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July 15, 2019

TO: IAS-ACCREDITED/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.

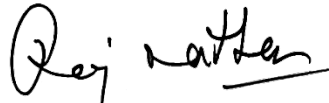
Any written material submitted for committee consideration will be available for public distribution as set forth in Section 4.0 of the Rules of Procedure for Accreditation Committee Meetings (copy enclosed).

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,



Raj Nathan
President

RN/nl

Enclosures

cc: Accreditation Committee



RULES OF PROCEDURE FOR ACCREDITATION COMMITTEE MEETINGS

1 1.0 PURPOSE

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

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

6 2.0 MEETINGS

7 **2.1** The Accreditation Committee shall schedule meetings that are open to the public in discharging its duties under
8 Section 1, subject to Section 5.0 of these rules.

9 **2.2** To properly discharge its responsibilities with respect to monitoring of IAS accreditation activities, the committee shall
10 have a standing item on its meeting agenda for a presentation by staff on the status of its accredited programs and information
11 on any pending appeals.

12 **2.3** All scheduled meetings shall be publicly announced.

13 **2.4** A majority of the voting Accreditation Committee members shall constitute a quorum. A majority vote of members
14 present is required on any action.

15 **2.5** If a specific interest group is not represented, votes by the committee on subjects related to that interest group will be
16 held in abeyance. IAS staff shall make pertinent information available to absentee committee members, and ballot the
17 members at a later stage. Records of such ballots shall be made available upon request.

18 **2.6** In the absence of the nonvoting Chair-Moderator, Accreditation Committee members present shall elect an alternate
19 Chairman from the committee for that meeting. The alternate Chairman shall be counted as a voting committee member for
20 purposes of maintaining a committee quorum and to cast a tie-breaking vote of the committee.

21 **2.7** Minutes of the meetings shall be kept.

22 3.0 MEMBER COMPETENCE CRITERIA

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

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

29 **4.0 MEETING RECORDS**

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

38 **5.0 WRITTEN COMMUNICATIONS AND SUBMISSIONS**

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

49 **6.0 CLOSED SESSIONS**

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

51 **7.0 ACCREDITATION CRITERIA**

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

55 **7.1 Procedure**

56 **7.1.1 New Criteria**

57 **7.1.1.1** Proposed accreditation criteria may be submitted by interested parties to IAS, and/or shall be developed by the
58 IAS staff and discussed in open session with the Accreditation Committee during a scheduled meeting

59 **7.1.1.2** Proposed accreditation criteria shall be available to interested parties approximately 60 days before discussion
60 at the committee meeting, unless determined by IAS management that extraordinary consideration and electronic balloting are
61 needed.

62 **7.1.1.3** The committee shall be informed of all pertinent written communications received by IAS. Parties interested in
63 proposed new criteria may deliver communications and submissions regarding such proposed criteria to IAS within 40 days of
64 the posting of the public notice on the IAS website. Such communications and submissions will otherwise be subject to the
65 provisions of Section 4.0 of these rules.

66 **7.1.1.4** Attendees at Accreditation Committee meetings shall have the opportunity to speak on accreditation criteria
67 listed on the meeting agenda, to provide information to committee members.

68 **7.1.2 Existing Criteria**

69 **7.1.2.1** Changes to existing accreditation criteria may be submitted by interested parties to IAS, and/or shall be
70 changed by the IAS staff. Existing accreditation criteria may be revised by the committee either (i) at a public meeting pursuant
71 to the procedures set forth herein, or (ii) by electronic ballot, provided public notice is provided as stipulated I Section 7.1.1.2.

72 **7.1.2.2** The committee shall be informed of all pertinent written communications received by IAS. Parties interested in
73 the proposed revisions to accreditation criteria may deliver communications and submissions regarding such proposed
74 revisions to IAS within the following timelines:

75

Type	Dates
Public Meeting	40 Days after posting of proposed criteria
Electronic Balloting Process	30 Days after posting of proposed criteria

76

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

78 **7.1.3 ELECTRONIC BALLOTING**

79 **7.1.3.1** IAS management shall provide written rationale and seek permission and documented approval from the IAS
80 Accreditation Committee chair to propose new criteria or to revise existing criteria for extraordinary consideration and
81 electronic balloting by the committee.

82 **7.1.3.2** Proposed accreditation criteria shall be available to interested parties approximately 30 days before
83 consideration by the committee. All pertinent written communications received by IAS relating to the proposed criteria shall be
84 received no later than 30 days after the posting of the criteria. Ballots, along with comments received and staff
85 recommendations, will be submitted to the committee for consideration. The committee shall return their ballots with their
86 recommendations within 10 days from the date ballots are sent. The results of the balloting will be compiled and forwarded to
87 the chair of the committee for validation and decision.

88 **7.1.3.3** The electronically balloted criteria shall be brought back to the next regularly scheduled accreditation
89 committee hearing as per Section 7.1.2 of these rules,

90 **7.1.4 Effective Date of Published Criteria**

91 **7.1.4.1** The effective date of approved accreditation criteria or approved revisions to existing accreditation criteria shall
92 be no earlier than 30 days following the public meeting.

93 **7.1.4.2** Approved criteria using electronic balloting shall be effective the date of posting of the criteria on the IAS
94 website.

