuals and organizations accountable for their conduct.
- Provide organization members with an administrative means for dissent, assurance of due process, and safeguards against reprisal.
- Promote merit principles that protect against arbitrary and capricious actions.
- Promote organizational accountability through appropriate controls and procedures.
- Encourage organizations to adopt, distribute, and periodically review a code of ethics as a living document.

Strive for Professional Excellence

Strengthen organizational capabilities to apply ethics, efficiency and effectiveness in serving the public. ASPA members are committed to:

- Provide support and encouragement to upgrade competence.
- Accept as a personal duty the responsibility to keep up to date on emerging issues and potential problems.
- Encourage others, throughout their careers, to participate in professional activities and associations.

- Allocate time to meet with students and provide a bridge between classroom studies and the realities of public service.

GUIDELINES AND RESOURCES

Many groups (and individuals) have a stake in decisions. These groups may all have legitimate but **contradictory** needs. The Fire/EMS Officer's **own personal** ethics, standards, and integrity are always part of the picture.

There are numerous courses of action that a Fire/EMS Officer can take in making a decision. There is seldom a clear, totally right or wrong answer to ethical dilemmas. A person must base a decision on community, organizational, and/or personal standards. **The clearer they are, the easier the decision!**

Which guidelines currently exist in your fire department/EMS to guide and support your decisions and also determine what gaps might exist? All fire department/EMS, no matter how simple or sophisticated, have a unique jigsaw puzzle of values, standards, expectations, requirements, and legal mandates. These parts of the organizational whole directly reflect **decisions** that have been made in the past about what is right and wrong, proper and improper. Unfortunately, some of these decisions have been made officially and some have been made unofficially, based on the culture and values of the members of the department. This makes it difficult for a Fire/EMS Officer to sort out the formal from the informal, to clarify standards, and to arrive at ethically proper decisions.

What exists in your fire department/EMS right now that helps and guides you in ethical matters? What sets the standards for day-to-day decisions? Use the blank "Checklist for Ethical Decisions" at the end of the module to help resolve any ethical dilemma you face.

Although there are numerous guideposts to assist with decisionmaking, many of them point in conflicting directions!

Presumably, the more formal the guidelines that exist in the department, the more help an officer has in making decisions. Not necessarily so! Sometimes past organizational decisions are **not** consistent; they are also contradictory. Serious review of department documents and culture may only confuse the responsible officer.

In the final analysis, the bottom line is that each person must weigh and honor existing guidelines, but make the decision based on **his/her own personal ethics, ideals, and convictions**.

There **are no formulas** for the grey areas, or for the tough decisions. A major part of ethical behavior is **accepting that you must do what you believe is right, given the specific situation**, and be prepared to justify and defend your decision if necessary.

An Ethical Decision

Ethics decisions will

- honor formal department decisions and documents;
- not violate laws, rules, etc.;
- reflect reasonable and positive cultural characteristics;
- reflect the interest of all parties as much as possible; and
- **feel right!**

CHARACTERISTICS OF AN ETHICAL ORGANIZATION AND AN ETHICAL LEADER

Characteristics of an Ethical Organization

- Senior management defines and clarifies standards, values, and ethics.
- Senior management demonstrates a commitment to those ethics and expects a similar commitment of all members.
- The organization supports and rewards ethical behavior and ethical solutions to problems.
- The organization gives consideration to all stakeholders--the community, policymakers, employees, and special interest groups.
- The organization as a whole prides itself on its ideals and on striving toward them.

Characteristics of an Ethical Leader

- Models ethical behavior after others.
- Attempts to balance personal ethics with those of the organization.
- Considers impact of decisions on all others who will be affected.
- Operates with integrity, honesty, and courage.
- Approaches ethics from a positive point of view, guided by his/her own ethical compass or conscience.

Tests of an Ethical Decision (Organizational or Personal)

- Do I feel **un**embarrassed, **un**ashamed, **not** guilty, or **not** defensive?

- Do I object to my decision being **published** openly?
- Am I willing to risk criticism for my decision?
- Could I justify and defend my decision to my greatest critics and enemies?
- Have I considered all who would be affected by the decision and given them proper priority or weight?
- **Does it feel right in my gut--is my conscience clear?**

SUMMARY

"Ideals are like stars--we never reach them.
But, like mariners at sea, we chart our course by them."

