



# ORANGE COUNTY FIRE AUTHORITY

## AGENDA

### BOARD OF DIRECTORS REGULAR MEETING

Thursday, August 28, 2014

6:00 P.M.

#### Regional Fire Operations and Training Center

##### Board Room

1 Fire Authority Road

Irvine, CA 92602

*Unless legally privileged, all supporting documentation and any writings or documents provided to a majority of the Board of Directors after the posting of this agenda, which relate to any item on this agenda will be made available for public review in the office of the Clerk of the Authority located on the 2<sup>nd</sup> floor of the OCFA Regional Fire Operations & Training Center, 1 Fire Authority Road, Irvine, CA 92602, during regular business hours, 8:00 a.m. - 5:00 p.m., Monday through Thursday, and every other Friday, (714) 573-6040. In addition, unless legally privileged, all supporting documentation and any such writings or documents will be available online at <http://www.ocfa.org>.*

This Agenda contains a brief general description of each item to be considered. Except as otherwise provided by law, no action or discussion shall be taken on any item not appearing on the following Agenda. Unless legally privileged, supporting documents, including staff reports, are available for review at the Orange County Fire Authority Regional Fire Operations & Training Center, 1 Fire Authority Road, Irvine, CA 92602 or you may contact Sherry A.F. Wentz, Clerk of the Authority, at (714) 573-6040 Monday through Friday from 8 A.M. to 5 P.M.

If you wish to speak before the Fire Authority Board, please complete a Speaker Form identifying which item(s) you wish to address. Please return the completed form to the Clerk of the Authority prior to being heard before the Board. Speaker Forms are available at the counters of both entryways of the Board Room.



In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, you should contact the Clerk of the Authority at (714) 573-6040.

### CALL TO ORDER

INVOCATION by OCFA Chaplain Ken Krikac

PLEDGE OF ALLEGIANCE by Director Bates

ROLL CALL

## PRESENTATIONS

### 1. **Requests for Commendations and Proclamations**

Submitted by: Sherry Wentz, Clerk of the Authority

- A. Recognition of former OCFA Board Chair Steven Weinberg
- B. Presentation of Certificate of Achievement to the Business Services Department – Finance Division, Orange County Fire Authority for Excellence in Financial Reporting by the Government Finance Officers Association of the United States and Canada (GFOA) for its Comprehensive Annual Financial Report (CAFR).
- C. Presentation of National Procurement Institute’s Annual Achievement of Excellence in Procurement Award for 2014

Recommended Action:

Approve requests as submitted and make presentations to those present.

## PUBLIC COMMENTS

Resolution No. 97-024 established rules of decorum for public meetings held by the Orange County Fire Authority. Resolution No. 97-024 is available from the Clerk of the Authority.

Any member of the public may address the Board on items within the Board’s subject matter jurisdiction but which are not listed on this agenda during PUBLIC COMMENTS. However, no action may be taken on matters that are not part of the posted agenda. We request comments made on the agenda be made at the time the item is considered and that comments be limited to three minutes per person. Please address your comments to the Board as a whole, and do not engage in dialogue with individual Board Members, Authority staff, or members of the audience.

The Agenda and Minutes are now available through the Internet at [www.ocfa.org](http://www.ocfa.org). You can access upcoming agendas on the Monday before the meeting. The minutes are the official record of the meeting and are scheduled for approval at the next regular Board of Directors meeting.

## REPORT FROM THE BUDGET AND FINANCE COMMITTEE CHAIR

## REPORT FROM THE HUMAN RESOURCES COMMITTEE CHAIR

## MINUTES

### 2. **Minutes from July 24, 2014, Regular Board of Directors Meeting (A) and Minutes from August 14, 2014, Special Board of Directors Meeting (B)**

Submitted by: Sherry Wentz, Clerk of the Authority

Recommended Action:

Approve as submitted.

**CONSENT CALENDAR****3. Ratify Appointment to Executive Committee**

Submitted by: Sherry Wentz, Clerk of the Authority

Recommended Action:

Ratify the appointments of Noel Hatch and Elizabeth Swift to the Executive Committee.

**4. Acceptance of DHS/FEMA Administrative Preparedness Grant**

Submitted by: Dave Thomas, Assistant Chief/Operations Department

Recommended Actions:

1. Adopt the submitted resolution to accept the Department of Homeland Security/Federal Emergency Management Agency's (DHS/FEMA) Administrative Preparedness Grant.
2. Authorize a budget adjustment increasing the FY 2014/15 General Fund (121) revenues and appropriations in the amount of \$1,164,131 for the US&R Program.

**5. Acceptance of California Fire and Rescue Training Authority Urban Search & Rescue Mobilization Exercise and Training Grant**

Submitted by: Dave Thomas, Assistant Chief/Operations Department

Recommended Actions:

1. Adopt the proposed resolution to accept the California Fire and Rescue Training Authority Agreement for a grant in the amount of \$100,000.
2. Approve and authorize the Fire Chief or his designee to execute the proposed grant agreement.
3. Authorize a budget adjustment increasing the FY 2014/15 General Fund (121) revenues and appropriations in the amount of \$100,000 for the US&R mobilization and deployment exercise.

**6. Implementation of Internal Control Audit Recommendations - Community Risk Reduction Department**

Submitted by: Lori Zeller, Assistant Chief, Business Services Department

Recommended Actions:

1. Receive and file the report.
2. Approve continuation of the professional services provided by Mr. Irwin Bornstein, on a part-time basis and at six-month intervals, for an estimated cost of \$10,000 at each six-month interval through calendar year 2015.
3. Authorize a budget adjustment increasing the FY 2014/15 General Fund (121) appropriations by \$10,000 to fund the cost of continued-intermittent services provided by Mr. Bornstein, with one six-month review scheduled to occur during 2014/15 (January 2015).

7. **Approval of Plans and Specification - Fire Station 56 (Sendero Ranch)**  
Submitted by: Brian Stephens, Assistant Chief/Support Services Department

Recommended Actions:

Approve the proposed Plans and Specification for Fire Station 56.

8. **San Diego Gas and Electric Company (SDG&E) Easement for Electrical Service, Fire Station 56 (Sendero Ranch)**

Submitted by: Brian Stephens, Assistant Chief/Support Services Department

Recommended Action:

1. Approve and authorize the Fire Chief or his designee to sign Easement RW205001, granting San Diego Gas and Electric Company an easement upon OCFA Fire Station 56 (Sendero Ranch).
  2. Amend the Roles/Responsibilities/Authorities Matrix to authorize the Fire Chief or his designee to sign future easements or licenses for utilities necessary to implement construction projects approved by the Board or Executive Committee and authorize the Executive Committee to approve licenses and easements for utilities where no prior approval of construction projects has occurred.
9. **Adoption of a Resolution of the Orange County Fire Authority Amending the Regular Board of Directors Meeting Schedule for Calendar Year 2014**  
Submitted by: Sherry Wentz, Clerk of the Authority

Recommended Action:

Adopt the proposed Resolution amending the 2014 Meeting Schedule for the Orange County Fire Authority Board of Directors.

**CLOSED SESSION**

**CS1 PUBLIC EMPLOYEE APPOINTMENT/EMPLOYMENT**

Title: Interim Fire Chief

Authority: Government Code Section 54957(b)

**CS2. PUBLIC EMPLOYEE APPOINTMENT/EMPLOYMENT**

Title: Fire Chief

Authority: Government Code Section 54957(b)

**CS3. CONFERENCE WITH LABOR NEGOTIATOR**

Agency Designated Representative: Human Resources Director Jeremy Hammond

Unrepresented Employee: Interim Fire Chief

Authority: Government Code Section 54957.6

**CS4. CONFERENCE WITH LABOR NEGOTIATOR**

Agency Designated Representative: Peter Brown, Liebert Cassidy Whitmore  
Employee Organizations: Orange County Professional Firefighters' Association,  
Local 3631 and Orange County Employees Association  
Authority: Government Code Section 54957.6

**CS5. CONFERENCE WITH LEGAL COUNSEL-EXISTING LITIGATION**

Name of Case: Orange County Fire Authority and City of Irvine v All Persons  
Interested in the Matter of the Validity of that Second Amendment to  
Amended Joint Powers Authority  
Case No.: OC Superior Court Case No. 30-2013-006945527  
Authority: Government Code Section 54956.9(d)(1)

**CLOSED SESSION REPORT****DISCUSSION CALENDAR****10. Interim Fire Chief Contract**

Submitted by Jeremy Hammond, Human Resources Director

Recommended Action:

Approve a contract for Interim Fire Chief, following closed session negotiation of final contract terms. The proposed contract shall be made available to the public prior to approval.

**11. Communications LAB – Short & Long Term Communication Plans, Contract Increase and Amendment**

Submitted by: Lori Zeller, Assistant Chief/Business Services Department

Recommended Actions:

1. Receive and file the submitted Short & Long Term Communication Plans and direct staff to provide monthly progress reports to the Executive Committee and Board of Directors identifying the steps taken each month to address the recommendations.
2. Approve and authorize the Chief (or his designee) to execute the submitted Amendment Number Two to the Professional Services Agreement with Communications LAB.
3. Authorize a budget adjustment increasing FY 2014/15 General Fund (Fund 121) appropriations by \$92,952 to provide funding for the Communications LAB contract amendment.

**12. OCFA Recommended Action Plan - Management Partners Report**

Submitted by: Lori Zeller, Assistant Chief/Business Services Department

Recommended Actions:

1. Approve the OCFA's Recommended Action Plan to address the recommendations contained in the Management Partners final report.
2. Direct staff to provide monthly progress reports to the Executive Committee and Board of Directors identifying steps taken to carry out the Recommended Action Plan.

**13. OCFA Board Room Audio Video Upgrades and Teleconferencing of Closed Session Meetings**

Submitted by: Brian Stephens, Assistant Chief/Support Services Department

Recommended Actions:

1. Authorize the continued use of teleconferencing by individual Board members during the closed session portions of meetings of the Board of Directors, including any closed sessions of the Executive Committee, such authorization to remain in effect until such time as it may be discontinued by the Board of Directors.
2. Direct Staff to circulate an RFP seeking proposals to: (a) replace and upgrade the Boardroom Core Audio Video (A/V) systems; and (b) implement teleconferencing in the Board breakout room (audio only), and (c) implement electronic voting in the main Boardroom, and to report back to the Board with a recommended proposal(s) upon completion of the RFP process.

**14. Blanket Order Contract Increase - Special Litigation Counsel for Validation Proceedings**

Submitted by: Lori Zeller, Assistant Chief/Business Services Department

Recommended Actions:

1. Approve and authorize the Purchasing Manager to increase Blanket Order B01501 by \$65,000 for T. Peter Pierce of Richards, Watson & Gershon to provide funding for an appeal process in the Validation Action, in the event the Board of Directors agrees to pursue an appeal.
2. Authorize a budget adjustment increasing FY 2014/15 General Fund (Fund 121) appropriations by \$65,000 to provide funding for Special Litigation Counsel, in the event the Board of Directors agrees to pursue an appeal.

**PUBLIC HEARING(S)**

No items

**REPORTS****15. Chief's Report****BOARD MEMBER COMMENTS**

**ADJOURNMENT** - The next regular meeting of the Orange County Fire Authority Board of Directors is scheduled for September 25, 2014, at 6:00 p.m.

**AFFIDAVIT OF POSTING**

I hereby certify under penalty of perjury under the laws of the State of California, that the foregoing Agenda was posted in the lobby and front gate public display case of the Orange County Fire Authority, Regional Training and Operations Center, 1 Fire Authority Road, Irvine, CA, not less than 72 hours prior to the meeting. Dated this 21<sup>st</sup> day of August 2014.

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Sherry A.F. Wentz, CMC  
Clerk of the Authority

**UPCOMING MEETINGS:**

Human Resources Committee Meeting	Tuesday, September 2, 2014, 12:00 noon
Budget and Finance Committee Meeting	Wednesday, September 10, 2014, 12:00 noon
Executive Committee Meeting	Thursday, September 18, 2014, 6:00 p.m.
Claims Settlement Committee Meeting	Thursday, September 25, 2014, 5:30 p.m.
Board of Directors Meeting	Thursday, September 25, 2014, 6:00 p.m.

**AGENDA ITEM NO. 1**

**There are no supportive materials  
for Presentation Items A-C**



# MINUTES ORANGE COUNTY FIRE AUTHORITY

**Board of Directors Regular and Special Meeting  
Thursday, July 24, 2014  
6:30 P.M.**

**Regional Fire Operations and Training Center Board Room**  
1 Fire Authority Road  
Irvine, CA 92602-0125

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## CALL TO ORDER

A regular and special meeting of the Orange County Fire Authority Board of Directors was called to order on July 24, 2014, at 6:10 p.m. by Vice Chair Al Murray.

## INVOCATION

Chaplain Ken Krikac offered the invocation.

## PLEDGE OF ALLEGIANCE

Vice Chair Murray led the assembly in the Pledge of Allegiance to our Flag.

## ROLL CALL

**Present:** Joseph Aguirre, Alternate, Placentia  
Bob Baker, San Clemente  
Randal Bressette, Laguna Hills  
Gerard Goedhart, La Palma  
Gene Hernandez, Yorba Linda  
Trish Kelley, Mission Viejo  
Jeffrey Lalloway, Irvine  
Kathryn McCullough, Lake Forest  
Roman Reyna, Santa Ana  
David Sloan, Seal Beach  
Elizabeth Swift, Buena Park  
Phillip Tsunoda, Aliso Viejo

Sam Allevato, San Juan Capistrano  
Pat Bates, County of Orange  
Carol Gamble, Rancho Santa Margarita  
Noel Hatch, Laguna Woods  
Robert Johnson, Cypress  
Warren Kusumoto, Los Alamitos  
Jerry McCloskey, Laguna Niguel  
Al Murray, Tustin  
David Shawver, Stanton  
Todd Spitzer, County of Orange  
Tri Ta, Westminster

**Absent:** Rick Barnett, Villa Park  
Steven Weinberg, Dana Point

Chad Wanke, Placentia

## Also present were:

Deputy Chief Craig Kinoshita  
Assistant Chief Lori Zeller  
Assistant Chief Lori Smith  
Clerk of the Authority Sherry Wentz

General Counsel Dave Kendig  
Interim Assistant Chief Jon Jones  
Assistant Chief Brian Stephens  
Assistant Clerk Lydia Slivkoff

## **PUBLIC COMMENTS (F: 11.11)**

Vice Chair Murray opened the Public Comments portion of the meeting.

Stephen Wontrobki, Mission Viejo resident, provided public comments regarding his concerns on OCFA procurement practices, disability filings, staff misconduct, and favoritism. He provided a letter, which is on file in the Office of the Clerk.

Vice Chair Murray closed the Public Comments portion of the meeting.

## **REPORT FROM THE BUDGET AND FINANCE COMMITTEE CHAIR**

Budget and Finance Committee (BFC) Chair Beth Swift indicated she would provide report at the beginning of Discussion Calendar Agenda Item No. 10.

Director Bates arrived at this point (6:15 p.m.)

Director Reyna arrived at this point (6:18 p.m.)

## **MINUTES**

### **1. Minutes from June 26, 2014, Regular Board of Directors Meeting (F: 11.06)**

On motion of Director Johnson and second by Director Bressette, the Board voted to approve the Minutes from the June 26, 2014, Regular Board of Directors meeting. Directors Allevato and Reyna noted abstentions.

## **CONSENT CALENDAR**

Agenda Items No. 9 was pulled for separate consideration. Abstentions were noted on Agenda Items Nos. 4 and 8.

### **2. Proclamations – Fire Prevention Week (F: 11.09A)**

On motion of Director Johnson and second by Director Gamble, the Board voted to approve the Fire Prevention Week Proclamation, and direct the Clerk to transmit the item to all member agencies. Director Shawver noted his abstention.

### **3. FY 2013/14 Annual Progress Report on Planning and Development Activity (F: 18.03A)**

On motion of Director Johnson and second by Director Gamble, the Board voted to receive and file the report. Director Shawver noted his abstention.

**4. Approval of Amendment No. 3 to Secured Fire Protection Agreement with The Irvine Company for Entitlements for Irvine Development (F: 18.14)**

On motion of Director Johnson and second by Director Gamble, the Board voted to approve and authorize the Fire Chief to enter into an amendment to the Secured Fire Protection Agreement with The Irvine Company (TIC) for the purpose of changing the site location for construction of permanent Fire Station 20. Directors Bates, Hernandez, and Shawver noted abstentions.

**5. Final Update: Santiago and Freeway Complex Fire After Action Reports (F: 18.08A3) (F: 18.08A5)**

On motion of Director Johnson and second by Director Gamble, the Board voted to receive and file the final reports. Director Shawver noted his abstention.

**6. Purchase Approval - Modular Shower and Bathroom Trailer for Fire Station 18 (Trabuco Canyon) (F: 19.07C18)**

On motion of Director Johnson and second by Director Gamble, the Board voted to:

1. Approve the purchase of the 12'x 60' shower and bathroom trailer unit currently located at Fire Station 18, for the OCFA Hand Crew for a total amount of \$66,477.90.
2. Authorize a budget adjustment increasing appropriation in Fund 122 in the amount of \$66,477.90 for the purchase of the shower and bathroom trailer.

Director Shawver noted his abstention.

**7. Grant Purchase Approval - Generator and Backup Power for Fire Station 41 (Fullerton Airport) (F: 19.07C41) (X: 16.03)**

On motion of Director Johnson and second by Director Gamble, the Board voted to:

1. Approve a CIP budget adjustment to Fund 122 (Facilities Maintenance and Improvement) for FY 2014/15 to increase appropriations by \$437,000.
2. Increase FY 2014/15 revenue in Fund 122 (Facilities Maintenance and Improvement) by \$252,000.

Director Shawver noted his abstention.

**8. Approval of Extension to 911 Ambulance Service Contracts (F: 18.05B) (X: 18.05A1)**

On motion of Director Johnson and second by Director Gamble, the Board voted to approve and authorize the Chair to execute the submitted contract extensions for the provision of 911 emergency medical transportation and related services. Directors Bates and Shawver noted abstentions.

## **DISCUSSION CALENDAR**

### **S1. Teleconferencing of Closed Session Meetings (F: 11.10M)**

General Counsel David Kendig provided an overview of the teleconferencing of Closed Session meetings.

Public comments were received from Carrie O'Malley, Senior Policy Advisor for Supervisor Spitzer's office, conveying Director Spitzer's support in implementation of teleconferencing.

On motion of Director Bressette and second by Director Hernandez, the Board voted unanimously to:

1. Authorize the use of teleconferencing by individual Board members during the closed session portions of meetings of the Board of Directors, including any closed sessions of the Executive Committee, such authorization to be effective immediately and to remain in effect through and including the August 28, 2014, meeting of the Board.
2. Direct staff to return to the Board at the August 28, 2014, meeting with information about the technological and other requirements, and the estimated costs thereof, to enable teleconferencing during open and closed session meetings of the Board and its committees.

### **CLOSED SESSION (F: 11.15)**

General Counsel David Kendig reported the Board would be convening to Closed Session to consider the matter on the Agenda identified as CS1, Conference with Labor Negotiator, CS2, Conference with Legal Counsel-Anticipated Litigation, and CS3, CS4, of which both are Public Employee Appointment/Employment.

Vice Chair Murray recessed the meeting to Closed Session at 6:34 p.m.

Directors Kelley and Spitzer joined the meeting via teleconferencing at this point (6:34 p.m.)

Director McCullough arrived at this point (6:45 p.m.)

Directors Ta arrived at this point (7:10 p.m.)

#### **CS1. CONFERENCE WITH LABOR NEGOTIATOR**

Agency Designated Representative: Peter Brown, Liebert Cassidy Whitmore

Employee Organizations: Orange County Professional Firefighters' Association,  
Local 3631 and Orange County Employees Association

Authority: Government Code Section 54957.6

#### **CS2. CONFERENCE WITH LEGAL COUNSEL-ANTICIPATED LITIGATION**

Authority: Government Code Section 54956.9(b) – Significant Exposure to Litigation (1 case)

#### **CS3. PUBLIC EMPLOYEE APPOINTMENT/EMPLOYMENT**

Title: Interim Fire Chief

Authority: Government Code Section 54957(b)

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#### **CS4. PUBLIC EMPLOYEE APPOINTMENT/EMPLOYMENT**

Title: Director of Communications

Authority: Government Code Section 54957(b)

Directors Kelley, Spitzer, and Ta left the meeting at this point (10:24 p.m.)

Vice Chair Murray reconvened the meeting at 10:25 p.m.

#### **CLOSED SESSION REPORT (F: 11.15)**

General Counsel David Kendig indicated the Board had taken no reportable action.

#### **CONSENT CALENDAR - CONTINUED**

##### **9. Request for Proposal No. DC1954 – Executive Search Services – Fire Chief (F: 17.10A1)**

Director Gamble pulled this item to address concerns with the Professional Services Agreement, including advanced payment and the amount of travel fees.

On motion of Director Bates and second by Vice Chair Murray, the Board voted to approve and authorize the Fire Chief to sign the Professional Services Agreement for Executive Search Services with Ralph Andersen & Associates for an amount not to exceed \$35,000. Director Gamble registered in opposition.

On motion of Director Bates and second by Director Bressette, the Board voted unanimously to authorize an adjustment to the FY 2013/14 Budget to increase appropriations in the General Fund (Fund 121) by \$35,000 to provide funding for the Fire Chief recruitment. Directors Kelley, Spitzer, and Ta were absent for the vote.

#### **PUBLIC HEARING**

##### **10. Community Risk Reduction Fee Study and Adoption of Associated Fee Schedules (F: 15.05)**

Budget and Finance Committee Chair Beth Swift indicated at its July 9, 2014, meeting the Committee received a presentation from Finance Manager Jim Ruane and had an extensive discussion on the item, and voted unanimously to recommend the Board adopt the proposed Community Risk Reduction Fee Study and Associated Fee Schedules.

Finance Manager Jim Ruane provided a PowerPoint presentation on the proposed Community Risk Reduction Fee Study and Associated Fee Schedules.

Vice Chair Murray opened the Public Hearing.

Public comments were received from Victor Cao, Building Industry Association in support of the proposed fee schedules.

Vice Chair Murray closed the Public Hearing.

A lengthy discussion ensued.

On motion of Director Swift and second by Director McCloskey, the Board voted to:

1. Find that, in accordance with California Government Code Section 66014, the proposed fees do not exceed the cost of providing services and are only for the purpose of meeting operational expenses and are, therefore, exempt from compliance with the California Environmental Quality Act pursuant to Public Resources Code Section 21080.
2. Approve and adopt Resolution 2014-08 and Exemption Policy approving changes in Community Risk Reduction and Miscellaneous Fees with the proposed modifications and effective date of no later than September 29, 2014.

#### RESOLUTION NO. 2014-08

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
ORANGE COUNTY FIRE AUTHORITY SUPERSEDING RESOLUTION  
NOS. 2007-17, 2008-26, 2009-10, 2011-04, AND 2012-09, 2013-05 AND  
APPROVING CHANGES IN COMMUNITY RISK REDUCTION  
AND MISCELLANEOUS (FORMERLY FIRE PREVENTION) FEES

Director Lalloway voted in opposition. Directors Kelley, Spitzer, and Ta were absent for the vote.

#### DISCUSSION CALENDAR CONTINUED

**11. Communications LAB – Short & Long Term Communication Plans (F: 17.10C1)**

This agenda item was deferred to a future meeting of the Board

**12. OCFA Recommended Action Plan - Management Partners Report (F: 17.16)**

This agenda item was deferred to a future meeting of the Board.

#### REPORTS

**13. Chief's Report (F: 11.14)**

Deputy Chief Kinoshita indicated Assistant Chief Thomas would be off-duty for a short period of time; Division Chief Jon Jones would be serving as Interim Assistant Chief/Operations Department during this period. He also indicated Battalion Chief Cliff Bramlette would be Interim Division Chief during Chief Jones' temporary assignment.

## **ELECTION OF CHAIR/VICE CHAIR (F: 11.02B)**

Vice Chair Murray opened the nominations for Chair of the Board of Directors.

Director Lalloway nominated Al Murray, with a second by Director McCullough.

Vice Chair Murray hearing no additional nominations closed the nominations for Board Chair.

Al Murray was elected Board Chair by unanimous vote.

Chair Murray opened the nominations for Vice Chair of the Board of Directors.

Director Johnson nominated Gene Hernandez, with a second by Director McCullough.

Director McCloskey nominated Beth Swift, with a second by Director Shawver.

Chair Murray hearing no additional nominations closed the nominations for Board Vice Chair.

Chair Murray and Directors Aguirre, Allevato, Bates, Bressette, Gamble, Hatch, Hernandez, Johnson, Kusumoto, Lalloway, McCullough, and Reyna voted in support of Director Hernandez.

Directors Baker, Goedhart, McCloskey, Shawver, Sloan, Swift, and Tsunoda voted in support of Director Swift.

Directors Kelley, Spitzer, and Ta were absent from the vote.

Gene Hernandez was elected the Vice Chair for the ensuing term.

## **BOARD MEMBER COMMENTS (F: 11.13)**

The Board offered no comments.

## **ADJOURNMENT**

Chair Murray adjourned the meetings at 11:12 p.m. The next regular meeting of the Orange County Fire Authority Board of Directors is scheduled for August 28, 2014, at 6:00 p.m.

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Sherry A.F. Wentz, CMC  
Clerk of the Authority

# MINUTES ORANGE COUNTY FIRE AUTHORITY

**Board of Directors Special Meeting  
Thursday, August 14, 2014  
6:00 P.M.**

**Regional Fire Operations and Training Center  
Board Room  
1 Fire Authority Road  
Irvine, CA 92602-0125**

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## **CALL TO ORDER**

A special meeting of the Orange County Fire Authority Board of Directors was called to order on August 14, 2014, at 6:00 p.m. by Chair Al Murray.

## **INVOCATION**

Chaplain Jeff Hetschel offered the invocation.

## **PLEDGE OF ALLEGIANCE**

Vice Chair Hernandez led the assembly in the Pledge of Allegiance to our Flag.

## **ROLL CALL**

<b>Present:</b> Joseph Aguirre, Placentia	Sam Allevato, San Juan Capistrano
Angela Amezcua, Alternate, Santa Ana	Rick Barnett, Villa Park
Pat Bates, County of Orange	Randal Bressette, Laguna Hills
Carol Gamble, Rancho Santa Margarita	Gerard Goedhart, La Palma
Noel Hatch, Laguna Woods	Gene Hernandez, Yorba Linda
Robert Johnson, Cypress	Trish Kelley, Mission Viejo
Warren Kusumoto, Los Alamitos	Jerry McCloskey, Laguna Niguel
Kathryn McCullough, Lake Forest	Al Murray, Tustin
David Sloan, Seal Beach	David Shawver, Stanton
Todd Spitzer, County of Orange	Elizabeth Swift, Buena Park
Tri Ta, Westminster	Phillip Tsunoda, Aliso Viejo
Steven Weinberg, Dana Point	

<b>Absent:</b> Bob Baker, San Clemente	Jeffrey Lalloway, Irvine
Roman Reyna, Santa Ana	

## **Also present were:**

Fire Chief Keith Richter	General Counsel Dave Kendig
Deputy Chief Craig Kinoshita	Interim Assistant Chief Jon Jones
Assistant Chief Brian Stephens	Assistant Chief Lori Zeller
Assistant Chief Lori Smith	Clerk of the Authority Sherry Wentz
Assistant Clerk Lydia Slivkoff	



## **PUBLIC COMMENTS (F: 11.11)**

Chair Murray opened the Public Comments portion of the meeting.

Dave Phillips, Chief Officers Association President, commented in support of Chair Murray's letter to the organization regarding the recent Voice of OC article. He noted the Chief Officers Association's commitment to working collaboratively with the future new Fire Chief.

Hearing no additional requests to speak, Chair Murray closed the Public Comments portion of the meeting.

## **CONSENT CALENDAR**

No items.

## **DISCUSSION CALENDAR**

No items.

## **REPORTS**

No items.

## **BOARD MEMBER COMMENTS**

The Board had no comments.

## **CLOSED SESSION (F: 11.11)**

General Counsel David Kendig reported the Board would be convening to Closed Session to consider the matters on the Agenda identified as CS1 and CS2, both Public Employee/Appointment/Employment and Supplemental Item CS3, Conference with Legal Counsel-Existing Litigation.

### **CS1. PUBLIC EMPLOYEE APPOINTMENT/EMPLOYMENT**

Title: Interim Fire Chief

Authority: Government Code Section 54957(b)

### **CS2. PUBLIC EMPLOYEE APPOINTMENT/EMPLOYMENT**

Title: Fire Chief

Authority: Government Code Section 54957(b)

### **CS3. CONFERENCE WITH LEGAL COUNSEL-EXISTING LITIGATION**

Name of Case: Orange County Fire Authority and City of Irvine v All Persons Interested in the Matter of the Validity of that Second Amendment to Amended Joint Powers Authority

Case No.: OC Superior Court Case No. 30-2013-006945527

Authority: Government Code Section 54956.9(d)(1)

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Chair Murray recessed the meeting to Closed Session at 6:05 p.m.

Director Bates arrived at this point (6:21 p.m.)

Director Ta arrived at this point (6:55 p.m.)

Director Swift arrived at this point (6:57 p.m.)

Director McCullough arrived at this point (7:45 p.m.)

Chair Murray reconvened the meeting at 9:40 p.m.

**CLOSED SESSION REPORT (F: 11.15)**

General Counsel David Kendig indicated the Board had taken no reportable action.

**ADJOURNMENT** - Chair Murray adjourned the meetings at 9:41 p.m. The next regular meeting of the Orange County Fire Authority Board of Directors is scheduled for August 28, 2014, at 6:00 p.m.

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Sherry A.F. Wentz, CMC  
Clerk of the Authority

**CONSENT CALENDAR - AGENDA ITEM NO. 3**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Sherry Wentz, Clerk of the Authority

SUBJECT: **Ratify Appointments to Executive Committee**

Summary:

This agenda item is submitted to ratify the Executive Committee appointments.

Recommended Action:

Ratify the appointments of Noel Hatch and Elizabeth Swift to the Executive Committee.

Background

The Executive Committee, as defined by Rule 9(b) of the Board of Directors Rules of Procedure, consists of no more than nine (9) members of the Board of Directors. The Executive Committee membership is comprised of the following designated positions: the Chair and Vice Chair of the Board of Directors, the immediate past Chair of the Board, and the Chair of the Budget and Finance Committee. In addition, up to five at-large members, who must include at least one member of the County Board of Supervisors, may serve as members of the Committee. In the selection of at-large members, appointments shall be made in such a manner as to achieve approximately the ratio of cash contract cities to total member agencies of the Authority.

The Chair of the Board may make at-large appointments to the Executive Committee to fill any vacancies, subject to approval by the Board of Directors. There are currently two at-large vacancies on the Executive Committee, due to the recent reorganization of the Board and Budget and Finance Committee. Chair Murray has selected Noel Hatch (Laguna Woods) and Elizabeth Swift (Buena Park) to fill the At-Large vacancies on the Executive Committee.

Therefore, pursuant to Rule 9 of the OCFA Board of Directors Rules of Procedures, and subject to the confirming vote by the Board of Directors, the membership of the Executive Committee will be as follows:

Al Murray, Chair – Tustin\*  
Gene Hernandez, Vice Chair – Yorba Linda  
Steven Weinberg, Immediate Past Chair – Dana Point  
Randy Bressette, Budget and Finance Committee Chair – Laguna Hills  
Todd Spitzer, County Board of Supervisors  
Noel Hatch, At-Large Member – Laguna Woods  
Jeffrey Lalloway, At-Large Member – Irvine  
David John Shawver, At-Large Member – Stanton\*  
Elizabeth Swift, At-Large Member – Buena Park\*

Structural Fire Fund Alternates: Gerard Goedhart – La Palma  
Sam Allevato - San Juan Capistrano  
Vacancy

Cash Contract Alternates: Tri Ta – Westminster\*  
Vacancy  
Vacancy

\* = Cash Contract City

Impact to Cities/County  
Not Applicable.

Fiscal Impact  
Not Applicable.