95 **7.2 Approval**

96 Approval of accreditation criteria shall be as specified in Section 2.4 of these rules.

97

98 **8.0 ACCREDITATION COMMITTEE MEMBERS**

99 **8.1** The IAS Accreditation Committee members are appointed or reappointed annually by the IAS Board of Directors in
100 consultation with the IAS President.

101
102 **8.2** Committee members are selected from senior management positions within accredited organizations, users of
103 accreditation, industry groups and governmental or regulatory organizations. The individuals appointed to the committee shall
104 have knowledge of regulatory codes within their industry sector and international conformity assessment process and
105 practices. ■



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**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.

22 **PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR FIRE PREVENTION AND LIFE SAFETY**
23 **DEPARTMENTS**

24

25 **1.0 INTRODUCTION**

26 1.1 **Scope:** These criteria set forth requirements for obtaining and maintaining International Accreditation
27 Service, Inc. (IAS), Fire Prevention and Life Safety Departments accreditation. These criteria
28 supplement the IAS Rules of Procedure for Fire Prevention and Life Safety Department Accreditation.

29

30 1.2 **References and Normative Documents:** Publications listed below refer to current editions (unless
31 otherwise stated).

32 1.2.1 *International Fire Code*® (IFC) current edition, and related standards, or the duly adopted model
33 code.

34 1.2.2 *International Building Code*® (IBC), current edition, and related construction codes published by
35 the International Code Council, or the duly adopted model code.

36 1.2.3 *Fire & Emergency Services Self-Assessment Manual* (FESSAM), 8th edition, Commission on
37 Fire Accreditation International, Center for Public Safety Excellence.

38 1.2.4 IAS Rules of Procedure for Fire Prevention and Life Safety Department Accreditation.

39 1.2.5 NFPA Standards 1031, 1033, 1035 and 1037, National Fire Protection Association.

40

41 **2.0 DEFINITIONS**

42 2.1 **Accreditation:** Formal third-party recognition that a body an organization fulfills specified requirements
43 and is competent to carry out specific conformity assessment and regulatory tasks.

44 2.2 **Accreditation Committee:** A committee appointed by the IAS Board of Directors to monitor the work of
45 and to develop accreditation criteria for IAS.

46 2.3 **Accreditation Review Committee (ARC):** A committee established by the IAS Board of Directors to
47 render accreditation decisions on several IAS accreditation programs including the Fire Prevention and
48 Life Safety Department Accreditation program.

49 2.4 **Alternative Materials, Design and Methods of Construction and Equipment:** A material or method
50 of construction not prescribed in the adopted code, where the fire code official finds that the proposed
51 design is satisfactory and complies with the intent of the provisions of the applicable code, and that the
52 material, method, or work offered is, for the purpose intended, at least the equivalent of that prescribed
53 in the code in quality, strength, effectiveness, fire resistance, durability and safety.

54 2.5 **Appeal:** Request for reconsideration of any administrative decision by the fire prevention department.
55 Administrative decisions include:

56 2.5.1 Refusal to accept an application for issuance of a permit;

57 2.5.2 Refusal to proceed with plan review or inspections;

58 2.5.3 Corrective action requests;

- 59 2.5.4 Refusal to agree with the designer's code interpretation;
- 60 2.5.5 Decisions to deny, suspend or halt construction work, if empowered to do so;
- 61 2.5.6 Any other action that impedes the attainment of a permit for construction or certificate of
- 62 occupancy;
- 63 2.5.7 Any communication from the department indicating a requirement resulting from any code
- 64 enforcement activity.
- 65 2.6 **Applicant:** An individual or corporation applying for a construction or operational permit within the
- 66 scope of regulation of the department.
- 67 2.7 **Approved:** Acceptable to the fire code official.
- 68 2.8 **Approved Agency:** An established and recognized agency regularly engaged in conducting tests or
- 69 furnishing inspection services, when such agency has been approved by the fire code official.
- 70 Accreditation by the International Accreditation Service as a testing laboratory, special inspection
- 71 agency, or product certification agency meets the intent of this section.
- 72 2.9 **Building Department/Code Administration and Enforcement Agency:** Governmental body which
- 73 performs functions related to enforcement of laws related to construction or use of buildings.
- 74 2.10 **Certification:** The confirmation of certain characteristics of a project, product, person, or organization.
- 75 This confirmation is often, but not always, provided by some form of external review, education, or
- 76 assessment. One of the most common types of certification is professional certification, where a person
- 77 is certified as being able to competently complete a job or task, usually by the passing of an
- 78 examination.
- 79 2.11 **CFAI – The Commission on Fire Accreditation International:** A private non-profit organization that
- 80 publishes a self-assessment process for organizations seeking accreditation for a fire service
- 81 department.
- 82 2.12 **Complaint:** Expression of dissatisfaction, other than appeal, by any person or organization, concerning
- 83 some matter related to the department, a contractor, work started without permits, or other matters
- 84 where a response is expected.
- 85 2.13 **Construction Documents:** Written, graphic and pictorial documents prepared or assembled to
- 86 describe the design, location and physical characteristics of a building project as set forth in the adopted
- 87 code.
- 88 2.14 **Control:** The direction, regulation and coordination of procedures and related documents to assure
- 89 consistency of operations.
- 90 2.15 **CPSE – The Center for Public Safety Excellence:** A private non-profit organization that provides
- 91 oversight to the Commission on Fire Accreditation.
- 92 2.16 **Exhibits:** Documents, illustrations, records, charts and other forms of physical evidence offered to
- 93 provide proof of performance and activity by a department seeking accreditation.
- 94 2.17 **External/Internal Pressures and Influences:** Interferences with the due process of administration or
- 95 operations of the department.