--Author unknown

"...Men (and women) often stumble over the truth, and most manage to pick themselves up and hurry off as if nothing had happened."

--Winston Churchill

This page intentionally left blank.

EXAMPLE CHECKLIST FOR ETHICAL DECISIONS

My specific ethical problem: _____

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
A. Documents		
1. Mission Statement		
2. Value Statement		
3. Master Plan, Risk Management		
4. Goals/Objectives		
5. Priorities/Critical Actions (high priority actions)		
6. Policies		

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
7. Standard Operation Procedures (SOPs)		
8. Code/Laws/Ordinances/Regulations, etc.		
9. Schedules/Work Programs		
10. Chain of Command? Organizational Structure		
11. Job Descriptions		
12. Team Assignments/Special Projects		
13. Monitoring and Evaluation System		
14. Performance Standards		

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
14. Performance Standards		
15. Formal Training Program		
B. Department "Tradition, History and Culture"		
1. Group Standards (What is accepted/valued in the department?)		
<i>(Note: It is normal for many standards to be contradictory!)</i>		
2. Precedents Set (What was done in the past?)		
3. Group Maturity Communications Skills Conflict Styles Consensus Style of Decisions		

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
4. Definition of Excellence (As evidenced by general attitudes/behavior.)		
5. Degree of Pride, Respect for Standards, Concern for Image, Tolerance for Differences, etc.		
C. Personal Standards/Ethics		
1. Clarity/Sureness About Own Values		
2. Past Experience in Similar Matters		
3. What Is At Risk?		

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
4. Who will be affected? Relative Importance of Their Interest/ Needs in my judgment.		
5. What does my Gut Say ?		

Final Decision:

Action Plan:

This page intentionally left blank.

GLOSSARY

1. **Ethics**--A given system of conduct; rules or standards of behavior.
2. **Code of Ethics**--A published set of specific guidelines for members of a profession, organization, etc., which delineates correct and/or expected behaviors.

This page intentionally left blank.

APPENDIX A TWENTY-FIVE SITUATIONS FOR ACTIVITY ET.3

This page intentionally left blank.

Situation #1

After much soul searching and debate, your volunteer department Board of Directors made a policy decision to **not** fight fires at properties for which the annual fire dues are not paid. They have instructed fire personnel to carefully monitor which properties in the community are paid or unpaid, and to act accordingly. They believe that if people in the community think the fire/EMS department will respond **anyway**, fewer people will pay dues, and the department will **not** have the revenues it needs to operate.

You and your crew have just been dispatched to a structure fire. Just as you arrive, the dispatcher tells you that the annual dues are **not** paid. Your initial size up shows a working fire in the garage and fire just entering a short breezeway connecting the garage to the house.

Do you:

- Immediately leave the scene?
- Perform rescue and salvage, and protect neighbors' exposures only?
- Prepare to pump water, lay lines, and wait for more instructions (but not begin the fire attack)?
- Fight the fire aggressively?
- Other? Please specify.

Situation #2

You are the fire marshal of the department. After extensive negotiation with a contractor over a plans check problem, you finally resolve all of the problems. The contractor did not want to sprinkle the building, yet it was oversized. A compromise was achieved by installing division walls. This was accomplished by your suggestion only after weeks of disagreement.

A week later when you arrive in the office, you discover an envelope on your desk. Upon opening it, you discover two tickets to a professional game and a note. It states, "Thanks for all your help."

Do you:

- Take the tickets to your superior's office and report them to him?
- Call the contractor up and ask him to come over and take the tickets back?
- Throw the tickets away and don't mention it to either your superior or the contractor?
- Use the tickets for the game?
- Other? Please specify.

Situation #3

You are coming home from a meeting late at night and you are in your personal vehicle. As you are waiting at a light, a vehicle pulls up beside you and you observe an offduty Captain from your department driving the car. The Captain has been paying attention to the passenger in the car and has not noticed you. They are embracing in a very amorous fashion. As the light changes, the driver straightens up and you recognize the passenger as the significant other to the on duty Captain at your station. Both appear to have been drinking.

Do you:

- Honk your horn, get their attention so they can see you and then drive off?
- Honk your horn, get their attention, motion the vehicle to the curb, and warn them right there of the consequences of the actions?
- Allow them to drive off unaware of the fact that you observed them, then talk to the driver later when the driver is on duty?
- Allow them to drive off unaware of the fact that you observed them, then forget the entire matter?
- Other? Please specify.

