July 15, 2019

TO: IAS-ACREDITED/APPLICANT FIRE PREVENTION AND LIFE SAFETY DEPARTMENTS AND OTHER INTERESTED PARTIES

SUBJECT: Proposed Revisions to the Accreditation Criteria for Fire Prevention and Life Safety Departments, Subject AC426-0919-0919-R1 (GA/KF)

Hearing Information:
IAS Accreditation Committee
Monday, September 16, 2019
8:00 a.m.
Fullerton Marriott at California State University
2701 Nutwood Avenue
Fullerton, CA 92831
(714) 738-7800

Dear Madam or Sir:

The proposed IAS Accreditation Criteria for Fire Prevention and Life Safety Departments, AC426, has been placed on the agenda for committee consideration at the above-noted meeting.

Following is a summary of proposed changes:

1. Text in Clause 4.3.3.3 containing the definition of standard operating procedures has been removed from the requirement and the same text has been used to create a definition for “Standard Operating Procedures” in Section 2.0 where the term will be more readily available for reference.

2. Clause 4.1.6 has been removed because the same content is already addressed by Clause 4.3.3.2 and Subclauses 4.3.3.2.1 and 4.3.3.2.6.

You are cordially invited to submit written comments, or to attend the committee hearing and present verbal comments. Written comments will be forwarded to the committee, prior to the hearing, if received by August 28, 2019. Please use the
comment form link found on the Accreditation Committee meeting page on the IAS website, www.iasonline.org. Comments may be postal mailed to the address above, or emailed to iasinfo@iasonline.org.

Any written material submitted for committee consideration will be available for public distribution as set forth in Section 4.0 of the Rules of Procedure for Accreditation Committee Meetings (copy enclosed).

Visual aids (including, but not limited to, charts, slides, videos, or presentation software) for viewing at meetings will be permitted only if the presenter provides to IAS, before the presentation, a copy of the visual aid(s) in a medium that can be retained by IAS with its record of the meeting, and that can also be provided to interested parties.

Your cooperation is requested in forwarding to the Brea office, as noted above, all material directed to the committee. Prior to the hearing, parties interested in the deliberations of the committee should refrain from communicating, whether in writing or verbally, with committee members regarding agenda items. The committee reserves the right to refuse communications that do not comply with this request.

If you have any questions, please contact Kellee Fernandez, accreditation officer, at 562-364-8201, extension 3448, or the undersigned at 562-364-8201. You may also reach us by e-mail at iasinfo@iasonline.org.

Yours very truly,

\[signature\]

Raj Nathan
President

RN/nl

Enclosures

cc: Accreditation Committee
RULES OF PROCEDURE FOR ACCREDITATION COMMITTEE MEETINGS

1.0 PURPOSE

The purpose of the Accreditation Committee and its meetings is to safeguard IAS’ impartiality to monitor the work of and to approve accreditation criteria for International Accreditation Service, Inc. (IAS).

The committee meetings, which are open public hearings, provide an opportunity for effective involvement by all interested parties.

2.0 MEETINGS

2.1 The Accreditation Committee shall schedule meetings that are open to the public in discharging its duties under Section 1, subject to Section 5.0 of these rules.

2.2 To properly discharge its responsibilities with respect to monitoring of IAS accreditation activities, the committee shall have a standing item on its meeting agenda for a presentation by staff on the status of its accredited programs and information on any pending appeals.

2.3 All scheduled meetings shall be publicly announced.

2.4 A majority of the voting Accreditation Committee members shall constitute a quorum. A majority vote of members present is required on any action.

2.5 If a specific interest group is not represented, votes by the committee on subjects related to that interest group will be held in abeyance. IAS staff shall make pertinent information available to absentee committee members, and ballot the members at a later stage. Records of such ballots shall be made available upon request.

2.6 In the absence of the nonvoting Chair-Moderator, Accreditation Committee members present shall elect an alternate Chairman from the committee for that meeting. The alternate Chairman shall be counted as a voting committee member for purposes of maintaining a committee quorum and to cast a tie-breaking vote of the committee.

2.7 Minutes of the meetings shall be kept.

3.0 MEMBER COMPETENCE CRITERIA

Members of the Accreditation Committee shall be familiar with conformity assessment and the implementation of regulatory requirements within their industry sector. They shall possess:

- A Baccalaureate degree from an accredited institution or a minimum of ten years equivalent experience as determined by IAS;
- Current employment within the conformity assessment, regulatory field, academia, industry, or IAS accredited CAB; and
- Demonstrated expertise in one or more accreditation programs offered by IAS.

IAS/ADM/013
Rules AC Meeting
September 26, 2018
4.0 MEETING RECORDS

Official meeting records shall be kept by IAS; no other audio, video, electronic or stenographic recordings of the meetings will be permitted. Visual aids (including, but not limited to, charts, slides, videos, or presentation software) viewed at meetings shall be permitted only if the presenter provides IAS before presentation with a copy of the visual aid in a medium which can be retained by IAS with its record of the meeting and which can also be provided to interested parties requesting a copy. A copy of the IAS minutes of the meeting and such visual aids, if any, will be available to interested parties upon written request made to IAS together with a payment as required by IAS to cover costs of preparation and duplication of the copy. These materials will be available shortly after the conclusion of the meeting but will no longer be available after 60 days have elapsed from the conclusion of the meeting.