Staff Contact for Further Information  
Sherry Wentz, Clerk of the Authority  
[sherrywentz@ocfa.org](mailto:sherrywentz@ocfa.org)  
(714) 573-6041

Attachments:  
None.

**CONSENT CALENDAR - AGENDA ITEM NO. 4**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Dave Thomas, Assistant Chief  
Operations Department

SUBJECT: **Acceptance of DHS/FEMA Administrative Preparedness Grant**

Summary:

This item is submitted for approval for acceptance of a 2014 grant award from the Department of Homeland Security/Federal Emergency Management Agency's (DHS/FEMA) National Urban Search and Rescue (US&R) Program. This request is being submitted in the anticipation of the grant being awarded on September 1, 2014.

Committee Action:

At its August 13, 2014, meeting, the Budget and Finance Committee reviewed and unanimously recommended approval of this item.

Recommended Actions:

1. Adopt the submitted resolution to accept the Department of Homeland Security/Federal Emergency Management Agency's (DHS/FEMA) Administrative Preparedness Grant.
2. Authorize a budget adjustment increasing the FY 2014/15 General Fund (121) revenues and appropriations in the amount of \$1,164,131 for the US&R Program.

Background:

California Task Force Five (CA TF-5), located in Orange County and sponsored by the Orange County Fire Authority, is one of 28 National US&R Task Forces. CA TF-5 has used past grant funds and activation reimbursements to equip and train the task force members for the mission of rescuing victims in collapsed structures and for weapons of mass destruction/terrorist responses.

Currently, CA TF5 maintains a response capability that includes apparatus and equipment supply inventory worth approximately \$8 million. There is also a personnel cadre of over 210 members, composed of a civilian element of structural engineers, disaster canines, and physicians, as well as firefighters from the participating agencies of Anaheim, Orange and the OCFA.

DHS/FEMA has authorized a grant award of \$1,150,631 to each US&R Task Force for the administration of an approved National Urban Search and Rescue Response System. CA TF-5 will receive an additional \$12,000 for Chief Richter's position of Western Region Sponsoring Agency Chief Representative and \$1,500 to support the Incident Support Team Medical cache. This brings us to the final grant total of \$1,164,131. This grant money is available for use beginning September 1, 2014, through February 28, 2016.

The fiscal year of 2014/2015 is the 12th year that the US&R grant funds have covered a more realistic share of the costs of the program. This year's grant funds are divided into four major categories, and the DHS/FEMA/US&R Program is allocating funds in the following amounts to our Task Force for these specific categories:

- *Administration*
  - \$369,887 for administration of the program
- *Training*
  - \$268,200 for training delivery (including travel expenses)
- *Equipment/Cache*
  - \$171,935 for equipment acquisition, HazMat, water rescue equipment and other Task Force expenses
- *Storage and Maintenance*
  - \$354,109 for storage and maintenance of cache equipment

The purpose of this agreement is to continue the development and maintenance of the National US&R Response System resources to be prepared to provide qualified, competent US&R personnel in support of all US&R activities/incidents under the Federal Response Plan.

Impact to Cities/County:

Not applicable.

Fiscal Impact:

\$1,164,131 increase in General Fund (Fund 121) revenue and appropriations in the FY 2014/15 budget.

Staff Contacts for Further Information:

Dave Thomas, Assistant Chief  
Operations Department  
[davethomas@ocfa.org](mailto:davethomas@ocfa.org)  
(714) 573-6012

Jeff Adams, Battalion Chief, Program Manager  
[Jeffadams@ocfa.org](mailto:Jeffadams@ocfa.org)  
(714) 323-2061

Attachment:

Proposed Resolution for Acceptance of FEMA US&R Grant

**RESOLUTION NO. 2014-XX**

**A RESOLUTION OF THE ORANGE COUNTY FIRE AUTHORITY  
ACCEPTING THE FEMA NATIONAL URBAN SEARCH AND RESCUE  
(US&R) PROGRAM GRANT TO PURCHASE US&R EQUIPMENT AND  
SUPPLIES, MAINTENANCE AND REPAIR OF US&R EQUIPMENT,  
TRAINING AND PROGRAM ADMINISTRATION**

*WHEREAS*, the Orange County Fire Authority is one of only 28 agencies in the country selected to participate in the FEMA's National US&R Response System; and

*WHEREAS*, OCFA entered into a tri-party agreement with FEMA and Cal-OES, who provides oversight and additional support for the program; and

*WHEREAS*, currently Orange County US&R Task Force 5 maintains a response capability including apparatus and equipment supply inventory worth approximately \$8 million; and

*WHEREAS*, Orange County US&R Task Force 5 maintains a personnel cadre of over 210 members that includes a civilian element of structural engineers, disaster search canines, physicians, as well as firefighters from the participating agencies of Anaheim, Orange and the OCFA; and

*WHEREAS*, FEMA has authorized a grant award of \$1,164,131 which is available for use beginning September 1, 2014, through February 28, 2016, for preparedness issues related to the Urban Search and Rescue Program.

*NOW, THEREFORE*, the Board of Directors of the Orange County Fire Authority does hereby resolve to accept the FEMA US&R grant to be utilized for such things as procurement of US&R equipment and supplies, maintenance and repair of US&R equipment, training and program administration. Additionally, these funds can be used for associated travel expenses for task force personnel to attend US&R related training courses, exercises, meetings, and for the management and administration of US&R activities. This includes expenses relating to task force maintenance, development, record-keeping, and correspondence.

*PASSED, APPROVED, AND ADOPTED* this 28<sup>th</sup> day of August 2014.

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ELWYN A. MURRAY, CHAIR  
Board of Directors

ATTEST:

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SHERRY A. F. WENTZ, CMC  
Clerk of the Authority

**CONSENT CALENDAR - AGENDA ITEM NO. 5**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Dave Thomas, Assistant Chief  
Operations Department

SUBJECT: **Acceptance of California Fire and Rescue Training Authority Urban Search & Rescue Mobilization Exercise and Training Grant**

Summary:

This item is submitted for acceptance of a 2014 grant agreement from the California Fire and Rescue Training Authority (CFRTA). This grant agreement providing the OCFA with \$100,000 is made available for the Urban Search & Rescue (US&R) Task Force directly from the California Office of Emergency Services (CAL-OES). The grant is intended to help support the performance of a US&R Task Force mobilization and deployment exercise (MOBEX).

Committee Action:

At its August 13, 2014, meeting, the Budget and Finance Committee reviewed and unanimously recommended approval of this item.

Recommended Actions:

1. Adopt the proposed resolution to accept the California Fire and Rescue Training Authority Agreement for a grant in the amount of \$100,000.
2. Approve and authorize the Fire Chief or his designee to execute the proposed grant agreement.
3. Authorize a budget adjustment increasing the FY 2014/15 General Fund (121) revenues and appropriations in the amount of \$100,000 for the US&R mobilization and deployment exercise.

Background:

California Task Force Five (CA TF-5), located in Orange County and sponsored by the Orange County Fire Authority, is one of 28 National Urban Search and Rescue (US&R) Task Forces. CA TF-5 has used past grant funds and activation reimbursements to equip and train the task force members for the mission of rescuing victims as a result of a natural disaster, man-made disaster or weapons of mass destruction/terrorist responses.

Currently, CA TF5 maintains a response capability that includes apparatus and equipment supply inventory worth approximately \$8 million. There is also a personnel cadre of over 210 members, composed of a civilian element of structural engineers, disaster canines, and physicians, as well as firefighters from the participating agencies of Anaheim, Orange and the OCFA.



California Fire and Rescue Training Authority (CFRTA) has authorized a grant award of \$100,000 to each US&R Task Force for the administration of an approved National US&R Task Force mobilization and deployment exercises. Of this grant money, \$25,000 is available for use immediately for planning and preparation expenses, and the other \$75,000 is available for reimbursable cost after the completion of the exercise.

The purpose of this agreement is to continue the development and maintenance of the National US&R response system resources to be prepared to provide qualified, competent US&R personnel in support of all US&R activities/incidents under the Federal, State and local Response Plans.

Impact to Cities/County:

Not applicable.

Fiscal Impact:

\$100,000 increase in General Fund (Fund 121) revenue and appropriations in the FY 2014/15 budget.

Staff Contacts for Further Information:

Dave Thomas, Assistant Chief

Operations Department

[davethomas@ocfa.org](mailto:davethomas@ocfa.org)

(714) 573-6012

Jeff Adams, Battalion Chief, US&R Program Manager

[Jeffadams@ocfa.org](mailto:Jeffadams@ocfa.org)

(714) 323-2061

Attachments:

1. Proposed Resolution for Acceptance of CFRTA US&R MOBEX Grant
2. Proposed Agreement for Task Force Deployment Exercise and Training

**RESOLUTION NO. 2014-XX**

**A RESOLUTION OF THE ORANGE COUNTY FIRE AUTHORITY  
ACCEPTING THE CALIFORNIA FIRE AND RESCUE TRAINING  
AUTHORITY AGREEMENT TO PROVIDE FUNDING FOR A  
MOBILIZATION AND DEPLOYMENT EXERCISE (MOBEX) FOR THE  
URBAN SEARCH AND RESCUE (US&R) PROGRAM**

*WHEREAS*, the Orange County Fire Authority is one of only 28 agencies in the country selected to participate in the FEMA's National US&R Response System; and

*WHEREAS*, currently Orange County US&R Task Force 5 (CA-TF5) maintains a response capability including apparatus and equipment supply inventory worth approximately \$8 million; and

*WHEREAS*, Orange County US&R Task Force 5 maintains a personnel cadre of over 210 members that includes a civilian element of structural engineers, disaster search canines, physicians, as well as firefighters from the participating agencies of Anaheim, Orange, and the OCFA; and

*WHEREAS*, The California Fire and Rescue Training Authority has authorized a grant award of \$100,000 to CA-TF5 which is available for use beginning July 1, 2014, through June 30, 2015, for a Mobilization and Deployment exercise.

*NOW, THEREFORE*, the Board of Directors of the Orange County Fire Authority does hereby resolve to accept the California Fire and Rescue Training Authority grant to be utilized for the development and implementation of an Urban Search and Rescue Mobilization and Deployment exercise in April/May of 2015.

*PASSED, APPROVED, AND ADOPTED* this 28<sup>th</sup> day of August 2014.

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ELWYN A. MURRAY, CHAIR  
Board of Directors

ATTEST:

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SHERRY A. F. WENTZ, CMC  
Clerk of the Authority

**AGREEMENT FOR TASK FORCE DEPLOYMENT EXERCISE  
AND TRAINING**

This Agreement for Task Force Deployment Exercise and Training ("Agreement") is made on the last date written below between the California Fire and Rescue Training Authority (hereafter "CFRTA"), a California Joint Powers Authority duly formed pursuant to Government Code §§6500 et seq., and **Orange County Fire Authority**, a California Joint Powers Authority duly formed pursuant to Government Code §§6500 et seq. (hereafter "DEPARTMENT").

Recitals

1. CFRTA is desirous of having an exercise for the Urban Search and Rescue (hereafter "US&R") Task Force sponsored by DEPARTMENT.
2. DEPARTMENT has the wherewithal and has arranged to conduct training exercises during the period of *April - May 2015* at facilities selected by them.
3. The State of California Governor's Office of Emergency Services (CalOES), as a member agency of CFRTA, has allocated specific funding to CFRTA for the purposes of conducting these deployment exercises.

Terms and Conditions

1. DEPARTMENT will conduct a deployment exercise for the US&R Task Force consistent with the Deployment Exercise Drill Plans previously submitted to the CFRTA, attached hereto, and incorporated herein by reference.
2. At a minimum, the exercises will train and be evaluated on the following areas:
  - Task force leadership
  - Task Force movement by ground/air transportation
  - Local government interface
  - Hasty search evaluation
  - Base of Operations
  - Decontamination of search & rescue personnel
  - Food and water provisioning
  - Communications section operations
  - Evaluation of administrative section
    - Planning section
    - PIO
    - Safety Officer
  - Evaluation of
    - Technical information section
    - Operation section
    - Technical search
    - Canine search
    - Rescue
    - Medical section
3. DEPARTMENT will submit any changes to the Deployment Exercise Drill Plans to the designated representative of the CFRTA for approval prior to implementing the change.
4. DEPARTMENT will submit a budget for the exercise to the CFRTA at least 30-days prior to commencement of the exercise for approval by the CFRTA.

5. Exercise budgets submitted by the DEPARTMENT pursuant to paragraph 4, above, may include expenditures for: personnel, expendable or consumable items, transportation of task force personnel, sanitation facilities, fuel, food, potable water, and communications.
6. Any costs incurred and contracts entered into to fulfill this agreement must be consistent with the federal, state, and local laws applicable to the DEPARTMENT.
7. All approvals by the CFRTA must be in writing.
8. A total sum of One Hundred Thousand dollars (\$100,000) has been allocated for use by the DEPARTMENT for accomplishing the objectives identified in Paragraphs 1 and 2 of this section.
9. DEPARTMENT may spend, in advance, and be reimbursed for up to Twenty Five Thousand dollars (\$25,000) of the total sum allocated to DEPARTMENT and consistent with Paragraphs 4 and 5 herein, for Administrative Costs as defined in Paragraph 10, below. The DEPARTMENT may invoice CFRTA for these funds.
10. For the purposes of this agreement, "Administrative Costs" mean those expenses incurred by the DEPARTMENT for personnel expenditures that are associated with the planning, preparation, and managing of the exercise.
11. DEPARTMENT agrees to invoice CFRTA for costs associated with providing deployment exercise as specified in Paragraphs 5, 6, and 9 of this Agreement within sixty (60) days of the commencement of the exercise.
12. CFRTA agrees to pay the DEPARTMENT for all costs incurred consistent with this Agreement not to exceed the \$100,000 identified in Paragraph 8.
13. No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties, and approved as required. No oral understanding or agreement not incorporated in the Agreement is binding on any of the parties.

The undersigned agree to be bound by the terms of this agreement and are authorized to sign this agreement on behalf of their respective DEPARTMENT or agency.

Approved and Reviewed by:

By: \_\_\_\_\_  
Legal Counsel, California Fire and Rescue Training Authority

Date: \_\_\_\_\_

By: \_\_\_\_\_  
California Fire and Rescue Training Authority

Date: \_\_\_\_\_

By:   
General Counsel, Orange County Fire Authority

Date: 2/13/14

By: \_\_\_\_\_  
Fire Chief, Orange County Fire Authority

Date: \_\_\_\_\_

**CONSENT CALENDAR - AGENDA ITEM NO. 6**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Lori Zeller, Assistant Chief  
Business Services Department

SUBJECT: **Implementation of Internal Control Audit Recommendations - Community Risk Reduction Department**

Summary:

This agenda item is submitted to receive and file the status update on the implementation of the internal control audit recommendations in the Community Risk Reduction (formerly Fire Prevention) Department.

Committee Action:

At its August 13, 2014, meeting, the Budget and Finance Committee reviewed and unanimously recommended approval of this item.

Recommended Actions:

1. Receive and file the report.
2. Approve continuation of the professional services provided by Mr. Irwin Bornstein, on a part-time basis and at six-month intervals, for an estimated cost of \$10,000 at each six-month interval through calendar year 2015.
3. Authorize a budget adjustment increasing the FY 2014/15 General Fund (121) appropriations by \$10,000 to fund the cost of continued-intermittent services provided by Mr. Bornstein, with one six-month review scheduled to occur during 2014/15 (January 2015).

Background

In March 2013, the audit firm of Lance Soll and Lunghard (LSL) reviewed the internal controls over fee-related activities in the Community Risk Reduction Department (CRR) and offered 22 recommendations for improvements. In August 2013, OCFA hired Irwin Bornstein (retired Assistant City Manager/Director of Administrative Services from the City of Mission Viejo) as a Part-Time and Limited-Term Finance Manager, specifically to assist CRR with implementation of the recommendations. During the course of Mr. Bornstein's work, he identified an additional 14 recommendations for improvements, resulting in a combined total of 36 recommendations for implementation.

***Status of the Recommendations from the Consultant Report - Summary***

As of June 23, 2014, 13 of the 36 audit recommendations were fully implemented and operational. Some action has been taken on an additional 19 recommendations. No action has been taken on two; two are no longer applicable and two require no further action. The approach taken by staff to address many of the audit recommendations has been to formalize and expand upon existing Quality Control (QC) procedures. Attachment 1 was provided by Mr. Bornstein

and reflects a summary of his work at OCFA, and detailed status updates of the audit recommendations.

Because a large number of the audit recommendations are still in the process of being implemented, many of the new controls are not yet fully in place. For some of the new procedures that have been implemented, it is too early to determine the full extent of the effectiveness, because they have been operational for a relatively short period of time. However, improvements in internal controls have resulted from the work that has been implemented. Department management has reported improvements in the quality of work products, and they have noted a better understanding among staff of the need for change and why new review practices are important.

During the seven-month vacancy period in the Fire Marshal position, the four Deputy Fire Marshals in the Department continued to give a high level of attention to the implementation of the audit recommendations. Thirty-three of the 36 recommendations pertain to the Planning and Development (P&D) and Safety and Environmental Services (S&ES) Sections of the Department, with roughly an equal amount in each of these two sections. The S&ES Section has been able to fully implement and make operational the majority of their audit recommendations. Their expanded QC procedures have been in place for 60 days. A major hindrance for P&D has been the heavy workload of plans to review and inspections to conduct, as a result of the major development activity occurring in the county. New QC procedures have been developed in P&D, but the workload has hindered their progress in making the new procedures operational. The staff's efforts to date have had positive impacts on four of the five components of internal controls described by the Committee of Sponsoring Organizations of the Treadway Commission (COSO) Internal Control Framework – control activities, control environment, risk assessment and information and communication.

While the department has made substantial progress in implementing the audit recommendations, a significant amount of work remains to be done. The challenge will be to identify and devote sufficient resources to support both the timely processing of peak workloads as well as the implementation of the audit recommendations and continued execution of the new control procedures going forward. Recent hiring and promotional activity to fill the Fire Marshal vacancy, and many other vacant positions throughout the Department, is anticipated to provide a positive impact.

In the long term, sustainability of the improvements to CRR internal controls will require a modern and efficient information system, sufficient staffing resources and continued management focus. Additional training on internal controls will be important as will the ongoing monitoring of internal controls. Monitoring can take the form of both “built-in” monitoring that is integrated into department operations as well as periodic external reviews.

***OCFA Response to Consultants Report***

Since the June 23 report, 10 additional recommendations have been implemented and are operational. No action has been taken on two of the recommendations; two of the recommendations are no longer applicable and two require no further action.

OCFA management and staff remain committed to implementing the remaining audit recommendations. Recently, CRR has hired additional personnel to handle the increased workload, implement the audit recommendations and continue carrying out the new internal control procedures. In addition, the Information Technology Section is continuing its effort to identify a feasible technology solution to serve the needs of the Department and further enhance controls.

In order to continue building on these initial successes, and further enhance the internal control environment, staff is recommending continued services from Mr. Bornstein at six-month intervals. Ideally, Mr. Bornstein could return each six-months, perform updated independent reviews of progress, and measure the effectiveness of new internal controls. With the baseline understanding that he has gained during his work at OCFA over the past year, we anticipate that it would require approximately one month of part-time work (roughly 100 hours) by Mr. Bornstein at each six-month interval, to refresh the status and provide updated input and guidance to staff, management, and the Board. For calendar year 2015, we'd anticipate his return in January and July, for an estimated cost of \$10,000 at each six-month interval. Staff would then return to the Budget & Finance Committee and Board in August 2015 with an update, including a timeline outlining any remaining recommendations to be implemented.

Impact to Cities/County:

Not Applicable.

Fiscal Impact:

An approximate cost of \$100,000 was estimated for services provided by Mr. Bornstein during FY 2013/14; however, actual costs incurred only totaled \$62,000. The additional hours of intermittent work at six-month intervals, as recommended, would cost approximately \$10,000 every six months.

Staff Contacts for Further Information:

Lori Smith, Assistant Chief/Fire Marshal  
Community Risk Reduction

[lorismith@ocfa.org](mailto:lorismith@ocfa.org)

(714) 573-6016

Lori Zeller, Assistant Chief  
Business Services Department

[lorizeller@ocfa.org](mailto:lorizeller@ocfa.org)

(714) 573-6018

Attachment:

Report on the Implementation of Internal Control Audit Recommendations - Community Risk Reduction Department

## **Report on the Implementation of Internal Control Audit Recommendations in the Community Risk Reduction Department**

Irwin Bornstein, Finance Manager  
Orange County Fire Authority  
June 23, 2014

### Background:

In August of 2013, I was hired by OCFA to assist the Community Risk Reduction (CRR) Department with their implementation of recommendations made by the auditing firm of Lance Soll & Lunghard in March 2013 to improve internal controls over the fee-related activities within the department. I am a CPA and a retired Assistant City Manager/Finance Director with over 35 years of experience working with California municipalities.

My assignment was to work closely with CRR department management and to assist them by enhancing their understanding of the audit recommendations and providing onsite expertise in standard internal control practices. At the same time, my role involved getting an in-depth understanding of department operations in order to provide the most effective guidance on the best methods for implementing the auditors' recommendations. I envisioned my role as a "bridge" between the auditors and staff, to be both a translator and facilitator. While working directly with CRR department management, I reported directly to the Fire Chief.

The duration of the assignment was estimated at between six months and one year. My work was divided into four phases. Phase I was the initial "learning" phase, covering the documentation and assessment of current department work processes involving fee-related activities. Phase II was the "recommendations" phase, the product of which was my evaluation of the auditor's 20 specific recommendations, suggested modifications to certain of their recommendations and the making of 14 additional recommendations to improve internal controls within the department. During these two phases, department staff initiated a number of efforts to implement the auditors' recommendations, and I was involved with assisting them by answering questions and providing technical expertise when needed. Phases I and II were completed in early February 2014.

Phase III occurred during the period February through May, 2014. This was the "staff evaluation and implementation" phase, during which CRR department management was to further evaluate the auditors' recommendations as well as my additional recommendations, continue with and complete implementation, and to commence functioning with the new internal control procedures. Phase IV, the "evaluation" phase, occurred during late May and June, and was recently completed. This phase assessed staff's implementation efforts to date, the effectiveness of the new procedures, the need for any "course corrections" and the sustainability of the strengthened internal control environment going forward.

The approach that was followed to conduct the assignment relied on the review of existing department policies and procedures related to fee-supported activities, interviews with the auditors and key department staff, participation in group discussions and observation of work practices. Process narratives and flowcharts were prepared for the major business processes in the department, which can serve as reference and orientation material for current and future employees, respectively.



Internal Controls and the Audit Recommendations:

In their audit report, the Lance Soll & Lunghard auditors enumerated the four major objectives of internal controls as they relate to financial activities: to ensure that transactions are recorded properly, accounted for correctly, executed in accordance with laws and regulations and funds are properly safeguarded against potential risks of loss. They referenced the Internal Control – Integrated Framework (COSO Report), published by the Committee of Sponsoring Organizations of the Treadway Commission. COSO is a joint venture of five accounting, auditing and financial executive organizations dedicated to providing guidance and leadership on the issues of enterprise risk management, internal controls and fraud deterrence. COSO’s Internal Control – Integrated Framework has become a standard reference in the field. The Framework divides internal controls into five components:

- The Control Environment
- Risk Assessment
- Control Activities
- Information and Communication
- Monitoring

The Lance Soll & Lunghard review focused on the third Framework component, Control Activities, and involved 41 audit procedures to evaluate various control activities for the fee-related activities within the CRR department. Those 41 audit procedures resulted in 22 specific recommendations for improvement, covering the areas of Front Counter Procedures, Plan Review, Scheduling, Code Enforcement (Annual Inspections/Permits), Hazardous Materials Disclosure, CalARP (the California Accidental Release Prevention program), False Alarms, Special Events and Information Technology.

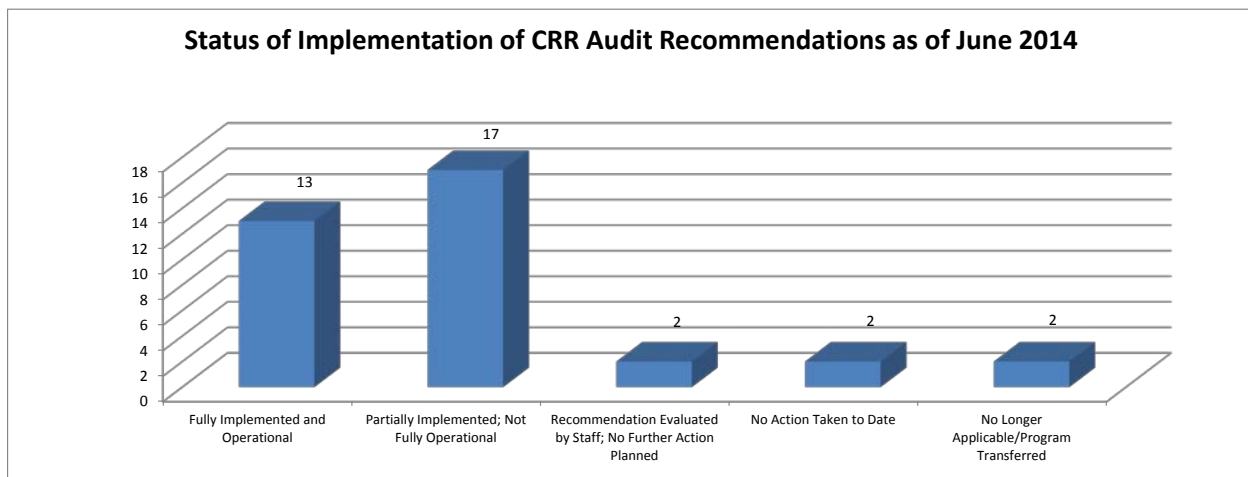
As part of my further study of both the auditors’ recommendations and the department’s business practices, I identified and reviewed additional control activities within these same areas, as well as control activities related to five other fee-related functions within the department (New Construction Inspections, Property Public Records Requests, Care Facilities, Wildland/State Responsibility Areas and Restitution Fees). This resulted in 14 additional recommendations for internal control improvements, for a grand total of 36 recommendations.

All of the recommendations are listed on the attached Community Risk Reduction Department Internal Control Audit – Summary of Recommendations spreadsheet (Attachment 1a). The spreadsheet includes, for each of the 22 recommendations made by the auditors: the auditors’ observations and recommendations, management’s response that was included in the audit report, process changes initiated or completed by staff through January 2014, additional management comments, my analysis and recommendations related to the auditors’ findings and staff’s implementation efforts, and the current status of implementation as of June 2014. (The auditors’ recommendations are numbered using the numbers that appeared in their March 2013 audit report. Since not all of their 40 audit procedures resulted in recommendations, these recommendations are not consecutively numbered.) For the additional 14 recommendations that I added as a result of my study (items (a) through (n)), the attachment denotes my observation, analysis and recommendation, process changes initiated or completed by staff through January 2014, management comments, and the current status of implementation as of June 2014.

### Status of Implementation Efforts

The final set of 36 recommendations was provided to CRR department management in February 2014 for their follow-up. As noted earlier, department management had already begun to take action on a number of the recommendations prior to February. During the February – June time period, management was to continue with implementation efforts already begun and to make final decisions on which remaining recommendations to implement and to commence implementation on those recommendations.

The following chart summarizes the current status of implementation for the 36 audit recommendations.



As of June 2014, CRR Department management has taken at least some action on 32 of the 36 audit recommendations (see Attachment 1b). No action has been taken yet on two of the recommendations and two of the recommendations are no longer applicable because responsibilities for the referenced programs have been transferred to agencies other than OCFA.

Thirteen of the 36 recommendations have been fully implemented and the new policies and procedures are fully operational. The majority of the fully implemented recommendations are in the Code Enforcement/Annual Inspection area. In summary, they are:

<b>Table 1. CRR Audit Recommendations – Fully Implemented and Operational</b>		
<b>No.</b>	<b>Area</b>	<b>Recommendation</b>
1	Front Counter	Supervision of Front Counter
20	Code Enforcement/Annual Inspections	Inputting of inspection status and results into IFP
21	Code Enforcement/Annual Inspections	Weekly reports from IFP on annual inspection status
22	Code Enforcement/Annual Inspections	Daily review by management to ensure completed inspections are updated in IFP (timely inspections)
24	Code Enforcement/Annual Inspections	Comparison of permit issuance dates to IFP data entry dates
26	Code Enforcement/Annual Inspections	Periodic review of IFP information to ensure accuracy
27	Code Enforcement/Annual Inspections	Daily review by management to ensure completed inspections are updated in IFP (timely permit issuance)
28	Code Enforcement/Annual Inspections	Review of outstanding annual inspections; inspections completed prior to billing
38 (1)	Malfunctioning Alarms	Coding review ahead of billing transmittal to Finance
39	Special Activities	Second level of approval; additional segregation of duties
(k)	Care Facilities Inspections	Charging of fees for actual time spent
(l)	Wildland Fire Prevention for State Responsibility Areas	Clarification of program responsibilities
(n)	Investigations	Outdated policy documents regarding Restitution Fees

Some actions have been taken to date to implement the following 17 recommendations. Actions taken include policy decisions, development and approval of revised procedures and ordering of new equipment. Remaining actions to be taken on these recommendations include putting new procedures into operation, receipt and installation of equipment, and/or taking action on the remaining portion of the recommendation not yet addressed. The 17 recommendations are in various stages of implementation, as more fully described in Attachment 1a.

<b>Table 2. CRR Audit Recommendations – Partially Implemented; Not Fully Operational</b>		
<b>No.</b>	<b>Area</b>	<b>Recommendation</b>
2 (1)	Front Counter	Review of Service Request (SR) forms
2 (2)	Front Counter	Daily review of starting and ending SR #s
5	Front Counter	Review of complete and closed plan reviews; proper archiving
6, 40	Front Counter/Information Technology	Controls over edits and adjustments to SR records
(a)	Front Counter	Locked cash drawer
(b)	Front Counter	SR #s affixed to plans prior to plan approval
7	Plan Review	Second level of review for plan reviews and fee code adjustments
10	Plan Review	Approval of Plan Review (PR) fee code changes/reversals
13	Scheduling	Follow-up of aging SRs
(d)	Scheduling	Development of Quality Control (QC) process for Scheduling
(e)	Scheduling	Charging for late-cancel inspections
(g)	New Construction Inspections	Rotation of inspectors
(h)	New Construction Inspections	Remote access into IFP for inspectors
25	Code Enforcement/Annual Inspections	Automatic interface between modules in new ERP system; management review of input into each module
(i)	Code Enforcement/Annual Inspections	Lack of consistency in assessing re-inspection fees
(j)	Property Public Record Requests	Segregation of duties, rotation policy; fee review
(m)	Wildland Fire Prevention for State Responsibility Areas	Contact with State officials re program compliance

The timeframes needed to fully implement and make operational these 17 recommendations will vary. Some are very close to completion (for example, Recommendations # (a), (b), 13 and (e)) while others require more long-term work and/or implementation of a new information system (for example, Recommendations # 2(1), (h) and 25).

Two recommendations asked for department management's evaluation of two policy issues, rather than for specific action. Staff has reviewed these two issues and is currently planning on taking no further action to change existing practices in these areas.

<b>Table 3.</b> <b>CRR Audit Recommendations – Recommendations Evaluated; No Further Action Planned</b>		
<b>No.</b>	<b>Area</b>	<b>Recommendation</b>
(c)	Front Counter	Evaluate requiring or encouraging greater plan submittals at OCFA, rather than at cities, to enhance OCFA efficiency
(f)	New Construction Inspections	Evaluate staffing approach for inspection workload

Regarding finding (c), staff believes the values of customer service and customer convenience and deferring to the preferences of member agencies outweigh the potential time savings and other advantages of having a greater number of plans submitted directly at Fire Authority headquarters. Regarding how best to address staffing needs to complete new construction inspections in a timely manner, the current approach of relying primarily on overtime and the use of inspectors from the Safety and Environmental Services division to supplement new construction inspectors is still believed to be a better approach than the use of contract inspectors. Staff believes that contracting for additional inspectors is problematic due to the limited supply and high cost of qualified contract service providers, knowledge requirements and control issues. However, regular staffing is being enhanced with the addition of one new inspector position.