- 96 2.18 **Fire Code Administrator/Fire Code Official:** Governmental officer or other designated authority
97 having jurisdiction (AHJ) charged with the administration and enforcement of fire prevention and life
98 safety codes and standards as adopted in a particular jurisdiction. At the state level these officials are
99 designated as fire marshals, fire administrators or directors.
- 100 2.19 **Fire Prevention and Life Safety Department:** The unit of Federal, state or local government, or such
101 other regulatory body legally authorized to enforce fire prevention and life safety codes and standards.
- 102 2.20 **Historic Buildings:** Buildings that are listed in or are eligible for listing in the National Register of
103 Historic Places, or designated as historic under appropriate national, state or local law.
- 104 2.21 **Internal Quality Audits:** Internal studies to identify the extent to which documented procedures are
105 followed and the effectiveness of current processes.
- 106 2.22 **Jurisdiction:** A governmental unit that has authority to adopt and enforce construction and/or fire
107 codes.
- 108 2.23 **Labeled/Listed:** Equipment or material to which has been attached a label, seal, symbol or other
109 identifying mark of a nationally recognized testing laboratory, inspection agency or other organization
110 concerned with product evaluation that maintains periodic inspection of equipment, materials or products
111 and whose labeling indicates either that the equipment, materials or products meet identified standards
112 or have been tested and found suitable for a specified purpose.
- 113 2.24 **Management/Operational Audits or External Studies:** Independent evaluations conducted by a
114 qualified entity to measure the operational consistency and overall efficiency of the department.
- 115 2.25 **Management Reviews:** A regularly scheduled assessment of the department by management, to
116 include the status of actions from previous reviews; changes in external and internal issues that are
117 relevant to the quality management system; information on the performance and effectiveness of the
118 quality management system; the adequacy of resources; the effectiveness of actions taken to address
119 risks and opportunities; and opportunities for improvement.
- 120 2.26 **Permit:** An official document issued by the authority having jurisdiction which authorizes performance of
121 a specified activity.
- 122 2.27 **Quality Assurance Plan:** Documents which set forth the policies and practices aimed at ensuring the
123 quality of the department's services through the observation of work in progress or sampling of
124 completed work.
- 125 2.28 **Quality Assurance Program:** The department's system for maintaining minimum quality levels of
126 service through a collection of self-imposed standards through activities such as internal quality audits,
127 document creation and control, management reviews, etc. (see Section 4.3.3).
- 128 2.29 **Registered Design Professionals:** Individuals registered or licensed to practice their respective design
129 professions as defined by the statutory requirements of the professional registration laws of the state or
130 jurisdiction in which the project is to be constructed.

- 131 2.30 **Registered/Licensed Contractor:** Any contractor who has registered with the appropriate state agency
132 or local jurisdiction pursuant to fulfilling the competency requirements in the jurisdiction for which the
133 registration is issued. Registered contractors may contract only in such jurisdictions.
- 134 2.31 **Service Goals:** Goals set for performance in each area of service offered by the fire prevention and life
135 safety department. Goals are quantified (expressed as a number, rating or grade) and established in
136 cooperation with users of services provided by the fire prevention department (citizens, architects,
137 engineers, contractors, etc.), as well as elected and appointed governmental officials.
- 138 2.32 **Special Inspection:** Inspection required of materials, installation, fabrication, erection or placement of
139 components and connections requiring special expertise to ensure compliance with approved
140 construction documents and referenced standards (see IBC Section 1704).
- 141 2.322.33 **Standard Operating Procedures:** A collection of procedures to ensure tasks are performed and
142 services are provided in a uniform manner consistent with the department's goals.
- 143 2.332.34 **Structure:** That which is built or constructed.
- 144 2.342.35 **Third Party:** A competent, independent entity recognized to perform specified tasks subject to
145 approval by the governmental authority having jurisdiction.

147 3.0 ELIGIBILITY

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

- 150 3.1 Permitting
- 151 3.2 Plan review
- 152 3.3 Fire inspections
- 153 3.4 Existing occupancy inspection
- 154 3.5 Fire investigations.

156 4.0 REQUIRED BASIC INFORMATION

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

- 158 4.1 **Governance and Administration:** Evidence that there is an established administrative structure and
159 environment for achievement of the department's mission, purposes, goals, strategies, and objectives.
160 The department shall be legally identifiable.
- 161 4.1.1 There shall be a governing authority that reviews and approves programs to ensure compliance
162 with basic governmental and department policies. Historical and political information on the
163 jurisdictions served shall be provided, including a copy of the Charter and incorporation details.
 - 164 4.1.2 There shall be a method of selecting the fire prevention department head that utilizes
165 appropriate qualifications and credentials.
 - 166 4.1.3 The administrative structure shall be formalized. A chart as indicated by Section 4.7.2.1 shall be
167 maintained by the department.