5.0 WRITTEN COMMUNICATIONS AND SUBMISSIONS

Parties interested in the deliberations of the committee should refrain from communicating, whether in writing or verbally, with committee members regarding agenda items. All written communications and submissions regarding agenda items should be delivered to IAS. All such written communications and submissions shall be considered nonconfidential and available for discussion in open session of an Accreditation Committee meeting, and shall be delivered at least twenty days before the scheduled Accreditation Committee meeting if they are to be forwarded to the Committee. Correspondence received by IAS will not be released to any party, except to the Accreditation Committee, prior to the meeting without permission of the author. The committee reserves the right to refuse recognition of communications which do not comply with the provisions of this section. All such communications and submissions will be available from IAS upon written request and payment of costs associated with duplication. The materials will be available shortly after the conclusion of the meeting but will no longer be available after 60 days have elapsed from the conclusion of the meeting.

6.0 CLOSED SESSIONS

Meetings shall be open except that the chairman may call for a closed session to seek advice of counsel.

7.0 ACCREDITATION CRITERIA

Criteria are established by the committee to provide a basis for International Accreditation Service, Inc., accreditations. Consideration of accreditation criteria must be in conjunction with a current and valid application for an IAS accreditation listing or as otherwise determined by the Accreditation Committee.

7.1 Procedure

7.1.1 New Criteria

7.1.1.1 Proposed accreditation criteria may be submitted by interested parties to IAS, and/or shall be developed by the IAS staff and discussed in open session with the Accreditation Committee during a scheduled meeting.

7.1.1.2 Proposed accreditation criteria shall be available to interested parties approximately 60 days before discussion at the committee meeting, unless determined by IAS management that extraordinary consideration and electronic balloting are needed.

7.1.1.3 The committee shall be informed of all pertinent written communications received by IAS. Parties interested in proposed new criteria may deliver communications and submissions regarding such proposed criteria to IAS within 40 days of the posting of the public notice on the IAS website. Such communications and submissions will otherwise be subject to the provisions of Section 4.0 of these rules.

7.1.1.4 Attendees at Accreditation Committee meetings shall have the opportunity to speak on accreditation criteria listed on the meeting agenda, to provide information to committee members.
7.1.2 Existing Criteria

7.1.2.1 Changes to existing accreditation criteria may be submitted by interested parties to IAS, and/or shall be changed by the IAS staff. Existing accreditation criteria may be revised by the committee either (i) at a public meeting pursuant to the procedures set forth herein, or (ii) by electronic ballot, provided public notice is provided as stipulated in Section 7.1.1.2.

7.1.2.2 The committee shall be informed of all pertinent written communications received by IAS. Parties interested in the proposed revisions to accreditation criteria may deliver communications and submissions regarding such proposed revisions to IAS within the following timelines:

<table>
<thead>
<tr>
<th>Type</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Meeting</td>
<td>40 Days after posting of proposed criteria</td>
</tr>
<tr>
<td>Electronic Balloting Process</td>
<td>30 Days after posting of proposed criteria</td>
</tr>
</tbody>
</table>

Such communications and submissions will otherwise be subject to the provisions of Section 4.0 of these rules.

7.1.3 ELECTRONIC BALLOTING

7.1.3.1 IAS management shall provide written rationale and seek permission and documented approval from the IAS Accreditation Committee chair to propose new criteria or to revise existing criteria for extraordinary consideration and electronic balloting by the committee.

7.1.3.2 Proposed accreditation criteria shall be available to interested parties approximately 30 days before consideration by the committee. All pertinent written communications received by IAS relating to the proposed criteria shall be received no later than 30 days after the posting of the criteria. Ballots, along with comments received and staff recommendations, will be submitted to the committee for consideration. The committee shall return their ballots with their recommendations within 10 days from the date ballots are sent. The results of the balloting will be compiled and forwarded to the chair of the committee for validation and decision.

7.1.3.3 The electronically balloted criteria shall be brought back to the next regularly scheduled accreditation committee hearing as per Section 7.1.2 of these rules.

7.1.4 Effective Date of Published Criteria

7.1.4.1 The effective date of approved accreditation criteria or approved revisions to existing accreditation criteria shall be no earlier than 30 days following the public meeting.

7.1.4.2 Approved criteria using electronic balloting shall be effective the date of posting of the criteria on the IAS website.

7.2 Approval

Approval of accreditation criteria shall be as specified in Section 2.4 of these rules.
8.0 ACCREDITATION COMMITTEE MEMBERS

8.1 The IAS Accreditation Committee members are appointed or reappointed annually by the IAS Board of Directors in consultation with the IAS President.

8.2 Committee members are selected from senior management positions within accredited organizations, users of accreditation, industry groups and governmental or regulatory organizations. The individuals appointed to the committee shall have knowledge of regulatory codes within their industry sector and international conformity assessment process and practices.
PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR FIRE PREVENTION AND LIFE SAFETY DEPARTMENTS

AC426

Proposed September 16, 2019

PREFACE

The attached accreditation criteria have been proposed to provide all interested parties with an opportunity to comment. These criteria may be further revised as needed. The criteria are developed and adopted following public hearings conducted by the International Accreditation Service, Inc. (IAS), Accreditation Committee and are effective on the first of the month following approval by the Accreditation Committee, but no earlier than 30 days following the approval.
PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR FIRE PREVENTION AND LIFE SAFETY DEPARTMENTS

1.0 INTRODUCTION

1.1 Scope: These criteria set forth requirements for obtaining and maintaining International Accreditation Service, Inc. (IAS), Fire Prevention and Life Safety Departments accreditation. These criteria supplement the IAS Rules of Procedure for Fire Prevention and Life Safety Department Accreditation.