No action has been taken to date on the following two audit recommendations:

<b>Table 4.</b> <b>CRR Audit Recommendations – No Action Taken to Date</b>		
<b>Finding No.</b>	<b>Area</b>	<b>Recommendation</b>
37	Malfunctioning Alarms	Additional staff training; review of open alarm codes
38 (2)	Malfunctioning Alarms	Obtaining correct business names and addresses; additional training

Actions to implement the above two recommendations, both of which are related to additional training of Operations personnel, have not yet proceeded, pending further Executive Management direction regarding the roles and responsibilities of both Community Risk Reduction and Operations staff for the Malfunctioning Alarm program.

The auditors' recommendations regarding the Hazardous Materials Disclosure and CalARP programs, as noted on Attachment 1a, Findings #s 32 and 33, were deemed by staff to be no longer applicable, due to the transfer of program responsibilities for these two programs, effective July 1, 2013.

The approach taken by staff to address many of the above audit recommendations has been to formalize and expand upon existing Quality Control (QC) review procedures. New QC procedures have been developed and published on SharePoint. They include reviews of random samples of completed transactions, observations, site visits, follow-up calls to customers, and regular meetings with subordinate staff. The new QC procedures were implemented and became operational in April in the Safety and Environmental Services (S&ES) division of the CRR Department. In the Planning and Development (P&D) division, the updated QC procedures have been implemented and are operational for New Construction inspections, but they are not yet operational in the Front Counter, Plan Review and Scheduling sections, due to current workloads and the priorities given to customer service and plan turnaround times.

#### Effectiveness of New Controls

Because a large number of the audit recommendations are still in the process of being implemented, many of the new controls are not yet fully in place. For some of the new procedures that have been implemented, it is too early to determine the full extent of their effectiveness, because they have been operational for a relatively short period of time. However, improvements in internal controls in the department have resulted from the degree to which the recommendations have been implemented.

Regarding some of the specific audit recommendations: effective management oversight of Front Counter operations is now in place; approved plans are being archived more timely; and data entry errors and backlogs have been reduced for both plan archiving and false alarm billings. In the areas in which additional segregation of duties has taken place, risk has been reduced. And where improvements to computer access controls have been implemented, accountability has been enhanced.

Department management has reported that they have already begun to notice improvements in the quality of work products in general, as a result of their new review practices. They also have seen that lower level staff has a better understanding of the need for change and why the new review practices are important.

#### Evaluation of Department Management's Level of Support to Date

From my perspective, CRR Department management has been very receptive to the audit recommendations and they understand the need to improve controls over fee-related activities. They have been extremely cooperative during the course of my project work, helpful in providing me the information I have requested, and open and honest in their responses to my questions.

During the seven-month vacancy period in the Fire Marshal position, the four Deputy Fire Marshals in the department continued to give a high level of attention to the implementation of the audit recommendations. Table 5 displays the audit recommendations by functional area within the CRR Department.

Functional Area	Fully Implemented and Operational	Partially Implemented; Not Fully Operational	Recommendation Evaluated by Staff; No Further Action Planned	No Action Taken to Date	No Longer Applicable/ Program Transferred	Totals
<b>Planning and Development:</b>						
Front Counter	1	6	1			8
Plan Review		2				2
Scheduling		3				3
New Construction Inspection		2	1			3
	<b>1</b>	<b>13</b>	<b>2</b>			<b>16</b>
<b>Safety and Environmental Services:</b>						
Code Enforcement /Annual Inspections	7	2				9
Discontinued Programs (Haz Mat Disclosure/CalARP)					2	2
Malfunctioning Alarms	1			2		3
Special Activities	1					1
Property Public Record Requests		1				1
Care Facility Inspections (State Form 850)	1					1
	<b>10</b>	<b>3</b>		<b>2</b>	<b>2</b>	<b>17</b>
<b>Pre-Fire:</b>						
Wildland Fire Prevention for State Responsibility Areas	1	1				2
<b>Investigations:</b>						
Restitution Fees	1					1
<b>Totals</b>	<b>13</b>	<b>17</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>36</b>

As can be seen in the above chart, 33 of the 36 recommendations pertain to the P&D and S&ES divisions, with roughly an equal amount in each of these two divisions. The S&ES division has been to fully implement and make operational the majority of their audit recommendations. Their expanded QC procedures have been in place for 60 days. As noted earlier, the challenge for P&D staff has been to both implement the audit recommendations and successfully address the current workloads of plans to review and inspections to conduct resulting from the major development activity occurring in the county. New QC procedures have been developed in P&D, but the heavy workload has hindered staff's progress in making the new procedures operational.

Staff's efforts to date have had positive impacts on many of the components of internal controls described by the COSO Internal Control Framework, not just the control activities. Improvements to the control environment have been clearly noted, in terms of the enhanced documentation of business processes and a renewed emphasis on employee training. A strong "tone at the top" of the department emphasizing the importance of the audit recommendations and improved internal controls has also strengthened the control environment. Business process analyses and staff discussions during the audit recommendation implementation process, as well as the closer supervision of staff resulting from the new QC procedures, have positively impacted the department's risk assessment efforts. The auditors cited improvements in source documentation and reports as ways to enhance the information and communication component of internal controls. Additional source documents have been designed and implemented to substantiate decision-making processes, and new reports have been designed to provide management more of the information necessary for managing and implementing changes to their operations.

The fifth component, monitoring, will become a greater part of the department's operations in the future, once all of the internal control improvements have been implemented and operational for a period of time and results of QC efforts begin to be analyzed.

### Conclusions and Next Steps

The Community Risk Reduction Department has made substantial progress in implementing the 36 recommendations from the internal controls audit. However, a significant amount of work remains to be done. For the 13 recommendations that are fully operational, staff should continue to follow the new procedures and monitor results. Efforts should continue on the 17 recommendations that have been partially implemented and are not fully operational. Work should commence on the two recommendations for which no action has yet been taken as soon as it is appropriate.

While all of the audit recommendations are important, during the next few months priority attention should be given to those audit recommendations that address the more significant risks to the organization. The following nine recommendations should be given the highest priority, as they directly address the issues of safeguarding of assets and the proper assessment of fees. The first two recommendations in the following table include the issues of proper access controls for IFP and SharePoint computer systems, which should be addressed right away.

<b><u>Table 6.</u></b> <b><u>Highest Priority Recommendations Not Yet Fully Implemented and Operational</u></b>		
<b>Finding No.</b>	<b>Area</b>	<b>Recommendation</b>
5	Front Counter	Review of complete and closed plan reviews; proper archiving
6, 40	Front Counter/Information Technology	Controls over edits and adjustments to SR records
(a)	Front Counter	Locked cash drawer
7	Plan Review	Second level of review for plan reviews and fee code adjustments
10	Plan Review	Approval of Plan Review (PR) fee code changes/reversals
13	Scheduling	Follow-up of aging SRs
(d)	Scheduling	Development of Quality Control (QC) process for Scheduling
(e)	Scheduling	Charging for late-cancel inspections
(i)	Code Enforcement/Annual Inspections	Lack of consistency in assessing re-inspection fees



Eight of these nine priority recommendations are in the Planning and Development section of the department. As noted earlier, three of them (#s (a), 13 and (e)), are very close to being fully implemented and operational. The biggest hindrance to date affecting the implementation of the P&D audit recommendations has been the heavy workload of plans and inspections as a result of the upturn in development activity in the county. The challenge will be to identify and devote sufficient resources to P&D to support both the timely processing of peak workloads as well as the full implementation of the audit recommendations and continued execution of the new control procedures going forward. Supervisory spans of control may need to be addressed.

A number of the audit recommendations cited weaknesses of the current Integrated Fire Prevention (IFP) information system. It is unfortunate that the most recent efforts to replace the system were unsuccessful and that work must begin again to identify how best to proceed. The benefits of a modern information system are many in terms of improved controls, greater efficiencies and better information. A new system can offer individual modules that are well integrated, greater opportunities for automating manual processes, remote data entry and enhanced reporting capabilities. Under the best of circumstances, implementation of a new system takes at least a year from start to finish, and more likely, two or more years. It is essential that work to replace the IFP system continues to move forward as rapidly as possible. During the next two or more years, needs may arise to make certain modifications to the IFP system to improve internal controls within the CRR Department. Those modifications should be given serious consideration, despite the relatively short remaining life of the IFP system, if the changes offer significant benefits in terms of better controls or greater efficiencies.

The ultimate timeframe to complete the implementation of the nine priority recommendations noted above as well as the total of 19 audit recommendations that are not yet fully implemented and operational depends significantly on how long it takes to address the resource question in P&D. Interim solutions to address the weaknesses in the current IFP system, such as manual reviews of paperwork and data entry, are being implemented to address the audit recommendations in the short term.

In the long term, sustainability of the improvements to CRR internal controls will require a modern and efficient information system, sufficient staffing resources and continued management focus. Additional training for both management and staff on internal controls may also help to improve and sustain a stronger control environment for the department, training that emphasizes that effective internal controls requires a team effort and the importance of ongoing monitoring of internal controls.

Monitoring of internal controls can take many forms. It includes both the ongoing monitoring that is built into the department's operations as well as separate evaluations by outside parties. In terms of "built-in" monitoring, one recommendation is for department management to revisit, on a quarterly or semi-annually basis, the effectiveness of the new QC efforts and other new control activities, to make sure they are addressing the most important risk exposures for the department. This effort can also serve to strengthen the risk assessment aspect of internal controls, and identify other major risks to the department that are perhaps not yet being properly addressed.

External reviews of the status of internal controls in the CRR department should continue on a periodic basis. The current practice of utilizing external auditors for such reviews could be continued. Other options include utilizing Finance staff or evaluating the feasibility of establishing an internal audit function within OCFA, which could conduct internal control and other types of reviews throughout the organization.

**Community Risk Reduction Department Internal Control Audit - Summary of Recommendations**

**I. Planning and Development - Front Counter Processing (and Information Technology):**

**A. Recommendations from Lance Soll and Lunghard audit report:**

Per LSL Audit Report, March 2013			Implementation Assistance, August 2013 - January 2014			
Finding No.	Auditor's Observation	Auditor's Recommendation	Management Response in Audit Report	Process Changes Initiated/Completed by Staff; Additional Management Comments	Analysis and Additional Recommendations	Current Status as of June 2014
1	No individual was charged with supervising the daily activities of front counter staff.	Daily front counter operations should be supervised by Deputy Fire Marshall (DFM), or individual designated by DFM, separate from front counter operations.	Management Assistant (MA) has been filled and is responsible for daily operations of front counter. An Asst Fire Marshall (AFM) will oversee front counter operations and will develop a policy outlining frequency of data reviews.	AFM Grubb supervises MA Lynda Martinez. CRR staff setting up processes for QC for counter staff. DFM level supervision is considered too high. QC procedure has been developed for FPSS activities - data entry and phone etiquette.	Concur with measures implemented by staff; see recommendation in #2 below re QC for data entry.	MA position filled; AFM overseeing Front Counter; Front Counter process narrative and flowchart completed; new QC process developed to review 5% of transactions, including data entry. New process not yet fully implemented due to workload and customer service priorities.
2 (1)	Service Request (SR) forms are used out of sequence; policy is unclear re: sequence control; 24% of SR #s were unaccounted for.	SRs created should be reviewed by a staff member independent of front counter intake. This individual would be responsible for the ordering of SRs and would investigate missing SRs and usage out of sequence.	Due to software and logistical limitations, we are not currently able to issue SRs sequentially. Blank SRs are held by partner cities and contractors. SRs with errors are discarded. New RMS system will issue SR numbers eliminating this problem. Prior to new RMS system, AFM referenced in #1 above will be responsible for accuracy and consistency of SR data.	Staff was planning to develop a report of deleted SRs, as that was identified as the area of greatest exposure.	The initial approach was to see if the IFP system could generate a sequential record number for each SR entered, but it was indicated that this was not feasible, given IT resources and priorities. As a result, recommend: (1) that implementation of new RMS system be accelerated, if possible; (2) consider supplementing IT resources to accelerate RMS implementation; (3) continue to research methods for improving IFP reporting of open and closed SRs.	Deleted SR report has been developed and just needs to be published to IFP to become available for continued use. Development of a background sequential record number for all SRs entered is still not feasible, given IT resources and priorities.

Attachment 1

2 (2)	<p>Front counter personnel are not following policy on ensuring project info from SRs are entered correctly into IFP; supervision of daily inputs is limited. As a result, there were SR numbers input incorrectly.</p>	<p>Daily starting and ending SR numbers should be reviewed and agreed to physical documentation, by someone independent of person inputting.</p>	<p>See response to #1 above.</p>	<p>New QC procedure to be implemented to review for data entry quality. Proposed sample size is 5% of total volume.</p>	<p>Management is concerned that the QC sample size be set at a level that is achievable given current workloads and resources.</p>	<p>New QC process developed to review 5% of transactions, including data entry; new QC process not yet fully implemented due to workload and customer service priorities.</p>
5	<p>Certain fields in SR forms are editable after the SR was complete and finalized. Existing policy specifies the IFP application should not allow for edits to SRs after they are finalized.</p>	<p>Complete and closed plan reviews should be reviewed by management. Management should develop process to ensure completed SRs are properly archived.</p>	<p>The new AFM referenced in #1 above will be responsible for implementing a process to ensure completed SRs are properly archived.</p>	<p>AFM in charge of plan review has developed a new archiving policy that spells out how to archive properly and calls for plans to be archived daily. Proper archiving of plans will be part of new QC procedure for plan review.</p>	<p>When plan is approved, fee-related fields are currently locked. There are a number of valid reasons why certain tabs and/or fields of SRs need to be modified after the plan is approved. Regarding archiving of plans: archiving is often not done timely and backlogs are created, because archiving can be a time-consuming process. Access to archiving program is currently not sufficiently controlled to prevent unauthorized changes to or deletions of archived plans.</p>	<p>Plan archiving procedure was re-issued by management in February 2014. Also, the numbering convention for archiving has been simplified. As a result, archiving is more timely and backlogs have been eliminated. Revisions to access rights to the archiving program are in process. Feasibility of locking additional SR fields and authorities to change SR fields not yet reviewed.</p>
					<p>Recommend that management consider locking all or most SR tabs and fields at the time of plan approval, and that supervisor approval be required to unlock. Access to archiving program should be revised to prevent unauthorized changes to or deletions of archived plans.</p>	

6, 40	Fire Prevention Services Specialists (FPSS's) that intake new plan review service requests also have the ability to accept payments and apply credits to SR records.	All edits and adjustments should be made by separate individuals with the proper oversight from management.	Once plans have been entered by the FPS, they are reviewed by a Fire Prevention Analyst who reviews the info entered by the FPS. If the fee info is erroneous, the Analyst will update the info. Once Analyst approves the plans and final fees are determined, only a P&D supervisor can change the fee. Policies will be developed for additional oversight/ approvals whenever payments or credits have been accepted at the Front Counter.	In September 2013, front counter terminals were made view only terminals. FPSS data entry must now take place at their own terminals. In addition, IFP passwords were changed and password policy was re-enforced to ensure accountability for changes made in IFP.	Concur with measures taken by staff.	FPSS's have ability to make changes in IFP after plans are approved, but policy is being followed to advise supervisor and request permission to do so. Computer access authority of front counter personnel should be further reviewed.
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### B. Additional Observations/Recommendations

#### Implementation Assistance, August 2013 - January 2014

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(a)	The drawer into which checks and CC receipts are placed is unlocked and many people access the drawer	Internal controls include policies and procedures for the security of assets and records. Assets need to be protected against the risk of loss or theft. The more individuals that have access to assets, the greater the risk.	Drawer should be locked.	Staff plans to acquire and install a separate locked box for Front Counter receipts, but funding is currently uncertain.	Locked box has been ordered.
(b)	Plans are tagged at front counter with SR# but are not physically marked with SR# until plan approval	SR# is critical tracking device, so plans should be marked with SR# at front counter, in case tag gets separated from the plan. Plans are often resubmitted without tags.	Recommend that SR# be written on plans at front counter.		Decision has been made to implement. New practice will commence within next two weeks.
(c)	Plans requiring OCFA review may be submitted at the building departments of 13 member agencies	Plan submittals at member agencies allows for greater convenience to the customer and member agencies, but at greater costs, inefficiencies and lower levels of controls for OCFA. The majority of plans are currently submitted at OCFA. Six cities require OCFA plan submittal at their city.	Recommend that staff study the feasibility of requiring all plans to be submitted at OCFA, or determine ways to require or encourage a greater number of plans to be submitted at OCFA.		Current assessment by staff is that the value of customer service and allowing plans to be submitted at cities outweighs the potential benefit of greater efficiencies for OCFA if plans are submitted directly to OCFA.

**II. Planning and Development - Plan Review:**

A. Recommendations from Lance Soll and Lunghard audit report:

Per LSL Audit Report, March 2013			Implementation Assistance, August 2013 - January 2014			
Finding No.	Auditor's Observation	Auditor's Recommendation	Management Response in Audit Report	Process Changes Initiated/Completed by Staff; Additional Management Comments	Analysis and Additional Recommendations	Current Status as of June 2014
7	Fire Prevention Analysts (FPAs) have sole authority to approve new construction plans without any oversight or quality control review. FPAs have ability to change plan review codes without any level of approval.	A second level of review or authority should be implemented over plan reviews and adjustments to plan review SR codes	Supervisors will be developing plan review quality control procedures that will include a requirement for supervisor approval before any fees are adjusted by staff.	Existing QC process for plan review expanded and sample size formally set at 5%. QC to include both approved plans and plans returned for corrections, as well as observation of plan reviewer meetings with customers. For fee code changes, see #10 below.	Management is concerned that the QC sample size be set at a level that is achievable given current workloads and resources.  Recommend that sample size be set at 5% initially, but increased to 10% in the future, if possible. Also, management should establish an acceptable error rate and modify QC procedure to include sample expansion if errors are found in excess of acceptable error rate. For fee code changes, see #10 following.	Staff has not yet been able to implement, due to current plan review volumes and supervisor time required to maintain timely processing. Supervisors continue to address plan review issues as they occur, but 5% sampling of all approved and returned plans has not yet begun.
10	It appeared that Fire Prevention Specialists (FPSs), both at the front counter and plan review processes, were not following a policy that would require a second level of oversight or approval for PR fees code in SRs that were reversed or changed, prior to changing the PR fee code in the SR.	A quality control process should be implemented to ensure all changes or reversals of PR fee codes are properly approved prior to the change in the IFP program.	Supervisors will be developing quality control procedures checking for accuracy of PR codes to plans.	Requiring all fee code changes to be approved by a supervisor prior to entry into the IFP system was determined to be undesirable in terms of causing delays in plan processing when a supervisor was not available. In January, staff was pursuing whether IFP could automatically notice the AFM of fee code changes made by plan reviewers, that the AFM could then review on a 5% sampling basis.	Concur with measures proposed by staff in January. Recommend that staff continue to analyze alternative methods of fee approval by supervisors for possible future implementation.	It has been determined that the IFP system cannot generate automatic notification to the AFM of fee code changes made by plan reviewers. As a result, a manual email notification process began in May 2014. Plan reviewers are making notes in IFP to explain fee code changes. Staff will investigate whether an IFP report can be generated to facilitate AFM review of fee code changes after they are entered by plan reviewers into the IFP system. 5% sampling of transactions with fee code changes not yet begun.

**III. Planning and Development - Scheduling:**

A. Recommendations from Lance Soll and Lunghard audit report:

Per LSL Audit Report, March 2013				Implementation Assistance, August 2013 - January 2014		
Finding No.	Auditor's Observation	Auditor's Recommendation	Management Response in Audit Report	Process Changes Initiated/Completed by Staff; Additional Management Comments	Analysis and Additional Recommendations	Current Status as of June 2014
13	There is no process in place to follow up on aging SRs with completed plan reviews that have not been scheduled for inspection.	For projects exceeding a specific time frame (e.g., 1 year), management should consider following up with project contractors on the status of the project and place notes within the IFP program, tracking dates and times contractors were contacted and results of correspondence.	Aging or tracking reports will be developed to track construction projects that have not been completed. Planning and Development will work with Finance on processes to contact individuals that submitted plans.	Staff was planning to implement construction permit expiration at 180 days for suspended or abandoned projects; staff was meeting with IT to develop a process to report plans without inspection activity within the last 6 months. Additionally, a new SR form was to be developed advising customers that it is their responsibility to notify the OCFA for all projects not moving forward.	Government Code Sections 50050-50057 specify that money not the property of a local agency that remains unclaimed after three years becomes the property of the agency, provided appropriate notice is given as specified by law.  Concur with measures taken by staff. Also, recommend additional resources be devoted to resolving the existing backlog of open inspections, perhaps with use of interns/extra help. Recommend that Government Code Section 50050-50057 be reviewed for applicability in instances where the original applicant is no longer in business, etc.	New SR expiration policy implemented effective with plans first submitted June 1, 2014. SR will expire 6 months after initial plan returned date subject to requests for extension. Inspection fees will be refunded upon expiration. New reports and IFP tracking developed to support the new policy. Email notification procedure to be developed. Current backlog of SRs with approved plans and open inspections has been reduced with extra help. Management intends to address the balance of the backlog in June/July.

B. Additional Observations/Recommendations**Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(d)	No QC process has been defined for Scheduling activities.	The Scheduling process is a critical activity for the department. Appropriate management oversight of this function is important to ensure not only that reinspection fees are properly assessed, but also that inspections are scheduled in a timely manner and open inspections for which fees have been collected are properly monitored.	A QC process should be developed to encompass the major responsibilities of Scheduling personnel. Recommend that consideration be given to include the timely monitoring of open inspections, handling of backlogs, and efficiency of inspection schedules.	Staff drafted a QC procedure for Scheduling in which a 5% sample of failed inspections will be reviewed to confirm that correct fees were assessed.	Not yet implemented. Capability of IFP to report needed information being researched. Management sees the appropriate assessment of reinspection fees as the primary area to address QC efforts.
(e)	If a re-inspection is cancelled later than 1 pm on the day before the scheduled inspection, any prepaid inspection fee is retained.	Charging for a late cancel re-inspection is akin to charging a penalty. Such a penalty fee is not included on the current fee schedule.	Recommend that this practice be stopped until such time as the fee schedule can be modified.		Penalty fee to be added to the new fee schedule.

**IV. Planning and Development - New Construction Occupancy (NCO) Inspection:**

*A. Recommendations from Lance Soll and Lunghard audit report - None.*

*B. Additional Observations/Recommendations*

**Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(f)	During periods of high activity/inspection volumes, staffing resources are solicited from other sections and paid overtime to accomplish the work	Borrowing staff and paying overtime is a short-term solution and may not be the most cost-effective means of addressing peak workloads.	Recommend that management determine whether contracting for additional inspectors and/or temporary hiring of additional inspectors during periods of high volume is a better solution than the current approach of seeking volunteers to work overtime.	One additional inspector has been hired as extra help.	Currently six fulltime P&D inspectors service the county. One additional inspector has now been authorized in addition to the extra help position, but new position won't be online for several months. Reliance continues on borrowing staff and use of overtime. Supervisor performs inspection work to supplement staff. Staff believes that contracting for additional inspectors is problematic due to limited supply/high cost, knowledge requirements and control issues.



(g)	<p>Inspection staff is assigned by geographic area, resulting in certain areas of the county having just one inspector assigned, and assignments are not rotated on any regular basis</p>	<p>Rotation may not be workable given current volumes and staffing levels.</p>	<p>Recommend that a rotation policy be established, at a frequency that balances the value of continuing relationships and the cost of training, with the value of having a "fresh set of eyes," and staffing levels be increased, if necessary, to permit implementation.</p>	<p>Exists in south and west county areas, but new inspector position will create some additional overlap. Management acknowledges that rotation policy should perhaps be considered. Supervisor has confidence in existing staff. Management feels there are positives to continuing relationships as well as negatives. Mitigating control is that schedulers control inspector schedules. If inspector requests a specific inspection, management will inquire.</p>
(h)	<p>Inspectors need to return to RFOTC to input inspection results into IFP</p>	<p>Lack of remote access to IFP for inspectors is inefficient and reduces staff time available to conduct inspections. New RMS system will provide remote access.</p>	<p>(F) Recommend that alternate methods of transmitting data be explored. Recommend that implementation of the new RMS system be accelerated, if possible.</p>	<p>IFP data entry can be done at Fire Stations 58 and 61 in west and south county areas. However, inspectors are currently required to start and end their workdays at RFOTC. Other means of increasing efficiencies in the inspection process will be explored by department management. New RMS system implementation is 15-24+ months away.</p>

**V. Safety and Environmental Services - Annual Inspections/Permits:**

**A. Recommendations from Lance Soll and Lunghard audit report:**

Per LSL Audit Report, March 2013			Implementation Assistance, August 2013 - January 2014			
Finding No.	Auditor's Observation	Auditor's Recommendation	Management Response in Audit Report	Process Changes Initiated/Completed by Staff; Additional Management Comments	Analysis and Additional Recommendations	Current Status as of June 2014

**Code Enforcement:**

20	It was difficult to determine if management reviewed and approved the status of annual inspections from the IFP program, or if SharePoint information agreed or was evidenced by IFP program information.	Management should develop a review process to ensure that inspection status and inspection results are inputted into the IFP program. Each inspector should be responsible for updating inspection results with management verification of results in IFP.	SharePoint tool is a disposition tracking tool to view progress of inspection workload. The Fire Inspection Form (FIF) is reviewed and accepted by the Asst Fire Marshall before SharePoint entry is made and before FIF is data entered into the system. Confirming that the approved data actually is entered into IFP would require a random quality control check by the AFM and is an easy task to incorporate.	Two quality control checkpoints were already established: one to insure the inspection information, inspections and tracking are reasonable and consistent; another to insure that what was represented in these processes is what is data-entered into IFP. Process narrative and flowchart, written QC directions and QC verification tool developed to formalize the process. Formal kickoff anticipated after section training in March, 2014. In addition, 100% of all billing information is QC'd prior to transmittal to Finance.	Auditors underscored the value of IFP and SharePoint data being consistent and reliable. However, while IFP and SharePoint information agree at the time the FIFs are initially run, there will necessarily be discrepancies between IFP and SharePoint until data is entered into IFP for inspections completed. Sharepoint data is the information used to manage the inspection process.  Concur with measures taken by staff. In addition, recommend that existing policies regarding the conduct of annual inspections be reviewed and revised as necessary, appropriate training provided to staff, and policies enforced to reduce delays in the process.	Two QC checkpoints in place. Process narrative, flowchart and QC directions posted to SharePoint. QC reviews implemented (paperwork review of 100% of CRR-conducted inspections; 100% review of all billing information prior to submitting to Finance; 10% sampling of all CRR-conducted inspections to review for data entry accuracy, FIF information, inspections, proper permits, billing) and QC results being reported using QC verification tool. DFM indicates that no additional policy review is necessary at this time, because Inspection Status Report tracking tool provides the necessary information to identify problem areas.
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21	It was unclear if annual inspections are being conducted in a timely manner.	Management should obtain weekly reports exported from IFP to determine the status of annual inspections required to be conducted that quarter.	Inspection workloads are no longer issued in quarters. Timeframes are announced through an annual memo from the Operations Chief. SharePoint does a good job of tracking progress as well as date of data entry, the latter being a direct data drop from IFP.	The annual inspection program is now closely monitored by the Assistant Fire Marshal rank. This team works with the SharePoint inspection tracking list every day to insure that Operations as well as Community Risk Reduction staff are making appropriate progress as it relates to the defined timeline for completion. Operations has six months to complete their annual workload, so 17% should be completed each month. AFMs use the Inspection Status Report, which is issued weekly every Wednesday and graphs inspection progress using data from the SharePoint tracking list, to assist and coach the teams. This activity has been underway since May 2013.	Delays in completing paperwork and/or updating inspections status in SharePoint can make it difficult to determine if inspections are being conducted timely.  Recommend that Operations and S&ES management continue to monitor the SharePoint tracking list and review and enforce policies and procedures to ensure timely completion of inspection paperwork and timely updating of SharePoint tracking list. Management should continue to be held accountable for insuring that inspections are conducted timely and paperwork is completed timely.	See #20 above. Inspection Status Report of June 4, 2014 indicates 80% of annual inspections have been completed, and Assistant Fire Marshals indicate that annual inspection goals will be met.
22	It appeared that annual inspections were updated into the IFP program at dates later than the required inspection date.	Management should develop supervision and review procedures that on a daily basis ensure that inspections that were performed have been properly updated in the IFP program.	Clarification of term "required inspection date" is needed. If observation is that data entry into IFP is too long after actual inspection, the new policy for FY 2013-14 (is) to review inspection activity at end of each day, forward to data entry or return to the Specialist for follow up. Re: inspection workload that comes in from field, SharePoint tool assists management in seeing final inspection date and data entry date. This creates a process that is an easy daily check for work flow.	See comment in #21 above. Ensuring that percentages of inspection completion stay on track will make the data entry component more timely as well.	Discussed further with auditors. "Required inspection date" refers to the Quarter indicated in IFP. Auditors pulled the Code 2 Annuals and noted the quarters the inspections were due vs the entry date into IFP. Not sending paperwork to data entry locations on a timely basis can create bottlenecks and data entry delays when large amounts are sent all at once.  See recommendations in #20 above. Also, recommended that additional resources be devoted as needed to eliminate current backlogs.	Backlogs are being closely monitored. Sharepoint inspection tracking information, along with date stamps when documents are received from Operations, are being used to identify where backlogs are occurring.

24	Due to limitations of IFP system, it was difficult to determine which FIFs were not updated in a timely manner. Only the latest inspection date is maintained in IFP. Per observation, 216 inspection records from 2012 and 2013 were updated 30 days or more after inspection occurred.	Periodically, management should review status of FIFs for businesses that were issued permits during that period and compare permit issuance date to the date the FIF was updated into the IFP, to ensure management is relying on timely and accurate information on inspection results.	There are two ways of verifying timeliness of data entry and related permit issuance: SharePoint tool and periodic random backlog check at each division office by AFM. We are working with Operations to accelerate movement of inspection forms from the station to the data entry locations through addition of a QC function at the Battalion Chief level.	Community Risk Reduction management has been working with Operations to accelerate movement of inspection forms from the station to the data entry locations through addition of a QC function at the Battalion Chief level.	Concur with measures taken by staff. In addition, as noted above in #20 and #21, recommend that existing policies regarding the conduct of annual inspections be reviewed and revised as necessary, appropriate training provided to staff, and policies enforced to ensure timely conduct of annual inspections, and timely completion, quality control and data entry of inspection reports, and that management be held accountable for insuring that inspections are conducted timely and paperwork is completed timely.	Sharepoint status tracking tool is being used to followup on the timeliness of QC at the Battalion Chief level. No additional policy review needed at this time. As noted in #21, Inspection Status Report of June 4, 2014 indicates 80% of annual inspections have been completed, and Assistant Fire Marshals indicate that annual inspection goals will be met..
25	Inspection Support (IS) and Hazardous Material Disclosure modules of IFP system are not well integrated; information entered into IS module may not be captured in the HM Disclosure module for businesses that require HM material disclosures. Also, SR module for New Construction Inspections does not automatically relay information to the IS module for future tracking of needed annual inspections.	Management should ensure that the new ERP database has an automatic interface between modules. In the meantime, management should develop a process to ensure that information and results are being input into each module accurately and timely.	Management will work to ensure this capability in the new system. A random sampling will be reviewed to ensure quality entry in all modules until new system is on line.		Concur with auditor's recommendations and staff's plan to do random sampling to ensure quality entry in all modules until new system is online. Further recommend that the implementation of the new RMS system be accelerated, if possible.	Random sampling for data entry accuracy being conducted. Most recent comments by staff re new RMS system indicate that new system implementation is at least 15 months out, or more, depending on management's decision regarding the scope of desired capabilities of a new system.
26	Integrity of information used by Deputy Fire Marshal in monitoring inspection results may not have accurately reflected information tracked and maintained in the IFP program.	Management should implement a process that will require a periodic review of information entered into the IFP program to ensure the accuracy of the information and follow up with Fire Prevention Specialists on all irregularities.	In the upcoming year, a quality control process will be put in place where all inspection documents will be reviewed by the Asst Fire Marshals for completeness and accuracy. Field Battalion Chiefs (BCs) will review the work of firefighters and AFMs will perform random recheck of that work.	New quality control process -- Asst Fire Marshals will review 100% of inspection documents for CRR-conducted inspections for completeness and accuracy. Field BCs will review the work of firefighters.	SharePoint inspection tracking report is the tool being used to monitor inspection results.  Concur with measures taken by staff.	As noted in #20, QC reviews implemented and QC results being reported using QC verification tool. BCs are responsible for QC review of inspections conducted by Operations staff.