- 168 4.1.4 The governing authority shall have policies in place that preclude individual members of the
169 governing board, committee, council or staff members from influencing administration or
170 enforcement operations of the department.
- 171 4.1.5 Policies or statutes shall be in place to address external/internal pressures and influences (as
172 defined in Section 2.17) that may impair the enforcement of codes.
- 173 4.1.6 ~~There shall be evidence of standard operating procedures and details of the process in place to~~
174 ~~control uniformity of operations and forms (see Section 4.3.3).~~
- 175 4.1.7 There shall be an established communication process in place between the governing body
176 and the administrative structure of the department.
- 177 4.1.8 The role and composition of various policy making, planning and special purpose bodies shall
178 be defined by the fire prevention and life safety department organizational chart.
- 179 4.1.9 **Complaints and Appeals**
- 180 4.1.9.1. Documented procedures shall be in place to record, investigate and resolve complaints
181 against the department and complaints about contractors, work without permits and other
182 similar violations.
- 183 4.1.9.2. There shall be evidence of the ~~establishment existence~~ of a and rules of procedure for a
184 board of appeals as required by Section 108 of the IFC or other documented procedure for
185 hearing and deciding appeals in accordance with other duly adopted code.
- 186
- 187 4.2 **Community Risk Assessment/Reduction:** The purpose of the risk assessment category is to evaluate
188 the systematic hazard analysis process for describing and qualifying the risk associated with the
189 community's potential hazards.
- 190 4.2.1 The characteristics of the community shall be documented by collecting historical data.
- 191 4.2.2 A process shall be instituted by which risks are defined and department goals for mitigation are
192 established.
- 193 4.2.3 Geographical boundaries shall be identified. Environmental and topographic information shall
194 be provided that includes the following: area (in square miles), geographical and topographical
195 features, wind zones, flood risk, seismic and/or other geological risk zones, as well as any other
196 local environmental health and safety concerns. A map showing boundaries of the jurisdiction
197 shall be provided.
- 198 4.2.4 Demographics, such as population, land use, topography, climate and occupancy groups shall
199 be provided.
- 200 4.2.5 The department shall provide information on economic considerations such as growth trends
201 and projections, current housing count and future needs projections, median housing prices,
202 property tax rates, and major contributors to local economy (tourism, manufacturing, education,
203 military, specific industry locations).

204 4.2.6 Historical data from fire reports, responses (emergent and non-emergent) and target hazards,
205 where available, shall be provided. Information on building ages, fire protection provided,
206 occupancy types, occupant loads, economic impact and hazardous chemicals/processes,
207 where available, shall be provided.

208 4.2.7 A description of activities related to mitigation from exposure hazards, such as hazardous
209 materials, urban wildland interface, brushfires, floods or other, shall be provided.
210

211 4.3 **Goals and Objectives:** The purpose of the goals and objectives category is to evaluate the
212 department's ability to identify and develop operational priorities that are effective in servicing the
213 community's needs.

214 4.3.1 The department shall be guided by written goals and specific objectives that are consistent with
215 the mission of the department and are appropriate for the jurisdiction being served.

216 4.3.2 The department shall have documented service goals, established with stakeholder input, for
217 each area of service provided by the fire prevention and life safety department (as defined in
218 Section 2.31). A system shall be in place to regularly measure progress in meeting service
219 goals. As part of this system, targets should be established for improvements in three separate
220 areas of overall service: timeliness (turnaround time); quality (error rate); and professionalism
221 [quality of interactions with staff and with the public (e.g., knowledge, attitude, responsiveness
222 and helpfulness of staff members) as perceived by users of department services.]

223 4.3.3 The department shall establish and maintain a comprehensive quality assurance program (as
224 defined in Section 2) which shall contain, at minimum, the following components:

225 4.3.3.1. The department's official quality policy and quality assurance plan.

226 4.3.3.2. ~~Evidence of A collection of~~ standard operating procedures (SOPs) ~~to ensure tasks are~~
227 ~~performed and services are provided in a uniform and consistent manner intended to meet~~
228 ~~the department's goals. In addition to the including~~ SOPs which address ~~standard daily~~
229 ~~operations, the SOPs should include procedures for each of~~ the following quality-related
230 tasks:

231 4.3.3.2.1. Writing/revising a standard operating procedure

232 4.3.3.2.2. Internal audits

233 4.3.3.2.3. Handling of nonconformities

234 4.3.3.2.4. Corrective and preventive action

235 4.3.3.2.5. Management review

236 4.3.3.2.6. Document and data control

237 4.3.3.3. Annual (or more frequent) internal quality audits (not to be confused with financial audits).

238 4.3.3.4. Management reviews as defined in Section 2.

239 **Note 1:** A typical period for conducting a management review is once every 12 months.

240 **Note 2:** Results of management reviews should feed into the department's planning system
241 and should include the goals, objectives and action plans for the coming year.

242 4.3.3.5. Controlled policies, forms, checklists, etc.

