STANDARDS FOR EFFECTIVE LOCAL GOVERNMENT

A WORKBOOK FOR PERFORMANCE ASSESSMENT

REVISED AND EXPANDED

Spring, 2007

Southwestern Pennsylvania Commission
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PREFACE

The concept for this Workbook was conceived in 1986 by the Southwestern Pennsylvania Commission (SPC). It resulted from an SPC commitment to the Mon Valley Commission. SPC was an active participant in the work of the Mon Valley's Local Government Task Force, chaired by the Honorable Leonard C. Staisey, to examine the small, somewhat distressed, communities in the Mon Valley of Western Pennsylvania. Its charge was to make recommendations as to how these local governments might be improved as a means of attracting development, or for providing positive incentives for redevelopment.

After examining a variety of options from consolidation of the 37 independent governments in the area to a “do nothing” option. It was determined that the most feasible stratagem was to urge these governments to look at their operations -- the way they do business -- and make a commitment to improve if improvement was indicated.

To assist them in this process, SPC developed this self-assessment manual, in a workbook format, which covers the basic functional areas of local government. Each functional area provides sets of standards against which a local government can measure its performance.

The standards were developed and finalized only after broad consultation with practitioners in each of the 13 sections of the Workbook. After development, they were field-tested with the financial assistance of Allegheny County and the Pennsylvania Department of Community and Economic Development. Field testing involved not only Mon Valley municipalities but also other smaller local governments representing varied social and economic conditions. Most elected and appointed officials from the participating municipalities found the standards, and the process for gauging performance, to be meaningful and helpful.
This is the third revision of *Standards for Effective Local Government*. The second revision added two additional sections and, as an Appendix, steps to be followed in action planning. This update involved the review of each standard in each section to reflect changes in the law and in management standards and procedures. The introductions to the various sections, and the commentary accompanying each standard, stress the importance for all local governments to reach a point of viability. Much has changed in the twenty years since the first edition of this publication. In the twenty-first century smaller local governments cannot stand fully alone or apart. Problems are more complex and sometimes cross municipal boundaries. More demands are placed on local governments. All local governments in a region must be strong and meet standards if a region is to be competitive nationally and internationally. All local governments must have the capacity to function and respond as full partners. *Standards for Effective Local Government* is dedicated to this purpose.

This third revision was done by Dr. Mary Jane Hirt and Christine Altenburger, both consultants to SPC.
INTRODUCTION

Does your local government have the necessary resources and leadership to permit it to function independently, providing basic services effectively and efficiently? Standards for Effective Local Government provides a local government with the means for assessing its administrative and operational strength and capacity. The standards were developed around the concept of viability -- the idea that every local government must be capable of "living"; capable of developing; capable of functioning adequately and independently. They are presented in a workbook, self-assessment, format, divided into thirteen sections covering governance and operational effectiveness. The first section, General Administration, stresses leadership and responsibility on the part of elected officials. The second, Personnel Management, lays the foundation for competence. They are followed by sections covering all basic administrative and operational departments whose viability depends on this leadership and competence. The final section presents a Code of Ethical Standards and Conduct which sets the environment in which governance and government operations should function.

The Importance of Being Viable

A quick review of the historic roots of the Pennsylvania local government system easily illustrates the urgency now to review its capacity to claim viability. Like so many local government systems, particularly in the northeast, Pennsylvania's system dates back to the late nineteenth, early twentieth century when most local governments came into being. The process to become incorporated -- to become independent -- was simple. Standards with respect to size and financial capacity were few. Over the years all townships were granted a charter and now function independently. The result today is some 2500 plus independent local governments, most very small, and lacking in the resources needed to be a fully functioning viable government. For most of them, when
they were incorporated, viability was not an issue. Demands on local governments were limited, and the governing process simple. What was adequate then is ill suited for the twenty-first century.