Situation #4

You are the department Training Officer. A person walks into your office and shows identification as a Federal Bureau of Investigation (FBI) agent. The agent has a warrant for the arrest of one of your new recruits. The warrant is for narcotics trafficking with high school students. The recruits are due to graduate in 3 days. The recruit in question is number one in the class in performance. The chief is out of town and unavailable. The agent wants the recruit brought to the office. Currently, the recruit is on the drill tower.

Do you:

- Immediately contact the local police department and ask them to accompany or meet you at the drill tower?
- Go to the tower yourself, pick up the recruit in question, and return the recruit to the FBI agent without saying what's happening?
- Go to the tower yourself, remove the recruit from class, suspend the recruit from duty pending an investigation, and take the recruit to the agent at headquarters?
- Ask the agent to accompany you to the tower, remove the recruit from class, and turn the recruit over to the agent?
- Other? Please specify.

Situation #5

Traditionally, your fire/EMS department has had a keg of beer in the recreation room of the department, which also serves as a department meeting room. Department members tend to gather and socialize in this spot at the back of the station and there has never been any real trouble over "having a few beers." Recently, a driver operator had a minor accident while driving the engine to a grass fire. There were no police officers on scene, so the driver was not cited, but the rumor got out that the driver was "drunk."

In yesterday's local newspaper, an irate letter was printed, accusing the department of encouraging "drunk and dangerous" driving by serving liquor. You are a senior member of the department, responsible for driving and safety standards.

Do you:

- Ignore the letter?
- Request a policy decision about alcohol on the premises?
- Move the keg of beer out yourself?
- Create a committee within the department to make a decision?
- Other? Please specify.

Situation #6

One night you are sitting in your office doing paperwork. A young firefighter/EMT enters your office and requests permission to speak to you. The firefighter/EMT proceeds to inform you of preference to an alternative lifestyle and is concerned about word getting back to the department of an incident where this individual was arrested at a demonstration for gay rights.

Do you:

- Counsel the person, suggest psychological help, and then wait and see what happens next?
- Get all the facts, then immediately contact your superior for guidance?
- Based on the facts, immediately suspend the firefighter/EMT pending further investigation?
- Inform the firefighter/EMT that department policy requires all arrests, either on or off duty, to be promptly reported. Give the firefighter/EMT 24 hours to do the same or face being suspended pending an investigation.
- Other? Please specify.

Situation #7

As the on-duty shift commander, you are about to leave the station when you observe an off-going Captain remove a toolbox from a pickup and place the box in a car. Three shifts later, you overhear the Captain who owned the pickup complain that someone had stolen the toolbox from the truck.

Do you:

- Assume it's a practical joke and ignore it?
- Speak up and tell the Captain what you observed?
- Don't say anything right then, but talk to the Captain who moved the box and tell what you observed?
- Get all of the Captains together and discuss the missing toolbox?
- Other? Please specify.

Situation #8

Your fire chief has been quoted in the media, saying that fire prevention, including an aggressive fire inspection program, is the department's highest priority. You did a careful review of all the public assembly and commercial occupancies within your station's boundaries, and developed a prioritized annual inspection plan.

You gave highest priority to some older, low-income apartment buildings, businesses with stored hazardous materials, several old church properties used for bingo and dances (as well as religious services), and an old warehouse converted into an artists' cooperative.

You began the inspection after training your crew and discovered that it's slow going because you are finding numerous, serious violations, and it takes time to do a thorough job.

Yesterday, your Battalion Chief called you in and said, "I know you're taking the inspection program seriously, but you'll have to put your action plan on hold. For the next 6 months, we'll only be doing **revenue-producing**, low-hazard, "quick and dirty" inspections. The city manager gave the word to the chief!

Do you:

- Rewrite your inspection plan, targeting low-hazard but revenue-producing occupancies as targeted by the Battalion Chief?
- Point out the contradiction between the mission and department priorities, and the new orders about inspections?
- Tell the Battalion Chief that in good conscience you can't change the plan?
- Quit doing inspections until they make up their minds?
- Other? Please specify.

Situation #9

One morning a structure fire call comes in about 5 minutes after shift changes. As Battalion Chief, you arrive on the scene of a fairly smoke-charged structure. No fire is visible, but there's a lot of smoke. The Captain is sitting on the curb, head between knees and has vomited in the street. The engineer is running the fire. Upon closer examination, you determine that the Captain is experiencing a severe hangover and you smell alcohol. The Captain is a 30-year veteran, your former supervisor, and going through a divorce.