27	It was difficult to determine if permits were issued subsequent to inspections, due to reliability of information used.	Management should develop supervision and review procedures that on a daily basis ensure that inspections that were performed have been properly updated in the IFP program.	We will implement random review of data entry processes.	See comment in #21.	Concur with measures taken by staff.	Implemented random review of data entry processes.
28	It appeared that, as of March 19, 2013, over 800 annual inspections were still open to be conducted for 2012.	Management should review outstanding annual inspections and develop procedures to ensure that the annual inspections are completed prior to the billing date.	Hazardous materials program is transitioning to County Health Care Agency July 1. No other work is billed prior to initiation of the inspection. Only completed inspection work is entered into the system which then sends a message to Finance to generate a bill.	No specific implementation measure is required, other than to ensure that workload assigned is workload complete at the end of the inspection cycle. Accountability expectations have been expressed through both the Fire Marshal and the Assistant Chief of Operations via memoranda and utilizing weekly progress reports. These reports are currently in place.	Even though annual inspections are not billed prior to completion, management should ensure that annual inspections are completed in a timely manner for both public safety reasons and to capture cost recovery revenue.	As noted in #s 21 and 24 above, Inspection Status Report of June 4, 2014 indicates 80% of annual inspections have been completed, and Assistant Fire Marshals indicate that annual inspection goals will be met..

B. Additional Observations/Recommendations

**Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(i)	There is a lack of consistency in the assessment of re-inspection fees	Obtaining compliance has been the primary goal of the annual inspection process. Re-inspection fees are frequently not assessed if the customer is demonstrating a willingness to work toward compliance with OCFA requirements.	Recommend that policies regarding reinspection fees be reviewed, revised/clarified as appropriate, and then enforced to promote greater consistency in how reinspection fees are assessed.	This finding pertains to the annual inspection and other on-demand inspections. While the reinspection fee component will always have a subjective nature due to the cooperation of the customer and/or the magnitude of the corrections, the QC review process allows the AFM to better monitor the inspector's decision-making process, as to whether there were too infrequent visits to the customer or unreasonable re-inspections based on the magnitude of the corrections.	QC processes are in place to review reinspection fee decisions. Re-inspection fee policies will be reviewed to see if specifying additional guidelines is feasible.

**VI. Safety and Environmental Services - Discontinued Programs (Hazardous Materials Disclosure/CalARP):****A. Recommendations from Lance Soll and Lunghard audit report:**

<b>Per LSL Audit Report, March 2013</b>				<b>Implementation Assistance, August 2013 - January 2014</b>		
<b>Finding No.</b>	<b>Auditor's Observation</b>	<b>Auditor's Recommendation</b>	<b>Management Response in Audit Report</b>	<b>Process Changes Initiated/Completed by Staff; Additional Management Comments</b>	<b>Analysis and Additional Recommendations</b>	<b>Current Status as of June 2014</b>

**Materials Disclosure:**

32	Information in SharePoint that is used by management to monitor and supervise disclosure inspections did not agree with IFP program information, due to IFP program not being updated in a timely fashion with inspection results.	Management should implement a process to periodically review information entered into IFP to ensure accuracy and to follow up with Fire Prevention Specialists on all irregularities.	The follow up would be between the Assistant Fire Marshal and the Office Services Specialist on a periodic basis. SharePoint is utilized as tracking tool for disposition of FIF. IFP is final report of completeness that actually updates the SharePoint tracking tool.	Because program will no longer be OCFA's responsibility, no additional implementation measures are planned.	None.	N/A
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**CalARP:**

33	CalARP program appears to have a high level of dependency on the expertise of one individual, with little oversight on the progress or activities of the program.	OCFA should consider using a third-party technical reviewer to periodically review policies and procedures and make recommendations on program performance. Department should also consider having additional staff involved in the program to reduce level of dependency on Fire Systems Engineer.	CalARP is transitioning to OCHCA July 1, 2013.	Because program will no longer be OCFA's responsibility, no implementation measures are planned.	None.	N/A
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**VII. Safety and Environmental Services - Malfunctioning Alarms:**

A. Recommendations from Lance Soll and Lunghard audit report:

Per LSL Audit Report, March 2013			Implementation Assistance, August 2013 - January 2014			
Finding No.	Auditor's Observation	Auditor's Recommendation	Management Response in Audit Report	Process Changes Initiated/Completed by Staff; Additional Management Comments	Analysis and Additional Recommendations	Current Status as of June 2014
37	It appeared that incident types to false alarms were being coded late and incorrectly into the OCFIRS application, due to first response personnel not fully understanding the incident type to code to false alarm and having additional duties preventing followup of the incidents. Most of the incident types reviewed were closed in OCFIRS as long as 2 weeks after the incident took place, resulting in potential revenue loss.	Training is recommended on OCFIRS coding of incidents and streamlining the codes available for false alarms. Fire Captains should review open false alarm codes on a weekly basis at a minimum to ensure codes are properly closed.	OCFIRS Steering Committee will work on a training program and a method to enforce the SOP regarding completion of reports. They will also identify an Operations-based QC process for select reports.	Further work to address these issues put on hold pending Executive Management direction regarding program roles and responsibilities - Operations vs Community Risk Reduction.	User survey results from pilot study point to need for additional training, including easy- to-use reference material due to low frequency.  Concur with planned measures as noted in Management Response. Recommend that the training be designed, at least in part, for personnel who perform these tasks infrequently.	On hold, pending further management direction regarding program roles and responsibilities - Operations vs Community Risk Reduction.
38 (1)	It appeared that adjustments are made to customer accounts receivable balances after invoices are sent to the customers, due to incorrect coding. This was primarily the result of incident types being reviewed by FPSS after Finance Department receives the occurrences.	A fire prevention personnel signature, indicating that incident codes were reviewed and fire prevention personnel agrees or disagrees with coding, should be obtained, prior to sending occurrences to Finance Department for billing.	See response to #37.	QC process by FPSS to review coding is now occurring ahead of Management Assistant preparing billing information for Finance. Management will establish a timeframe for FPSS to complete her QC work.	Concur with having the QC review for accurate coding take place ahead of transmitting billing information to Finance. However, having the QC review for coding take place ahead of transmitting billing information to Finance has resulted in no alarm billings going out to customers for several months. Additional resources should be assigned to eliminate existing backlogs. Following additional training of Operations personnel, Operations should be held responsible for accurate coding such that QC by FPSS can be eliminated or significantly reduced.	Coding is being reviewed prior to billing information being sent to Finance. Previous backlogs have been resolved and billings have been issued.

38 (2)	Service location addresses were not correctly identified by the correct business name prior to submission to the Office Service Specialist. Properties that have more than one suite or apartment number or address are not properly related to the property owner of those multiple addresses. As a result, OCFIRS system information may not have been properly updated and bills not sent to the correct party.	Management should implement a process that communicates the importance of First Response Personnel writing and obtaining the correct names of businesses and business addresses.	See response to #37.	This is an Operations Section incident report training issue.	Recommend that this issue be addressed as part of the planned additional training of Operations personnel.	On hold, pending further management direction regarding program roles and responsibilities - Operations vs Community Risk Reduction.
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**VIII. Safety and Environmental Services - Special Activities:**

**A. Recommendations from Lance Soll and Lunghard audit report:**

<u>Per LSL Audit Report, March 2013</u>			<u>Implementation Assistance, August 2013 - January 2014</u>			
<u>Finding No.</u>	<u>Auditor's Observation</u>	<u>Auditor's Recommendation</u>	<u>Management Response in Audit Report</u>	<u>Process Changes Initiated/Completed by Staff; Additional Management Comments</u>	<u>Analysis and Additional Recommendations</u>	<u>Current Status as of June 2014</u>
39	While initiation, processing and authorization processes are separate, it appeared that entire special event process was dependent on two individuals, with little quality control reviews performed outside these two individuals.	Management should consider including a second level of approval, preferably a Deputy Fire Marshal, prior to the issuance of special event permits. Management should consider having applicants for a special event permit contact Front Counter personnel to initiate the application.	There is an Assistant Fire Marshall in direct supervision of both of these individuals. A greater emphasis will be placed on their oversight responsibilities to ensure adequate internal controls over the issuance of special activity permits.	New screening form (Special Activity/Event Submittal Criteria Form) has been developed to document determinations of when permits are and are not required; QC processes to be added to randomly evaluate 5% of decisions to not require a permit, and to review monthly 5% of all special activities permits, including paperwork, IFP, inspection, and FPS interview. The FPS position has been rotated.	Concur with measures taken by staff. Also recommend that a rotation policy be established for both positions involved in administering this program, to enhance internal controls and promote cross-training.	QC implemented, with most QC work to date focused on meetings and onsite review rather than electronic and paperwork review. QC will also focus on consistent fee application and fees appropriate to risks presented by events. Spreadsheet to track open items may be considered. Management feels that the need for a rotation policy will be reduced with closer supervision and new QC efforts.



**IX. Safety and Environmental Services - Property Public Record Requests:***A. Recommendations from Lance Soll and Lunghard audit report - None.**B. Additional Observations/Recommendations***Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(j)	Same individual runs entire process; requests in process are not being input into SharePoint until customers are notified of payment due; fax charges are not being administered according to terms printed on PRA form	Requests should be logged in immediately upon receipt so management can monitor workload and whether 10 day legal response time requirement is being met.	Because one individual handles entire process currently, additional ways to segregate some of the duties involved in this process should be studied, and/or a rotation policy should be developed for the position performing this duty. QC process should include review of PRA forms to make sure all appropriate fees were charged.	Process flowchart has been created. Flowchart is supported with written detailed instructions for the identified quality control points in the process. QC process to include verification of input into SharePoint at the time the request form is received. Current QC sample size of 5% to be expanded to 10% over time.	Process narrative and flowchart and QC instructions completed and posted to SharePoint. QC implemented with 10% sampling. Additional position has been added to the process: front counter is now accepting the payments. Rotation policy will be considered.

**X. Safety and Environmental Services - Fire Safety Inspections (State Form 850):**

*A. Recommendations from Lance Soll and Lunghard audit report - None.*

**B. Additional Observations/Recommendations**

**Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(k)	A minimum of two hours time is charged for inspections and there is no adjustment made based on actual time spent	Fees charged should reflect actual time spent, for proper cost recovery.	Recommend that actual time spent be charged. If fees are collected in advance, they should be adjusted to actual time once that information is known.	This finding has been expanded by staff to include quality control of when we require an inspection and when we don't and why, as well as how we charge for the service. Three process flowcharts have been created. The process flowcharts are supported with written detailed instruction for the identified control points in the process. The fee will be restructured in the 2014-15 fee schedule. We will no longer charge for two hours upfront but do a study on average time from daily time log and assess an average flat fee for all inspections.	Enhanced tracking of open items has been implemented. QC to date is about 10% sampling. Paperwork QC is stronger, in that review is being done prior to forms being sent to State. Pending implementation of an average flat fee, inspection fees are no longer being charged in advance. Currently, fees are either for one hour or two hours of staff time, based on actual time spent, and are charged after inspection work is performed.

**XI. Pre-Fire - Wildland Fire Prevention for State Responsibility Areas (SRAs):****A. Recommendations from Lance Soll and Lunghard audit report - None.****B. Additional Observations/Recommendations****Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(l)	It is not clear which program management responsibilities for this program belong to the Community Risk Reduction department and which belong to the Finance department.	The lack of clarity hinders overall program management and presents a risk that certain program management responsibilities may not be addressed.	Recommend that program management responsibilities be clarified.	Program responsibilities clarified; AFM in Community Risk Reduction is lead for OCFA	AFM in Community Risk Reduction is lead for OCFA
(m)	The State has not provided the program direction to OCFA in the area of fire prevention that is spelled out in the Annual Operating Plan documentation.	Annual meetings and training called for in the Annual Operating Plan have not occurred. This presents an increased risk that the State may in the future determine that OCFA is out of compliance with program requirements.	Recommend that following clarification of program management responsibilities, the appropriate manager contact the State to obtain further information regarding the State's expectations of OCFA for this program, and retain documentation of such discussions.	State representative contacted; no specific additional guidance provided	There is regular contact between AFM and State's Contract County rep. Required reporting has continued re: inspections conducted. Ways to enhance OCFA's own tracking and reporting of inspections and other prevention efforts in SRAs are being studied.

**XII. Investigations - Restitution Fees:**

*A. Recommendations from Lance Soll and Lunghard audit report - None.*

*B. Additional Observations/Recommendations*

**Implementation Assistance, August 2013 - January 2014**

#	Observation	Analysis	Recommendation	Process Changes Initiated/Completed by Staff; Additional Management Comments	Current Status as of June 2014
(n)	Existing policy and procedure documentation regarding Restitution Fees is not consistent, and may be outdated.	Only one incident has been proposed for restitution cost recovery since August 2013, and that one was rejected by the previous Fire Marshal.	Policy documentation should be reviewed, revised/clarified as necessary, and then enforced to ensure consistent application. Policy documents issued by different departments should be reviewed for consistency.	Investigation Services is planning to correct its internal Fire Restitution Cost Recovery procedure dated 8/8/12 to more closely resemble the Business Services' Fire Restitution Cost Recovery Program Policy document dated 3/24/11.	Investigation Services policy document of 8/8/12 has been withdrawn. Post Incident Program has been suspended, and restitution is now being pursued as directed and authorized by the Court. Additional discussions will take place at staff level regarding possible changes to policy going forward.

**Attachment 1b**  
**Status of Implementation of CRR Audit Recommendations as of June 2014**  
**By Functional Area**

Functional Area	Fully Implemented and Operational	Partially Implemented; Not Fully Operational	Recommendation Evaluated by Staff; No Further Action Planned	No Action Taken to Date	No Longer Applicable/ Program Transferred	Totals
<u>Planning and Development:</u>						
Front Counter	1	6	1			8
Plan Review		2				2
Scheduling		3				3
New Construction Inspection		2	1			3
	<b>1</b>	<b>13</b>	<b>2</b>			<b>16</b>
<u>Safety and Environmental Services:</u>						
Code Enforcement /Annual Inspections	7	2				9
Discontinued Programs (Haz Mat Disclosure/CalARP)					2	2
Malfunctioning Alarms	1			2		3
Special Activities	1					1
Property Public Record Requests		1				1
Care Facility Inspections (State Form 850)	1					1
	<b>10</b>	<b>3</b>		<b>2</b>	<b>2</b>	<b>17</b>
<u>Pre-Fire:</u>						
Wildland Fire Prevention for State Responsibility Areas	1	1				2
<u>Investigations:</u>						
Restitution Fees	1					1
<b>Totals</b>	<b>13</b>	<b>17</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>36</b>

**CONSENT CALENDAR - AGENDA ITEM NO. 7**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Brian Stephens, Assistant Chief  
Support Services Department

SUBJECT: **Approval of Plans and Specification - Fire Station 56 (Sendero Ranch)**

Summary

This report seeks Board of Directors approval of the Plans and Specification for new OCFA Fire Station 56 (Sendero Ranch).

Recommended Action:

Approve the proposed Plans and Specification for Fire Station 56.

Background

On January 24, 2014, the Board of Directors authorized the award of a design-build contract for Fire Station 56 (Sendero Ranch) to Erickson – Hall Construction (EH). Upon the contract award EH began the design planning and Orange County Building and Community Planning approval and permitting process; plans and specifications are submitted for approval to protect the OCFA with immunity for design issues per Government Code 830.6. The plans and specifications for Fire Station 56 have been completed (Due to the oversized and extensive plans, these documents are available for public review in the Property Management Office). On July 27, 2014, plan check was completed and a precision grading permit was issued by the County; upon the completion of precision grading, the County will issue a building permit, so the building process may progress.

Fire Station 56 is the first project OCFA has undertaken employing the Design-Build project delivery method. Among many advantages the design-build process offers us is the ability to undertake portions of the design-build process incrementally. In the plan review process with the County, OCFA was granted concurrent review that enabled grading to begin as soon as that portion of the design planning was approved. Notice to proceed with precision grading of the site was provided to EH on August 2, 2014, and is in process. With approval of plans and specifications, the balance of construction may proceed. In previous design-bid-build processes, design planning, plan review and permitting normally requires one year. In the case of Fire Station 56, the process has been completed in six months.

Impact on Cities/County:

None.

Fiscal Impact:

None.

Staff Contact for Further Information:

Steve Chambers, Property Manager

Support Services Department

[Stevechambers@ocfa.org](mailto:Stevechambers@ocfa.org)

(714) 573-6471

Attachments:

None.

**CONSENT CALENDAR AGENDA ITEM NO. 8**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Brian Stephens, Assistant Chief  
Support Services Department

SUBJECT: **San Diego Gas and Electric Company (SDG&E) Easement for Electrical Service, Fire Station 56 (Sendero Ranch)**

Summary

This report seeks authorization for the Fire Chief or his designee to execute an easement to SDG&E for underground facilities and appurtenances for transmission of electricity and communication equipment and appurtenances.

Recommended Actions:

1. Approve and authorize the Fire Chief or his designee to sign Easement RW205001, granting San Diego Gas and Electric Company an easement upon OCFA Fire Station 56 (Sendero Ranch).
2. Amend the Roles/Responsibilities/Authorities Matrix to authorize the Fire Chief or his designee to sign future easements or licenses for utilities necessary to implement construction projects approved by the Board or Executive Committee and authorize the Executive Committee to approve licenses and easements for utilities where no prior approval of construction projects has occurred.

Background

On January 24, 2014, the Board of Directors authorized the award of a contract to design and build Fire Station 56 (Sendero Ranch). As a part of the site grading process, OCFA applied with SDG&E for utility services, locating infrastructure and connection for the fire station. As a part of that process, SDG&E requires OCFA to authorize an easement to ensure utility access to service installed equipment and infrastructure (Attachment 1). Equipment includes (but not limited to): vaults, transformers, and switches. Communication includes devices enabling wireless communication with equipment.

OCFA will likely encounter similar requirements for other utility service connections for easements or licenses for utilities necessary for authorized construction projects. Authorization for the Fire Chief or his designee to execute these routine instruments will save staff and Board time and resources and insure timely completion for OCFA projects (Attachment 2).

Impact to Cities/County:

None



Fiscal Impact:

None

Staff Contact for Further Information:

Steve Chambers, Property Manager  
Support Services Department  
[Stevechambers@ocfa.org](mailto:Stevechambers@ocfa.org)  
(714) 573-6471

Attachments:

1. San Diego Gas and Electric Company Easement RW205001
2. Redlined Roles/Responsibilities/Authorities Matrix

Recording Requested by  
San Diego Gas & Electric Company

When recorded, mail to:

San Diego Gas & Electric Company  
8335 Century Park Court, Suite 100  
San Diego, CA 92123-1569  
Attn: Real Estate Records - CP11D

SPACE ABOVE FOR RECORDER'S USE

Project No.: 452752-020  
Const. No.: 2379920  
A.P. No. : 741-571-05

Transfer Tax-No Consideration  
SAN DIEGO GAS & ELECTRIC COMPANY

**RW205001**

EASEMENT

ORANGE COUNTY FIRE AUTHORITY, A JOINT POWERS AUTHORITY (Grantor), grants to SAN DIEGO GAS & ELECTRIC COMPANY, a corporation (Grantee), an easement and right of way in, upon, over, under and across the lands hereinafter described, to erect, construct, change the size of, improve, reconstruct, relocate, repair, maintain and use facilities consisting of:

1. Underground facilities and appurtenances for the transmission and distribution of electricity.
2. Communication facilities, and appurtenances.

The above facilities will be installed at such locations and elevations upon, along, over and under the hereinafter described easement as Grantee may now or hereafter deem convenient or necessary. Grantee also has the right of ingress and egress, to, from and along this easement in, upon, over and across the hereinafter described lands. Grantee further has the right, but not the duty to clear and keep this easement clear from explosives, buildings, structures and materials.

The property in which this easement and right of way is hereby granted is situated in the County of Orange, State of California described as follows:

Lot 32 of Tract No 17453 according to Map thereof recorded in Book 911, Pages 1 through 48, inclusive, of Miscellaneous Record Maps of said Orange County.

The easement in the aforesaid property shall be those strips of land, including all of the area lying between the exterior sidelines, which sidelines shall be three (3) feet, measured at right angles, on each exterior side of each and every utility facility installed within said property on or before December 31, 2016.

In order to provide adequate working space for Grantee, Grantor shall not erect, place or construct, nor permit to be erected, placed or constructed any building or other structure, park any vehicle, deposit any materials, plant any trees and/or shrubs or change ground elevation within eight (8) feet of the front of the door or hinged opening of any above ground facility installed within this easement.

Grantor grants to Grantee the right to erect and maintain on Grantor's property immediately adjacent to this easement retaining walls and/or protective barricades as may be necessary for Grantee's purposes.

Grantor shall not erect, place or construct, nor permit to be erected, placed or constructed, any building or other structure, plant any tree, drill or dig any well, within this easement.

Grantor shall not increase or decrease the ground surface elevations within this easement after installation of Grantee's facilities, without prior written consent of Grantee, which consent shall not unreasonably be withheld.

Grantor further grants to Grantee the right to assign any or all of the rights granted in this easement in whole or in part to other companies providing utility or communication facilities/services.

Grantee shall have the right but not the duty, to trim or remove trees and brush along or adjacent to this easement and remove roots from within this easement whenever Grantee deems it necessary. Said right shall not relieve Grantor of the duty as owner to trim or remove trees and brush to prevent danger or hazard to property or persons.

CONDUITS CARRY HIGH VOLTAGE ELECTRICAL CONDUCTORS, therefore Grantor shall not make or allow any excavation or fill to be made within this easement WITHOUT FIRST NOTIFYING SAN DIEGO GAS & ELECTRIC COMPANY BY CALLING (619) 696-2000, and OBTAINING PERMISSION.

The legal description for this easement was prepared by San Diego Gas & Electric Company pursuant to Section 8730 of the Business and Professions Code, State of California.

This easement shall be binding upon and inure to the benefit of successors, heirs, executors, administrators, permittees, licensees, agents or assigns of Grantor and Grantee.

IN WITNESS WHEREOF, Grantor executed this instrument this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

ORANGE COUNTY FIRE AUTHORITY,  
A JOINT POWERS AUTHORITY

BY: \_\_\_\_\_


NAME: \_\_\_\_\_  
(print name)

TITLE: \_\_\_\_\_

BY: \_\_\_\_\_

NAME: \_\_\_\_\_  
(print name)

TITLE: \_\_\_\_\_

Drawn: C. Echeverria  
Checked:   
Date: 08/11/14

STATE OF CALIFORNIA

COUNTY OF \_\_\_\_\_

On \_\_\_\_\_, before me \_\_\_\_\_,  
(name, title of officer)

personally appeared \_\_\_\_\_,

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

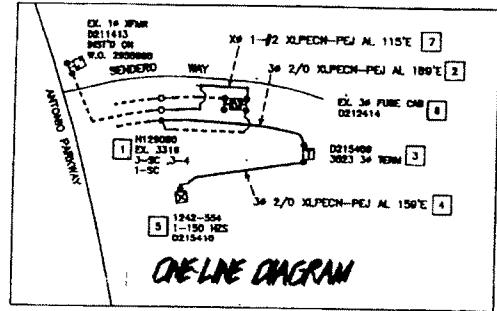
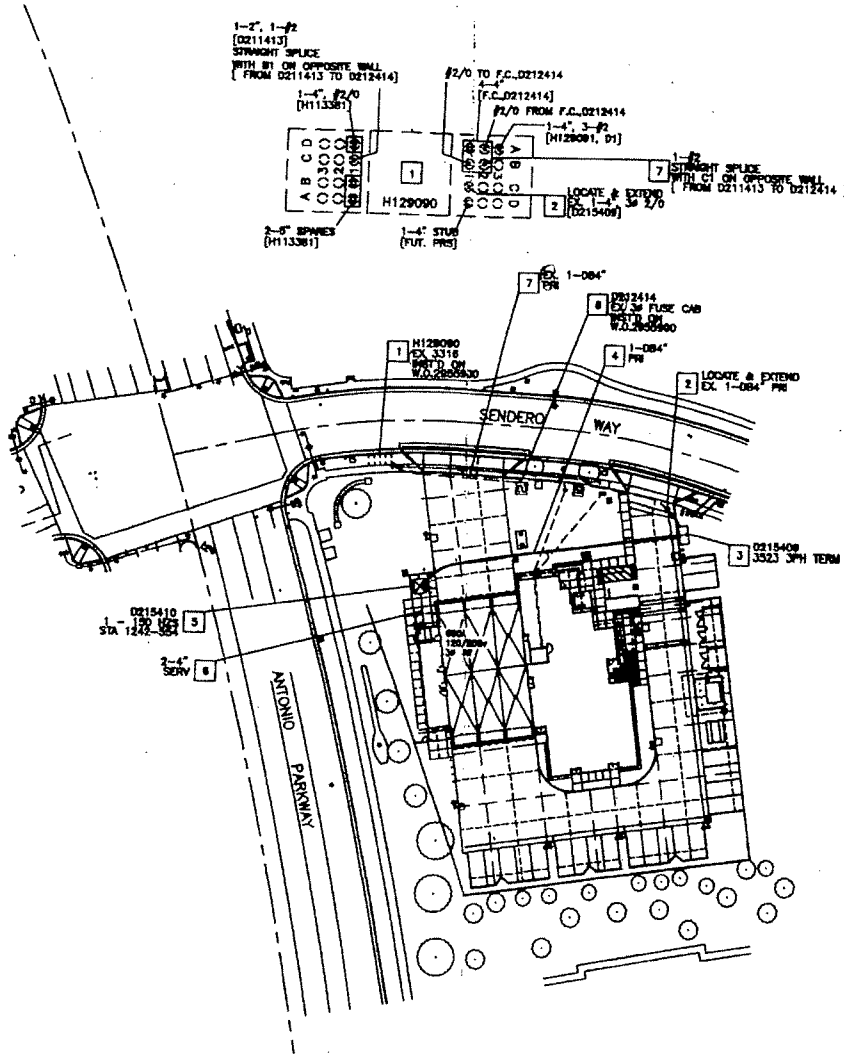
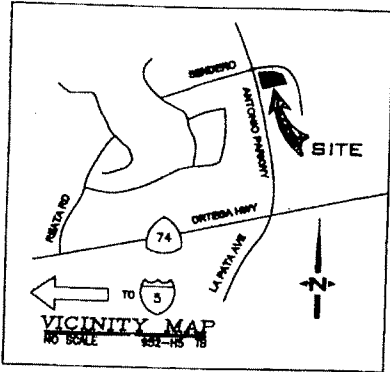
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
(Signature of Notary Public)

(Notary Seal)

# RMV PA1 FIRE STATION #56



## NOTES

- PER RULE 14, OPTION B, CUSTOMER IS RESPONSIBLE FOR: TRINCH, EXCAVATION AND BACKFILL; CONDUIT INCLUDING REDUCERS & ADAPTERS AT UNDESIRABLE SUBSTRUCTURES.
- MAINTAIN A MINIMUM OF 18" WHEN PARALLELING NET UTILITIES AND 6" WHEN CROSSING.
- MAINTAIN 1' CLEARANCE BETWEEN VEHICULAR TRAFFIC AND PHOTOGRAPHIC EQUIPMENT.
- ALL HORIZONTAL BENDS TO BE 22 1/2° BENDS PER IEC F0.3374 UNLESS OTHERWISE NOTED.
- SERVICE TO BE 3-2000 & 1-2000 USE.
- IT IS THE CUSTOMER'S RESPONSIBILITY TO PROVIDE TRINCH AND CONDUIT TO THE EXHIBITED SERVICE. EMPTY CONDUIT SPACES ARE RESERVED FOR THE FUTURE USE OF THE UTILITY. IF THE SPACE IS UNDESIRABLE, THE CUSTOMER MAY CLEAN OR REPAIR THE SPACE. OTHERWISE, IT WILL REMAIN TRINCH AND CONDUIT TO THE SOURCE.
- CUSTOMER IS RESPONSIBLE TO PROVIDE ALL RED SPAN ANCHORS AND THE BURIED BALL MOUNTS AT EACH SERVICE STUB LOCATION.
- DEVELOPER/OWNER: NAMED CITY OF CORONA, CALIF. ( )
- CUSTOMER USE: NAMED WARDEN SU COMPANY (BLANK) PHONO. (PH) 833-8790

SDGE  
SOUTHERN CALIFORNIA GAS & ELECTRIC  
UTILITY SERVICE COMPANY  
DIVISION OF SBC ENERGY

DATE: 08/27/2009  
PROJECT NO: 452752-000  
SHEET NO: 1 OF 1

2379920



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RMV PA1 FIRE STATION #56

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## ORANGE COUNTY FIRE AUTHORITY Roles/Responsibilities/Authorities

All authority rests with the Board of Directors unless it is delegated by statute or board action. When delegated, these authorities are further defined by contracts, resolutions, policies, or other board actions. The following chart defines OCFA's levels of authority. The Board of Directors has the authority to change these delegations within the parameters of legal and contractual restrictions.

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
Levels of Service	Develop and implement programs to provide the identified "Levels of Service."		Approve temporary changes in "Levels of Service."	Approve "Levels of Service" for the Authority.
Resource Deployment	Establish policy/deployment that maintains the approved "Levels of Service."			
Standard Operating Procedures (SOPs) and General Orders (GOs)	Develop and implement SOPs and GOs consistent with Board policies.			
Budget Adoption	Develop the budget.		Budget & Finance Committee - Review the budget; make recommendations.	Approve the budget prior to June 30 each year (JPA Agreement, Article IV.1)
Budget Execution	Authorize expenditures within approved budget appropriations (JPA Agreement, Article IV.2)			
Budget: Intra- and inter-fund transfer; increases and decreases to appropriation.	Approve intra-fund transfers within adopted budgets			Approve inter-fund transfers between budgets; Approve increases and decreases to appropriations.

**ORANGE COUNTY FIRE AUTHORITY  
Roles/Responsibilities/Authorities**

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
Fire Station 41, Air Operations Maintenance Facility - Leases	Negotiate, approve and execute leases and/or lease amendments for Hangers Nos. 1, 2, 3, and 4			
Fund Balance - Assigned	Assign amounts for workers' compensation and the capital improvement program within requirements of the <i>Assigned Fund Balance Policy</i>		Budget & Finance Committee – Review calculations used to determine assignments for workers' compensation and the capital improvement program for consistency with <i>Assigned Fund Balance Policy</i>	Assign and un-assign fund balance for any specific purposes other than workers' compensation and the capital improvement program, within the guidelines of GASB Statement No. 54
Fund Balance – Committed				Commit and un-commit fund balance via minutes action, within the guidelines of GASB Statement No. 54
Contingency Planning and funding	Develop plan; administer budget in a manner consistent with plan and policies.		Budget & Finance Committee - Review contingencies and spending for compliance with plan and policies.	Establish plan and policies. Transfer of Appropriation for Contingencies requires prior approval of the Chair or the Vice Chair, in the absence of the Chair, and must be reported to the Board immediately in writing.

**ORANGE COUNTY FIRE AUTHORITY  
Roles/Responsibilities/Authorities**

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
Debt obligation	Develop and recommend financing plans.		Budget & Finance Committee – Review of recommended financing plans.	Approve all debt obligations.  (Note: long-term bonded indebtedness requires approval by 2/3 <sup>rd</sup> vote of the members.)
Purchase of commodities and fixed assets	Approve purchase of commodities and fixed assets for total contract amount less than \$100,000.		Approve purchase of commodities and fixed assets for total contract amount over \$100,000.	
Emergency Purchases/Contracts	Approve emergency purchases up to \$100,000.		Purchases in excess of \$100,000 require prior approval of Chair or Vice Chair and must be reported at the next Executive Committee meeting.	
Purchasing – Professional Service Contracts (including consulting contracts)	Approve all service contracts less than \$100,000 for life of contract duration.		Approve all service contracts over \$100,000 for life of contract duration. Contract extensions beyond the initial contract term will require Executive Committee approval prior to contract extension.	
Sole Source Contracts	Approve any sole source contracts up to \$25,000.		Approve any sole source contracts over \$25,000.	