Advances in technology and mandates placed on local governments by both state and federal governments have raised the bar for competence and effective performance. Where once a local government could get by with hiring just about anyone for any municipal job, professionalism is now required. Governments today, even though independent, are interconnected in many ways. Bilateral and multilateral agreements are common. Many important problems today cross boundaries and require viable local governments to come together for joint problem resolution. The dangerous times which govern life today require teamwork involving surrounding local governments, the county, the region, and the state if emergencies are to be managed effectively. Strong counties and regions depend on strong local governments. If there are weak links in the chain, the response is weakened. The unity of vision and action that is required today for an area or region to compete nationally, even internationally, depends on viable governments.

Perhaps one of the most worrisome signs today in measuring the health of Pennsylvania local governments is the number that are in or facing a distressed status or who are eligible for early intervention by the state to avoid distress. The overall purpose of *Standards for Effective Local Government* is to provide each government with a tool that can lead to action before the state must intervene. Help from the state is always welcomed by local governments in trouble, but such help, particularly financial, is a temporary fix. For a permanent fix, there must be a solid foundation, grounded in leadership and competence, and every municipality must have the capacity to generate the resources needed for a viable government.
What Areas Are Covered in the Workbook?

The Workbook provides standards covering the following areas:

- General Municipal Management
- Financial Management
- Personnel Management
- Records Management
- Municipal Risk Management
- Police Operations
- Fire Operations
- Emergency Medical Service (EMS)
- Management of Emergencies
- Public Works Management
- Planning & Land Use Control, and Code Enforcement
- Parks and Recreation
- Ethical Standards for Local Government Officials

How Does It Work?

If the question is, “How do I know if we have an effective (police) operation,” or “do our budgeting, accounting and auditing procedures meet generally accepted standards”?

The user would turn to the Police section or the section of Financial Management. Each section is subdivided into FACTORS such as, for Police: Adequacy of Manpower; Communications; Records; Personnel Selection, etc. For each factor there is a set of standards to be met. Across from each standard is a Rating Scale to be used to respond to each corresponding standard.

**Rating Scale**

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

**MUNICIPALITY'S COMMENTS:**

LIST items to be incorporated in Action Plan.

*Response will include verification designation only if Standard refers to an ordinance, resolution, policy/procedure document, written process, etc.*
In order to complete the rating, the individual(s) doing the assessment will need to spend time with the person in the best position to supply the information. The most perplexing problems encountered during the field testing were the difficulty in getting data, and the inability to verify what the rater was told verbally with respect to certain standards where “show me” becomes important to an honest rating.

It cannot be overemphasized that broad support for doing a self-assessment, and a desire for honest answers, are essential for a meaningful analysis of municipal operations.

**How Long Will it Take to go Through the Workbook?**

There is not a precise answer to this question, except that the complete self-assessment will take time. It will depend on the amount of time that a rater has to devote to the project, and the availability of the people who have the answers. It is important that once the decision has been made to proceed with the assessment a specific time schedule is developed and adhered to.

**Who Should Do the Assessment?**

The Workbook is designed to be used by elected and/or appointed officials of the municipality or, perhaps, by professional consultants. The person(s) doing the rating should be “neutral” -- not have preconceived notions about the effectiveness or efficiency of the areas covered. The rater needs to have the time to devote to the project and a commitment.

**Must All Standards be Met to be Considered Viable?**

This is a difficult question to answer. Local governments in Pennsylvania and elsewhere are varied in terms of their needs, problems, their environment, and the code or charter governing their classification. Nevertheless, the goal should be to meet, or have a plan to meet, all or most of the standards.
There is always the temptation for local government officials examining the standards to determine, "We don't need this. We're getting along fine just as we are." However, before any standard is cast aside, checked off as "not relevant," the person or persons doing the assessment and rating should be able to provide a rational explanation to justify the rating.