Do you:

- Order the Captain to straighten out and get back into his job?
- Order the Captain off the fire and to get into your vehicle?
- Advise the Captain of being suspended and to remain seated in the vehicle until the fire is over?
- Ignore the Captain and work with the engineer to get the fire out?
- Other? Please specify.

Situation #10

A late night wreck occurs. Upon arrival, you discover that one of the victims is the child of an on-duty firefighter/EMT. The child is badly injured and probably won't live. The child goes into surgery immediately.

Do you:

- Try to reach the child's other parent to inform the firefighter/EMT?
- Send someone to relieve the firefighter/EMT and have that person driven to the hospital in a fire/EMT service vehicle?
- Personally go to the firefighter/EMT and report the incident and allow the firefighter/EMT to drive to the hospital?
- Talk to the firefighter/EMT and suggest remaining on duty until 0730 shift change because the child is in surgery anyway?
- Other? Please specify.

Situation #11

The firefighter/EMT union has voted to strike. You agree that compared to neighboring departments, you are underpaid. The negotiations have brought unrest to the city. A firefighter/EMT strike in this State is illegal.

Do you:

- Go out on strike if necessary?
- Ignore the strike vote and remain on the job?
- Report to work, but function only to save lives?
- Take annual leave and leave town if a strike vote passes?
- Other? Please specify.

Situation #12

You are about to leave to go to an oral board for entry-level firefighter/EMT in a neighboring community. One of your contemporaries, who is also a social acquaintance, asks to speak to you advising you that a family member's sibling is to be one of the candidates you will be rating. You are asked to give the sibling an extra "little boost" if you get the chance.

Do you:

- State that this is out of line and that you will not even rate the candidate after that request?
- Acknowledge the request, but disqualify yourself when the candidate is heard?
- Disregard the request as being well-meaning but misdirected. Grade the candidate anyway?
- Ask for more information about the candidate so you can make a more informed decision?
- Other? Please specify.

Situation #13

The significant other of one of your engineers calls you. Tells you that your engineer is an alcoholic and is abusive and warns that if the behavior doesn't stop, the significant other will go to the police, and it may result in your engineer being out of a job.

Do you:

- Advise the significant other that this is a personal matter and that you cannot get involved?
- After getting the facts from the significant other, give counseling on where to get additional professional help?
- Talk to the engineer, advise that you know of the problem, and warn of the consequences?
- Counsel the engineer about employee assistance programs, and other options available to help get through this crisis?
- Other? Please specify.

Situation #14

While you are off duty, you stop at the scene of an accident. You notice that a victim who needs cardiopulmonary resuscitation (CPR) has obvious purple facial spots, possible Kaposi's Sarcoma (an AIDS indicator). An ambulance has just been called (estimated time of arrival (ETA) 7 minutes), and you appear to be the only trained person on scene.

Do you:

- Avoid giving CPR, and find other things to do on scene (look for other victims, etc.)?
- Take command. Ask if anyone knows CPR, and ask them to perform it on the victim (without mentioning the facial spots)?
- Perform routine CPR?
- Clear the airway, and perform chest thrusts, but not give mouth-to-mouth resuscitation?
- Other? Please specify.

Situation #15

You are a firefighter/EMT service professional with a contracting business that you conduct "on the side." Your main work is installing security gates and grates on doors and windows to protect property owners from burglars. Your biggest seller is a wrought iron combination window grate that bolts on and is not easily or quickly removed.

Other available products have a panic bar release on the inside so that people can release the window grates during a fire. However, these are very expensive, difficult to install, and require some maintenance and routine testing. You realize that if you carried them in stock, it could be very costly, and few property owners could afford them anyway.

Do you:

- Continue offering only the profitable permanent gates and grates?
- Invest in marketing and testing of the panic release only to see if there is interest in them?
- Purchase a basic stock of the better grates and actively encourage property owners to buy them?
- Absorb the cost of a major campaign (media, etc.) to educate people about the safety features of the release type? (Invest time and money in public education?)
- Other? Please specify.

Situation #16

A major hotel's manager asks you to take an informal look at a new conference room design. As you leave, you are given a gift certificate for the free use of the workout room, sauna, and pool "anytime you want" by you and the other two Captains at your station.