**ORANGE COUNTY FIRE AUTHORITY  
Roles/Responsibilities/Authorities**

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
Public Works	Approve all public works contracts in amounts up to the statutory limits authorized by Section 22032 of the Public Contract Code.			Approve all public works contracts in amounts at or above the statutory limits authorized by Section 22032 of the Public Contract Code.
Change Orders/ Modifications ( <b>excludes</b> Public Works contracts in excess of the formal limit set forth in Section 22032 of the Public Contract Code)	Approve change order/modifications, within the original scope of work, up to 15% but not to exceed a total value of \$50,000.		Approve change order/modifications, not within the original scope of work, or-over 15%, or exceeding a total value of \$50,000.	
Change Orders/ Modifications for Public Works contracts in excess of the formal limit set forth in Section 22032 of the Public Contract Code	Approve change order/modifications up to 10%, but not to exceed a total value of \$50,000.		Approve change order/modifications over 10%, or exceeding a total value of \$50,000.	
Investment Practices	Provide financial data to Budget & Finance Committee, Executive Committee and Board of Directors. Develop draft policy.		Budget & Finance Committee - Review Treasury/Investment actions to insure compliance with policy. Executive Committee – review monthly reports.	Adopt investment and Treasury policies.

**ORANGE COUNTY FIRE AUTHORITY  
Roles/Responsibilities/Authorities**

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
Setting of salaries/benefits and other terms and conditions of employment	Identify issues, recommend negotiations approach; negotiate with labor organizations as approved by the Board of Directors.		Review management recommendations; make recommendations to the Board of Directors.	Provide direction to chief negotiator on negotiations; adopt resulting MOUs and changes in the PSR.
Grievances	Administer procedures pursuant to MOU and PSR provisions.			
Disciplinary Actions	Implement disciplinary actions within legal and MOU requirements.			
Hire/Terminate	Hire/terminate Authority staff.		Make recommendations to the Board of Directors on General Counsel legal services contract and Fire Chief employment contract, and compensation of General Counsel and the Fire Chief.	Hire/terminate Fire Chief and General Counsel.  Approve service contract for General Counsel.  Approve employment contract for Fire Chief.
Appointments				Appointment of clerk, auditor, and treasurer (JPA Agreement Articles II.9 and II.13)
Classification and Salary Ranges	Administer classification system within existing classes and budget.		Adopt and approve new or modified classes and corresponding salary ranges.	
Settlement of Employee Complaints and Grievances	Approve settlements up to \$10,000 within existing PSR parameters.		Approve settlements up to \$50,000.	Approve settlements over \$50,000.

**ORANGE COUNTY FIRE AUTHORITY  
Roles/Responsibilities/Authorities**

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
File Legal action				Authorize filing of legal action.
Respond to legal action				Authorize response to legal action.
Settlement of Claims and Litigation	Approve settlements of claims and litigation up to \$50,000. in accordance with Board of Directors Rules of Procedure.	Approve settlements of claims and litigation over \$50,000 not to exceed \$250,000. in accordance with Board of Directors Rules of Procedure.		Approve settlements of claims and litigation over \$250,000.
Level of risk/coverage/exposure	Recommend risk management policies; administer risk management program within established Board of Directors and legal requirements.			Establish policies.
Write-Off for Uncollectible Accounts	Approve write-off of uncollectible accounts up to \$15,000.		Approve of Write-off of uncollectible accounts over \$15,000. Budget and Finance Committee review annual report of uncollectibles and make a recommendation to Executive Committee for final decision.	
Accept Real Property Interests	Accept interest in real property if the Board of Directors or Executive Committee has previously approved.			Approve Secured Fire Protection Agreements and Purchase Agreements for the acquisition of real property.

**ORANGE COUNTY FIRE AUTHORITY  
Roles/Responsibilities/Authorities**

	<b>Authority Management</b>	<b>Claims Settlement Committee</b>	<b>Executive Committee</b>	<b>Board of Directors</b>
<u>Utility licenses and easements</u>	<u>Execute licenses and easements for utilities necessary to implement construction projects approved by the Board or Executive Committee</u>		<u>Approve licenses and easements for utilities where no prior approval of construction projects has occurred</u>	
Accept Grants	Accept all grants except: (1) when the grantor requires approval by the governing body, or; (2) when an adjustment is immediately needed to appropriations to expend the grant, or; (3) when a contract award is needed, requiring approval by the Executive Committee or Board.		Accept all grants in which the grantor requires approval by the governing body.	

**CONSENT CALENDAR - AGENDA ITEM NO. 9**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Sherry Wentz  
Clerk of the Authority

SUBJECT: **Adoption of a Resolution of the Orange County Fire Authority Amending the Regular Board of Directors Meeting Schedule for Calendar Year 2014**

Summary:

This item is submitted for approval of the amended regular meeting schedule for the Board of Directors for calendar year 2014.

Recommended Action:

Adopt the proposed Resolution amending the 2014 Meeting Schedule for the Orange County Fire Authority Board of Directors.

Background:

Per current Board Rules of Procedures Rule 1, the Board of Directors is not scheduled to meet during the month of December. Should there be business of an urgent nature; the Board always has the option of calling for a special meeting.

It appears that the timeline for the new Fire Chief recruitment will result in a need for the Board to meet in December for appointment of the new Fire Chief and approval of the employment contract. However, AB 1344 enacted new transparency and accountability measures for public agency executive contracts that included the amendment of Government Code Section 54956(b), to prohibit the legislative body of a local agency (e.g., a governing board) from calling a special meeting regarding the salaries, salary schedules, or compensation paid in the form of fringe benefits to a local agency executive, in this case a new Fire Chief. Beginning on January 1, 2012, new contracts and contract renewals must be acted upon during a regularly scheduled meeting of the governing board.

Therefore, it is necessary to schedule a regular meeting of the Board of Directors in December to be in compliance with the revised legislation noted above, while also allowing for timely completion of the Fire Chief recruitment. Furthermore, since the current terms for some Directors (as council members for their cities) will end in early December, there is a need to schedule the December regular meeting as early in the month as possible to enable these Directors to participate in the Fire Chief appointment. Staff is recommending that the Board adopt the attached resolution to add a regular meeting of the Board of Directors on December 4, 2014, at 6:00 pm.

Impact to Cities/County:

Not Applicable.

Fiscal Impact:

Not Applicable.

Consent Calendar – Agenda Item No. 9  
Board of Directors Meeting  
August 28, 2014 Page 2

Staff Contact for Further Information:

Sherry Wentz, Clerk of the Authority

[sherrywentz@ocfa.org](mailto:sherrywentz@ocfa.org)

(714) 573-6041

Attachment:

Proposed Resolution for the 2014 Board of Directors Meeting Schedule

**RESOLUTION NO. 2014-XX**

**A RESOLUTION OF THE ORANGE COUNTY FIRE AUTHORITY  
BOARD OF DIRECTORS AMENDING THE REGULAR MEETING  
SCHEDULE OF THE BOARD OF DIRECTORS FOR  
CALENDAR YEAR 2014**

*WHEREAS*, the Orange County Fire Authority was established on March 1, 1995; and

*WHEREAS*, a Board of Directors was established; and

*WHEREAS*, as such, a schedule of the dates, times, and location of the regular meetings of the Orange County Fire Authority Board of Directors is required.

*NOW, THEREFORE BE IT RESOLVED* that the Board of Directors of the Orange County Fire Authority does hereby adopt the schedule establishing regular meeting dates for calendar year 2014 attached hereto as Exhibit A.

*PASSED, APPROVED, AND ADOPTED* this 28<sup>th</sup> day of August 2014.

---

ELWYN A. MURRAY, CHAIR  
Board of Directors

ATTEST:

---

SHERRY A.F. WENTZ, CMC  
Clerk of the Authority

## 2014 MEETING SCHEDULE



### ORANGE COUNTY FIRE AUTHORITY Board of Directors

#### MEETING DATES

January 23

February 27

March 27

April 24

May 22

June 26

July 24

August 28

September 25

October 23

November 20

(Third Thursday, due to Thanksgiving Holiday)

December 4

**MEETING TIME - 6:00 p.m.**

**LOCATION OF MEETINGS:**

RFOTC – Board Room

1 Fire Authority Road

Irvine, California 92602

(714) 573-6000



**DISCUSSION CALENDAR - AGENDA ITEM NO. 10**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Jeremy Hammond  
Director of Human Resources

SUBJECT: **Interim Fire Chief Contract**

Summary:

This agenda item is submitted to provide an update on the selection of an Interim Fire Chief.

Recommended Action:

Approve a contract for Interim Fire Chief, following closed session negotiation of final contract terms. The proposed contract shall be made available to the public prior to approval.

Background:

In response to Chief Richter's retirement, effective August 29, 2014, the *Fire Chief Recruitment Ad Hoc Committee* interviewed candidates for Interim Fire Chief, since the recruitment for the new permanent Fire Chief will not be complete until the end of the year.

Following the Ad Hoc Committee interviews, two final candidates were referred to the Board of Directors for interviews on August 14, 2014. Staff has tentatively completed negotiations and prepared a draft contract, pending final negotiation with the Board in Closed Session on August 28, 2014. Following completion of negotiations, the proposed contract will be made available to the public, prior to approval by the Board.

Impact to Cities/County:

Approval of a contract for Interim Fire Chief will benefit OCFA's member agencies through continued day-to-day leadership of OCFA, pending completion of the recruitment for a new permanent Fire Chief.

Fiscal Impact:

The cost of the Interim Fire Chief contract will be funded by appropriations that were already included in the FY 2014/15 budget for salaries and benefits for the Fire Chief position.

Staff Contacts for Further Information

Jeremy Hammond  
Director of Human Resources  
[jeremyhammond@ocfa.org](mailto:jeremyhammond@ocfa.org)  
(714) 573-6018

Discussion Calendar – Agenda Item No. 10  
Board of Directors Meeting  
August 28, 2014 Page 2

Lori Zeller, Assistant Chief  
Business Services Department  
[lorizeller@ocfa.org](mailto:lorizeller@ocfa.org)  
(714) 573-6020

Attachments:  
None.

**DISCUSSION CALENDAR - AGENDA ITEM NO. 11**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Lori Zeller, Assistant Chief  
Business Services Department

SUBJECT: **Communications LAB – Short & Long Term Communication Plans,  
Contract Increase and Amendment**

Summary:

This item is submitted to provide the OCFA Short & Long Term Communication Plans developed by Communications LAB, and to request approval of a proposed amendment to the contract, as originally directed by the Executive Committee at its meeting of July 17, 2014.

Committee Action:

At its July 17, 2014, meeting, the Executive Committee reviewed the Short & Long Term Communication Plans developed by Communications LAB, and discussed potential changes in Communications LAB's scope of work. Following the discussion, the Executive Committee approved the following actions:

1. Receive and file the submitted Short & Long Term Communication Plans and direct staff to submit the Plans to the Board of Directors at the July 24, 2014, meeting, as presented.  
*[Note: The Board deferred action on this recommendation until August 2014.]*
2. Direct staff to provide monthly progress reports to the Executive Committee and Board of Directors identifying the steps taken each month to address the recommendations.  
*[Note: Since approval of the Communication Plans was deferred to August, staff will begin providing monthly progress reports in September, based on the approved Plans.]*
3. Discuss the potential changes in scope of work for the Communications LAB contract, and associated increases to the contract value, and direct staff to:
  - a. Develop a contract amendment to reflect a fixed cost at \$15,000 per month through March 2015, resulting in a contract increase up to \$104,952 over the current contract value of \$100,000. The contract amendment shall be submitted to the Executive Committee for approval at the August 2014 meeting.
  - b. Designate Randy Bressette and Trish Kelley as an Ad Hoc Committee for providing direction/oversight to Communication LAB's work.
  - c. Submit all future monthly invoices to the Executive Committee for review and comment at each meeting.

At its August 21, 2014, meeting, the Executive Committee will be reviewing the proposed contract amendment (Amendment Number Two) prepared in response to recommendation 3.a. above; however, the action taken by the Executive Committee is not known at the time this agenda item is being prepared. Therefore, final recommendations provided by the Executive Committee will be reported to the Board of Directors verbally at the August 28 meeting.

Recommended Actions:

1. Receive and file the submitted Short & Long Term Communication Plans and direct staff to provide monthly progress reports to the Executive Committee and Board of Directors identifying the steps taken each month to address the recommendations.
2. Approve and authorize the Chief (or his designee) to execute the submitted Amendment Number Two to the Professional Services Agreement with Communications LAB.
3. Authorize a budget adjustment increasing FY 2014/15 General Fund (Fund 121) appropriations by \$92,952 to provide funding for the Communications LAB contract amendment.

Background:

In our efforts to improve communications with a variety of audiences, Communications LAB was awarded a contract in March 2014 following a competitive RFP process. The original scope of work for the contract, as outlined in the RFP, is provided in Attachment 1. At the April 2014 meeting of the Board of Directors, a revised scope of work was approved by the Board and is provided as Attachment 2. Part of the revised scope was to assist in restructuring the Corporate Communications Section, developing written policies and procedures, and standardizing notification protocols.

***Proposed Contract Amendment***

When the Board of Directors approved the contract with Communications LAB in March 2014, a contract amount was authorized at \$100,000, billed at hourly rates as defined in the contract. When the scope of work was amended by the Board at its April 2014 meeting, as recommended by Communications LAB, there were no corresponding changes requested to the contract value.

Costs incurred through June 2014 have amounted to \$69,951. With almost 70% of the contract value spent after three months, and considering the tasks outlined in the Short & Long Term Communications Plans, staff requested Communications LAB to provide an estimate of costs for completion of this remaining work. Staff also requested consideration of alternative billing methods that might yield savings to OCFA over the current straight-hourly billing rates.

Following direction provided by the Executive Committee in July, staff and Communications LAB prepared the submitted Amendment Number Two to the Professional Services Agreement (Attachment 3). The proposed Amendment Number Two was reviewed by General Counsel and approved as to form.

***Short & Long Term Communication Plans***

Based on its preliminary assessment of the OCFA Corporate Communications Section and communications practices and protocols throughout the agency, Communications LAB developed the attached Short Term & Long Term Communication Plans (Attachment 4). The Short Term Plan is intended to ensure that the Corporate Communications Section has the fundamental components it needs to be successful. This Plan is meant to be implemented concurrently with the recommendations outlined in the Management Partners Study. As currently drafted, the Plan assumes that Communications LAB would serve as project managers and work in partnership with OCFA staff to complete the outlined tasks.

Completion of the Short Term Communications Plan would then be followed by work on the Long Term Communications Plan, which is designed to conduct strategic communications and public affairs/relations activities with key audiences and stakeholders. Many of the items outlined in the Long Term Plan are based upon the initial strategy called for by OCFA's previous consultant, SAE, and directly referenced in the recommendations that were contained in the Management Partners Study.

***Review with Labor Groups***

The attached Communication Plan documents were shared with OCFA's labor groups in order to be transparent and consider their input, prior to presenting final recommendations and implementation steps to the Board. An initial meeting was held with all three labor groups on June 25, 2014, and feedback was received resulting in the addition of another recommendation to the Short Term Plan to conduct a survey of our employees to determine communication preferences. A second meeting was held on July 8, 2014, for review of the revised plan and to obtain any additional input. The labor groups had no additional questions at this second meeting.

Upon approval by the Board of Directors, staff will immediately begin work on the tasks outlined in the Plans and will provide monthly progress reports to the Executive Committee and Board of Directors identifying the steps taken each month to address the recommendations.

Impact to Cities/County:

Not Applicable.

Fiscal Impact

The proposed increase in the contract value was not anticipated in the FY 2014/15 Budget; therefore, a budget adjustment is required to fund this contract. The budget adjustment will increase appropriations in the General Fund by \$92,952.

Staff Contacts for Further Information:

Lori Zeller, Assistant Chief  
Business Services Department

[lorizeller@ocfa.org](mailto:lorizeller@ocfa.org)

(714) 573-6020

Mike Petro, Corporate Communications

[mikepetro@ocfa.org](mailto:mikepetro@ocfa.org)

(714) 573-6028

Attachments:

1. Original Scope of Work – March 2014
2. Revised Scope of Work – April 2014
3. Amendment Number Two to Professional Services Agreement
4. OCFA Short Term & Long Term Communication Plans
5. Professional Services Agreement – March 27, 2014
  - a. Exhibit A to the Professional Services Agreement is on file with the Clerk of the Authority and available upon request.

**Orange County Fire Authority  
Communications LAB**

**Original Scope of Work  
March 27, 2014**

**SPECIFIC REQUIREMENTS – GENERAL RESPONSIBILITIES**

Under the direction of the OCFA Fire Chief, or his designee, the Consultant will provide the following services:

1. Assist OCFA in developing communication strategies and messages for key issues, proposals, policies and programs.
2. Work closely with the Fire Chief and OCFA staff to develop and implement outreach plans, targeted for various audiences, to achieve goals associated with key issues.
3. Communicate with and inform elected officials and other local stakeholder groups to gain public support for key issues, upcoming proposals, and ongoing programs that support and benefit OCFA's mission to provide fire and emergency response services to residents of Orange County.
4. As requested by the Fire Chief or his designee, attend OCFA Board of Directors meetings, City Council meetings, and other meetings as necessary in support of the key issues and current proposals that may be underway, throughout the year.

**INITIAL KEY AREAS OF IMPORTANCE**

**1. STANDARDS OF COVERAGE AND DEPLOYMENT STUDY**

The Fire Chief is seeking the Board's approval to adopt response time goals recommended through an updated Standards of Coverage and Deployment Plan (SOC) study. An SOC is intended to assist OCFA in ensuring a safe and effective response force for fire suppression, emergency medical services, and specialty response situations, in addition to homeland security issues. An SOC should provide policy-makers, the organization, and the community a body of information that will assist in making service delivery and risk mitigation decisions.

In recommending these response time goals, the Fire Chief has initiated discussion with the Board of Directors regarding new and innovative methods for future delivery of fire services. The OCFA firefighter's union is opposed to the new concepts, and has prepared a report outlining the methods they propose for delivery of future fire services. A Board workshop is scheduled for April 17, 2014 to continue the discussions about response time goals and future deployment models.

*This initial key area will require the successful consultant to immediately engage in strategic communication, marketing, and presentation planning with the Fire Chief, under an extremely tight timeline. We estimate that the Consultant will only have two weeks from award of contract to the date of the Fire Chief's presentation at the April 17<sup>th</sup> Board workshop.*

Following the April 17<sup>th</sup> workshop, we anticipate that ongoing communication and marketing strategies will be necessary to gain support for new service deployment models from our member agencies and the public.

## **2. LABOR NEGOTIATIONS**

The OCFA's represented employees are organized into three separate labor groups, as follows:

- Firefighters – Orange County Professional Firefighters Association (OCPFA)
- Fire Management – Orange County Chief Officers Association (COA)
- General and Supervisory Employees – Orange County Employees Association (OCEA)

The OCFA's MOU with the OCPFA is set to expire on June 30, 2014. Negotiations with the OCPFA are beginning, and the OCFA has engaged an independent professional negotiator to assist with the process. As the negotiation process moves forward, it will be important to have key messages developed and ready, in advance of public or media interest.

## **3. EQUITY STUDY, AMENDED JOINT POWERS AGREEMENT, VALIDATION ACTION**

The OCFA recently completed deliberations with its member agencies regarding the equity of financing for fire services within OCFA. As a result of the deliberations, an amendment to the OCFA's Joint Powers Agreement was approved to address the equity concerns. In approving the Amendment, the OCFA Board also authorized General Counsel to file a Complaint in the Orange County Superior Court to seek validation of the Amendment. A judicial declaration is desired to confirm that the JPA Amendment is valid and enforceable, so that OCFA and its member agencies may properly plan and budget for the future provision of fire services.

On December 19, 2013, OCFA and the City of Irvine jointly filed a Complaint in the Orange County Superior Court to seek validation of the JPA Amendment. On January 28, 2014, the Orange County Board of Supervisors voted 4-to-1, with Supervisor Spitzer opposed, to file a formal response in opposition to the OCFA's validation action.

The validation action is underway, pending future briefing dates to be scheduled by the Court. As the action moves forward, it will be important to have key messages developed and ready, in advance of public or media interest.

**ORANGE COUNTY FIRE AUTHORITY  
AMENDMENT NUMBER ONE  
TO PROFESSIONAL SERVICES AGREEMENT**

THIS AMENDMENT ONE TO PROFESSIONAL SERVICES ("Agreement") is made and entered into this 24<sup>th</sup> day of April, 2014, by and between the Orange County Fire Authority, a public agency, hereinafter referred to as "OCFA", and Communications LAB, a California LLC, hereafter referred to as "Firm".

**RECITALS**

WHEREAS, OCFA and the Firm entered into an original agreement on the 27<sup>th</sup> day of March, 2014, for public relations services; and

WHEREAS, OCFA Board of Directors and Executive Committee have provided further direction and clarification to the scope of work at both the Executive Committee and the Board of Directors meetings on April 24, 2014; and

NOW, THEREFORE, OCFA and the Firm agree to amend the Agreement to reflect the revised scope of work per Attachment A.

Except as modified above, all terms and conditions of the agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the dates stated below.

**"OCFA"**

**ORANGE COUNTY FIRE AUTHORITY**

Date: 5/14/14

By: Keith Richter

Keith Richter, Fire Chief

APPROVED AS TO FORM.

ATTEST:

By: David E. Kendig  
DAVID E. KENDIG  
GENERAL COUNSEL

Sherry A.F. Wentz  
Sherry A.F. Wentz  
Clerk of the Board

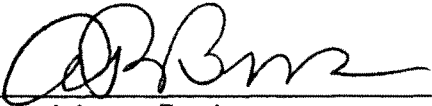
Date: 5/14/14



**"FIRM"**

**COMMUNICATIONS LAB**

Date: 5/14/14

By:   
Arianna Barrios  
Chief Executive Officer

**ATTACHMENT A**

**Revised Scope of Work**

REVISED SCOPE OF WORK (4-24-14)  
COMMUNICATIONS LAB

**SPECIFIC REQUIREMENTS-GENERAL RESPONSIBILITIES**

**At the Direction of the Fire Chief, or his designee, the Consultant will provide the following services to support OCFA Executive Management:**

1. Assist OCFA Executive Management, Executive Committee and Board of Directors in developing internal and external communication strategies and messages for key issues, proposals, policies, and programs.
2. Work closely with the Fire Chief and OCFA staff to develop, implement and manage internal and external outreach plans, targeted for various audiences, to achieve goals associated with key issues and Executive Committee directives.
3. Communicate with and inform elected officials and other local stakeholder groups to gain public support for key issues, upcoming proposals, and ongoing programs that support and benefit OCFA's mission to provide fire and emergency response services to residents of Orange County.
4. As requested by the Fire Chief or his designee, attend OCFA Board of Directors meetings, City Council meetings, and other meetings as necessary in support of the key issues and current proposals that may be underway, throughout the year.
5. Assist OCFA Executive Management in restructuring the Corporate Communications department. Including, but not limited to, assisting with the hiring of a new Director, developing written policies and procedures, standardizing notification protocols, media training and department oversight.
6. Assist the Fire Chief and OCFA Executive Management with implementation of recommendations from upcoming management report. Including development of a one-year (overall) operations plan to address organizational issues with recommended actions. Issues to include, but not limited to communications, management, employee relations.

7. Assist the Fire Chief and OCFA Executive Management to provide detailed progress reports with metrics to OCFA Executive Committee for monitoring and oversight purposes.
8. Directors not serving on the Executive Committee with a need to utilize the services of Consultant should make a request through the Board Chair, or in the absence of the Chair, the Board Vice Chair.
9. This scope of work will specifically exclude the Executive Management, the Executive Committee and the Board of Directors from utilizing the services of the Consultant for personnel evaluations.

#### INITIAL KEY AREAS OF IMPORTANCE

(Removed – Standards of Coverage and Deployment Study)

##### 1. LABOR NEGOTIATIONS

The OCFA's represented employees are organized into three separate labor groups, as follows:

- Firefighters - Orange County Professional Firefighters Association (OCPFA)
- Fire Management - Orange County Chief Officers Association (COA)
- General and Supervisory Employees - Orange County Employees Association (OCEA)

The OCFA's Memorandum of Understanding (MOU) with the OCPFA is set to expire on June 30, 2014. Negotiations with the OCPFA are beginning, and the OCFA has engaged an independent professional negotiator to assist with the process. As the negotiation process moves forward, it will be important to have key messages developed and ready, in advance of public or media interest.

##### 2. EQUITY STUDY, AMENDED JOINT POWERS AGREEMENT, VALIDATION ACTION

The OCFA recently completed deliberations with its member agencies regarding the equity of financing for fire services within OCFA. As a result of the deliberations, an amendment to the OCFA's Joint Powers Agreement was approved to address the equity concerns. In approving the Amendment, the OCFA Board also authorized General Counsel to file a Complaint in the Orange County Superior Court to seek validation of the Amendment. A judicial declaration is desired to confirm that the

JPA Amendment is valid and enforceable, so that OCFA and its member agencies may properly plan and budget for the future provision of fire services.

On December 19, 2013, OCFA and the City of Irvine jointly filed a Complaint in the Orange County Superior Court to seek validation of the JPA Amendment. On January 28, 2014, the Orange County Board of Supervisors voted 4-to-1, with Supervisor Spitzer opposed, to file a formal response in opposition to the OCFA's validation action.

The validation action is underway, pending future briefing dates to be scheduled by the Court. As the action moves forward, it will be important to have key messages developed and ready, in advance of public or media interest.

**ORANGE COUNTY FIRE AUTHORITY  
AMENDMENT NUMBER TWO  
TO PROFESSIONAL SERVICES AGREEMENT**

THIS AMENDMENT NUMBER TWO TO PROFESSIONAL SERVICES AGREEMENT ("Second Amendment") is made and entered into this 28<sup>th</sup> day of August, 2014, by and between the Orange County Fire Authority, a public agency, hereinafter referred to as "OCFA", and Communications LAB, a California LLC, hereafter referred to as "Firm".

**RECITALS**

WHEREAS, OCFA and the Firm entered into an original agreement on the 27<sup>th</sup> day of March, 2014, for public relations services ("Agreement"); and

WHEREAS, OCFA and Firm entered into Amendment Number One to the original agreement on the 24<sup>th</sup> Day of April, 2014 to include a revised scope of work ("First Amendment"); and

WHEREAS, OCFA Board of Directors and Executive Committee provided further direction and clarification to the scope of work at both the Executive Committee and the Board of Directors meetings on April 24, 2014 as agreed upon in the First Amendment; and

WHEREAS, OCFA desires to further amend the Agreement, inclusive of the First Amendment;

NOW THEREFORE, OCFA and Firm agree to amend the following Sections of the Agreement, inclusive of the First Amendment as follows:

Section 1.1 Scope of Services – Increase the scope of services to add the completion of the projects listed as Priorities 1 through 3 as prescribed in Attachment A, attached hereto.

Section 1.6 Additional Services – Any future additions to the amended scope of services with a cost not exceeding 15% of the amended total compensation outlined in Section 3.1 shall be approved by the Ad Hoc Committee responsible for oversight of Communication LAB's work. Once approved, any such additions shall be billed at the hourly rates set forth in the original Agreement dated March 27, 2014.

Section 3.1 Compensation of Firm – Total compensation paid to Firm under the Agreement as amended by the First Amendment and this Second Amendment shall not exceed \$192,952. Firm shall invoice OCFA a flat fee of \$15,000 for July 2014, and a flat fee of \$13,500 per month for the months of August 2014 through March 2015.

Beginning with the September 2014 invoice, each invoice from Firm shall document at least ten percent (10%) progress in the completion of projects listed

as Priorities 2 and 3 in the scope of work (Attachment A to this Second Amendment). If Firm fails to document the ten percent (10%) required progress toward completion, OCFA may withhold from payment, at its sole discretion, up to 100 percent (100%) of the applicable monthly flat fee until sufficient progress is documented to the satisfaction of the Contract Officer. The final invoice (March 2015) shall be due upon documentation of full completion of the scope of work in Attachment A to this Second Amendment. OCFA shall dispatch payment to Firm within thirty (30) days of receipt of each invoice reflecting the required progress toward completion.

**Section 4.2 Schedule of Performance – All services rendered pursuant to the Agreement shall be performed in the time periods prescribed in Attachment A, attached hereto.**

**Section 4.4 Term – The term of the Agreement will continue through March 2015 unless earlier terminated as provided herein or as otherwise agreed to in writing by the parties.**

**Section 5.2 Contract Officer –The Contract Officer shall be Lori Zeller, Assistant Chief Business Services.**

Except as modified above, all terms and conditions of the agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the dates stated below.

**[Signatures on Following Page]**

**"OCFA"**

**ORANGE COUNTY FIRE AUTHORITY**

Date: \_\_\_\_\_

By: \_\_\_\_\_

Keith Richter, Fire Chief  
(or his designee)

APPROVED AS TO FORM.

ATTEST:

By: \_\_\_\_\_

DAVID E. KENDIG  
GENERAL COUNSEL

\_\_\_\_\_

Sherry A.F. Wentz  
Clerk of the Board

Date: \_\_\_\_\_

**"FIRM"**

**COMMUNICATIONS LAB**

Date: \_\_\_\_\_

By: \_\_\_\_\_

Arianna Barrios  
Chief Executive Officer



**ATTACHMENT A**

**Revised Scope of Work**

# OCFA Amendment Number Two – Professional Services Agreement with Communications LAB

The following projects, listed as Priorities 1 through 3, shall be included as the revised Scope of Work for Communications LAB, for completion from July 2014 to March 2015. OCFA will be billed fixed monthly fees by Communications LAB for the months of July 2014 through March 2015, and when added to amounts already billed for April through June 2014, the new revised contract value shall not exceed \$192,952 (see Budget Overview on page 3).

Priority	Project	Corresponding SOW (04-24-14)/ Associated Tasks	Assigned By	Responsible	Comments
1	<b>Serve as Acting Director of Communications &amp; Strategic Advisor</b>	<p><b>SOW Item #1, 2, 3, 4, 6</b></p> <ul style="list-style-type: none"> <li>• Assist agency with recruitment and hiring of civilian communications professional (Dir. Of Comm.)</li> <li>• Attend/Advise at Executive Management Mtgs.</li> <li>• Provide BOD/Exec Comm./Ad Hoc Comm. Strategic Advice</li> <li>• Provide oversight to Corp. Communications Dept.</li> <li>• Issues management (ongoing, as needed)</li> <li>• Assist Executive Management with communication needs in connection with the Management Partners recommendations and Action Plan</li> </ul>	May 2014 SOW Exec Comm. BOD	A. Barrios B. Thomas	
2	<b>Reorganization &amp; Standardization of Corporate Communications Department</b>	<p><b>SOW Item #1, 5, 7,</b></p> <ul style="list-style-type: none"> <li>• Conduct a full communications audit for OCFA</li> <li>• Establish Departmental Roles and Responsibilities</li> <li>• Refresh OCFA Identity &amp; Style Guides</li> <li>• Review /Assess new OCFA Website &amp; Intranet</li> <li>• Establish Social Media Standards</li> <li>• Create Comprehensive Agency Communications Manual</li> <li>• Develop OCFA Communications Outreach Calendar</li> <li>• Support new Dir. of Comm. as needed/requested</li> </ul>	May 2014 SOW Exec Comm. BOD	B. Thomas Comm. LAB OCFA Dir. of Comm. M. Petro	This item is a roll-up of all items presented in Short Term Comm. Plan  See full Comm. Plan for detailed outline of Tasks in this project.
3	<b>Media Training</b>	<p><b>SOW Item #5, 8</b></p> <ul style="list-style-type: none"> <li>• Conduct four (4) intensive media training sessions</li> <li>• Board, agency, BC, DC, PIOs training groups</li> <li>• Provide collateral materials</li> <li>• Tips &amp; techniques in variety of situations</li> <li>• Videotape each participants mock interviews</li> <li>• Critique mock interviews</li> <li>• Provide each participant with copy of mock interview</li> </ul>	May 2014 SOW Exec Comm. BOD	Comm. LAB OCFA Dir. of Comm. M. Petro	

# OCFA Amendment Number Two – Professional Services Agreement with Communications LAB

## Budget Overview

Month	Hours	Billing	Cumulative Total
April 2014	220	\$34,850	\$34,850
May 2014	95.25	\$15,804	\$50,654
June 2014	124	\$19,298	\$69,952
July 2014	90	\$15,000	\$84,952
Aug 2014	TBD	\$13,500	\$98,452
Sept 2014	TBD	\$13,500	\$111,952
Oct 2014	TBD	\$13,500	\$125,452
Nov 2014	TBD	\$13,500	\$138,952
Dec 2014	TBD	\$13,500	\$152,452
Jan 2015	TBD	\$13,500	\$165,952
Feb 2015	TBD	\$13,500	\$179,452
March 2015	TBD	\$13,500	\$192,952
<b>Total Revised Budget</b>			<b>\$192,952</b>
<b>Less Starting Budget</b>			<b>(\$100,000)</b>
<b>Requested Budget Increase</b>			<b>\$92,952</b>



# Orange County Fire Authority Short Term Communications Plan

Developed and Presented by



## OCFA Short Term Communications Plan– Draft

Based on our preliminary assessment of the OCFA Corporate Communications department and communications practices and protocols throughout the agency, Communications LAB and Thomas Communications Group have developed the following Short Term Communications Plan to ensure that the department has the fundamental components it needs to be successful. This plan is meant to be implemented concurrently with the recommendations outlined in the Management Partners Study, several of which the Communications Lab team will play an active role.