Keep in mind that not all standards need to be met by the financial and personnel resources available in-house. Mutual aid agreements, joint power agreements, and use of the Council of Governments mechanism are examples of alternatives and opportunities for meeting certain of the standards.

After the Assessment is Done, Then What?

Appendix A includes a narrative, forms, and examples to be used to develop an action plan for functions not meeting the standards. The person(s) doing the assessment should provide an overall rating and be available to assist local officials in preparation of an Action Plan.

Action plans can be developed in one of several ways:

1) The rater could also draft the action plan.
2) The officials closest to the area (who provides most of the data for the assessment) could be asked to develop the action plan.
3) A committee of the governing body, or the governing body in workshop session, could work on the plan independently or with others.

It should be stressed that the municipal manager or secretary should play a key role in the self-assessment process, and should have a direct role in the development of action plans.
GENERAL MUNICIPAL MANAGEMENT

INTRODUCTION

If a local government is to function effectively it must possess three critical assets:

1. The will to act,
2. The necessary human and monetary resources, and
3. The administrative machinery to bring the first two assets to bear upon its problems.

This General Management section comes first among the chapters of this book. Excellence in the general management area, most especially leadership on the part of elected officials, is essential if a local government is to be viable - capable of functioning independently and developing. It is the foundation for effectiveness in the day operation of government and delivery of services. A well led and managed local government sets the tone and conditions which instill public trust and confidence.

The factors covered in this section are as follows:

- Personal Responsibilities of Elected Officials
- Providing for Competent Municipal Management
- The Governing Body - Manager/ Administrator Relationships
- Meetings of the Governing Body
- Internal Organizations of the Local Government
- Special Appointments

Together, the standards associated with these factors stress the importance of professional expertise as the basis for informed and effective government action, to include the best in administrative practices. Elected officials have the obligation to see that competent personnel are in place (see also the section on Personnel), and that this talent is tapped as a resource in developing and executing the policies which flow from their actions. Elected officials have the important role of releasing and harnessing the energies of talented and committed employees, as well as members of citizen boards, committees, and commissions. What needs to emerge is a partnership - a team approach - which can make government work, and work well.

Returning to the three assets noted above, it should be stressed that the standards in this section focus on the last two - the human and monetary resources and the administrative machinery of government. The “will to act” does not lend itself to a standard. Rather, it implies leadership on the part of public officials which is enabling, directed to attaining a wise outcome to hard problems, and demanding of excellence. It includes taking government action based on knowledge and facts. It includes having the courage to “do the right thing” when the common good is at stake. It includes having goals and anticipating the future so that problems and actions are placed in context.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: PERSONAL RESPONSIBILITIES OF ELECTED OFFICIALS

Standard No. 1

All members of municipal governing bodies, upon initial election, complete a
training course for newly elected officials. All officials, during their terms of office,
participate in continuing education courses and conferences directed to enhancing
the knowledge, skills and abilities associated with the responsibilities of public
office. Municipal resources are sufficient to support training activities.

Commentary

"Competence" emerges as the second-most important characteristic of an effective leader
("honesty" being first) in many studies that have been done on the subject. The most
telling mistake that any elected official can make is to assume that he/she is fully
equipped to responsibly handle the scope and depth of the many policy questions and
decisions that will find their way to the public agenda. Officials should take advantage of
training opportunities offered by local, regional, and state organizations; colleges and
universities and self-study options. Participating in courses and conferences associated
with municipal work not only offer knowledge and understanding; they provide an
invaluable opportunity to network with other officials. Most important, when elected
officials can respond to problems and questions on the basis of knowledge and facts,
public confidence follows. Competence and credibility go hand-in-hand.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: PERSONAL RESPONSIBILITIES OF ELECTED OFFICIALS (Continued)

Standard No. 2

Elected officials assume as part of their role the responsibility for educating the public (and municipal employees) about the issues and choices facing the government. They help people to see the community as a total enterprise, not as a series of separate factions to be separately accommodated. This effort is assisted through providing periodic newsletters and annual reports which discuss and explain issues, and by distributing comprehensive meeting agendas to the public. Officials always are well prepared to discuss and explain agenda items.