243 4.3.4 A matrix of staff certifications shall be provided and must include names, job titles, required
244 certificates, current status and expiration dates. Certifications required of staff shall be issued
245 by a national model code promulgation organization, such as the International Code Council,
246 the National Fire Protection Association, or other acceptable certification organization, as
247 determined by local ordinance or state laws.
248

249 4.4 **Finance:** The department shall demonstrate the ability to fund operational priorities, effectiveness in
250 servicing the community needs, and a healthy prognosis for long-range delivery of services.

251 4.4.1 Financial planning and resource allocation shall be based on department planning involving
252 broad staff participation.

253 4.4.2 The governing body and regulatory agencies shall give the department appropriate direction in
254 budget and planning over matters within their scope of service.

255 4.4.3 The policies, guidelines and process for developing the annual budget shall be well defined and
256 followed.

257 4.4.4 The budget process shall involve input from appropriate persons or groups, including staff and
258 other members of the department.

259 4.4.5 Financial planning shall address the strategic or master plan goals and objectives.

260 4.4.6 The annual budget and short- and long-range financial plans shall directly reflect department
261 objectives.

262 4.4.7 Capital expenditures shall reflect department objectives. The department shall allocate
263 adequate equipment and supplies to the fire prevention function and maintain a process for
264 ensuring defective equipment is replaced.

265 4.4.8 Budgeted expenditures shall be in line with projected financial resources.

266 4.4.9 Financial management of the department shall exhibit sound budgeting and control, and proper
267 recording and auditing.

268 4.4.10 Management of financial resources shall adhere to generally accepted accounting practices
269 (GAAP) for budgeting and accounting. There shall be appropriate safeguards in the
270 expenditure of funds, fiscal reports for administrative decision making and sufficient flexibility to
271 meet contingencies.

272 **Note:** A department that has already received the Certificate of Achievement for Excellence in
273 Financial Reporting (Certificate) from the Government Finance Officers Association (GFOA) for
274 their Comprehensive Annual Financial Report (CAFR) may submit that certificate and their
275 Comprehensive Annual Financial Report as prima facie compliance with these criteria.

- 276 4.4.11 Specific assignments of responsibility for financial administration shall be clearly defined by
277 policy.
- 278 4.4.12 Any projected operating deficit (expenditures exceeding revenues in a budget year) shall be
279 explained, and a plan developed to eliminate the deficit.
- 280 4.4.13 Periodic financial reports shall be reviewed by the department.
- 281 4.4.14 Independent financial audits shall be conducted. Deficiencies shall be noted and plans made
282 to resolve them.
- 283 4.4.15 The department and any subsidiary entities or auxiliaries shall have policies and programs on
284 financial risk management that protect the department and its assets. Programs designed to
285 develop financial support from outside sources shall be closely coordinated with planning and
286 reflect the objectives of the department. All fund-raising activities shall be governed by the
287 department, comply with GAAP and financial principles, and be subject to public disclosure and
288 periodic independent financial audits.
- 289 4.4.16 Organizations permitted to use the department name and/or reputation of the department that
290 are revenue producing shall conform to department requirements of financial operation.
- 291 4.4.17 Financial resources shall be appropriately allocated to support the established department
292 mission, the stated long-term plan, goals and objectives, and maintenance of the quality of
293 programs and services.
- 294 4.4.18 Programs and activities shall be based on current and anticipated revenues and be adequate to
295 maintain adopted levels of service.
- 296 4.4.19 Plans shall exist for the payment of long-term liabilities and debts.
- 297 4.4.20 Future maintenance costs shall be projected and plans made to fund them.
- 298 4.4.21 Financial plans shall avoid the use of one-time funding sources to cover ongoing costs unless
299 plans have been provided to create continuity.
- 300 4.4.22 Contingency funds shall be maintained in accordance with GAAP recommendations and shall
301 anticipate budgetary restrictions.
- 302 4.4.23 The financial audit method (e.g., internal or third party) shall be identified.
- 303
- 304 4.5 **Program Activities:** This category is defined as the services, activities and responses provided by the
305 department for the community or facility that are designed, organized, and operated in compliance with
306 the department's mission, goals and objectives.
- 307
- 308 There shall be an adequate, effective, and efficient program directed toward fire prevention; life safety;
309 risk reduction of hazards; the detection, reporting, and control of fires and other emergencies; the
310 provision of occupant safety and exiting.
- 311 4.5.1 **Code Enforcement:** If the department is tasked with the code administration and enforcement
312 function as part of the mission, the following apply:

313 4.5.1.1. The authority having jurisdiction shall have an adopted fire prevention code. Evidence of
314 adoption of current national construction and/or fire codes (i.e., within the last two published
315 editions) or state-mandated codes based on current national model fire codes shall be
316 provided.

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

319 4.5.1.1.1. The department shall submit a list of duly adopted fire and construction codes used
320 as a basis for the services provided.

321 4.5.1.1.2. The department shall explain procedures followed for the fire code and related
322 standards.

323 4.5.1.1.3. The department shall have procedures for maintaining awareness of local
324 amendments to any technical provisions of the fire code and related standards.

325 4.5.1.1.4. The department shall have or plan to have preparations coordinated with other
326 departments to respond after natural hazard events to identify unsafe buildings and
327 conduct safety inspections.

328 4.5.1.1.5. The department shall have a policy and procedures for the review of alternative
329 materials and methods requests, and performance-based design proposals.