1.2 References and Normative Documents: Publications listed below refer to current editions (unless otherwise stated).

1.2.1 International Fire Code® (IFC) current edition, and related standards, or the duly adopted model code.

1.2.2 International Building Code® (IBC), current edition, and related construction codes published by the International Code Council, or the duly adopted model code.

1.2.3 Fire & Emergency Services Self-Assessment Manual (FESSAM), 8th edition, Commission on Fire Accreditation International, Center for Public Safety Excellence.

1.2.4 IAS Rules of Procedure for Fire Prevention and Life Safety Department Accreditation.

1.2.5 NFPA Standards 1031, 1033, 1035 and 1037, National Fire Protection Association.

2.0 DEFINITIONS

2.1 Accreditation: Formal third-party recognition that a body or organization fulfills specified requirements and is competent to carry out specific conformity assessment and regulatory tasks.

2.2 Accreditation Committee: A committee appointed by the IAS Board of Directors to monitor the work of and to develop accreditation criteria for IAS.

2.3 Accreditation Review Committee (ARC): A committee established by the IAS Board of Directors to render accreditation decisions on several IAS accreditation programs including the Fire Prevention and Life Safety Department Accreditation program.

2.4 Alternative Materials, Design and Methods of Construction and Equipment: A material or method of construction not prescribed in the adopted code, where the fire code official finds that the proposed design is satisfactory and complies with the intent of the provisions of the applicable code, and that the material, method, or work offered is, for the purpose intended, at least the equivalent of that prescribed in the code in quality, strength, effectiveness, fire resistance, durability and safety.

2.5 Appeal: Request for reconsideration of any administrative decision by the fire prevention department. Administrative decisions include:

2.5.1 Refusal to accept an application for issuance of a permit;

2.5.2 Refusal to proceed with plan review or inspections;

2.5.3 Corrective action requests;
2.5.4 Refusal to agree with the designer’s code interpretation;
2.5.5 Decisions to deny, suspend or halt construction work, if empowered to do so;
2.5.6 Any other action that impedes the attainment of a permit for construction or certificate of
   occupancy;
2.5.7 Any communication from the department indicating a requirement resulting from any code
   enforcement activity.

2.6 **Applicant**: An individual or corporation applying for a construction or operational permit within the
   scope of regulation of the department.

2.7 **Approved**: Acceptable to the fire code official.

2.8 **Approved Agency**: An established and recognized agency regularly engaged in conducting tests or
   furnishing inspection services, when such agency has been approved by the fire code official.
   Accreditation by the International Accreditation Service as a testing laboratory, special inspection
   agency, or product certification agency meets the intent of this section.

2.9 **Building Department/Code Administration and Enforcement Agency**: Governmental body which
   performs functions related to enforcement of laws related to construction or use of buildings.

2.10 **Certification**: The confirmation of certain characteristics of a project, product, person, or organization.
   This confirmation is often, but not always, provided by some form of external review, education, or
   assessment. One of the most common types of certification is professional certification, where a person
   is certified as being able to competently complete a job or task, usually by the passing of an
   examination.

2.11 **CFAI – The Commission on Fire Accreditation International**: A private non-profit organization that
   publishes a self-assessment process for organizations seeking accreditation for a fire service
   department.

2.12 **Complaint**: Expression of dissatisfaction, other than appeal, by any person or organization, concerning
   some matter related to the department, a contractor, work started without permits, or other matters
   where a response is expected.

2.13 **Construction Documents**: Written, graphic and pictorial documents prepared or assembled to
   describe the design, location and physical characteristics of a building project as set forth in the adopted
   code.

2.14 **Control**: The direction, regulation and coordination of procedures and related documents to assure
   consistency of operations.

2.15 **CPSE – The Center for Public Safety Excellence**: A private non-profit organization that provides
   oversight to the Commission on Fire Accreditation.

2.16 **Exhibits**: Documents, illustrations, records, charts and other forms of physical evidence offered to
   provide proof of performance and activity by a department seeking accreditation.

2.17 **External/Internal Pressures and Influences**: Interferences with the due process of administration or
   operations of the department.
2.18 **Fire Code Administrator/Fire Code Official**: Governmental officer or other designated authority having jurisdiction (AHJ) charged with the administration and enforcement of fire prevention and life safety codes and standards as adopted in a particular jurisdiction. At the state level these officials are designated as fire marshals, fire administrators or directors.

2.19 **Fire Prevention and Life Safety Department**: The unit of Federal, state or local government, or such other regulatory body legally authorized to enforce fire prevention and life safety codes and standards.

2.20 **Historic Buildings**: Buildings that are listed in or are eligible for listing in the National Register of Historic Places, or designated as historic under appropriate national, state or local law.

2.21 **Internal Quality Audits**: Internal studies to identify the extent to which documented procedures are followed and the effectiveness of current processes.

2.22 **Jurisdiction**: A governmental unit that has authority to adopt and enforce construction and/or fire codes.

2.23 **Labeled/Listed**: Equipment or material to which has been attached a label, seal, symbol or other identifying mark of a nationally recognized testing laboratory, inspection agency or other organization concerned with product evaluation that maintains periodic inspection of equipment, materials or products and whose labeling indicates either that the equipment, materials or products meet identified standards or have been tested and found suitable for a specified purpose.

2.24 **Management/Operational Audits or External Studies**: Independent evaluations conducted by a qualified entity to measure the operational consistency and overall efficiency of the department.