Commentary

There is an axiom which reminds us that “All excellent teachers are leaders, and all excellent leaders are teachers.” Teaching--bringing along/ persuading--is perhaps the most important role of the elected officials. This is particularly true and relevant as we move from an era of “telling” or “ordering” to one of “consensus building.” And, it is obvious that elected officials cannot fulfill this teaching/leadership role unless they have gained mastery of their job and responsibilities through education, careful study, and listening and learning with an open mind. Competent elected officials should be able to explain and justify a course of action that reasonable people will understand and accept, even if they disagree. Widespread use and availability of the Internet enhances the elected official’s capability to fulfill their responsibility to educate and inform the public.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources  ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: PERSONAL RESPONSIBILITIES OF ELECTED OFFICIALS. (Continued)

Standard No. 3

The reputation of the municipal government is that of a well-run local government, as opposed to a government dominated by "politics" and self-interest. This reputation is confirmed by periodically surveying citizen attitudes about their local government services and programs, and through positive media coverage.

Commentary

Gauging the public's perception of its local government, and determining whether or not elected officials are doing a good job -- serving the public interest -- is, by its very nature, an imprecise exercise. "The public interest" is not always obvious. Honest and dedicated public officials can disagree on what constitutes a best course of action, and both sides can claim "right." The reputation of public officials is greatly enhanced when they are able to explain their actions, supported by facts, in a way that reasonable people can understand, even if they disagree. Some of the clearest indicators of "reputation trouble" come from public exposure of actions, and are clearly within the control of the elected officials. For example:

- When there is a frequent turnover in the position of manager/administrator and/or professional department heads. Usually this is a clear indication of politics taking priority over stable and consistent municipal management. (The standards of this section and the Personnel Management standards are needed to address this problem.)

- When elected officials are unable, or unwilling, to respond to questions from the public or explain votes; when it is obvious that they have not done the necessary homework to intelligently respond to agenda items; when the solicitor is, routinely, the spokesperson for the elected officials, when the municipality finds its policies are the subject of citizen initiated lawsuits.

- When personality conflicts among members of the governing body dominate over problems and issues. When bickering, vituperative and abusive language, and even physical encounters come to characterize meetings of the elected officials. It is cause for concern when public meetings come to be seen as "the best show in town" or "government by uproar."

- When media headlines expose corruption or unethical conduct. For example:
  - Mayor's backer wins $36,000 no-bid pact.
  - Federal grand jury questions 2 officials.
  - Mystery truck took borough furniture.
  - Auditor: "Corruption has thrived."
  - Bank won't lend to borough.
  - Structure built by solicitor's firm lacks permits.
  - Mall developer's gifts to council members questioned.
  - Court unseats township officials.
  - Audit rips township management.
  - Councilman's son fills authority post.
Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: PERSONAL RESPONSIBILITIES OF ELECTED OFFICIALS. (Continued)

Standard No. 4

The governing body has adopted and adheres to a Code of Ethics that complies with the standards which appear in Section XIII of this workbook.

Commentary

Codes of Ethics cannot claim to transform the behavior of individuals who use their public position for self-serving purposes. For example: using public office for personal financial gain; taking gifts or accepting privileges beyond that available to all persons and businesses; awarding public jobs to friends and relatives; using public employees for political purposes. However, adopting an Ethics Code does support the previous standard of a well-run government. A comprehensive Ethics Code establishes standards which emphasize conduct that furthers the public interest, and promotes accountability. Too, a good Code will set forth procedures for monitoring compliance and imposing penalties for violation of Code provisions. Adoption of an Ethics Code sets a proper tone for the community.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT

FACTOR: PROVIDING FOR COMPETENT MUNICIPAL MANAGEMENT

Standard No. 1

The local governing body by resolution, ordinance, or home rule charter provision, hires and delegates general administrative/management responsibilities to a professional manager/administrator. The enacting legislation should designate the major responsibilities of this position to include financial management; management of departmental operations; and personnel management, inclusive of hiring and firing of employees; with or without, the consent of the governing body.