330 4.5.1.2. The code enforcement program shall be designed to ensure compliance with applicable fire
331 protection laws (including mandated types and frequency of inspections) and department
332 objectives.

333 4.5.1.3. There shall be adequate, qualified staffing to meet department objectives.

334 4.5.1.4. There shall be a plan review system in place to ensure buildings are built in accordance with
335 adopted codes and ordinances and that all fire protection systems are designed, installed and
336 tested in accordance with adopted fire codes and referenced standards.

337 4.5.1.4.1. There shall be specific policies and procedures for conducting plan reviews.

338 4.5.1.4.2. The number of reviews completed annually by category shall be documented, such
339 as residential, commercial buildings, site development plan reviews and others, such
340 as fire sprinklers, alarms, etc., new buildings, alterations, new or modified fire
341 protection systems.

342 4.5.1.4.3. A description of the system used to track and coordinate plan review processes and
343 activities shall be provided.

344 4.5.1.4.4. Details of the process followed to conduct partial and phased plan reviews and
345 deferred submittals, if offered, shall be provided.

346 4.5.1.4.5. The department shall track the number of plan reviews completed in the last 12
347 months that resulted in rejection or correction of designs.

348 4.5.1.4.6. The department shall track the most common reasons for rejections or corrections of
349 designs.

- 350 4.5.1.4.7. The department shall provide evidence of participation in interdepartmental
351 coordination of plan review (or inspections and occupational licensing, etc.) that are
352 under a separate department, and shall describe how approvals are coordinated.
- 353 4.5.1.5. Evidence of establishment of standard operating procedures, details of the process in place
354 to control uniformity of operating procedures, and procedural documents and forms shall be
355 submitted.
- 356 4.5.1.5.1. The department shall submit copies of its policies, procedures, reports and checklists
357 in use.
- 358 4.5.1.5.2. The number of inspections performed annually by category (such as residential,
359 commercial buildings, fire sprinklers, alarms, etc.) shall be documented along with
360 the percentage of work rejected and corrected.
- 361 4.5.1.5.3. The department shall have a method of tracking rejections and corrections on an
362 individual inspector basis.
- 363 4.5.1.5.4. The department shall have determined the most typical reasons for rejections and
364 corrections of inspections.
- 365 4.5.1.5.5. The department shall demonstrate its use of and requirements for special inspectors,
366 if this activity is under the fire prevention department.
- 367 4.5.1.5.6. The department shall have procedures for acceptance of approved fabricators.
- 368 4.5.1.5.7. The department shall develop and follow appropriate policy and procedures for
369 recognition of third-party inspection and testing agencies.
- 370 4.5.1.5.8. The department shall have special inspector reporting requirements.
- 371 4.5.1.5.9. The department shall have procedures for clear, concise and accurate reporting of
372 inspection results and procedures in place to guard against the alteration of
373 inspection report records.
- 374 4.5.1.5.10. The department shall provide evidence of its achievement of stated service goals for
375 plan review and inspection (as defined in Section 2.31). A quality (error rate) service
376 goal with no life-safety errors shall be established.
- 377 4.5.1.5.11. Details shall be provided, as applicable, of the documented procedure in place to
378 record, investigate and resolve complaints against contractors, and complaints
379 involving work without permits and other similar violations.
- 380 4.5.1.5.12. The method of issuance of Certificates of Occupancy (CO) or Certificates of
381 Completion (CC) or temporary certificates of occupancy, as applicable, shall be
382 provided. Method of reviewing Fire Protection System Commissioning reports, as
383 applicable, shall be provided.
- 384 4.5.1.6. There shall be an information system in place to record activities and transactions, and to
385 determine the effectiveness of the fire prevention program and its efforts in risk reduction.

- 386 4.5.1.7. There shall be a periodic appraisal made to determine if there is a balancing of the fire
387 hazard risk against the fire prevention capabilities of the department and/or system, and if
388 not, what actions need to be taken to balance the relationship.
- 389 4.5.1.8. The department shall provide copies of contracts with third-party firms, or individuals, for any
390 activities that are outsourced, if applicable. The department shall provide description of how
391 applicants are made aware that activities may be outsourced.
- 392 4.5.1.9. There shall be an existing building inspection program in place to ensure buildings and
393 facilities are used and maintained in accordance with adopted fire codes and referenced
394 standards.
- 395 4.5.1.9.1. There shall be specific policies and procedures for conducting periodic fire code
396 compliance inspections based on the community risk assessment.
- 397 4.5.1.9.2. The number of compliance inspections done annually by occupancy category shall
398 be documented, such as assembly, business, educational, factory, high-hazard,
399 institutional, residential and storage. All inspections required to be conducted by
400 policy, ordinance, statute or regulation shall be conducted on schedule. Any
401 inspections not conducted at their appointed times shall be identified, and a
402 remediation plan created and executed.
- 403 4.5.1.9.3. A description of the system used to track and coordinate periodic compliance
404 inspections activities shall be provided.
- 405 4.5.1.9.4. The department shall track the violations found on periodic compliance inspections
406 for the last 12 months and shall have a tracking system to ensure the timely and
407 appropriate follow up for documented non-compliance/violations.
- 408 4.5.2 **Public Education:** If the department is tasked with the public education function as part of the
409 mission, the following apply:
- 410 4.5.2.1. There shall be a public education or community outreach program that includes individual,
411 business and community participation.
- 412 4.5.2.2. The department shall have qualified staffing adequate to accomplish this component of the
413 program's mission, goals, and objectives.
- 414 4.5.2.3. The department shall show evidence of a systematic approach to designing, implementing,
415 and evaluating community safety education programs equivalent to that prescribed by the
416 U.S. Fire Administration. Such a process includes a community risk analysis, development of
417 community partnerships, creation of intervention strategies, and implementation of those
418 strategies and evaluation of the results.
- 419 4.5.3 **Fire Investigation:** If the department is tasked with the fire investigation function as part of the
420 mission, the following apply:
- 421 4.5.3.1. There shall be methods and procedures in place to investigate the cause and origin of all
422 reported fires.