Several assumptions were made in building this plan. These include:

- Communications Lab team will serve as project managers;
- Communications Lab team will work in partnership with OCFA staff to achieve the outlined tasks;
- All necessary resources will be made available to the Communications Lab team;
- Plan will be governed under a phased approach with iterative cycles to allow for periodic reviews and course corrections;
- A project timeline with an interactive Gantt chart will be created with objectives, milestones, deliverables and deadlines to effectively monitor progress and measure success.

The implementation steps identify actionable items or deliverables necessary to establish an effective communications department or program. The plan is divided into a Short Term Communications Plan outlined below designed to organize the department with necessary personnel, tools, policies, procedures and governance; and followed up by a Long Term Communications plan designed to conduct strategic communications and public affairs/relations activities with key audiences and stakeholders.

### Organization

Priority	Category	Recommendation	Implementation Steps	Planned Completion	Person Responsible	Comments
1	Internal	Reorganize Corp Communications Office	<ul style="list-style-type: none"> <li>• Assist agency with recruitment and hiring of civilian communications professional (Dir. Of Comm.)</li> <li>• Assist with training Corp Comm. support staffs</li> <li>• Assist with transitioning all communications functions and personnel into single office</li> <li>• Support new Dir. of Comm. as needed/requested</li> </ul>	September 2014	A. Barrios B. Thomas M. Petro	In Progress
2	Internal	Conduct a full communications audit for OCFA	<ul style="list-style-type: none"> <li>• Explore/Assess all current OCFA Communications tools, policies, procedures, protocols</li> <li>• Define what is working and what is not</li> <li>• Define what is missing</li> <li>• Create comprehensive Communications Matrix for review, assessment, consolidation and further action as needed</li> </ul>	June-July 2014	M. Murphy J. Glover M. Petro	

Priority	Category	Recommendation	Implementation Steps	Planned Completion	Person Responsible	Comments
3	Internal	Conduct Employee Survey on Communications Preferences	<ul style="list-style-type: none"> <li>• Provide sample questions to JLM for review</li> <li>• Send survey to all staff members</li> <li>• Compile results</li> <li>• Publish results internally with stakeholder groups</li> <li>• Utilize results and preferences to guide communications activities and strategy.</li> </ul>	July 2014	A. Barrios J. Hammond	
4	Internal	Establish Departmental Roles and Responsibilities	<ul style="list-style-type: none"> <li>• Director of Communications</li> <li>• Battalion Chief</li> <li>• PIO</li> <li>• Education and Outreach</li> <li>• Multimedia/AV Staff</li> <li>• Revise Department Org Chart</li> <li>• Present Recommendation(s) to OCFA Board</li> </ul>	July 2014	A. Barrios M. Murphy J. Glover M. Petro	
5	Internal	Refresh OCFA Identity & Style Guides	<ul style="list-style-type: none"> <li>• Revise OCFA Standard Format Guideline</li> <li>• Review Processes and Procedures for use of OCFA Identity</li> <li>• Comm. Templates: Develop new or update existing</li> <li>• Promote revised Guide, provide Intranet for access</li> </ul>	August 2014	M. Murphy J. Glover M. Petro Dir. Of Comm.	
6	Internal/External	Review / Assess new OCFA Website	<ul style="list-style-type: none"> <li>• Ensure consistency of branding and identity</li> <li>• Meet with OCFA IT / Test for Functionality</li> <li>• Provide content edits as needed</li> <li>• Develop content policies and procedures and Editorial Calendar specifically for website</li> <li>• Launch to public with appropriate media support</li> </ul>	August 2014	A. Barrios M. Petro M. Murphy Dir. Of Comm.	
7	Internal	Review / Assess new OCFA Intranet	<ul style="list-style-type: none"> <li>• Ensure consistency of branding and identity</li> <li>• Meet with OCFA IT / Test for Functionality</li> <li>• Provide content edits as needed</li> <li>• Launch internally with support &amp; training</li> </ul>	September 2014	A. Barrios M. Petro Dir. Of Comm.	
8	Internal/External	Establish Social Media Standards	<ul style="list-style-type: none"> <li>• Review Social Media Use/Strategy</li> <li>• Ensure consistency of branding and identity</li> <li>• Meet with current admins to determine roles</li> <li>• Provide content edits as needed</li> <li>• Develop Web/Social Media Editorial Calendar</li> <li>• Provide training to designated admins</li> <li>• Dev. Policies &amp; Protocols for ongoing use</li> </ul>	August 2014	A. Barrios M. Petro J. Glover Dir. Of Comm.	

Priority	Category	Recommendation	Implementation Steps	Planned Completion	Person Responsible	Comments
9	Internal	Develop OCFA Communications Outreach Calendar	<ul style="list-style-type: none"> <li>Establish best practice method for implementation</li> <li>Create event/editorial calendar</li> <li>Train staff &amp; board on use and protocols</li> <li>Monitor for effectiveness</li> <li>Assess development of smartphone app to better communicate with directly with Board Members</li> </ul>	August 2014	J. Glover M. Petro Dir. Of Comm.	
10	All	Create Comprehensive Agency Communications Manual	<ul style="list-style-type: none"> <li>Establish “look and feel” for OCFA</li> <li>Establish library of logos and common images for use in all hard copy and electronic mediums</li> <li>Standardized common “look and feel” of all documents, website, social media, flyers, brochures, posters, educational materials, etc.</li> <li>Create OCFA marketing and presentation materials</li> <li>Communicate role &amp; function of public relations/public affairs and its impact</li> <li>Educate leadership and Board of Directors about importance of showing a common, unified front</li> <li>Educate groups on reputation management</li> <li>Educate groups on the importance of crisis communications</li> </ul>	August 2014	A. Barrios B. Thomas M. Murphy J. Glover M. Petro Dir. Of Comm. Corp Comm. Staff	Manual to include: Format Guideline Incident Guide Crisis/Issue Comm. Templates Brand Identity Policies & Procedures
11	Board of Directors and Key OCFA Leadership	Media training	<ul style="list-style-type: none"> <li>Establish spokesperson criteria</li> <li>Establish chain of command for information release</li> <li>Conduct individual media training</li> <li>Hold workshop for group training to include mock interviews, crisis communications, role play</li> </ul>	September 2014	PIOs A. Barrios M. Murphy M. Petro Dir. Of Comm.	May include DCs/BCs
12	Internal	Visioning Session (BOD & Exec Team)	<ul style="list-style-type: none"> <li>Facilitate workshop for BOD</li> <li>Prepare Exec Team to present</li> <li>Assist group in setting short term goals/priorities for Agency</li> <li>Facilitate development of search criteria for future Fire Chief</li> </ul>	August 2014	A. Barrios B. Thomas	



# Orange County Fire Authority Long Term Communications Plan

Developed and Presented by





## **OCFA Long Term Communications Plan – Draft**

Based on our preliminary assessment of the OCFA Corporate Communications department and communications practices and protocols throughout the agency, Communications LAB and Thomas Communications Group have developed the following Strategic Communications Plan as a complementary document to the SHORT TERM COMMUNICATIONS PLAN we have presented. This plan is meant to be implemented following the completion of the tasks outlined in the SHORT TERM COMMUNICATIONS PLAN. Until that foundation work is completed, many of the items outlined here will not be successful.

Many of the items outlined in this document are based upon the initial strategy called for by the agency's previous consultant, SAE, and directly referenced in the recommendations put forth in the Management Partners Study. The Communications LAB team has determined these to be more strategic in nature and under the purview of the Agency's yet-to-be-named Director of Communications.

Several assumptions were made in building this plan. These include:

- Following recommendations are Strategic Communications goals and should be addressed following completion of the SHORT TERM COMMUNICATIONS PLAN;
- Communications Lab team will work in partnership with the new Director of Communications to achieve the outlined tasks;
- Plan will be governed under a phased approach with iterative cycles to allow for periodic reviews and course corrections;
- A project timeline with an interactive Gantt chart will be created with objectives, milestones, deliverables and deadlines to effectively monitor progress and measure success.

As stated in the SHORT TERM COMMUNICATIONS PLAN, the implementation steps identify actionable items or deliverables necessary to establish an effective communications department or program. The plan submitted in two, distinct phases: 1) Organize the department with necessary personnel, tools, policies, procedures and governance; 2) Conduct strategic communications and public affairs/relations activities with key audiences and stakeholders.

### **Strategic Goals**

Communications Lab team will work closely with OCFA personnel to strategize, plan, and execute the following activities. Additional or alternate OFCA personnel may be assigned to each activity following the communications audit and with the input of the new Director of Communications.

Priority	Category	Recommendation	Implementation Steps	Planned Completion	Person Responsible	Comments
1.	Internal	Institutionalize role and Importance of key messages throughout organization.	<ul style="list-style-type: none"> <li>• Conduct key message development/delivery training</li> <li>• Build key message development into every project/issue</li> <li>• Conduct strategic communications processes training for management staff</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	
2.	Internal Communications	Involve labor representatives in communications efforts as possible.	<ul style="list-style-type: none"> <li>• Partner with labor to deliver consistent and credible messages about the work of the entire OCFA.</li> </ul>		Comm. Lab and TCG M. Petro OCFA Com. Dir	
3.	Board of Directors	Ensure Board members and member agencies are fully informed of management/organizational issues as well as breaking incident and business information	<ul style="list-style-type: none"> <li>• Provide new Board member orientation; recognition</li> <li>• Develop criteria for each type of Board communication and frequency.</li> <li>• Conduct ride-alongs on rigs, Communications Center sit-alongs, as well as facility tours</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	
4.	Board of Directors	Generate broader understanding between OCFA and member cities via increased face-to-face interaction.	<ul style="list-style-type: none"> <li>• Conduct annual chief presentation to Board of Supervisors and each member city</li> <li>• Conduct annual chief meeting with each member agency, including board member, city manager, and key departmental staff</li> <li>• Ensure division chiefs and direct reports participate in their city's council and department meetings.</li> <li>• Speakers bureau to place division chiefs and above into community gatherings.</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	
5.	External Communications	Formalize Agency Partner City Outreach	<ul style="list-style-type: none"> <li>• Schedule annual, formal appearances at all Agency Partner City Council meetings – "State of OCFA" appearances</li> <li>• Prepare tailored communications that can be presented to, and in turned used by partner.</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	

Priority	Category	Recommendation	Implementation Steps	Planned Completion	Person Responsible	Comments
6.	Board of Directors	Establish set criteria, schedule, and tools for communicating Board of Directors	<ul style="list-style-type: none"> <li>• Prepare summary of Board agenda items and actions.</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	
7.	Electronic Communications	Increase awareness of the OCFA and take advantage of interest in public safety by creating a robust electronic community based on the Authority's website.	<ul style="list-style-type: none"> <li>• Conduct user survey of website.</li> <li>• Ensure current website redesign project represents the views of end users.</li> <li>• Frequently update the website to include new initiatives and other stories that convey key messages.</li> <li>• Update the website regularly with new and different content.</li> <li>• Create an "electronic community relations" program.</li> <li>• Drive traffic to redesigned website.</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	
8.	Media Relations	Adopt a disciplined, strategic media relations orientation for all OCFA efforts.	<ul style="list-style-type: none"> <li>• Establish a closer working relationship with local media representatives</li> <li>• Conduct a Media Fracture session to match story ideas with key media targets</li> <li>• Implement a media pitching program</li> <li>• Build a more positive atmosphere within the OCFA for the needs of the news media</li> <li>• Conduct editorial board meetings with media decision makers</li> <li>• Brief all reporters on major projects</li> <li>• Aggressively correct inaccurate coverage</li> <li>• Create direct communications tools to correct media inaccuracies</li> <li>• Prepare guest opinion stories</li> <li>• Use news releases appropriately</li> <li>• Implement a written media policy</li> </ul>		Comm. Lab and TCG M. Petro OCFA Comm. Dir	

### **SAE Recommendations Not Included**

The following SAE recommendations were not included in the current plan, but may be added if necessary or desired at a later date once they are better defined and provide a clear benefit to the OCFA. A brief explanation as to why they were not included is in the comments section below.

Priority	Category	Recommendation	Implementation Steps	Planned Completion	Person Responsible	Comments
	Board of Directors	Establish set criteria, schedule, and tools for communicating Board of Director's decisions/information to the media and to opinion leaders.	<ul style="list-style-type: none"> <li>• Develop main news value/angles of Board decisions/actions.</li> <li>• Ensure all communications tools include reference to key Board decisions</li> </ul>			Incorporated into other points:  Action Plan #1 Action Plan #2 Strategic Comm. #1
	Electronic Communications	Generate greater awareness of all OCFA initiatives and stories by driving traffic to expanded information on the newly-built website.	<ul style="list-style-type: none"> <li>• Make use of shorter videos to match shortened attention span of residents.</li> <li>• Make use of blogs prepared by a variety of individuals to delve into complex subjects.</li> </ul>			Unnecessary and extremely high risk
	Internal Communications	Implement an internal communications program focused on OCFA goals and program progress/successes that relies heavily on face-to-face interaction with the fire chief as well as appropriate technology.	<ul style="list-style-type: none"> <li>• Schedule regular visits by the fire chief to all stations.</li> <li>• Stream video to each station with messages from the chief.</li> <li>• Arm troops with messages on a consistent basis by ensuring all message documents and Board Advisories are distributed to each station.</li> </ul>			With the exception of Fire Chiefs visits which is already included above, these recommendations are delivered by other means such as Intranet
	Community Relation	Ensure the various communities served are aware of the extremely high level of service provided by the OCFA and the benefits of a regional fire authority.	<ul style="list-style-type: none"> <li>• Large employer targeted outreach.</li> </ul>			Needs clarity

**ORANGE COUNTY FIRE AUTHORITY  
PROFESSIONAL SERVICES AGREEMENT**

THIS AGREEMENT FOR PROFESSIONAL SERVICES ("Agreement") is made and entered into this 27th day of March, 2014, by and between the Orange County Fire Authority, a public agency, hereinafter referred to as "OCFA", and Communications LAB, a California LLC, hereinafter referred to as "Firm".

**RECITALS**

WHEREAS, OCFA requires the services of a qualified firm for full service public relations services, RFP #DC1921, hereinafter referred to as "Project"; and

WHEREAS, the Firm has submitted to OCFA a proposal dated March 20, 2014, a copy of which is attached hereto as Exhibit "A" and is incorporated herein by this reference; and

WHEREAS, based on its experience and reputation, the Firm is qualified to provide the necessary services for the Project and desires to provide such services; and

WHEREAS, OCFA desires to retain the services of the Firm for the Project.

NOW, THEREFORE, in consideration of the promises and mutual agreements contained herein, OCFA agrees to employ and does hereby employ the Firm and the Firm agrees to provide professional services as follows:

**AGREEMENT**

**1. PROFESSIONAL SERVICES**

**1.1 Scope of Services.**

In compliance with all terms and conditions of this Agreement, the Firm shall provide those services specified in the "Proposal" attached hereto as Exhibit "A" and incorporated herein by reference. The Scope of Services includes by reference and by addendum: (1) OCFA's Request for Proposal, RFP #DC1921, dated March 17, 2014 ("RFP"); (2) the Firm's response to OCFA's RFP dated March 20, 2014; (3) all terms and conditions as set forth in this Agreement; and (4) any amendments, addendums, change orders, or modifications mutually agreed upon by the parties hereto. In the event of any inconsistency between the terms contained in Exhibit "A" and the terms set forth in the main body of this Agreement, the terms set forth in the main body of this Agreement shall govern. The Firm warrants that it shall perform all services under this Agreement in a competent, professional and satisfactory manner in accordance with all standards prevalent in the industry.

**1.2 Compliance with Law.**

All services rendered hereunder shall be provided in accordance with all laws, ordinances, resolutions, statutes, rules, and regulations of OCFA and any federal, state or local governmental agency of competent jurisdiction.

**1.3 Licenses and Permits.**

The Firm shall obtain at its sole cost and expense such licenses, permits and approvals as may be required by law for the performance of the services required by this Agreement.

**1.4 Reserved.**

**1.5 Care of Work.**

The Firm shall adopt and follow reasonable procedures and methods during the term of the Agreement to prevent loss or damage to materials, papers or other components of the work, and shall be responsible for all such damage until acceptance of the work by OCFA, except such loss or damages as may be caused by OCFA's own negligence.

**1.6 Additional Services.**

The Firm shall perform services in addition to those specified in the Proposal when directed to do so in writing by the Contract Officer, provided that the Firm shall not be required to perform any additional services without compensation. Any additional compensation not exceeding ten percent (10%) of the original Agreement sum must be approved in writing by the Contract Officer. Any greater increase must be approved in writing by the Fire Chief upon approval from the Executive Committee.

**2. TIME FOR COMPLETION**

The time for completion of the services to be performed by the Firm is an essential condition of this Agreement. The Firm shall prosecute regularly and diligently the work of this Agreement according to the schedules set forth in the Firm's proposal. The Firm shall not be accountable for delays in the progress of its work caused by any condition beyond its control and without the fault or negligence of Firm. Delays shall not entitle Firm to any additional compensation regardless of the party responsible for the delay.

**3. COMPENSATION OF FIRM**

**3.1 Contract Pricing.**

For the services rendered pursuant to this Agreement, OCFA shall compensate and reimburse the Firm in accordance with the terms set forth in the Pricing Schedule, provided in Exhibit "A" and incorporated herein by reference.

**3.2 Method of Payment.**

In any month in which the Firm wishes to receive payment, Firm shall no later than the first working day of such month, submit to OCFA in the form approved by OCFA's Director of Finance, an invoice for services rendered prior to the date of the invoice. OCFA shall pay Firm for all expenses stated thereon which are approved by OCFA consistent with this Agreement, within thirty (30) days of receipt of Firm's invoice.

**3.3 Changes.**

In the event any change or changes in the services is requested by OCFA, the parties hereto shall execute an addendum to this Agreement, setting forth with particularity all terms of such addendum, including, but not limited to, any additional fees. Addenda may be entered into:

A. To provide for revisions or modifications to documents or other work product or work when documents or other work product or work is required by the enactment or revision of law subsequent to the preparation of any documents, other work product or work;

B. To provide for additional services not included in this Agreement or not customarily furnished in accordance with generally accepted practice in Firm's profession.

**3.4 Appropriations.**

This Agreement is subject to and contingent upon funds being appropriated therefore by the OCFA Board of Directors for each fiscal year covered by the Agreement. If such appropriations are not made, this Agreement shall automatically terminate without penalty to OCFA.

**4. PERFORMANCE SCHEDULE**

**4.1 Time of Essence.**

Time is of the essence in the performance of this Agreement.

**4.2 Schedule of Performance.**

All services rendered pursuant to this Agreement shall be performed within the time periods prescribed in Firm's proposal, attached hereto as Exhibit "A".

The extension of any time period specified in Exhibit "A" must be approved in writing by the Contract Officer.

**4.3 Force Majeure.**

The time for performance of services to be rendered pursuant to this Agreement may be extended because of any delays due to unforeseeable causes beyond the control and without the fault or negligence of Firm, including, but not restricted to, acts of God or of a public enemy, acts of the government, fires, earthquakes, floods, epidemic, quarantine restrictions, riots, strikes, freight embargoes, and unusually severe weather if Firm shall within ten (10) days of the commencement of such condition notify the Contract Officer who shall thereupon ascertain the facts and the extent of any necessary delay, and extend the time for performing the services for the period of the enforced delay when and if in the Contract Officer's judgment such delay is justified, and the Contract Officer's determination shall be final and conclusive upon the parties to this Agreement.

**4.4 Term.**

This Agreement shall commence upon approval of contract and continue in full force and effect through satisfactory completion of the services unless earlier terminated as provided herein or as otherwise agreed to in writing by the parties.

**5. COORDINATION OF WORK**

**5.1 Representative of Firm.**

The following principal of the Firm is hereby designated as being the principal and representative of Firm authorized to act in its behalf with respect to the work specified herein and make all decisions in connection therewith: Arianna Barrios, Chief Executive Officer.

It is expressly understood that the experience, knowledge, capability and reputation of the foregoing principal is a substantial inducement for OCFA to enter into this Agreement. Therefore, the foregoing principal shall be responsible during the term of this Agreement for directing all activities of Firm and devoting sufficient time to personally supervise the services hereunder. The foregoing principal may not be changed by Firm without the express written approval of OCFA.

**5.2 Contract Officer.**

The Contract Officer shall be Keith Richter, Fire Chief, unless otherwise designated in writing by OCFA. It shall be Firm's responsibility to keep the Contract Officer fully informed of the progress of the performance of the services and Firm shall refer any decisions that must be made by OCFA to the Contract Officer. Unless



otherwise specified herein, any approval of OCFA required hereunder shall mean the approval of the Contract Officer.

### **5.3 Prohibition Against Subcontracting or Assignment.**

The experience, knowledge, capability and reputation of Firm, its principals and employees, were a substantial inducement for OCFA to enter into this Agreement. Therefore, Firm shall not contract with any other entity to perform in whole or in part the services required hereunder without the express written approval of OCFA. In addition, neither this Agreement nor any interest herein may be assigned or transferred, voluntarily or by operation of law, without the prior written approval of OCFA.

### **5.4 Independent Contractor.**

Neither OCFA nor any of its employees shall have any control over the manner, mode or means by which Firm, its agents or employees, performs the services required herein, except as otherwise set forth herein. Firm shall perform all services required herein as an independent contractor of OCFA and shall remain at all times as to OCFA a wholly independent contractor with only such obligations as are consistent with that role. Firm shall not at any time or in any manner represent that it or any of its agents or employees are agents or employees of OCFA.

## **6. INSURANCE, INDEMNIFICATION AND BONDS**

### **6.1 Insurance.**

Firm shall procure and maintain, at its cost, and submit concurrently with its execution of this Agreement, public liability and property damage insurance against all claims for injuries against persons or damages to property resulting from Firm's performance under this Agreement. Firm shall also carry workers' compensation insurance in accordance with California worker's compensation laws. Such insurance shall be kept in effect during the term of this Agreement and shall not be cancelable without thirty (30) days written notice to OCFA of any proposed cancellation. OCFA's certificate(s), evidencing the foregoing and designating OCFA as an additional named insured for general liability and automobile liability insurance coverage shall be delivered to and approved by OCFA prior to commencement of the services hereunder. The procuring of such insurance and the delivery of policies or certificates evidencing the same shall not be construed as a limitation of Firm's obligation to indemnify OCFA, its officers, officials, employees and agents. The amount of insurance required hereunder shall include comprehensive general liability, personal injury and automobile liability with limits of at least one million dollars (\$1,000,000) combined single limit coverage per occurrence, two million dollars (\$2,000,000) aggregate; and professional liability coverage with limits of at least one million dollars (\$1,000,000). Coverage shall be provided by admitted insurers with an A.M. Best's Key Rating of at least A-VII. If Firm provides claims made professional liability insurance, Firm shall also agree in

writing either (1) to purchase tail insurance in the amount required by this Agreement to cover claims made within three years of the completion of Firm's services under this Agreement, or (2) to maintain professional liability insurance coverage with the same carrier in the amount required by this Agreement for at least three years after completion of Firm's services under this Agreement. The Firm shall also be required to provide evidence to OCFA of the purchase of the required tail insurance or continuation of the professional liability policy.

## **6.2 Indemnification.**

To the fullest extent permitted by law, Firm shall defend, (at Firm's sole cost and expense with legal counsel reasonably acceptable to OCFA), indemnify and hold harmless OCFA, its officers, officials, employees and agents (collectively, the "Indemnified Parties") from and against any and all third-party actions, suits, proceedings, claims, demands, losses, costs, and expenses, including legal costs and attorneys' fees, for injury to or death of person or persons, for damage to property, including property owned by OCFA, arising out of or in any way connected with any negligent acts, errors, omissions, willful misconduct or fraud committed by Firm, its officers, employees or agents, in performance of this Agreement, except for such loss as may arise from the sole negligence or willful misconduct of the Indemnified Parties.

Firm's indemnification obligations under this Section 6.2 are contingent upon: (i) OCFA giving prompt written notice to Firm of any claim under this Section (provided, however, that failure to give such notification shall not affect the indemnification provided hereunder except to the extent, and only to the extent, that Firm shall have been actually prejudiced as a result of such failure); and (ii) at Firm's request and sole expense, OCFA cooperating in the investigation and defense of such claim(s). In any instance where Firm defends a claim pursuant to its indemnification obligations, OCFA shall be entitled, but not obligated to, participate in (but not control) such defense and to retain its own counsel, at its own expense. Neither party shall settle or consent to an adverse judgment in any such claim that adversely affects the rights or interests of the other party or imposes additional obligations on the other party without the prior express written consent of the other party.

## **7. RECORDS AND REPORTS**

### **7.1 Reports.**

Firm shall periodically prepare and submit to the Contract Officer such reports concerning the performance of the services required by this Agreement as the Contract Officer shall require.

### **7.2 Records.**

Firm shall keep such books and records as shall be necessary to properly perform the services required by this Agreement and enable the Contract Officer to

evaluate the performance of such services. The Contract Officer shall have full and free access to such books and records at all reasonable times, including the right to inspect, copy, audit and make records and transcripts from such records.

### **7.3 Ownership of Documents.**

All drawings, specifications, reports, records, documents and other materials prepared by Firm in the performance of this Agreement shall be the property of OCFA and shall be delivered to OCFA upon request of the Contract Officer or upon the termination of this Agreement at no cost to OCFA, and Firm shall have no claim for further employment or additional compensation as a result of the exercise by OCFA of its full rights or ownership of the documents and materials hereunder. Firm may retain copies of such documents for its own use. Firm shall have an unrestricted right to use the concepts embodied therein.

### **7.4 Release of Documents.**

Firm shall not release publicly any drawings, specifications, reports, records, documents or other materials prepared by Firm in the performance of services under this Agreement without the prior written approval of the Contract Officer.

## **8. ENFORCEMENT OF AGREEMENT**

### **8.1 California Law.**

This Agreement shall be construed and interpreted both as to validity and to performance of the parties in accordance with the laws of the State of California. Legal actions concerning any dispute, claim or matter arising out of or in relation to this Agreement shall be instituted in the Superior Court of the County of Orange, State of California, or any other appropriate court in such county, and Firm covenants and agrees to submit to the personal jurisdiction of such court in the event of such action.

### **8.2 Waiver.**

No delay or omission in the exercise of any right or remedy of a non-defaulting party on any default shall impair such right or remedy or be construed as a waiver. No consent or approval of OCFA shall be deemed to waive or render unnecessary OCFA's consent to or approval of any subsequent act of Firm. Any waiver by either party of any default must be in writing and shall not be a waiver of any other default concerning the same or any other provision of this Agreement.

### **8.3 Rights and Remedies are Cumulative.**

Except with respect to rights and remedies expressly declared to be exclusive in this Agreement, the rights and remedies of the parties are cumulative and the exercise by either party of one or more of such rights or remedies shall not preclude

the exercise by it, at the same or different times, of any other rights or remedies for the same default or any other default by the other party.

#### **8.4 Legal Action.**

In addition to any other rights or remedies, either party may take legal action, in law or in equity, to cure, correct or remedy any default, to recover damages for any default, to compel specific performance of this Agreement, to obtain injunctive relief, a declaratory judgment, or any other remedy consistent with the purposes of this Agreement.

#### **8.5 Termination Prior to Expiration of Term.**

OCFA reserves the right to terminate this Agreement at any time, with or without cause, upon thirty (30) days written notice to Firm, except that where termination is due to the fault of Firm and constitutes an immediate danger to health, safety and general welfare, the period of notice shall be such shorter time as may be appropriate. Upon receipt of the notice of termination, Firm shall immediately cease all services hereunder except such as may be specifically approved by the Contract Officer. Firm shall be entitled to compensation for all services rendered prior to receipt of the notice of termination and for any services authorized by the Contract Officer thereafter.

Firm may terminate this Agreement, with or without cause, upon thirty (30) days written notice to OCFA.

#### **8.6 Termination for Default.**

If termination is due to the failure of the Firm to fulfill its obligations under this Agreement, OCFA may take over the work and prosecute the same to completion by contract or otherwise, and the Firm shall be liable to the extent that the total cost for completion of the services required hereunder exceeds the compensation herein stipulated, provided that OCFA shall use reasonable efforts to mitigate damages, and OCFA may withhold any payments to the Firm for the purpose of set-off or partial payment of the amounts owed to OCFA.

### **9. OCFA OFFICERS AND EMPLOYEES; NON-DISCRIMINATION**

#### **9.1 Non-Liability of OCFA Officers and Employees.**

No official, officer or employee of OCFA shall be personally liable to Firm, or any successor-in-interest, in the event of any default or breach by OCFA or for any amount which may become due to Firm or its successor, or for breach of any obligation of the terms of this Agreement.

**9.2 Covenant Against Discrimination.**

Firm covenants that, by and for itself, its heirs, executors, assigns, and all persons claiming under or through them, that there shall be no discrimination or segregation in the performance of or in connection with this Agreement regarding any person or group of persons on account of race, color, creed, religion, sex, marital status, national origin, or ancestry. Firm shall take affirmative action to insure that applicants and employees are treated without regard to their race, color, creed, religion, sex, marital status, national origin, or ancestry.

**10. MISCELLANEOUS PROVISIONS**

**10.1 Confidentiality.**

Information obtained by Firm in the performance of this Agreement shall be treated as strictly confidential and shall not be used by Firm for any purpose other than the performance of this Agreement without the written consent of OCFA.

**10.2 Notice.**

Any notice, demand, request, consent, approval, or communication either party desires or is required to give to the other party or any other person shall be in writing and either served personally or sent by pre-paid, first-class mail to the address set forth below. Either party may change its address by notifying the other party of the change of address in writing. Notice shall be deemed communicated forty-eight (48) hours from the time of mailing if mailed as provided in this Section.

To OCFA:

Orange County Fire Authority  
Attention: Keith Richter, Fire Chief  
1 Fire Authority Road  
Irvine, CA 92602

**With Copy To:**

David E. Kendig, General Counsel  
Woodruff, Spradlin & Smart  
555 Anton Blvd. Suite 1200  
Costa Mesa, CA 92626

To Communications LAB:

Arianna Barrios, CEO  
25 Orchard, Suite 250  
Lake Forest, CA 92630

**10.3 Integrated Agreement.**

This Agreement contains all of the agreements of the parties and cannot be amended or modified except by written agreement.

**10.4 Amendment.**

This Agreement may be amended at any time by the mutual consent of the parties by an instrument in writing.

**10.5 Severability.**

In the event that any one or more of the phrases, sentences, clauses, paragraphs, or sections contained in this Agreement shall be declared invalid or unenforceable by valid judgment or decree of a court of competent jurisdiction, such invalidity or unenforceability shall not affect any of the remaining phrases, sentences, clauses, paragraphs, or sections of this Agreement, which shall be interpreted to carry out the intent of the parties hereunder.