2.25 **Management Reviews**: A regularly scheduled assessment of the department by management, to include the status of actions from previous reviews; changes in external and internal issues that are relevant to the quality management system; information on the performance and effectiveness of the quality management system; the adequacy of resources; the effectiveness of actions taken to address risks and opportunities; and opportunities for improvement.

2.26 **Permit**: An official document issued by the authority having jurisdiction which authorizes performance of a specified activity.

2.27 **Quality Assurance Plan**: Documents which set forth the policies and practices aimed at ensuring the quality of the department’s services through the observation of work in progress or sampling of completed work.

2.28 **Quality Assurance Program**: The department’s system for maintaining minimum quality levels of service through a collection of self-imposed standards through activities such as internal quality audits, document creation and control, management reviews, etc. (see Section 4.3.3).

2.29 **Registered Design Professionals**: Individuals registered or licensed to practice their respective design professions as defined by the statutory requirements of the professional registration laws of the state or jurisdiction in which the project is to be constructed.
2.30 **Registered/Licensed Contractor**: Any contractor who has registered with the appropriate state agency or local jurisdiction pursuant to fulfilling the competency requirements in the jurisdiction for which the registration is issued. Registered contractors may contract only in such jurisdictions.

2.31 **Service Goals**: Goals set for performance in each area of service offered by the fire prevention and life safety department. Goals are quantified (expressed as a number, rating or grade) and established in cooperation with users of services provided by the fire prevention department (citizens, architects, engineers, contractors, etc.), as well as elected and appointed governmental officials.

2.32 **Special Inspection**: Inspection required of materials, installation, fabrication, erection or placement of components and connections requiring special expertise to ensure compliance with approved construction documents and referenced standards (see IBC Section 1704).

2.32.33 **Standard Operating Procedures**: A collection of procedures to ensure tasks are performed and services are provided in a uniform manner consistent with the department’s goals.

2.33.34 **Structure**: That which is built or constructed.

2.34.35 **Third Party**: A competent, independent entity recognized to perform specified tasks subject to approval by the governmental authority having jurisdiction.

### 3.0 ELIGIBILITY

Accreditation services are available to fire prevention and life safety departments that provide any of the following services (or any combination thereof):

- **3.1 Permitting**
- **3.2 Plan review**
- **3.3 Fire inspections**
- **3.4 Existing occupancy inspection**
- **3.5 Fire investigations.**

### 4.0 REQUIRED BASIC INFORMATION

The applicant shall provide evidence of compliance with each of the following clauses:

**4.1 Governance and Administration**: Evidence that there is an established administrative structure and environment for achievement of the department’s mission, purposes, goals, strategies, and objectives.

The department shall be legally identifiable.

4.1.1 There shall be a governing authority that reviews and approves programs to ensure compliance with basic governmental and department policies. Historical and political information on the jurisdictions served shall be provided, including a copy of the Charter and incorporation details.

4.1.2 There shall be a method of selecting the fire prevention department head that utilizes appropriate qualifications and credentials.

4.1.3 The administrative structure shall be formalized. A chart as indicated by Section 4.7.2.1 shall be maintained by the department.
4.1.4 The governing authority shall have policies in place that preclude individual members of the governing board, committee, council or staff members from influencing administration or enforcement operations of the department.

4.1.5 Policies or statutes shall be in place to address external/internal pressures and influences (as defined in Section 2.17) that may impair the enforcement of codes.

4.1.6 There shall be evidence of standard operating procedures and details of the process in place to control uniformity of operations and forms (see Section 4.3.3).

4.1.7 There shall be an established communication process in place between the governing body and the administrative structure of the department.

4.1.8 The role and composition of various policy making, planning and special purpose bodies shall be defined by the fire prevention and life safety department organizational chart.

4.1.9 **Complaints and Appeals**

4.1.9.1 Documented procedures shall be in place to record, investigate and resolve complaints against the department and complaints about contractors, work without permits and other similar violations.

4.1.9.2 There shall be evidence of the establishment-existence of, and rules of procedure for, a board of appeals as required by Section 108 of the IFC or other documented procedure for hearing and deciding appeals in accordance with other duly adopted code.

4.2 **Community Risk Assessment/Reduction**: The purpose of the risk assessment category is to evaluate the systematic hazard analysis process for describing and qualifying the risk associated with the community’s potential hazards.

4.2.1 The characteristics of the community shall be documented by collecting historical data.

4.2.2 A process shall be instituted by which risks are defined and department goals for mitigation are established.

4.2.3 Geographical boundaries shall be identified. Environmental and topographic information shall be provided that includes the following: area (in square miles), geographical and topographical features, wind zones, flood risk, seismic and/or other geological risk zones, as well as any other local environmental health and safety concerns. A map showing boundaries of the jurisdiction shall be provided.

4.2.4 Demographics, such as population, land use, topography, climate and occupancy groups shall be provided.

4.2.5 The department shall provide information on economic considerations such as growth trends and projections, current housing count and future needs projections, median housing prices, property tax rates, and major contributors to local economy (tourism, manufacturing, education, military, specific industry locations).
4.2.6 Historical data from fire reports, responses (emergent and non-emergent) and target hazards, where available, shall be provided. Information on building ages, fire protection provided, occupancy types, occupant loads, economic impact and hazardous chemicals/processes, where available, shall be provided.

4.2.7 A description of activities related to mitigation from exposure hazards, such as hazardous materials, urban wildland interface, brushfires, floods or other, shall be provided.