Commentary

Almost all local elected officials serve on a part-time basis and generally lack the time and expertise necessary to handle the responsibilities associated with the management of a municipality on a daily basis. The job of governing board members is one of oversight, legislating/policy determination, and goal-setting. Those officials seeking effective and efficient government administration must understand that the public interest is best served by employing a qualified manager/administrator to direct the day-to-day operations of government. Many of the standards which follow address the importance of establishing a relationship between elected officials and the manager/administrator which makes the government work efficiently and effectively.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: PROVIDING FOR COMPETENT MUNICIPAL MANAGEMENT  (Continued)

Standard No. 2

The individual hired as manager/administrator has been educated or trained in the field of municipal management/administration, or a related field, or is qualified on the basis of equivalent experience. Such qualifications are established as part of the authorizing resolution, ordinance or home rule charter provision.

Commentary

Viability should be the goal of each municipality -- the capability to function independently and to grow and develop. Such a goal is difficult to achieve unless elected officials have put in place a professionally trained manager or administrator who has the knowledge and skills needed for financial and personnel management, and oversight of line department operations. Even the smallest governments face challenges requiring technical and managerial competence. If the resources are not available to meet this standard, see the following standard. Throughout this section the term Administrator includes the municipal secretary who has the qualifications and training called for in the following standard.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified  not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: PROVIDING FOR COMPETENT MUNICIPAL MANAGEMENT  (Continued)

Standard No. 3

When a municipality lacks the financial resources to employ a full-time, professionally trained manager or administrator, the governing body has taken one of the following steps to provide for competent municipal management:

(1) Requires the municipal secretary to complete, within a reasonable time limit, the in-service training to attain certification by the International Institute of Municipal Clerks, or Pennsylvania Local Government Secretaries Association. (In this circumstance, the governing body provides financial support for the required in-service training.)

(2) Employs a part-time, professionally trained municipal manager or administrator.

(3) Arranges, through contract, to share the services of a professional manager or administrator with another municipality.

Commentary

The above standard recognizes that competent management may be achieved and maintained by one of three options when a municipality is unable to employ a full-time professional manager. The first alternative formally acknowledges the extended responsibilities often taken on by the municipal secretary. The other two provide management expertise on a reduced time and cost basis.

Returning to the first option, a clearer understanding of the Secretary position is helpful. All Pennsylvania boroughs and townships are required to have a municipal secretary. State law (municipal code law) establishes no qualifications for this position. It defines the formal responsibilities of the secretary, basically, to attend meetings, keep minutes, preserve the records and documents of the government, and hold custody of the corporate seal. Frequently, in the absence of a professional manager or administrator, the secretary takes on many more duties, and functions as the municipality's administrator. He/she handles day-to-day administrative matters such as: finance, purchasing, responding to complaints, coordinating personnel and operational matters and staying abreast of state and federal mandates. The above standard stipulates that this reality be formally recognized through legislative action.
Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR:  THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS

Standard No. 1

At the time of hiring, and on an annual basis thereafter, the governing body and the individual hired to be the municipal manager or administrator formally document the terms and conditions of employment. Areas to be addressed include duties and responsibilities, mutual goals and expectations, periodic formal evaluation of performance, the formal and informal processes for communication between the two parties, compensation and benefits, circumstances under which employment might be terminated, and severance provisions.