Do you:

- Give thanks but state you cannot accept gifts, and leave?
- Take the certificate, but report it (as a gift) to your senior officer?
- Take the certificate, but not use it and not share it with your peers?
- Give the certificate to the other two Captains, telling them they can decide for themselves whether to use it?
- Other? Please specify.

Situation #17

You observe that another officer, who is a newly-promoted Captain, is not getting the support and resources that counterparts routinely get. You have heard a Battalion Chief say "let's see if the new Captain can carry the ball."

Do you:

- Quietly share information with the new Captain to help out?
- Enlist other Captains for support and to assist the new Captain to succeed in the position?
- Ask **your** Battalion Chief to talk to the other Battalion Chief about changing personal attitude and practices?
- Do nothing but wait and watch?
- Other? Please specify.

Situation #18

You are a Lieutenant/Paramedic, in charge of a three-person crew at your station. Things are going well for you--the crew has accepted your leadership, and usually functions well as a team.

Recently, things have started disappearing at the station. Food disappears out of personal food lockers in the kitchen, and out of the refrigerator. DVDs on loan from station headquarters are not there when you need them for training. An expensive new training manual has also disappeared. The Captain tells you bluntly that the thefts appear to be happening mostly on your shift, and that you must solve the problem. You think about the problem for a few days.

Do you:

- Call your crew together and tell them thefts will not be tolerated, and that you expect everyone to respect the property and rights of others?
- Suggest that everyone place their own locks on personal lockers, etc.?
- Prepare a purchase order for the Captain's approval for locks for **all** cabinets at the station?
- Lock your own lockers, but say nothing to the crew?
- Other? Please specify.

Situation #19

You are a State certified fire instructor who uses copyrighted material in your seminars. You have been contacted by a rural volunteer fire company for help in your special area of expertise. This company is extremely underfunded due to local economic conditions. There are no funds available to purchase any of the standard materials that you use for training.

You are willing and desirous of helping this organization.

Do you:

- Tell them that you will only present the program if they cover the cost of the materials?
- Violate copyright laws by photocopying materials for this group?
- Reduce the quality of the program significantly, by not using the copyrighted materials?
- Pay for the materials yourself (approximately \$50)?
- Other? Please specify.

Situation #20

You dislike your superior intensely. Although technically your superior is well trained, your superior's personal ethics prevent your superior from being respected. The superior is dishonest and disloyal to the department. The superior often distributes flyers and hangs posters, which are offensive to many department members. The superior recently made a decision that negatively affected you personally.

Totally by accident, you discover that your married superior is having an affair with one of the department's employees.

Do you:

- Mind your own business and ignore the problem?
- Tell your superior what you know and ask the superior to reconsider a recent decision?
- Send an anonymous note to the spouses of your superior and the other employee advising them of the problem?
- Start a rumor at city hall about their affair. Try to get this information to the City Manager?
- Other? Please specify.

Situation #21

As a fire investigator you sought and won a conviction of arson of a suspect you believed started a fire in a warehouse. The suspect has been placed in the State penitentiary. After 6 months you personally uncover evidence that casts doubt in your mind about the suspect's guilt.

Do you:

- Forget about it, and let the suspect finish the sentence?
- Continue to pursue the evidence, but don't tell anyone else about the discovery?
- Tell your superior and be guided by decision?
- Take this new evidence to the district attorney, and request that the case be reopened?
- Other? Please specify.

Situation #22

While you are off duty, you injure your back lifting something in your garage. You do not have disability insurance. The first few minutes after reporting to duty on one of your shifts, you have a working fire, and although you were not hurt, you were involved in a lot of heavy work.

Do you:

- File a compensation claim just to cover yourself?
- File a compensation claim based on the fact that the fire aggravated your injury?
- Consult with a lawyer and determine what your rights are?
- Forget about the claim, but advise your superior of the problems and request assignment to lighter duty?
- Other? Please specify.

Situation #23

One of your firefighter/paramedics has requested approval to attend a special conference/class/seminar. You know that this person violates rules and regulations, has a poor record of attendance, and generally is not a productive team member. However, the individual makes it clear to you that refusal to endorse the request will be interpreted as discrimination. You are also sensitive to the fact that if this individual attends the conference, people who are more deserving cannot attend, and will be penalized unfairly.

Do you:

- Endorse the application without comment?
- Endorse the application after counseling the officer about your expectations for performance improvement after the conference?
- Refuse to sign the approval, and explain why?
- Refuse to sign the approval without comment?
- Other? Please specify.