4.3 **Goals and Objectives:** The purpose of the goals and objectives category is to evaluate the department’s ability to identify and develop operational priorities that are effective in servicing the community’s needs.

4.3.1 The department shall be guided by written goals and specific objectives that are consistent with the mission of the department and are appropriate for the jurisdiction being served.

4.3.2 The department shall have documented service goals, established with stakeholder input, for each area of service provided by the fire prevention and life safety department (as defined in Section 2.31). A system shall be in place to regularly measure progress in meeting service goals. As part of this system, targets should be established for improvements in three separate areas of overall service: timeliness (turnaround time); quality (error rate); and professionalism [quality of interactions with staff and with the public (e.g., knowledge, attitude, responsiveness and helpfulness of staff members) as perceived by users of department services.]

4.3.3 The department shall establish and maintain a comprehensive quality assurance program (as defined in Section 2) which shall contain, at minimum, the following components:

4.3.3.1. The department’s official quality policy and quality assurance plan.

4.3.3.2. **Evidence of a collection of standard operating procedures (SOPs) to ensure tasks are performed and services are provided in a uniform and consistent manner intended to meet the department’s goals. In addition to the including SOPs which address standard daily operations, the SOPs should include procedures for each of the following quality-related tasks:**

4.3.3.2.1. Writing/revising a standard operating procedure

4.3.3.2.2. Internal audits

4.3.3.2.3. Handling of nonconformities

4.3.3.2.4. Corrective and preventive action

4.3.3.2.5. Management review

4.3.3.2.6. Document and data control

4.3.3.3. Annual (or more frequent) internal quality audits (not to be confused with financial audits).

4.3.3.4. Management reviews as defined in Section 2.

**Note 1:** A typical period for conducting a management review is once every 12 months.
Note 2: Results of management reviews should feed into the department’s planning system and should include the goals, objectives and action plans for the coming year.

4.3.3.5. Controlled policies, forms, checklists, etc.

4.3.4 A matrix of staff certifications shall be provided and must include names, job titles, required certificates, current status and expiration dates. Certifications required of staff shall be issued by a national model code promulgation organization, such as the International Code Council, the National Fire Protection Association, or other acceptable certification organization, as determined by local ordinance or state laws.

4.4 Finance: The department shall demonstrate the ability to fund operational priorities, effectiveness in servicing the community needs, and a healthy prognosis for long-range delivery of services.

4.4.1 Financial planning and resource allocation shall be based on department planning involving broad staff participation.

4.4.2 The governing body and regulatory agencies shall give the department appropriate direction in budget and planning over matters within their scope of service.

4.4.3 The policies, guidelines and process for developing the annual budget shall be well defined and followed.

4.4.4 The budget process shall involve input from appropriate persons or groups, including staff and other members of the department.

4.4.5 Financial planning shall address the strategic or master plan goals and objectives.

4.4.6 The annual budget and short- and long-range financial plans shall directly reflect department objectives.

4.4.7 Capital expenditures shall reflect department objectives. The department shall allocate adequate equipment and supplies to the fire prevention function and maintain a process for ensuring defective equipment is replaced.

4.4.8 Budgeted expenditures shall be in line with projected financial resources.

4.4.9 Financial management of the department shall exhibit sound budgeting and control, and proper recording and auditing.

4.4.10 Management of financial resources shall adhere to generally accepted accounting practices (GAAP) for budgeting and accounting. There shall be appropriate safeguards in the expenditure of funds, fiscal reports for administrative decision making and sufficient flexibility to meet contingencies.

Note: A department that has already received the Certificate of Achievement for Excellence in Financial Reporting (Certificate) from the Government Finance Officers Association (GFOA) for their Comprehensive Annual Financial Report (CAFR) may submit that certificate and their Comprehensive Annual Financial Report as prima facie compliance with these criteria.
4.4.11 Specific assignments of responsibility for financial administration shall be clearly defined by policy.

4.4.12 Any projected operating deficit (expenditures exceeding revenues in a budget year) shall be explained, and a plan developed to eliminate the deficit.

4.4.13 Periodic financial reports shall be reviewed by the department.

4.4.14 Independent financial audits shall be conducted. Deficiencies shall be noted and plans made to resolve them.

4.4.15 The department and any subsidiary entities or auxiliaries shall have policies and programs on financial risk management that protect the department and its assets. Programs designed to develop financial support from outside sources shall be closely coordinated with planning and reflect the objectives of the department. All fund-raising activities shall be governed by the department, comply with GAAP and financial principles, and be subject to public disclosure and periodic independent financial audits.

4.4.16 Organizations permitted to use the department name and/or reputation of the department that are revenue producing shall conform to department requirements of financial operation.

4.4.17 Financial resources shall be appropriately allocated to support the established department mission, the stated long-term plan, goals and objectives, and maintenance of the quality of programs and services.

4.4.18 Programs and activities shall be based on current and anticipated revenues and be adequate to maintain adopted levels of service.

4.4.19 Plans shall exist for the payment of long-term liabilities and debts.

4.4.20 Future maintenance costs shall be projected and plans made to fund them.

4.4.21 Financial plans shall avoid the use of one-time funding sources to cover ongoing costs unless plans have been provided to create continuity.

4.4.22 Contingency funds shall be maintained in accordance with GAAP recommendations and shall anticipate budgetary restrictions.

4.4.23 The financial audit method (e.g., internal or third party) shall be identified.

4.5 Program Activities: This category is defined as the services, activities and responses provided by the department for the community or facility that are designed, organized, and operated in compliance with the department’s mission, goals and objectives.