- 423 4.5.3.2. The department shall have competence requirements for qualifying staff adequate to
424 accomplish its stated objectives.
- 425 4.5.3.3. There shall be adequate equipment and supplies allocated to the fire cause and investigation
426 program and a process for ensuring defective equipment is replaced.
- 427 4.5.3.4. There shall be agreements and support from other agencies to aid the department in
428 accomplishing its goals and objectives.
- 429 4.5.3.5. There shall be an information system in place to document fire investigation activities and to
430 provide data for analyzing program results.
- 431 4.5.3.6. There shall be standard operating procedures or general operating guidelines for the fire
432 cause and investigation program that conforms to NFPA 921 or other nationally recognized
433 standards for fire investigation.
- 434 4.5.3.7. There shall be a periodic appraisal made on the effectiveness of the fire investigation
435 program.
- 436 4.5.4 **Additional Program Activities:** If the department is tasked with any other program activities
437 that are not contained within the scope of Section 4.5, the department shall report its
438 commitment to those program functions using the same principles, as applicable, that have
439 been established in Section 4.5.
- 440
- 441 4.6 **Physical Resources:** Physical Resources addressed in this section shall be defined as the buildings,
442 structures, mobile equipment and other capital expenditures or outlay that make up the physical assets
443 of the department.
- 444 4.6.1 **Facilities:** Fixed facility resources shall be designed, maintained, managed, and adequate to
445 meet the department's goals and objectives.
- 446 4.6.1.1. Space allocations shall be adequate for department administrative functions, operational
447 programs and supportive needs.
- 448 4.6.1.2. Buildings and grounds, if under the direct control of the department, shall be clean and in
449 good repair. Maintenance shall be conducted in a systematic and planned fashion.
- 450 4.6.1.3. Physical facilities shall be adequate and properly designed in accordance with stated service
451 level objectives.
- 452 4.6.1.4. Facilities shall be in compliance with Federal, state and local regulations.
- 453 4.6.2 **Vehicles and Mobile Equipment:** Vehicles, transportation equipment and tools and
454 equipment shall be designed and purchased to be adequate to meet the department's goals
455 and objectives.
- 456 4.6.2.1. Vehicle types shall be appropriate for the functions served (such as those used in field
457 operations, staff support services, specialized services, and administration).
- 458 4.6.2.2. There shall be a replacement schedule for vehicles and other tools and equipment.

- 459 4.6.2.3. A vehicle maintenance program shall have been established. Vehicles shall be maintained in
460 accordance with manufacturer's recommendations and recommended intervals. Attention
461 shall be given to the safety/health/security aspects of equipment operation and maintenance.
- 462 4.6.3 **Tools and Equipment:** Tools and equipment shall be adequately designed, purchased,
463 available and maintained to meet the department's goals and objectives (e.g., books, manuals,
464 tools, gauges, meters and equipment used for plan review, inspection, investigation and other
465 functions).
- 466 4.6.3.1. The department shall have in place a method of identification and calibration of available
467 tools and equipment used, as applicable.
- 468 4.6.3.2. Appropriate personal protective equipment (PPE) shall be provided to and utilized by
469 employees in accordance with applicable labor laws.
- 470
- 471 4.7 **Human Resources:** The category of human resources addressed in this section shall be defined as all
472 aspects of personnel administration except those of training and competency.
- 473 4.7.1 General human resource administration practices shall be in place and shall be consistent with
474 applicable statutes and regulations.
- 475 4.7.2 Fire prevention departments shall have a sufficient number of staff with the range of expertise
476 to carry out their assigned functions.
- 477 4.7.2.1. The department shall have an organizational chart providing employee names, titles,
478 functions and lines of authority for all full- and part-time staff positions within the department.
- 479 4.7.2.2. The department shall have job descriptions for all full-time and part-time staff positions,
480 including information on minimum qualifications, education, training, technical knowledge,
481 skills, and experience, and certification/licensing requirements and shall provide detailed
482 requirements, if applicable, for qualifications/certifications and/or licensing.
- 483 4.7.2.3. The department shall provide the number of plan reviewers currently employed.
- 484 4.7.2.4. The department shall provide the number of inspectors currently employed.
- 485 4.7.2.5. The department shall provide information on its registered design professionals (i.e., number
486 employed, full- or part-time, by profession), if any.
- 487 4.7.3 There shall be administrative policies and practices for human resource administration based
488 on local, state and Federal requirements.
- 489 4.7.4 The recruiting, selection, hiring and promotion process shall comply with all local, state and
490 Federal regulations including equal opportunity and discrimination statutes.
- 491 4.7.5 There shall be a policy defining and prohibiting sexual, racial, disability, or related harassment
492 of employees/members. The policy shall be communicated to all employees/members and
493 enforced.
- 494 4.7.6 There shall be evidence of a process in place to conduct employee performance evaluations
495 on, at a minimum, an annual basis. (Performance evaluations shall encourage professional