**10.5 Corporate Authority.**

The persons executing this Agreement on behalf of the parties hereto warrant that they are duly authorized to execute this Agreement on behalf of said parties and that by so executing this Agreement the parties hereto are formally bound to the provisions of this Agreement.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the dates stated below.

**"OCFA"**

**ORANGE COUNTY FIRE AUTHORITY**

Date: 3/31/14

By: Keith Richter

Keith Richter, Fire Chief

**APPROVED AS TO FORM.**

**ATTEST:**

By: David E. Kendig  
DAVID E. KENDIG  
GENERAL COUNSEL


Sherry A.F. Wenz  
Sherry A.F. Wenz  
Clerk of the Board

Date: 3/27/14

**"FIRM"**

**COMMUNICATIONS LAB**

Date: MARCH 26, 2014

By:   
Arianna Barrios  
Chief Executive Officer

**EXHIBIT A**  
**RFP DC1921**  
**COMMUNICATIONS LAB**  
**PROPOSAL**



**DISCUSSION CALENDAR - AGENDA ITEM NO. 12**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Lori Zeller, Assistant Chief  
Business Services Department

SUBJECT: **OCFA Recommended Action Plan - Management Partners Report**

Summary:

This item is submitted to provide the OCFA's Recommended Action Plan to address the recommendations contained in the Management Partners Report.

Board Action:

This item was originally scheduled for Board consideration at its July 24, 2014, meeting; however, due to the late hour the Board deferred action.

Recommended Actions:

1. Approve the OCFA's Recommended Action Plan to address the recommendations contained in the Management Partners final report.
2. Direct staff to provide monthly progress reports to the Executive Committee and Board of Directors identifying steps taken to carry out the Recommended Action Plan.

Background:

Management Partners was retained by the OCFA in November 2013, to review the current leadership structure and internal management systems and identify opportunities to improve oversight, accountability, communication, and performance. Its review involved analyzing documents, conducting interviews with OCFA staff, Executive Committee members (and other Board members who requested interviews), conducting two online surveys (one with Board members and one with OCFA employees), and conducting seven focus groups.

Management Partners' analysis identified opportunities for improvement in the following areas:

- Management Systems and Accountability,
- Organizational Structure,
- Labor/Management Relations,
- Leadership Development and Succession Planning, and
- Board Development.

Specifically, its final report contained 29 recommendations for improvement.

***Initial Action Plan – Submitted to the Board in May 2014***

OCFA's Executive Management team, working jointly with Management Partners, initially developed an Action Plan to address the 29 recommendations. The Action Plan included steps

for each recommendation, planned completion dates, and assigned responsibility for completion of each action item. Prior to submitting the Plan to the Board in May, OCFA's Executive Management team had met with one of the three labor groups and had scheduled a date to meet with the other two groups, but had not completed those meetings. All three labor groups were requesting more opportunity for discussion of the Action Plan with the Executive Management team, prior to adoption of the Plan by the Board. Therefore, at the May 22, 2014, meeting of the OCFA Board of Directors, staff was directed to meet with the various labor groups to develop consensus towards the Action Plan.

### ***Review Process with Labor Groups***

To date, the Executive Management team has met with labor as follows:

- Orange County Employees Association (OCEA) – May 22, 2014
- Chief Officers' Association (COA) – May 28, 2014
- Orange County Professional Firefighters' Assoc., Local 3631 (OCPFA) – May 28, 2014
- All 3 Labor Groups Combined – June 25, 2014
- All 3 Labor Groups Combined – July 8, 2014

The initial meetings with each individual labor group included a representative of Management Partners, Cathy Standiford, who walked through the 29 recommendations to explain intent. In addition, Executive Management explained the proposed implementation steps for various recommendations, as requested by labor. Feedback was provided by each individual labor group regarding areas of the Plan that they were unable to support, as currently drafted.

During our all-hands meeting on June 25, 2014, labor and management worked jointly to identify the specific elements of the Plan that required adjustment in order to gain consensus. The meeting was highly-interactive; all three groups provided detailed recommendations for action plan steps that might be taken to both address the recommendations, and which could be supported by labor. This feedback was used to produce a revised Recommended Action Plan, which became the subject of our last combined labor group meeting on July 8, 2014.

During our all-hands meeting on July 8, 2014, labor and management reviewed the revised action plan steps, and made a few final adjustments to the Plan. At the conclusion of the meeting, all three labor groups reported that we had consensus, and that they were able to support the Recommended Action Plan.

Most importantly, labor indicated that it was very important to them that we keep this Action Plan, and the commitments contained in the Plan, "front and center" in priority with the Executive Management team, the Board of Directors, labor, and throughout the organization. In other words, as our people change due to retirements and promotions, and as our Board changes due to elections and city reorganizations, we need to ensure that this process, the collaboration, the commitments, and the Plan are not forgotten or lost in the shuffle of new emerging priorities.

***Final Recommended Action Plan – July 2014***

The final Recommended Action Plan is now submitted for review and approval by the Board of Directors. We have provided a red-lined version to highlight the tracked changes that were made in collaboration with labor (Attachment 1) and a clean version reflecting the final Recommended Action Plan (Attachment 2).

The Recommended Action Plan is intended to guide OCFA staff in addressing Management Partners' 29 recommendations. In addition, the Action Plan contains two important additional recommendations developed jointly by OCFA management and OCFA's represented labor groups. These additional recommendations are intended to strengthen foundational relationships between management, labor, and all OCFA employees, thereby contributing to improved opportunities for success with the Action Plan steps identified for the 29 Management Partners' recommendations. These added recommendations are noted at the beginning of the Action Plan and marked as joint-labor-management (JLM) #A and #B.

The work involved in implementing measures to address the recommendations must be integrated into the other work of the organization, with appropriate assignments of responsibility for action and with the identification of specific planned completion dates. The Action Plan should be considered a living document, with planned completion dates being subject to change as we find that particular tasks may take longer than anticipated, or may require more JLM meetings, or other elements that may come into play. However, the Plan provides guidance about the length of time that might be required to complete each individual step in addressing the recommendations, and will be used for us to hold each other accountable for progress and outcomes.

***Summary and Conclusion***

In summary, we are proud of the collaboration that occurred in jointly developing this final work product, and we hope this can be viewed as a first step in building improved relationships and performance for OCFA.

Upon approval of the Recommended Action Plan by the Board of Directors, staff will provide monthly progress reports to the Executive Committee and Board of Directors outlining the steps taken each month to address the recommendations.

**Impact to Cities/County:**

Not Applicable.

**Fiscal Impact**

None

**Staff Contacts for Further Information:**

Craig Kinoshita, Deputy Fire Chief

[craigkinoshita@ocfa.org](mailto:craigkinoshita@ocfa.org)

(714) 573-6014

Lori Zeller, Assistant Chief/Business Services Department  
[lorizeller@ocfa.org](mailto:lorizeller@ocfa.org)  
(714) 573-6020

Attachments:

1. Final Recommended Action Plan – July 2014 (red-lined)
2. Final Recommended Action Plan – July 2014 (clean version)

# Orange County Fire Authority

## Implementation Recommended Action Plan Management Partners Report

May August 28, 2014



## Making the Most of the ~~Implementation~~ Action Plan

This ~~Implementation~~ Action Plan is intended to guide ~~the implementation by~~ OCFA staff ~~in addressing of~~ Management Partners' 29 recommendations. The Action Plan also contains two important additional recommendations developed jointly by OCFA management and OCFA's represented labor groups. These additional recommendations are intended to strengthen foundational relationships between management, labor, and all OCFA employees, thereby contributing to improved opportunities for success with the action plan steps identified for the 29 Management Partners' recommendations. These added recommendations are noted at the beginning of the Action Plan and marked as joint-labor-management (JLM) #A and #B.

The work involved in implementing measures to address the recommendations must be integrated into the other work of the organization, with appropriate assignments of responsibility for ~~action~~implementation and with the identification of specific planned completion dates. The Action Plan begins that process with guidance about the length of time that might be required to complete ~~each~~an individual step in addressing the recommendations (estimated total task time).

Prudent implementation of actions to address most recommendations requires "circling back" after ~~completion~~implementation and fine-tuning the result based on experience. The step to do that is not spelled out for each recommendation in this document on the assumption that it would be part of our normal management system for any newly implemented change.

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
JLM #A		<p><b><u>Reestablish trust within the OCFA, both with internal and external stakeholders.</u></b></p> <ul style="list-style-type: none"> <li><u>Clearly communicate to all employees the issues identified within the Management Study and the steps in this Action Plan to resolve these issues.</u></li> <li><u>Further communicate with employees on progress and accountability with the Action Plan to resolve these issues.</u></li> <li><u>Schedule routine and frequent joint labor-management (JLM) meetings with each labor group and unrepresented managers (see also #20).</u></li> <li><u>Seek commitments from both management and labor to engage in open dialogue, while remaining courteous and respectful of differing opinions that may exist.</u></li> <li><u>Hold candid discussions at initial JLM meetings regarding behaviors by both sides (management and labor) that contributed to lack of trust, for purposes of avoiding repeat of those behaviors.</u></li> <li><u>Seek early input from labor regarding new policy initiatives prior to seeking approval through the policy makers or external partners to better understand the impacts.</u></li> <li><u>Identify areas of common agreement that can be built upon to improve collaboration, and when there is</u></li> </ul>	<p><u>Dec. 31, 2015</u></p> <p><u>Sept. 30, 2014</u></p> <p><u>Quarterly Updates</u></p> <p><u>Aug. 31, 2014</u></p> <p><u>Sept. 30, 2014</u></p> <p><u>Sept. 30, 2014</u></p> <p><u>Dec. 31, 2014</u></p> <p><u>Dec. 31, 2014</u></p>	<p><u>Fire Chief</u></p> <p><u>Comm. Director, Exec. Mgmt. Team</u></p> <p><u>Comm. Director Exec. Mgmt. Team</u></p> <p><u>HR Director</u></p> <p><u>Comm. Director</u></p> <p><u>Comm. Director HR Director</u></p> <p><u>Dep. &amp; Asst. Chiefs</u></p> <p><u>Dep. &amp; Asst. Chiefs, Labor Groups</u></p>	<p><u>The overall completion date established for this objective is designed to allow time to develop routine processes, begin producing results, and then work for one full year under leadership of the new Fire Chief. At the end of 2015, the JLM Committees will look back and determine the effectiveness of our efforts.</u></p> <p><u>Comm Director and HR Director to serve as facilitators for these discussions.</u></p> <p><u>The following steps shall begin immediately; however, as of December 2014, we will look back and assess progress.</u></p>

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p><u>disagreement, bring alternative recommendations forward.</u></p> <ul style="list-style-type: none"> <li>• <u>Consider developing internal advisory committees of OCFA employees with working knowledge of the OCFA and the impacts that changes may have on internal and external services:</u> <ul style="list-style-type: none"> <li>○ <u>Operational Committees might consider topics such as EMS, Training, Equipment, Safety, Service Delivery</u></li> <li>○ <u>Non-operational Committees might consider topics such as Human Resources, Budget, Facilities, IT</u></li> </ul> </li> </ul>	<p><u>Dec. 31, 2014</u></p>	<p><u>Comm. Director</u> <u>Exec. Mgmt. Team</u></p>	
<p><u>JLM</u> <u>#B</u></p>		<p><b><u>Take actions to make it clear to all employees that harassment and retaliation will not be tolerated at OCFA.</u></b></p> <ul style="list-style-type: none"> <li>• <u>Work with the JLM Committees to agree on a consistent process for investigating allegations of harassment or retaliation (see also #2).</u></li> <li>• <u>Work with the JLM Committees to explore options for sharing results of these investigations without compromising confidentiality.</u></li> <li>• <u>Provide training to all employees regarding actions that constitute harassment or retaliation.</u></li> <li>• <u>Use a variety of communication tools to</u></li> </ul>	<p><u>July 31, 2015</u></p> <p><u>Mar. 31, 2015</u></p> <p><u>Mar. 31, 2015</u></p> <p><u>July 31, 2015</u></p> <p><u>July 31, 2015</u></p>	<p><u>HR Director</u></p> <p><u>HR Director</u></p> <p><u>HR Director</u></p> <p><u>HR Director</u></p> <p><u>Comm. Director</u></p>	<p><u>Action is intended to begin immediately, with a check-in date in one year at July 31, 2015 to assess results and employee perceptions of progress.</u></p>



Orange County Fire Authority

Implementation Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p><u>ensure our message is received frequently throughout OCFA that harassment and retaliation will not be tolerated at OCFA.</u></p>			
1	<p>Develop clear expectations for accountability as well as the consequences if individuals do not fulfill expectations.</p>	<ul style="list-style-type: none"> <li>• Draft an outline of core expectations for employee accountability, <u>including consequences</u></li> <li>• Develop and execute <u>a strategy for communicating expectations and consequences throughout the organization</u> (i.e., Chief's video chat, blast emails, station visits)</li> <li>• <u>Establish a process to reinforce expectations</u></li> <li>• <u>Educate supervisors and managers on appropriate/consistent application of progressive-corrective actions, as consequences when individuals do not fulfill expectations</u></li> </ul>	<p>June 30, 2015<sup>4</sup></p> <p>June 30, 2015<sup>4</sup></p> <p>June 30, 2015<sup>4</sup></p> <p>June 30, 2015</p>	<p>Deputy Chief</p> <p>Fire Chief</p> <p>Deputy Chief</p> <p>HR Director</p>	<p>Includes reinforcement by managers and supervisors in the organization</p>
2	<p>Establish a professional standards unit for investigating complaints (and reviewing chain-of-command investigations), reports of rule violations and employee misconduct, including complaints by residents.</p>	<ul style="list-style-type: none"> <li>• Obtain information about how existing units in Los Angeles and Sacramento were established</li> <li>• <u>Research how other Fire Departments address internal complaints and investigations</u></li> <li>• <u>If a professional standards unit is considered, Determine whether unit could be staffed with existing personnel or if new resources are required</u></li> <li>• <u>Discuss research and options with the JLM and internal advisory committees</u></li> <li>• <u>Confer with legal counsel about Ensure</u></li> </ul>	<p><u>Dec. 31, 2014</u></p> <p><u>Dec. 31, 2014</u></p> <p><u>Dec. 31, 2014</u></p> <p><u>Mar. 31, 2015</u></p> <p><u>June 30, 2015</u></p>	<p>HR Director</p> <p>HR Director</p> <p>HR Director</p> <p>HR Director</p> <p>HR Director</p>	

Orange County Fire Authority

Implementation Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>meet and confer requirements <u>are met if changes are proposed, if any</u></li> <li>Obtain approvals to establish unit</li> <li>Recruit and/or train staff for unit</li> <li>Communicate full implementation</li> </ul>			
3	Ensure investigations are conducted expeditiously and consistent with the California Firefighters Procedural Bill of Rights (FFBOR).	<ul style="list-style-type: none"> <li>Review established protocols for handling investigations <u>on behalf of all labor groups</u> and modify as needed</li> <li>Consider <u>extending similar protections as FFBOR for all employees</u></li> <li>Establish a reporting process to monitor status of each investigation to ensure compliance</li> </ul>	<p><u>June 30, 2015</u></p> <p><u>June 30, 2015</u></p> <p><u>June 30, 2015</u></p>	<p>Deputy Chief</p> <p>Deputy Chief</p> <p><u>HR Director</u></p>	<p>Support from HR Director</p> <p>Support from HR Director</p>
4	Establish a database to track investigations, recommendations, and actions taken.	<ul style="list-style-type: none"> <li>Work with Information Technology Division to establish database</li> <li>Provide training on the use of the database</li> </ul>	<p>Completed</p> <p><u>Sept. 30, 2014</u></p>	<p>HR Director</p> <p>HR Director</p>	Support from IT as needed
5	Provide training to all supervisors about how to give positive and negative feedback to employees.	<ul style="list-style-type: none"> <li>Review training modules for delivering positive and negative feedback in Battalion Chief and Fire Captain academies and update as needed</li> <li><u>Ensure training covers FFBOR and Weingarten rights</u></li> <li><u>Review proposed training modules with JLM committees</u></li> <li>Develop refresher training for supervisors to coincide with rollout of new performance evaluation system</li> <li>Communicate the importance of providing regular verbal feedback to all supervisors, along with simple tips for</li> </ul>	<p><u>Mar. 31, 2015</u></p> <p><u>Mar. 31, 2015</u></p> <p><u>Mar. 31, 2015</u></p> <p><u>May 31, 2015</u></p> <p>July 31, 2015</p>	<p>HR Director</p> <p>HR Director</p> <p>Fire Chief</p>	

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p>doing so through video chats, email blasts and station visits</p>			
6	<p>Develop a timeline for choosing and implementing a new performance evaluation system.</p>	<ul style="list-style-type: none"> <li>Confirm the current schedule for procuring/implementing <a href="#">an automated performance evaluation</a> system</li> <li>Complete the RFP evaluation, <a href="#">with input from a cross-section of OCFA employees and labor reps</a></li> <li>Meet with JLMs to preview systems</li> <li>Award contract</li> <li>Meet with labor to discuss any proposed changes to evaluation processes that require meet and confer</li> <li>Customize, populate and test system</li> <li>Train supervisors on use of the system</li> <li>Announce system implementation and how it will affect delivery of performance feedback to employees</li> </ul>	<p><a href="#">Aug. 31, 2014</a></p> <p><a href="#">Oct. 31, 2014</a></p> <p><a href="#">Dec. 31, 2014</a> <a href="#">Jan. 31, 2015</a> <a href="#">Mar. 31, 2015</a></p> <p><a href="#">Mar. 31, 2015</a> <a href="#">May 30, 2015</a> <a href="#">June 30, 2015</a></p>	<p>HR Director</p> <p>HR Director</p> <p>HR Director Board of Directors HR Director</p> <p>HR Dir. &amp; IT Mgr. HR Director Fire Chief</p>	<p>Assistance from IT Division</p> <p>Assistance from vendor Assistance from vendor</p>
7	<p>Provide training on the importance and use of organizational performance measures so that everyone in the organization understands their function and purpose.</p>	<ul style="list-style-type: none"> <li><a href="#">Collaborate with JLM and internal advisory committees for development of performance measures</a></li> <li><a href="#">Include use of data inputs for performance measures, but also consider inclusion of other factors that are not always evident in the data</a></li> <li>Develop training on what organizational performance measurement is, how to effectively monitor and report performance <a href="#">measures</a><a href="#">data</a>, and how to use results to aid decision making and continuous improvement</li> <li>Identify participants for training</li> </ul>	<p><a href="#">June 30, 2015</a></p> <p><a href="#">June 30, 2015</a></p> <p><a href="#">Sept. 30, 2015</a></p> <p><a href="#">Sept. 30, 2015</a></p>	<p>Asst. Chief/Support Services (SS)</p> <p>Asst. Chief/SS</p> <p>Asst. Chief/SS</p> <p>Exec. Mgmt. Team</p>	<p>May require outside help to develop and execute training</p>

Orange County Fire Authority

Implementation Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>• <u>Conduct training</u></li> <li>• <u>Communicate to all employees "what, why, and how" performance measures will be used at OCFA</u></li> </ul>	<a href="#">Dec. 31, 2015</a> <a href="#">Dec. 31, 2015</a>	Asst. Chief/SS Comm. Director Asst. Chief/SS	
8	Hold regular monthly one-on-one meetings with Executive Committee members and with other Board members at their request.	<ul style="list-style-type: none"> <li>• Establish a standing meeting schedule for each Executive Committee member</li> <li>• Identify other Board members desiring monthly one-on-one meetings</li> <li>• Establish a standing meeting schedule for each Board member wanting a monthly meeting</li> </ul>	<a href="#">Sept. 30, 2014</a>  <a href="#">Sept. 30, 2014</a>  <a href="#">Sept. 30, 2014</a>	Fire Chief  Fire Chief  Fire Chief	
9	Utilize video chats from the chief on a regular basis to convey important information.	<ul style="list-style-type: none"> <li>• <u>Survey employees to determine the best methods for communicating different types of messages, understanding that the same protocol won't be best for communicating all types of messages</u></li> <li>• Continue the monthly video newsletter</li> <li>• Evaluate opportunities to expand the use of video chats and/or videoconferencing to share information in real time, <u>depending upon the feedback obtained from the survey</u></li> </ul>	<a href="#">Sept. 30, 2014</a>   Ongoing <a href="#">Dec. 31, 2014</a>	<a href="#">Comm. Director</a>   Fire Chief Comm. Director	
10	Develop a written list of key messages to be shared following executive staff meetings, so all division chiefs and battalion chiefs have the same talking points and deliver the same message.	<ul style="list-style-type: none"> <li>• <u>Establish format and protocols for writing and conveying key messages from executive staff meetings (see also steps outlined for rec. #9 above)</u></li> <li>• <u>Use JLM committees to gain input prior to finalizing messages on policy initiatives</u></li> <li>• <u>Communicate by face-to-face dialogue,</u></li> </ul>	<a href="#">Sept. 30, 2014</a>  <a href="#">Sept. 30, 2014</a>  <a href="#">Sept. 30, 2014</a>	Deputy Chief <a href="#">Comm. Director</a>  <a href="#">Exec. Mgmt. Team</a>  <a href="#">Exec. Mgmt. Team</a>	

Orange County Fire Authority

Implementation Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p><u>where feasible, rather than communicating all messages through written speaking points (see also #9)</u></p> <ul style="list-style-type: none"> <li>Meet with Division and Battalion Chiefs to communicate expectations for consistent delivery of key messages</li> </ul>	<p><u>Sept. 30, 2014</u></p>	<p><u>Exec. Mgmt. Team</u> <u>Comm. Director</u></p>	
11	<p>Clarify the roles and responsibilities of the division chiefs.</p>	<ul style="list-style-type: none"> <li>Meet with each Board member and city manager to discuss the desired role of division chiefs in their community and confirm OCFA's abilities to meet expectations</li> <li><u>Gain consistency of expectations among various divisions</u></li> <li><u>Meet with labor to discuss any proposed changes that require meet and confer</u></li> <li>Document and communicate critical tasks, core responsibilities, and expectations to Division Chiefs</li> </ul>	<p><u>July 31, 2015</u></p> <p><u>July 31, 2015</u></p> <p><u>July 31, 2015</u></p> <p>July 31, 2015<sup>4</sup></p>	<p>Fire Chief</p> <p><u>Fire Chief</u></p> <p><u>HR Director</u> <u>Asst. Chief Ops.</u></p> <p>Asst. Chief Ops.</p>	<p>Assistance from Deputy Chief and Asst. Chief Ops. Potential change in Board members in Jan. 2015</p>
12	<p>When a division chief serves more than one jurisdiction, assign a battalion chief as an additional liaison for each jurisdiction.</p>	<ul style="list-style-type: none"> <li>Designate an <u>on-duty</u> battalion chief from each division to serve as the back-up liaison</li> <li>Introduce back up liaison to Board member and city manager from each jurisdiction</li> </ul>	<p>Completed</p> <p><u>Sept. 30, 2014</u></p>	<p>Asst. Chief Ops.</p> <p>Fire Chief Asst. Chief Ops.</p>	<p>Assistance from Division Chiefs</p>
13	<p>Establish or make more explicit the procedures for rotating staff battalion chief positions.</p>	<ul style="list-style-type: none"> <li><u>Meet with Chief Officers' Association (COA) to discuss proposed rotation procedures, building on the succession plan previously proposed by the COA</u></li> <li><u>Meet and confer, as required</u></li> <li>Document procedures for rotating staff</li> </ul>	<p>Sept. 30, 2014</p> <p><u>Oct. 31, 2014</u></p> <p><u>Nov. 30, 2014</u></p>	<p>Asst. Chief Ops.</p> <p><u>HR Director</u> Asst. Chief Ops.</p>	

Orange County Fire Authority

Implementation Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		battalion chief positions			
14	Hire a communications professional to head the corporate communications function.	<ul style="list-style-type: none"> <li>Obtain Board authorization for position</li> <li>Recruit and hire position</li> </ul>	Complete <a href="#">Complete</a>	HR Director Fire Chief	<a href="#">Comm. Director appointed in August 2014</a>
15	Assign and train three captains (one per shift) with good communication skills to assist the head of corporate communications as PIOs when needed.	<ul style="list-style-type: none"> <li>Document list of existing trained captains</li> <li>Identify whether additional personnel need training</li> <li>Develop <del>formal</del><a href="#">proposed</a> protocols for assigning PIO responsibility to trained captains</li> <li><a href="#">Meet with labor to discuss any proposed changes that require meet and confer</a></li> </ul>	<a href="#">Sept. 30, 2014</a> <a href="#">Sept. 30, 2014</a> <a href="#">Oct. 31, 2014</a> <a href="#">Dec. 31, 2014</a>	Corp. Comm BC Corp. Comm BC Comm. Director HR Director Comm. Director	
16	Assign the community relations/education specialists to the Corporate Communications Division.	<ul style="list-style-type: none"> <li>Transfer community relations/education specialist positions from the Community Risk Reduction Department to the Corporate Communications Division</li> </ul>	Complete	Deputy Chief	Completed in April 2014 with Community Risk Reduction department reorganization
17	Develop a corporate communications calendar that details the community risk reduction strategy of the department.	<ul style="list-style-type: none"> <li>Complete recruitments for Fire Marshal and Communications Director</li> <li>Develop community risk reduction goals, objectives and communication strategies</li> <li>Develop annual calendar of community risk reduction activities, events and public information messages to be delivered to the community</li> <li>Establish a process to evaluate effectiveness of community risk reduction communication strategies at</li> </ul>	<a href="#">Complete</a> Nov. 30, 2014 Dec. 31, 2014 <a href="#">June 30, 2015</a>	HR Director Fire Marshal Comm. Director Comm. Director	<a href="#">Fire Marshal appointed in May 2014; Comm. Director appointed in August 2014</a>

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Implementation Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p>six month intervals</p> <ul style="list-style-type: none"> <li>Establish promotional list for captain positions</li> <li><del>Fill vacant positions from list</del></li> </ul>	<p><a href="#">Aug. 31, 2014</a></p> <p><del>Oct. 31, 2014</del></p>	<p>Asst. Chief Ops</p> <p><del>Asst. Chief Ops</del></p>	<p>Support from HR Director</p>
18	Fill the vacant captain positions as soon as possible.				
19	Negotiate a more cost-effective shift schedule for employees in the Emergency Command Center. Clarify language in the MOU.	<ul style="list-style-type: none"> <li><a href="#">Identify and evaluate costs and benefits of the current shift schedule for OCFA</a></li> <li><a href="#">Research other agencies currently using the same shift as OCFA to determine why the current shift benefits those agencies</a></li> <li>Evaluate impacts of alternative shift schedules on staffing, overtime and associated costs</li> <li><del>Develop and present recommendations to Board (closed session)</del></li> <li>Meet and confer with OCEA on <del>proposed shift changes</del> <a href="#">during upcoming negotiations</a></li> </ul>	<p><a href="#">Oct. 31, 2014</a></p> <p><a href="#">Oct. 31, 2014</a></p> <p>Oct. 31, 2014</p> <p><del>Nov. 20, 2014</del></p> <p>Dec. 31, 2014</p>	<p><a href="#">Asst. Chief Support Services</a></p> <p><a href="#">Asst. Chief Support Services</a></p> <p>Asst. Chief Bus. Services</p> <p><del>Asst. Chief Support Services</del></p> <p>HR Director</p>	<p>Involve Asst. Chief Support Services and HR Director</p> <p><del>Assistance of HR Director</del></p> <p>Assistance of Asst. Chief Business Services, Asst. Chief Support Services</p>
20	Establish joint labor-management committees for each labor association.	<ul style="list-style-type: none"> <li>Invite each labor associations to participate in a joint-labor committee</li> <li>Establish protocols for referring issues to joint-labor committees</li> </ul>	<p>Aug. 31, 2014</p> <p>Aug. 31, 2014</p>	<p><del>Deputy Fire</del> Chief</p> <p><del>Deputy Fire</del> Chief</p>	<p>Support from HR Director</p> <p>Support from HR Director</p>
21	Evaluate the selection and promotion process to ensure all hiring practices are nondiscriminatory and fair.	<ul style="list-style-type: none"> <li>Review and evaluate existing selection and promotion policies, procedures and practices</li> <li><a href="#">Review and evaluate procedures for providing constructive feedback to candidates participating in promotion processes</a></li> <li>Report results of the evaluation to the Chief, with recommendations for</li> </ul>	<p>Mar. 31, 2015</p> <p><a href="#">Mar. 31, 2015</a></p> <p>April 30, 2015</p>	<p>HR Director</p> <p><a href="#">HR Director</a></p> <p>HR Director</p>	

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>improvement</li> <li>Communicate results of the evaluation to labor association leaders</li> </ul>	April 30, 2015	Fire Chief	
22	Establish an Advisory Promotional Process Review Committee to develop recommendations for improving the promotional selection process for safety positions.	<ul style="list-style-type: none"> <li>Invite Local 3631 and Chief Officers Association to participate on Committee</li> <li><u>Reestablish the former OCEA Committee for promotional processes</u></li> <li>Meet to develop recommendations for improving the process</li> <li>Present recommendations to the Fire Chief</li> </ul>	Dec. 31, 2014 <u>Dec. 31, 2014</u> Feb. 28, 2015 Mar. 31, 2015	HR Director <u>HR Director</u> HR Director Chair of Advisory Committee	May delay until completion of labor negotiations   Support from HR Director
23	Develop a formal succession plan for executive and senior management positions.	<ul style="list-style-type: none"> <li>Create a succession plan including the following components:               <ul style="list-style-type: none"> <li>Additional workforce analysis to forecast future leadership needs, <u>crossing over all 3 labor groups and all levels of employees</u></li> <li>Identification of core competencies and job requirements for each position</li> <li>Identification of training and professional development opportunities</li> <li>Mechanisms for identifying and mentoring talent</li> <li>Processes for documenting institutional knowledge</li> <li>Implementation strategies and resources required</li> </ul> </li> <li>Communicate the succession plan to the Board and OCFA organization once developed</li> </ul>	Oct. 31, 2015               Nov. 30, 2015	HR Director               Fire Chief	Involve the executive management team, division chiefs, <u>JLM and internal advisory committees</u> and Board Human Resources Committee



Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
24	Create opportunities for cross-training, job shadowing, officer training, professional development, and mentoring.	<ul style="list-style-type: none"> <li>• Provide information on effective mentoring and encourage employees to find a mentor and to mentor others</li> <li>• Enlist the help of managers and supervisors to identify and implement cross training and/or job shadowing opportunities</li> <li>• <a href="#">Seek input through JLM and internal advisory committees</a></li> <li>• <a href="#">Ensure meet and confer processes with labor, if applicable</a></li> <li>• Establish a process for tracking and documenting the results of cross training and job shadowing activities</li> </ul>	<p>May 31, 2015</p> <p>Oct. 31, 2015</p> <p><a href="#">Oct. 31, 2015</a></p> <p><a href="#">Oct. 31, 2015</a></p> <p>Nov. 30, 2015</p>	<p>HR Director</p> <p>HR Director</p> <p>HR Director</p> <p><a href="#">HR Director</a></p> <p><a href="#">HR Director</a></p>	
25	Explore the feasibility of providing additional leadership development.	<ul style="list-style-type: none"> <li>• Develop recommendations for expanding leadership training opportunities beyond the current program and identify the required resources</li> <li>• Present recommendations for funding as part of the FY 2015-16 budget</li> </ul>	<p>April 30, 2015</p> <p>May, 30, 2015</p>	<p>HR Director</p> <p>Fire Chief</p>	
26	Review information with Board members on an annual basis that stresses their roles and responsibilities, including Board norms for behavior.	<ul style="list-style-type: none"> <li>• Schedule a special Board meeting to discuss roles, responsibilities, and other areas to enhance Board member effectiveness</li> <li>• Review and update Board handbook materials to ensure clarity of roles, responsibilities and norms for behavior</li> </ul>	<p>Feb. 28, 2015 and annually thereafter</p> <p>Jan. 31, 2015</p>	<p>Fire Chief</p> <p>Deputy Chief</p>	<p>Also general counsel</p> <p>Also general counsel</p>
27	Provide an in-depth orientation for new Board members within 30 days of appointment.	<ul style="list-style-type: none"> <li>• Establish a process to invite new Board members for an orientation as soon as they have been appointed</li> </ul>	<p>Nov. 30, 2014</p>	<p>Fire Chief</p>	<p>Have executive team participate in orientation</p>

Orange County Fire Authority

[Implementation Action Plan to Address Management Partners' Recommendations](#)

Rec#	Management Partners' Recommendation	Implementation Steps OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>Review and update Board orientation materials</li> </ul>	Dec. 31, 2014	Asst. Chief Bus. Services	Include input from executive team and general counsel
28	Authorize the Chair to make recommendations to Committee appointments, with ratification by the full Board.	<ul style="list-style-type: none"> <li>Schedule discussion of a change in policy regarding Committee appointments for a Board meeting</li> </ul>	Nov. 30, 2014	Board Chair	
29	Establish Board norms for behavior.	<ul style="list-style-type: none"> <li>Incorporate into special Board meeting referenced in Recommendation 26.</li> <li>Establish a process to periodically review Board norms for behavior</li> </ul>	Feb. 28, 2015 Feb. 28, 2015	Fire Chief Executive Committee	

**Orange County Fire Authority  
Recommended Action Plan  
Management Partners Report**

**August 28, 2014**



## **Making the Most of the Action Plan**

This Action Plan is intended to guide OCFA staff in addressing Management Partners' 29 recommendations. The Action Plan also contains two important additional recommendations developed jointly by OCFA management and OCFA's represented labor groups. These additional recommendations are intended to strengthen foundational relationships between management, labor, and all OCFA employees, thereby contributing to improved opportunities for success with the action plan steps identified for the 29 Management Partners' recommendations. These added recommendations are noted at the beginning of the Action Plan and marked as joint-labor-management (JLM) #A and #B.