There shall be an adequate, effective, and efficient program directed toward fire prevention; life safety; risk reduction of hazards; the detection, reporting, and control of fires and other emergencies; the provision of occupant safety and exiting.

4.5.1 Code Enforcement: If the department is tasked with the code administration and enforcement function as part of the mission, the following apply:
4.5.1.1. The authority having jurisdiction shall have an adopted fire prevention code. Evidence of adoption of current national construction and/or fire codes (i.e., within the last two published editions) or state-mandated codes based on current national model fire codes shall be provided.

**Note:** The accreditation certificate for accredited departments will reflect the code version effective during onsite evaluation.

4.5.1.1.1. The department shall submit a list of duly adopted fire and construction codes used as a basis for the services provided.

4.5.1.1.2. The department shall explain procedures followed for the fire code and related standards.

4.5.1.1.3. The department shall have procedures for maintaining awareness of local amendments to any technical provisions of the fire code and related standards.

4.5.1.1.4. The department shall have or plan to have preparations coordinated with other departments to respond after natural hazard events to identify unsafe buildings and conduct safety inspections.

4.5.1.1.5. The department shall have a policy and procedures for the review of alternative materials and methods requests, and performance-based design proposals.

4.5.1.2. The code enforcement program shall be designed to ensure compliance with applicable fire protection laws (including mandated types and frequency of inspections) and department objectives.

4.5.1.3. There shall be adequate, qualified staffing to meet department objectives.

4.5.1.4. There shall be a plan review system in place to ensure buildings are built in accordance with adopted codes and ordinances and that all fire protection systems are designed, installed and tested in accordance with adopted fire codes and referenced standards.

4.5.1.4.1. There shall be specific policies and procedures for conducting plan reviews.

4.5.1.4.2. The number of reviews completed annually by category shall be documented, such as residential, commercial buildings, site development plan reviews and others, such as fire sprinklers, alarms, etc., new buildings, alterations, new or modified fire protection systems.

4.5.1.4.3. A description of the system used to track and coordinate plan review processes and activities shall be provided.

4.5.1.4.4. Details of the process followed to conduct partial and phased plan reviews and deferred submittals, if offered, shall be provided.

4.5.1.4.5. The department shall track the number of plan reviews completed in the last 12 months that resulted in rejection or correction of designs.

4.5.1.4.6. The department shall track the most common reasons for rejections or corrections of designs.
4.5.1.4.7. The department shall provide evidence of participation in interdepartmental coordination of plan review (or inspections and occupational licensing, etc.) that are under a separate department, and shall describe how approvals are coordinated.

4.5.1.5. Evidence of establishment of standard operating procedures, details of the process in place to control uniformity of operating procedures, and procedural documents and forms shall be submitted.

4.5.1.5.1. The department shall submit copies of its policies, procedures, reports and checklists in use.

4.5.1.5.2. The number of inspections performed annually by category (such as residential, commercial buildings, fire sprinklers, alarms, etc.) shall be documented along with the percentage of work rejected and corrected.

4.5.1.5.3. The department shall have a method of tracking rejections and corrections on an individual inspector basis.

4.5.1.5.4. The department shall have determined the most typical reasons for rejections and corrections of inspections.

4.5.1.5.5. The department shall demonstrate its use of and requirements for special inspectors, if this activity is under the fire prevention department.

4.5.1.5.6. The department shall have procedures for acceptance of approved fabricators.

4.5.1.5.7. The department shall develop and follow appropriate policy and procedures for recognition of third-party inspection and testing agencies.

4.5.1.5.8. The department shall have special inspector reporting requirements.

4.5.1.5.9. The department shall have procedures for clear, concise and accurate reporting of inspection results and procedures in place to guard against the alteration of inspection report records.

4.5.1.5.10. The department shall provide evidence of its achievement of stated service goals for plan review and inspection (as defined in Section 2.31). A quality (error rate) service goal with no life-safety errors shall be established.

4.5.1.5.11. Details shall be provided, as applicable, of the documented procedure in place to record, investigate and resolve complaints against contractors, and complaints involving work without permits and other similar violations.

4.5.1.5.12. The method of issuance of Certificates of Occupancy (CO) or Certificates of Completion (CC) or temporary certificates of occupancy, as applicable, shall be provided. Method of reviewing Fire Protection System Commissioning reports, as applicable, shall be provided.

4.5.1.6. There shall be an information system in place to record activities and transactions, and to determine the effectiveness of the fire prevention program and its efforts in risk reduction.
4.5.1.7. There shall be a periodic appraisal made to determine if there is a balancing of the fire hazard risk against the fire prevention capabilities of the department and/or system, and if not, what actions need to be taken to balance the relationship.

4.5.1.8. The department shall provide copies of contracts with third-party firms, or individuals, for any activities that are outsourced, if applicable. The department shall provide description of how applicants are made aware that activities may be outsourced.

4.5.1.9. There shall be an existing building inspection program in place to ensure buildings and facilities are used and maintained in accordance with adopted fire codes and referenced standards.

4.5.1.9.1. There shall be specific policies and procedures for conducting periodic fire code compliance inspections based on the community risk assessment.

4.5.1.9.2. The number of compliance inspections done annually by occupancy category shall be documented, such as assembly, business, educational, factory, high-hazard, institutional, residential and storage. All inspections required to be conducted by policy, ordinance, statute or regulation shall be conducted on schedule. Any inspections not conducted at their appointed times shall be identified, and a remediation plan created and executed.

4.5.1.9.3. A description of the system used to track and coordinate periodic compliance inspections activities shall be provided.