Situation #24

You are the Deputy Chief in your fire agency. You have always been a team player and have a well-deserved reputation for being loyal to the organization and your fellow firefighters/EMTs.

Over the past two years you have perceived a serious decline in the overall morale and motivation of the department. Various members of the department have confided to you that your superior (the Fire Chief), a close personal friend, has been "playing favorites." You have checked this out and found that it is not only true, but that on numerous occasions, people have not been disciplined even when major violations of policy, contract, or even illegal deeds have occurred.

Do you:

- Go to the Fire Chief and tell him/her of your findings?
- Go to the mayor or Board that supervises your Fire Chief?
- Keep quiet and hope that things will change?
- Document what you have learned, and file it in a safe place?
- Other? Please specify.

Situation #25

You are a captain and go out to dinner with your spouse and some close friends. After you are seated and order your dinner, you walk through the restaurant to use the restroom. On the way, you notice a serious fire code violation: an exit door is chained and locked and a display table is placed in front of it.

Do you:

- Decide that since you are on personal time, you'll do nothing?
- Return to your table and tell the group that you are all leaving and going to another restaurant?
- Seek out the manager and insist that they unchain the door and remove the obstruction?
- Call the senior firefighter/EMT officer currently on duty and report the violation?
- Other? Please specify.

This page intentionally left blank.

APPENDIX B

EXAMPLE CHECKLIST FOR ETHICAL DECISIONS

This page intentionally left blank.

EXAMPLE CHECKLIST FOR ETHICAL DECISIONS

My specific ethical problem: "Old Smoky" --Is performance acceptable or unacceptable? What action(s) should I take?

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
A. Documents		
1. Mission Statement	- To be efficient through excellent management practices and accountability.	- I'm expected to hold subordinates accountable for substandard performance.
2. Value Statement	- We value individuals who strive for excellence and self-development. - We value fairness; impartiality for all. - We value open, honest communication.	- I should not reward Smoky for poor performance. - I should not have different standards for different people. - It's dishonest to give Smoky a satisfactory evaluation.
3. Master Plan, Risk Management	- We will reduce liability of the fire department to suits and claims.	- Smoky has a high potential for causing serious liability.
4. Goals/Objectives	- Complete performance-based testing of all engineers and firefighters. - Each company complete 15 hours of inspection for each 30 shifts.	- Smoky has serious performance deficiencies in technical skills. - Smoky resists and puts down enforcement.
5. Priorities/Critical Actions (high priority actions)	- First-responder recertification of all personnel in the next quarter.	- Smoky has refused to recertify and I've let him get away with it.
6. Policies	- To provide skilled advanced first aid to all community residents and guests. - That transfers may be made between divisions by request or by assignment.	- Smoky cannot do this. - Possible resource--assign to a desk job.

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
7. Standard Operation Procedures (SOPs)	<ul style="list-style-type: none"> - Crews will advance an interior attack only with a charged line. - All department members will alert their supervisor 3 months before first-aid certificate will expire. - Crew will not be split up to perform company inspections. 	<ul style="list-style-type: none"> - Smoky has violated SOP. - Smoky has violated SOP. - I can't excuse Smoky from inspections.
8. Code/Laws/Ordinances/Regulations, etc.	<ul style="list-style-type: none"> - All public assembly buildings will be inspected annually. 	<ul style="list-style-type: none"> - I have a legal obligation to conduct inspections.
9. Schedules/Work Programs	<ul style="list-style-type: none"> - Each captain will schedule at least 3 hours per shift for administrative requirements, such as monitoring and evaluation. 	<ul style="list-style-type: none"> - The department considers performance evaluation important.
10. Chain of Command? Organizational Structure	<ul style="list-style-type: none"> - Each captain shall evaluate all crew under captain's command, and directly communicate the results. 	<ul style="list-style-type: none"> - I cannot avoid doing this evaluation.
11. Job Descriptions	<ul style="list-style-type: none"> - Engineers shall operate pumps on all apparatus at assigned station without error. 	<ul style="list-style-type: none"> - Smoky knows what's expected.
12. Team Assignments/Special Projects	N/A	
13. Monitoring and Evaluation System	<ul style="list-style-type: none"> - All supervisors shall monitor performance and provide immediate feedback when performance falls below standard. 	<ul style="list-style-type: none"> - I need to take immediate action.
14. Performance Standards	<ul style="list-style-type: none"> - All suppression personnel shall be able to perform in a safe manner: <ul style="list-style-type: none"> a. CPR b. Code enforcement inspections. 	<ul style="list-style-type: none"> - Smoky clearly does not meet performance standard.