496 development by providing for the establishment of clearly defined performance goals, and
497 include a mechanism to follow up on progress made toward stated goals.)
498

499 **4.8 Training and Competency:** This category shall be defined as the specific programs, resources and
500 capabilities within a department that exist to support the operational programs. These resources thereby
501 contribute to the accomplishment of organizational mission goals and objectives.

502 4.8.1 Training and education programs and activities shall be identified to support the department's
503 needs.

504 4.8.1.1. The department shall have a process in place to identify training needs. The process shall
505 identify tasks, activities, knowledge, skills, and abilities required to address anticipated
506 workload and required skill sets.

507 4.8.1.2. Information shall be provided indicating state-mandated and locally-mandated minimum
508 continuing education requirements. Information shall also be provided regarding jurisdictional
509 continuing education requirements which exceed minimum requirements.

510 4.8.1.3. A list of additional qualification/certification requirements over and above the state or local
511 requirements for staff, if any, such as a professional engineering (P.E.) license, contractor
512 license, etc., shall be provided.

513 4.8.1.4. Documentation shall be provided addressing participation of individuals in code development
514 activities, with a description of the levels of participation required.

515 **4.8.2 Verification of Professional Credentials and Licenses:** There shall be a policy and
516 procedures for verification of individuals' qualifications, education, etc.

517 4.8.2.1. There shall be a procedure for verifying builder and contractor licenses and insurance.

518 4.8.2.2. There shall be a procedure for verification of licenses of registered design professionals.

519 4.8.2.3. There shall be a procedure in place to verify special inspector and special inspection agency
520 credentials. Special inspection agencies are required to demonstrate competence, to the
521 satisfaction of the fire code official, for inspection of the particular type of construction or
522 operation requiring special inspection. Special inspection agencies accredited by nationally
523 recognized accreditation bodies as complying with ISO/IEC Standard 17011 shall satisfy this
524 requirement.

525 4.8.3 The department shall have training requirements for personnel in post-disaster assessment and
526 posting of structures.
527

528 **4.9 Essential Resources:** Essential resources are defined in this section as those mandatory services or
529 systems required for the department's operational programs to function. They may be given the same
530 value of importance as a primary program. Appropriate adjustments may be necessary in the self-
531 assessment to adapt the typical components listed below to the local situation.

- 532 4.9.1 **Administrative Support Services:** The administrative support service component of the
533 department shall be adequate, effective and efficient to provide the department with all
534 appropriate support functions such as research, planning, purchasing, coordination, control and
535 feedback.
- 536 4.9.1.1. The general administrative support process shall be adequate and appropriate for the size,
537 function, complexity and mission of the department.
- 538 4.9.1.2. The management process, including organizational and procedure analysis, shall be
539 adequate and effective.
- 540 4.9.1.3. The management support service system shall be adequate and responsive to the process
541 and department needs.
- 542 4.9.1.4. The administrative services functions and activities shall be adequately staffed and managed.
- 543 4.9.1.5. Fire prevention and life safety departments shall have timely access to legal counsel and
544 prosecution support.
- 545 4.9.2 **Office Systems:** Office systems shall be adequate to meet the needs of the department. This
546 includes clerical support, records systems, business communications, computers and supplies.
- 547 4.9.2.1. General office resources shall be adequate to support departmental needs.
- 548 4.9.2.2. The management information system shall be sufficient to support the needs of the
549 department.
- 550 4.9.2.2.1. Details of computer software and programs in use shall be provided.
- 551 4.9.2.2.2. The department shall have available information technology (IT) support.
- 552 4.9.2.2.3. The department shall provide information on the accessibility of information and
553 records, minimum retention times for records and details on safe storage of records.
554 Application for performance-based requirements, alternative methods or materials
555 and the final decision of the fire code official regarding the applications shall be in
556 writing and shall be retained in the department records.
- 557 4.9.2.2.4. Control of access to records: The department shall have proper safeguards in place
558 to prevent unauthorized access or modifications of records. Policy and procedures
559 shall address the release of public information in accordance with local, state and
560 Federal regulations as applicable.
- 561 4.9.2.2.5. The department shall have policies guiding appropriate employee and contract
562 personnel use of wireless voice and data communication, such as cell phones,
563 wireless networks, etc.
- 564 4.9.2.3. Public reception and public information components shall sufficiently support the customer
565 service needs of the department.
- 566 4.9.2.4. Organizational documents, forms and manuals shall be maintained and kept current.
- 567 4.9.2.5. The department shall provide, if applicable, copies of reports or findings from audits of
568 management or operations conducted within the past six years.

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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

6.2 International Code Council – www.iccsafe.org

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