4.5.1.9.4. The department shall track the violations found on periodic compliance inspections for the last 12 months and shall have a tracking system to ensure the timely and appropriate follow up for documented non-compliance/violations.

4.5.2 Public Education: If the department is tasked with the public education function as part of the mission, the following apply:

4.5.2.1. There shall be a public education or community outreach program that includes individual, business and community participation.

4.5.2.2. The department shall have qualified staffing adequate to accomplish this component of the program’s mission, goals, and objectives.

4.5.2.3. The department shall show evidence of a systematic approach to designing, implementing, and evaluating community safety education programs equivalent to that prescribed by the U.S. Fire Administration. Such a process includes a community risk analysis, development of community partnerships, creation of intervention strategies, and implementation of those strategies and evaluation of the results.

4.5.3 Fire Investigation: If the department is tasked with the fire investigation function as part of the mission, the following apply:

4.5.3.1. There shall be methods and procedures in place to investigate the cause and origin of all reported fires.
4.5.3.2. The department shall have competence requirements for qualifying staff adequate to accomplish its stated objectives.

4.5.3.3. There shall be adequate equipment and supplies allocated to the fire cause and investigation program and a process for ensuring defective equipment is replaced.

4.5.3.4. There shall be agreements and support from other agencies to aid the department in accomplishing its goals and objectives.

4.5.3.5. There shall be an information system in place to document fire investigation activities and to provide data for analyzing program results.

4.5.3.6. There shall be standard operating procedures or general operating guidelines for the fire cause and investigation program that conforms to NFPA 921 or other nationally recognized standards for fire investigation.

4.5.3.7. There shall be a periodic appraisal made on the effectiveness of the fire investigation program.

4.5.4  Additional Program Activities: If the department is tasked with any other program activities that are not contained within the scope of Section 4.5, the department shall report its commitment to those program functions using the same principles, as applicable, that have been established in Section 4.5.

4.6  Physical Resources: Physical Resources addressed in this section shall be defined as the buildings, structures, mobile equipment and other capital expenditures or outlay that make up the physical assets of the department.

4.6.1  Facilities: Fixed facility resources shall be designed, maintained, managed, and adequate to meet the department’s goals and objectives.

4.6.1.1. Space allocations shall be adequate for department administrative functions, operational programs and supportive needs.

4.6.1.2. Buildings and grounds, if under the direct control of the department, shall be clean and in good repair. Maintenance shall be conducted in a systematic and planned fashion.

4.6.1.3. Physical facilities shall be adequate and properly designed in accordance with stated service level objectives.

4.6.1.4. Facilities shall be in compliance with Federal, state and local regulations.

4.6.2  Vehicles and Mobile Equipment: Vehicles, transportation equipment and tools and equipment shall be designed and purchased to be adequate to meet the department’s goals and objectives.

4.6.2.1. Vehicle types shall be appropriate for the functions served (such as those used in field operations, staff support services, specialized services, and administration).

4.6.2.2. There shall be a replacement schedule for vehicles and other tools and equipment.
4.6.2.3. A vehicle maintenance program shall have been established. Vehicles shall be maintained in accordance with manufacturer’s recommendations and recommended intervals. Attention shall be given to the safety/health/security aspects of equipment operation and maintenance.

4.6.3 **Tools and Equipment**: Tools and equipment shall be adequately designed, purchased, available and maintained to meet the department’s goals and objectives (e.g., books, manuals, tools, gauges, meters and equipment used for plan review, inspection, investigation and other functions).

4.6.3.1. The department shall have in place a method of identification and calibration of available tools and equipment used, as applicable.

4.6.3.2. Appropriate personal protective equipment (PPE) shall be provided to and utilized by employees in accordance with applicable labor laws.

4.7 **Human Resources**: The category of human resources addressed in this section shall be defined as all aspects of personnel administration except those of training and competency.

4.7.1 General human resource administration practices shall be in place and shall be consistent with applicable statutes and regulations.

4.7.2 Fire prevention departments shall have a sufficient number of staff with the range of expertise to carry out their assigned functions.

4.7.2.1. The department shall have an organizational chart providing employee names, titles, functions and lines of authority for all full- and part-time staff positions within the department.

4.7.2.2. The department shall have job descriptions for all full-time and part-time staff positions, including information on minimum qualifications, education, training, technical knowledge, skills, and experience, and certification/licensing requirements and shall provide detailed requirements, if applicable, for qualifications/certifications and/or licensing.

4.7.2.3. The department shall provide the number of plan reviewers currently employed.

4.7.2.4. The department shall provide the number of inspectors currently employed.

4.7.2.5. The department shall provide information on its registered design professionals (i.e., number employed, full- or part-time, by profession), if any.

4.7.3 There shall be administrative policies and practices for human resource administration based on local, state and Federal requirements.

4.7.4 The recruiting, selection, hiring and promotion process shall comply with all local, state and Federal regulations including equal opportunity and discrimination statutes.

4.7.5 There shall be a policy defining and prohibiting sexual, racial, disability, or related harassment of employees/members. The policy shall be communicated to all employees/members and enforced.

4.7.6 There shall be evidence of a process in place to conduct employee performance evaluations on, at a minimum, an annual basis. (Performance evaluations shall encourage professional
development by providing for the establishment of clearly defined performance goals, and include a mechanism to follow up on progress made toward stated goals.)

4.8 Training and Competency: This category shall be defined as the specific programs, resources and capabilities within a department that exist to support the operational programs. These resources thereby contribute to the accomplishment of organizational mission goals and objectives.