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
15. Formal Training Program	<ul style="list-style-type: none"> - Captains shall be the primary source of training for each crew. - Captains shall plan, schedule, deliver (or get resources to deliver), and evaluate training. 	<ul style="list-style-type: none"> - This makes me even more responsible for Smoky's performance. - I could be held accountable.
B. Department "Tradition, History and Culture"		
1. Group Standards (What is accepted/valued in the department?)	<ul style="list-style-type: none"> - We need to depend on each other for our safety. - We want to be proud of the service we provide. - We should work as a team. - Longevity should be respected and rewarded. - Exceptions should be made for "old-timers." - "Old-timers" should pull their weight. - The job is changing, and we need to change with it. 	<ul style="list-style-type: none"> - Some folks will not be very happy with me if I discipline Smoky.
<i>(Note: It is normal for many standards to be contradictory!)</i>		
2. Precedents Set (What was done in the past?)	<ul style="list-style-type: none"> - Old Smoky has been "passed" on his evaluations by several previous Captains. - Old Smoky has not been penalized for poor performance. 	<ul style="list-style-type: none"> - Evaluating Smoky fairly and honestly will make them look bad.
3. Group Maturity Communications Skills Conflict Styles Consensus Style of Decisions	<ul style="list-style-type: none"> - Poor. - Avoidance. - Not used. 	<ul style="list-style-type: none"> - Most other Fire/EMS Officers would simply ignore the problem. - Doing what's right may make me unpopular for a while.

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
4. Definition of Excellence (As evidenced by general attitudes/behavior.)	<ul style="list-style-type: none"> - Go along to get along. - Don't hurt anyone. - Don't get caught. - Don't "harass the troops." 	<ul style="list-style-type: none"> - Most people probably expect me to find an "easy way out." - But my own folks have demanded action even though they don't want to get involved!
5. Degree of Pride, Respect for Standards, Concern for Image, Tolerance for Differences, etc.	<ul style="list-style-type: none"> - Senior department members ignore "people problems." - "Couch potatoes" tolerated. - "Whatever you do, don't make the department look bad." - "We are the best department in this country." 	<ul style="list-style-type: none"> - I may not get management support if I recommend disciplinary action.
C. Personal Standards/Ethics		
1. Clarity/Sureness About Own Values	- I believe individuals should not be allowed to endanger others' safety (inside and outside department).	- I've been preaching this to subordinates ever since I made lieutenant.
2. Past Experience in Similar Matters	- I've never had to do a similar performance before evaluation.	- But I've always done honest evaluations and I haven't avoided potential conflicts.
3. What Is At Risk?	<ul style="list-style-type: none"> - I have to weigh risk of injury or suit against a possible complaint or grievance from Old Smoky. - My image as a leader is at stake. 	- Smoky has a right to file a complaint but I get paid to make good decisions.

Resources/Guidelines	What does this resource say about this specific problem? Are there specific standards?	As Fire/EMS Officer, What do I need to consider?
4. Who will be affected? Relative Importance of Their Interest/ Needs in my judgment.	Importance--1 low, 10 high Smoky: 7 Firefighters: 9 Public: 10 Me: 5 The Department: 8 Previous Supervisors: 5	- I need to respect my own values even if there's a personal risk of unpopularity at stake.
5. What does my Gut Say?	- I must go beyond counseling and take the next step in progressive discipline (formal reprimand, suspension, etc., if needed).	- I'd never be able to forgive myself if Smoky harmed someone.

Final Decision:

Smoky's performance is unacceptable and I need to take action in order to protect the public, coworkers, and the department.

Action Plan:

1. Immediately inform Smoky that performance is unsatisfactory (and why) and set up a formal interview. (No later than next shift.)
2. Document all substandard performance and cite any relevant existing policies, SOPs, standards, etc.
3. Determine appropriate progressive discipline actions for each infraction.
4. Prepare necessary paperwork and discuss with supervisor, if appropriate/required.
5. Meet with Smoky. Stick to the facts. Inform of rights of appeal. Don't get intimidated if threatened.

This page intentionally left blank.