The work involved in implementing measures to address the recommendations must be integrated into the other work of the organization, with appropriate assignments of responsibility for action and with the identification of specific planned completion dates. The Action Plan begins that process with guidance about the length of time that might be required to complete each individual step in addressing the recommendations (estimated total task time).

Prudent implementation of actions to address most recommendations requires "circling back" after completion and fine-tuning the result based on experience. The step to do that is not spelled out for each recommendation in this document on the assumption that it would be part of our normal management system for any newly implemented change.

Orange County Fire Authority  
 Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
JLM #A		<p><b><i>Reestablish trust within the OCFA, both with internal and external stakeholders.</i></b></p> <ul style="list-style-type: none"> <li>Clearly communicate to all employees the issues identified within the Management Study and the steps in this Action Plan to resolve these issues.</li> <li>Further communicate with employees on progress and accountability with the Action Plan to resolve these issues.</li> <li>Schedule routine and frequent joint labor-management (JLM) meetings with each labor group and unrepresented managers (see also #20).</li> <li>Seek commitments from both management and labor to engage in open dialogue, while remaining courteous and respectful of differing opinions that may exist.</li> <li>Hold candid discussions at initial JLM meetings regarding behaviors by both sides (management and labor) that contributed to lack of trust, for purposes of avoiding repeat of those behaviors.</li> <li>Seek early input from labor regarding new policy initiatives prior to seeking approval through the policy makers or external partners to better understand the impacts.</li> <li>Identify areas of common agreement that can be built upon to improve collaboration, and when there is disagreement, bring alternative recommendations forward.</li> </ul>	<p>Dec. 31, 2015</p> <p>Sept. 30, 2014</p> <p>Quarterly Updates</p> <p>Aug. 31, 2014</p> <p>Sept. 30, 2014</p> <p>Sept. 30, 2014</p> <p>Dec. 31, 2014</p> <p>Dec. 31, 2014</p>	<p>Fire Chief</p> <p>Comm. Director, Exec. Mgmt. Team</p> <p>Comm. Director Exec. Mgmt. Team</p> <p>HR Director</p> <p>Comm. Director</p> <p>Comm. Director HR Director</p> <p>Dep. &amp; Asst. Chiefs</p> <p>Dep. &amp; Asst. Chiefs, Labor Groups</p>	<p>The overall completion date established for this objective is designed to allow time to develop routine processes, begin producing results, and then work for one full year under leadership of the new Fire Chief. At the end of 2015, the JLM Committees will look back and determine the effectiveness of our efforts.</p> <p>Comm Director and HR Director to serve as facilitators for these discussions.</p> <p>The following steps shall begin immediately; however, as of December 2014, we will look back and assess progress.</p>

Orange County Fire Authority  
 Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>• Consider developing internal advisory committees of OCFA employees with working knowledge of the OCFA and the impacts that changes may have on internal and external services:               <ul style="list-style-type: none"> <li>○ Operational Committees might consider topics such as EMS, Training, Equipment, Safety, Service Delivery</li> <li>○ Non-operational Committees might consider topics such as Human Resources, Budget, Facilities, IT</li> </ul> </li> </ul>	Dec. 31, 2014	Comm. Director Exec. Mgmt. Team	
JLM #B		<p><b><i>Take actions to make it clear to all employees that harassment and retaliation will not be tolerated at OCFA.</i></b></p> <ul style="list-style-type: none"> <li>• Work with the JLM Committees to agree on a consistent process for investigating allegations of harassment or retaliation (see also #2).</li> <li>• Work with the JLM Committees to explore options for sharing results of these investigations without compromising confidentiality.</li> <li>• Provide training to all employees regarding actions that constitute harassment or retaliation.</li> <li>• Use a variety of communication tools to ensure our message is received frequently throughout OCFA that harassment and retaliation will not be tolerated at OCFA.</li> </ul>	<p>July 31, 2015</p> <p>Mar. 31, 2015</p> <p>Mar. 31, 2015</p> <p>July 31, 2015</p> <p>July 31, 2015</p>	<p>HR Director</p> <p>HR Director</p> <p>HR Director</p> <p>HR Director</p> <p>Comm. Director</p>	<p>Action is intended to begin immediately, with a check-in date in one year at July 31, 2015 to assess results and employee perceptions of progress.</p>

Orange County Fire Authority  
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Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
1	Develop clear expectations for accountability as well as the consequences if individuals do not fulfill expectations.	<ul style="list-style-type: none"> <li>Draft an outline of core expectations for employee accountability</li> <li>Develop and execute a strategy for communicating expectations (i.e., Chief's video chat, blast emails, station visits)</li> <li>Establish a process to reinforce expectations</li> <li>Educate supervisors and managers on appropriate/consistent application of progressive-corrective actions, as consequences when individuals do not fulfill expectations</li> </ul>	June 30, 2015 June 30, 2015 June 30, 2015 June 30, 2015	Deputy Chief Fire Chief Deputy Chief HR Director	Includes reinforcement by managers and supervisors in the organization
2	Establish a professional standards unit for investigating complaints (and reviewing chain-of-command investigations), reports of rule violations and employee misconduct, including complaints by residents.	<ul style="list-style-type: none"> <li>Obtain information about how existing units in Los Angeles and Sacramento were established</li> <li>Research how other Fire Departments address internal complaints and investigations</li> <li>If a professional standards unit is considered, determine whether unit could be staffed with existing personnel or if new resources are required</li> <li>Discuss research and options with the JLM and internal advisory committees</li> <li>Ensure meet and confer requirements are met if changes are proposed</li> </ul>	Dec. 31, 2014 Dec. 31, 2014 Dec. 31, 2014 Mar. 31, 2015 June 30, 2015	HR Director HR Director HR Director HR Director HR Director	
3	Ensure investigations are conducted expediently and consistent with the California Firefighters Procedural Bill of Rights (FFBOR).	<ul style="list-style-type: none"> <li>Review established protocols for handling investigations on behalf of all labor groups and modify as needed</li> <li>Consider extending similar protections as FFBOR for all employees</li> <li>Establish a reporting process to monitor status of each investigation to ensure</li> </ul>	June 30, 2015 June 30, 2015 June 30, 2015	Deputy Chief Deputy Chief HR Director	Support from HR Director Support from HR Director

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 Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		compliance			
4	Establish a database to track investigations, recommendations, and actions taken.	<ul style="list-style-type: none"> <li>Work with Information Technology Division to establish database</li> <li>Provide training on the use of the database</li> </ul>	Completed Sept. 30, 2014	HR Director HR Director	Support from IT as needed
5	Provide training to all supervisors about how to give positive and negative feedback to employees.	<ul style="list-style-type: none"> <li>Review training modules for delivering positive and negative feedback in Battalion Chief and Fire Captain academies and update as needed</li> <li>Ensure training covers FFBOR and Weingarten rights</li> <li>Review proposed training modules with JLM committees</li> <li>Develop refresher training for supervisors to coincide with rollout of new performance evaluation system</li> <li>Communicate the importance of providing regular verbal feedback to all supervisors, along with simple tips for doing so through video chats, email blasts and station visits</li> </ul>	Mar. 31, 2014 Mar. 31, 2014 Mar. 31, 2014 May 31, 2015 July 31, 2015	HR Director HR Director HR Director HR Director Fire Chief	
6	Develop a timeline for choosing and implementing a new performance evaluation system.	<ul style="list-style-type: none"> <li>Confirm the current schedule for procuring/implementing an automated performance evaluation system</li> <li>Complete the RFP evaluation, with input from a cross-section of OCFA employees and labor reps</li> <li>Meet with JLMs to preview systems</li> <li>Award contract</li> <li>Meet with labor to discuss any proposed changes to evaluation processes that require meet and confer</li> <li>Customize, populate and test system</li> </ul>	Aug. 31, 2014 Oct. 31, 2014 Dec. 31, 2014 Jan. 31, 2015 Mar. 31, 2015 Mar. 31, 2015	HR Director HR Director HR Director Board of Directors HR Director HR Dir. & IT Mgr.	Assistance from IT Division Assistance from vendor Assistance from vendor



Orange County Fire Authority  
 Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>Train supervisors on use of the system</li> <li>Announce system implementation and how it will affect delivery of performance feedback to employees</li> </ul>	May 31, 2015 June 30, 2015	HR Director Fire Chief	
7	Provide training on the importance and use of organizational performance measures so that everyone in the organization understands their function and purpose.	<ul style="list-style-type: none"> <li>Collaborate with JLM and internal advisory committees for development of performance measures</li> <li>Include use of data inputs for performance measures, but also consider inclusion of other factors that are not always evident in the data</li> <li>Develop training on what organizational performance measurement is, how to effectively monitor and report performance measures, and how to use results to aid decision making and continuous improvement</li> <li>Identify participants for training</li> <li>Conduct training</li> <li>Communicate to all employees "what, why, and how" performance measures will be used at OCFA</li> </ul>	June 30, 2015  June 30, 2015  Sept. 30, 2015  Sept. 30, 2015 Dec. 31, 2015 Dec. 31, 2015	Asst. Chief/Support Services (SS)  Asst. Chief/SS  Asst. Chief/SS  Exec. Mgmt. Team Asst. Chief/SS Comm. Director Asst. Chief/SS	May require outside help to develop and execute training
8	Hold regular monthly one-on-one meetings with Executive Committee members and with other Board members at their request.	<ul style="list-style-type: none"> <li>Establish a standing meeting schedule for each Executive Committee member</li> <li>Identify other Board members desiring monthly one-on-one meetings</li> <li>Establish a standing meeting schedule for each Board member wanting a monthly meeting</li> </ul>	Sept. 30, 2014  Sept. 30, 2014  Sept. 30, 2014	Fire Chief  Fire Chief  Fire Chief	
9	Utilize video chats from the chief on a regular basis to convey important information.	<ul style="list-style-type: none"> <li>Survey employees to determine the best methods for communicating different types of messages, understanding that the same protocol</li> </ul>	Sept. 30, 2014	Comm. Director	

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Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p>won't be best for communicating all types of messages</p> <ul style="list-style-type: none"> <li>Continue the monthly video newsletter</li> <li>Evaluate opportunities to expand the use of video chats and/or videoconferencing to share information in real time, depending upon the feedback obtained from the survey</li> </ul>	Ongoing Dec. 31, 2014	Fire Chief Comm. Director	
10	Develop a written list of key messages to be shared following executive staff meetings, so all division chiefs and battalion chiefs have the same talking points and deliver the same message.	<ul style="list-style-type: none"> <li>Establish format and protocols for writing and conveying key messages from executive staff meetings (see also steps outlined for rec. #9 above)</li> <li>Use JLM committees to gain input prior to finalizing messages on policy initiatives</li> <li>Communicate by face-to-face dialogue, where feasible, rather than communicating all messages through written speaking points (see also #9)</li> <li>Meet with Division and Battalion Chiefs to communicate expectations for consistent delivery of key messages</li> </ul>	Sept. 30, 2014  Sept. 30, 2014  Sept. 30, 2014  Sept. 30, 2014	Deputy Chief Comm. Director  Exec. Mgmt. Team  Exec. Mgmt. Team  Exec. Mgmt. Team Comm. Director	
11	Clarify the roles and responsibilities of the division chiefs.	<ul style="list-style-type: none"> <li>Meet with each Board member and city manager to discuss the desired role of division chiefs in their community and confirm OCFA's abilities to meet expectations</li> <li>Gain consistency of expectations among various divisions</li> <li>Meet with labor to discuss any proposed changes that require meet and confer</li> <li>Document and communicate critical tasks, core responsibilities, and</li> </ul>	July 31, 2015  July 31, 2015  July 31, 2015  July 31, 2015	Fire Chief  Fire Chief  HR Director Asst. Chief Ops.  Asst. Chief Ops.	Assistance from Deputy Chief and Asst. Chief Ops. Potential change in Board members in Jan. 2015

Orange County Fire Authority  
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Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		expectations to Division Chiefs			
12	When a division chief serves more than one jurisdiction, assign a battalion chief as an additional liaison for each jurisdiction.	<ul style="list-style-type: none"> <li>Designate an on-duty battalion chief from each division to serve as the back-up liaison</li> <li>Introduce back up liaison to Board member and city manager from each jurisdiction</li> </ul>	Completed  Sept. 30, 2014	Asst. Chief Ops.  Fire Chief Asst. Chief Ops.	Assistance from Division Chiefs
13	Establish or make more explicit the procedures for rotating staff battalion chief positions.	<ul style="list-style-type: none"> <li>Meet with Chief Officers' Association (COA) to discuss proposed rotation procedures, building on the succession plan previously proposed by the COA</li> <li>Meet and confer, as required</li> <li>Document procedures for rotating staff battalion chief positions</li> </ul>	Sept. 30, 2014  Oct. 31, 2014 Nov. 30, 2014	Asst. Chief Ops.  HR Director Asst. Chief Ops.	
14	Hire a communications professional to head the corporate communications function.	<ul style="list-style-type: none"> <li>Obtain Board authorization for position</li> <li>Recruit and hire position</li> </ul>	Complete Complete	HR Director Fire Chief	Comm. Director appointed in August 2014
15	Assign and train three captains (one per shift) with good communication skills to assist the head of corporate communications as PIOs when needed.	<ul style="list-style-type: none"> <li>Document list of existing trained captains</li> <li>Identify whether additional personnel need training</li> <li>Develop proposed protocols for assigning PIO responsibility to trained captains</li> <li>Meet with labor to discuss any proposed changes that require meet and confer</li> </ul>	Sept. 30, 2014  Sept. 30, 2014  Oct. 31, 2014  Dec. 31, 2014	Corp. Comm BC  Corp. Comm BC  Comm. Director  HR Director Comm. Director	
16	Assign the community relations/education specialists to the Corporate Communications Division.	<ul style="list-style-type: none"> <li>Transfer community relations/education specialist positions from the Community Risk Reduction Department to the Corporate Communications Division</li> </ul>	Complete	Deputy Chief	Completed in April 2014 with Community Risk Reduction department reorganization

Orange County Fire Authority  
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Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
17	Develop a corporate communications calendar that details the community risk reduction strategy of the department.	<ul style="list-style-type: none"> <li>Complete recruitments for Fire Marshal and Communications Director</li> <li>Develop community risk reduction goals, objectives and communication strategies</li> <li>Develop annual calendar of community risk reduction activities, events and public information messages to be delivered to the community</li> <li>Establish a process to evaluate effectiveness of community risk reduction communication strategies at six month intervals</li> </ul>	Complete Nov. 30, 2014 Dec. 31, 2014 June 30, 2015	HR Director Fire Marshal Comm. Director Comm. Director	Fire Marshal appointed in May 2014; Comm. Director appointed in August 2014
18	Fill the vacant captain positions as soon as possible.	<ul style="list-style-type: none"> <li>Establish promotional list for captain positions</li> </ul>	Aug. 31, 2014	Asst. Chief Ops	Support from HR Director
19	Negotiate a more cost-effective shift schedule for employees in the Emergency Command Center. Clarify language in the MOU.	<ul style="list-style-type: none"> <li>Identify and evaluate costs and benefits of the current shift schedule for OCFA</li> <li>Research other agencies using the same shift as OCFA to determine why the current shift benefits those agencies</li> <li>Evaluate impacts of alternative shift schedules on staffing, overtime and associated costs</li> <li>Meet and confer with OCEA during upcoming negotiations</li> </ul>	Oct. 31, 2014 Oct. 31, 2014 Oct. 31, 2014 Dec. 31, 2014	Asst. Chief Support Services Asst. Chief Support Services Asst. Chief Bus. Services HR Director	Involve Asst. Chief Support Services and HR Director Assistance of Asst. Chief Business Svcs & Support Svcs
20	Establish joint labor-management committees for each labor association.	<ul style="list-style-type: none"> <li>Invite each labor association to participate in a joint-labor committee</li> <li>Establish protocols for referring issues to joint-labor committees</li> </ul>	Aug. 31, 2014 Aug. 31, 2014	Fire Chief Fire Chief	Support from HR Director Support from HR Director
21	Evaluate the selection and promotion process to ensure all hiring practices are nondiscriminatory and fair.	<ul style="list-style-type: none"> <li>Review and evaluate existing selection and promotion policies, procedures and practices</li> <li>Review and evaluate procedures for</li> </ul>	Mar. 31, 2015 Mar. 31, 2015	HR Director HR Director	

Orange County Fire Authority  
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Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<p>providing constructive feedback to candidates participating in promotion processes</p> <ul style="list-style-type: none"> <li>Report results of the evaluation to the Chief, with recommendations for improvement</li> <li>Communicate results of the evaluation to labor association leaders</li> </ul>	<p>April 30, 2015</p> <p>April 30, 2015</p>	<p>HR Director</p> <p>Fire Chief</p>	
22	Establish an Advisory Promotional Process Review Committee to develop recommendations for improving the promotional selection process for safety positions.	<ul style="list-style-type: none"> <li>Invite Local 3631 and Chief Officers Association to participate on Committee</li> <li>Reestablish the former OCEA Committee for promotional processes</li> <li>Meet to develop recommendations for improving the process</li> <li>Present recommendations to the Fire Chief</li> </ul>	<p>Dec. 31, 2014</p> <p>Dec. 31, 2014</p> <p>Feb. 28, 2015</p> <p>Mar. 31, 2015</p>	<p>HR Director</p> <p>HR Director</p> <p>HR Director</p> <p>Chair of Advisory Committee</p>	<p>May delay until completion of labor negotiations</p> <p>Support from HR Director</p>
23	Develop a formal succession plan for executive and senior management positions.	<ul style="list-style-type: none"> <li>Create a succession plan including the following components:             <ul style="list-style-type: none"> <li>Additional workforce analysis to forecast future leadership needs, crossing over all 3 labor groups and all levels of employees</li> <li>Identification of core competencies and job requirements for each position</li> <li>Identification of training and professional development opportunities</li> <li>Mechanisms for identifying and mentoring talent</li> <li>Processes for documenting institutional knowledge</li> <li>Implementation strategies and resources required</li> </ul> </li> </ul>	<p>Oct. 31, 2015</p>	<p>HR Director</p>	<p>Involve the executive management team, division chiefs, JLM and internal advisory committees and Board Human Resources Committee</p>

Orange County Fire Authority  
 Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>Communicate the succession plan to the Board and OCFA organization once developed</li> </ul>	Nov. 30, 2015	Fire Chief	
24	Create opportunities for cross-training, job shadowing, officer training, professional development, and mentoring.	<ul style="list-style-type: none"> <li>Provide information on effective mentoring and encourage employees to find a mentor and to mentor others</li> <li>Enlist the help of managers and supervisors to identify and implement cross training and/or job shadowing opportunities</li> <li>Seek input through JLM and internal advisory committees</li> <li>Ensure meet and confer processes with labor, if applicable</li> <li>Establish a process for tracking and documenting the results of cross training and job shadowing activities</li> </ul>	May 31, 2015  Oct. 31, 2015  Oct. 31, 2015  Oct. 31, 2015  Nov. 30, 2015	HR Director  HR Director  HR Director  HR Director  HR Director	
25	Explore the feasibility of providing additional leadership development.	<ul style="list-style-type: none"> <li>Develop recommendations for expanding leadership training opportunities beyond the current program; identify required resources</li> <li>Present recommendations for funding as part of the FY 2015-16 budget</li> </ul>	April 30, 2015  May, 30, 2015	HR Director  Fire Chief	
26	Review information with Board members on an annual basis that stresses their roles and responsibilities, including Board norms for behavior.	<ul style="list-style-type: none"> <li>Schedule a special Board meeting to discuss roles, responsibilities, and other areas to enhance Board member effectiveness</li> <li>Review and update Board handbook materials to ensure clarity of roles, responsibilities and norms for behavior</li> </ul>	Feb. 28, 2015 and annually thereafter  Jan. 31, 2015	Fire Chief  Deputy Chief	Also general counsel  Also general counsel
27	Provide an in-depth orientation for new Board members within 30 days of appointment.	<ul style="list-style-type: none"> <li>Establish a process to invite new Board members for an orientation as soon as they have been appointed</li> </ul>	Nov. 30, 2014	Fire Chief	Have executive team participate in orientation

Orange County Fire Authority  
 Action Plan to Address Management Partners' Recommendations

Rec#	Management Partners' Recommendation	OCFA Action Plan	Planned Completion	Person Responsible	Comments
		<ul style="list-style-type: none"> <li>Review and update Board orientation materials</li> </ul>	Dec. 31, 2014	Asst. Chief Bus. Services	Include input from executive team and general counsel
28	Authorize the Chair to make recommendations to Committee appointments, with ratification by the full Board.	<ul style="list-style-type: none"> <li>Schedule discussion of a change in policy regarding Committee appointments for a Board meeting</li> </ul>	Nov. 30, 2014	Board Chair	
29	Establish Board norms for behavior.	<ul style="list-style-type: none"> <li>Incorporate into special Board meeting referenced in Recommendation 26.</li> <li>Establish a process to periodically review Board norms for behavior</li> </ul>	Feb. 28, 2015 Feb. 28, 2015	Fire Chief Executive Committee	

**DISCUSSION CALENDAR - AGENDA ITEM NO. 13**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Brian Stephens, Assistant Chief  
Support Services Department

SUBJECT: **OCFA Board Room Audio Video Upgrades and Teleconferencing of Closed Session Meetings**

Summary:

On July 24, 2014, the Board voted unanimously to authorize the use of teleconferencing by individual Board members during the closed session portions of meetings of the Board of Directors, including any closed sessions of the Executive Committee, such authorization to remain in effect through and including the August 28, 2014, meeting of the Board. In addition, the Board directed staff to return to the Board at the August 28, 2014, meeting with information about the technological and other requirements, and the estimated costs thereof, to enable teleconferencing during open and closed session meetings of the Board and its committees.

This item is submitted (1) to allow the Board to consider extending the authorized use of teleconferencing by individual members during the closed session portions of meetings of the Board of Directors, including any closed sessions of the Executive Committee, and (2) to provide information about technical requirements and costs to enable teleconferencing during open and closed sessions of the Board and its committees.

Recommended Actions:

1. Authorize the continued use of teleconferencing by individual Board members during the closed session portions of meetings of the Board of Directors, including any closed sessions of the Executive Committee, such authorization to remain in effect until such time as it may be discontinued by the Board of Directors.
2. Direct Staff to circulate an RFP seeking proposals to: (a) replace and upgrade the Boardroom Core Audio Video (A/V) systems; and (b) implement teleconferencing in the Board breakout room (audio only), and (c) implement electronic voting in the main Boardroom, and to report back to the Board with a recommended proposal(s) upon completion of the RFP process.

Background:

The current Audio Video (A/V) system was installed during the construction of the Regional Fire Operations and Training Center (RFOTC) facilities in 2004. It provides basic A/V controls, recording, and sound amplification functions in the Board room for the 36 microphones, video camera (1), computer projectors (2) and integration with the 15" computer monitors at each Director's seat on the dais. Staff included funds in the 2014/15 CIP budget to begin replacing and upgrading the core A/V systems which are at the end of their service life. Staff is currently completing the Request for Proposal (RFP) to replace and upgrade the RFOTC A/V systems and capabilities, and expects to release it for public bid in early September.



For staff to respond to the Board’s July direction to provide technical requirements and costs to add teleconferencing capabilities, and return with that information for the August 28, 2014 Board of Directors meeting, preliminary cost estimates were acquired from the company that services OCFA’s A/V systems. These estimates should be considered as entry-points since the RFP process has not been completed yet and the prices may vary significantly depending on the results of the bidding process.

***Pricing Estimates***

The price estimates below are organized such that different technical capabilities can be selected and added to the Boardroom and Breakout room (Classroom 1) independent of each other with the exception that Item No. 1 “Replace and upgrade Boardroom Core Audio Video (A/V) systems” must be implemented first. Any of the additional capabilities can be added after the replacement and upgrades to the existing core A/V systems, which are currently in a partially failed state.

<b><u>Item</u></b>	<b><u>Description</u></b>	<b><u>Estimate</u></b>
1	Replace and upgrade Boardroom Core Audio Video (A/V) systems - <i>this upgrade is required because of the current, partial system failure of core components. We anticipate no changes in how the BOD A/V system will be used after the upgrade is complete.</i>	\$70,000.00
2	Add teleconferencing to the Board breakout room - audio only - <i>purchase new teleconference software module, integrate with upgraded core A/V system, custom controls programming, hardware input cards, interface with telephone system, speakers, \$2,000 per microphone input up to 8 microphones that would need to be purchased and installed in breakout room for BOD members to use during teleconferences.</i>	\$41,000.00
3	Add video conferencing to the Board breakout room - <i>gotomeeting type conferencing. Includes purchasing and installing video camera with HD video-codec, and interfacing it with upgraded core A/V system, new projector, or large format monitor for BOD members to view remote attendees.</i>	\$20,000.00
4	Add teleconferencing to the Board room - audio only - <i>purchase new teleconference software module, integrate with upgraded core A/V system, custom controls programming, hardware input cards, interface with telephone system. Use existing microphones and speakers. Callers audible thru existing speakers.</i>	\$20,000.00
5	Add videoconferencing to the Board room - <i>gotomeeting type conferencing. Includes integrating with upgraded core A/V system, existing microphones and speakers, upgrade video camera to HD video-codec system. BOD members will view remote attendees on the upgraded projector, or external, large-format monitors (2).</i>	\$38,000.00
6	Add voting functions - <i>this is a minimum price-point to add hardware, software, programming, and external keypads at each seat to cast votes. Can use either the upgraded projector or large flat-screen monitors to show results.</i>	\$25,000.00
Total estimate, including all options:		\$214,000.00

***Other Considerations:***

In evaluating whether to continue its authorization for teleconferencing during closed sessions, Board members may wish to consider concerns raised and challenges experienced by OCFA

staff relating to teleconferencing during closed sessions pursuant to the Board of Directors' July 24, 2014, authorization:

1. A concern arose regarding whether the teleconferenced locations were, in fact, accessible to the public as required by law, as both locations were out-of-state, and one location was a private residence.
2. As it was learned that the residential location was rented property, staff also felt a need to contact the property owner in addition to the on-site tenant to secure permission to use this site for this public purpose, since all remote locations must be publicly accessible. Staff also had concern with liability risks in using a private residence for this use.
3. There was a challenge in securing proof of the agenda's posting in the remote locations. While the hotel returned the affidavit promptly in this case, there were some difficulties in securing the Affidavit of Posting for the residential site. The affidavit was eventually received several days after the meeting had taken place.
4. This was a staff intensive process. It took the Clerk more than a full day, responding to and generating approximately 100 emails and two dozen phone calls to set-up/implement the teleconference in the two locations. This does not include General Counsel or other OCFA staff's time in assisting with this process.
5. Board Members experienced difficulties hearing the two teleconferencing Board Members and vice versa. Teleconferenced meetings are generally held in smaller venues. Most City Councils are comprised of 5-7 members; our Board's membership is 25. Hearing and identifying 25 Board Member's voices on a phone is difficult.
6. Teleconferencing phones are not fully duplex. They cannot transmit and receive simultaneously. Therefore, only one person can speak at a time, and if multiple users are phoning in, the complexity is increased.
7. The Brown Act requires that each action by the Board taken during a teleconference be taken as a roll call vote, which extends the overall meeting length, due to the need for 25 members to respond verbally to each item, potentially on multiple motions.

Impact to Cities/County:

None.

Fiscal Impact:

The FY 2014/15 CIP budget for A/V upgrades includes \$113,000 with an additional \$77,000 budgeted in FY 2015/16. Depending on direction from the Board, and the outcome of the RFP process, additional funds may need to be appropriated.

Staff Contacts for Further Information:

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Sherry Wentz, Clerk of the Authority  
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(714) 573-6041

Attachments:  
None

**DISCUSSION CALENDAR – AGENDA ITEM NO. 14**  
**BOARD OF DIRECTORS MEETING**  
**August 28, 2014**

TO: Board of Directors, Orange County Fire Authority

FROM: Lori Zeller, Assistant Chief  
Business Services Department

SUBJECT: **Blanket Order Contract Increase - Special Litigation Counsel for Validation Proceedings**

Summary:

This item is submitted for approval to increase the Blanket Order for special litigation counsel representing the OCFA in the validation proceedings related to the Second Amendment to the Amended Joint Powers Agreement (the "Validation Action").

Recommended Actions:

1. Approve and authorize the Purchasing Manager to increase Blanket Order B01501 by \$65,000 for T. Peter Pierce of Richards, Watson & Gershon to provide funding for an appeal process in the Validation Action, in the event the Board of Directors agrees to pursue an appeal.
2. Authorize a budget adjustment increasing FY 2014/15 General Fund (Fund 121) appropriations by \$65,000 to provide funding for Special Litigation Counsel, in the event the Board of Directors agrees to pursue an appeal.

Background:

At its February 27, 2014, meeting, the Board of Directors appointed T. Peter Pierce of Richards, Watson & Gershon to serve as special litigation counsel representing the OCFA in the validation proceedings related to the Second Amendment to the Amended JPA. At the time of the Board's approval to appoint Mr. Pierce, staff reported the fiscal impact as follows in the agenda staff report:

Fiscal Impact: Unknown - The duration and cost of the Validation Action will depend on how the case is litigated, and on whether the trial court's decision is appealed by the non-prevailing party.

Given the unknown in time and duration of the validation proceedings, staff processed an initial blanket order in the amount of \$75,000. Since the Court requested counsels for each party to prepare supplemental briefs and scheduled an additional hearing date of July 31, 2014, an increase of \$25,000 was requested and approved by the Executive Committee in July to provide funding for estimated activities through the end of August 2014. The July increase brought the contract total to \$100,000.

Special Counsel has provided an updated estimate, indicating that total contract costs through the end of August are now estimated at \$108,000 (including the closed session discussion scheduled for August 28) and that additional costs of \$57,000 will be required for an appeal process, should the Board choose to pursue an appeal. The additional \$8,000 in funding through August, and the \$57,000 in funding for an appeal will require a contract increase of \$65,000 for a new contract total to \$165,000.

Therefore, staff is requesting authorization to increase the contract and to increase FY 2014/15 General Fund (121) appropriations by \$65,000, from the current value of \$100,000 to \$165,000.

Impact to Cities/County:

Not Applicable.

Fiscal Impact:

The proposed increase in the contract value was not anticipated in the FY 2014/15 Budget; therefore, a budget adjustment is required to fund this contract. The budget adjustment will increase appropriations in the General Fund by \$65,000.

Staff Contact for Further Information:

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Attachments:

None.