4.8.1 Training and education programs and activities shall be identified to support the department’s needs.

4.8.1.1. The department shall have a process in place to identify training needs. The process shall identify tasks, activities, knowledge, skills, and abilities required to address anticipated workload and required skill sets.

4.8.1.2. Information shall be provided indicating state-mandated and locally-mandated minimum continuing education requirements. Information shall also be provided regarding jurisdictional continuing education requirements which exceed minimum requirements.

4.8.1.3. A list of additional qualification/certification requirements over and above the state or local requirements for staff, if any, such as a professional engineering (P.E.) license, contractor license, etc., shall be provided.

4.8.1.4. Documentation shall be provided addressing participation of individuals in code development activities, with a description of the levels of participation required.

4.8.2 Verification of Professional Credentials and Licenses: There shall be a policy and procedures for verification of individuals' qualifications, education, etc.

4.8.2.1. There shall be a procedure for verifying builder and contractor licenses and insurance.

4.8.2.2. There shall be a procedure for verification of licenses of registered design professionals.

4.8.2.3. There shall be a procedure in place to verify special inspector and special inspection agency credentials. Special inspection agencies are required to demonstrate competence, to the satisfaction of the fire code official, for inspection of the particular type of construction or operation requiring special inspection. Special inspection agencies accredited by nationally recognized accreditation bodies as complying with ISO/IEC Standard 17011 shall satisfy this requirement.

4.8.3 The department shall have training requirements for personnel in post-disaster assessment and posting of structures.

4.9 Essential Resources: Essential resources are defined in this section as those mandatory services or systems required for the department’s operational programs to function. They may be given the same value of importance as a primary program. Appropriate adjustments may be necessary in the self-assessment to adapt the typical components listed below to the local situation.
4.9.1 **Administrative Support Services:** The administrative support service component of the department shall be adequate, effective and efficient to provide the department with all appropriate support functions such as research, planning, purchasing, coordination, control and feedback.

4.9.1.1. The general administrative support process shall be adequate and appropriate for the size, function, complexity and mission of the department.

4.9.1.2. The management process, including organizational and procedure analysis, shall be adequate and effective.

4.9.1.3. The management support service system shall be adequate and responsive to the process and department needs.

4.9.1.4. The administrative services functions and activities shall be adequately staffed and managed.

4.9.1.5. Fire prevention and life safety departments shall have timely access to legal counsel and prosecution support.

4.9.2 **Office Systems:** Office systems shall be adequate to meet the needs of the department. This includes clerical support, records systems, business communications, computers and supplies.

4.9.2.1. General office resources shall be adequate to support departmental needs.

4.9.2.2. The management information system shall be sufficient to support the needs of the department.

4.9.2.2.1. Details of computer software and programs in use shall be provided.

4.9.2.2.2. The department shall have available information technology (IT) support.

4.9.2.2.3. The department shall provide information on the accessibility of information and records, minimum retention times for records and details on safe storage of records. Application for performance-based requirements, alternative methods or materials and the final decision of the fire code official regarding the applications shall be in writing and shall be retained in the department records.

4.9.2.2.4. Control of access to records: The department shall have proper safeguards in place to prevent unauthorized access or modifications of records. Policy and procedures shall address the release of public information in accordance with local, state and Federal regulations as applicable.

4.9.2.2.5. The department shall have policies guiding appropriate employee and contract personnel use of wireless voice and data communication, such as cell phones, wireless networks, etc.

4.9.2.3. Public reception and public information components shall sufficiently support the customer service needs of the department.

4.9.2.4. Organizational documents, forms and manuals shall be maintained and kept current.

4.9.2.5. The department shall provide, if applicable, copies of reports or findings from audits of management or operations conducted within the past six years.
4.10 **External Systems Relations**: External systems relations are defined as the relationships with agencies that act together as an integrated system. The growth of multi-unit systems and the increase of interagency agreements between various types of government necessitates increasing attention to these relationships and the agreements between legally autonomous operating units.

4.10.1 The department’s master or strategic plan shall encompass those external agency operational systems that impact, or may impact, the department’s mission, operations or cost effectiveness.

4.10.1.1. The department’s master or strategic plan shall define the relationships of external agencies and provide strategies which show how these external department systems will prove beneficial to the mission or cost effectiveness of the department.

4.10.1.2. There shall be a process for interagency policy development, revision and the implementation of agreements.

4.10.1.3. There shall be system organizational charts, policy statements and functional activity descriptions that define the role of system members and their relationship to the department.

4.10.1.4. A conflict resolution policy shall exist between the department and external agencies with which it has a defined relationship.

4.10.2 The department shall have well developed and functioning external agreements such as those for work done on contract for other jurisdictions by local agreements.

4.10.2.1. External agency agreements shall be identified, updated and support organizational objectives. The agreements shall have been incorporated into operational practices and documentation.

4.10.2.2. The department shall have researched, analyzed and given consideration to other functional agreements that may aid in the achievement of the goals and objectives of the department.

4.10.2.3. There shall be an established process by which these agreements are managed, reviewed, and revised.

5.0 ADDITIONAL INFORMATION (AS APPLICABLE)

Any other regulatory requirements for the jurisdiction – state or national.

6.0 LINKS TO ADDITIONAL REFERENCES

6.1 IAS – [www.iasonline.org](http://www.iasonline.org)


These criteria were previously issued May 2011, August 2012, June 2013, February 2015, and November 2015, and April 2017.