Commentary

The process recommended in this standard helps to reflect the importance and seriousness which the governing body attaches to the position of manager/administrator. It will establish the framework for the working relationship between the legislative body and the manager/administrator and the processes to address difficulties and/or termination if the relationship fails. The methods used to formalize the areas covered in the standard are a "memo of understanding" or an "employment agreement." While the recommended option is the employment agreement, it should be noted that it does not nullify or supersede the legislative body's authority to hire or fire the manager/administrator/secretary. Neither option is considered a fixed contract. Legally speaking, the manager/administrator and the municipal secretary in Pennsylvania are "at-will" employees who serve at the pleasure of the governing body. The value of putting this standard in place is the signal it sends: This is a formal relationship, and both parties, in good faith, want the relationship to work, and work well.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT

FACTOR: THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS

(Continued)

Standard No. 2

The governing body should clearly establish the lines of authority and communication between it and the municipal employees. Except for purposes of investigation and inquiries individual members of the governing body and/or its committees do not give direct orders to any municipal department head or other employee, either publicly or privately, or interfere with operational duties of such persons. The governing body should designate how its concerns/complaints/suggestions from the governing body related to day-to-day municipal operations are to be handled.

Commentary

Best practice dictates that members of the governing body do not give direct orders to employees or communicate directly with individual employees with respect to concerns and suggestions about day-to-day municipal operations. In a well-run local government, the person typically charged with such day-to-day authority and responsibility is the manager/administrator, and the legislative body should formally delegate this authority to this individual. Without such practice in place the opportunity for conflicting orders/directions exists; there is doubt as to who is responsible for assuring that municipal services and programs are carried out. This standard, while recognizing the elected officials' legal authority to investigate, discourages governing body members from undercutting the manager/administrator by giving orders directly to employees, or by permitting employees to go directly to them with grievances or suggestions.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: THE GOVERNING BODY - MANAGER /ADMINISTRATOR RELATIONSHIPS

(Continued)

Standard No. 3

Members of the governing body do not put the manager/administrator in an "impossible position" by giving conflicting orders and directions, and/or by involving him/her in partisan political disputes or personality clashes.

Commentary

Competent municipal managers/administrators will find it difficult to effectively function in a politically charged environment. He/she is obligated to provide information based on facts and professional judgment, and to suggest alternatives for resolving problems facing a municipality. The manager/administrator often can be helpful to elected officials as a broker when complexity, competing interests and perspectives cloud the issues and the decision-making environment. What elected officials never should do is ask the manager/administrator to take sides with one faction or the other. The goal should be to reach consensus.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS
(Continued)

Standard No. 4

The governing body, at least yearly, formally, in writing, provides the manager/administrator with an evaluation of his/her performance. This evaluation is based upon predetermined, measurable goals and objectives -- expectations -- to which both parties previously have agreed.

Commentary

When the governing body is obligated, yearly, to evaluate the performance of the manager/administrator on the basis of objective criteria, and he/she is aware of those areas against which he/she will be judged, the evaluation can have a very stabilizing effect on the relationship between the parties involved. Although this individual serves at the pleasure of the governing body, and can be summarily dismissed, fairness and respect for individual rights dictate that dismissal be based on inadequate performance, or failure to meet the expectations of the majority of the elected officials. This employee should never have to walk into a public meeting and find, unexpectedly, a resolution for his/her dismissal. If the relationship is working well, he/she will keep elected officials fully apprised, throughout the year, of successes and problems in meeting the established criteria for evaluation. In turn, the governing body should, throughout the year, alert the manager/administrator to any concerns or dissatisfactions with respect to performance. An effective relationship depends on good communication. There should be no surprises.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   ____ Reason:
       ____ Not relevant  ____ No interest  ____ Lack resources
       ____ Lack administrative capacity/initiatives  ____ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT

FACTOR: THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS

(Continued)

Standard No. 5

A weekly (or periodic) "administrative report" is prepared by the manager/administrator for the elected officials which addresses what has taken place during the period: problems, things accomplished, emerging issues, progress on projects, personnel notes, financial matters, etc. This report is in a format which is easy for the manager to prepare and which allows for quick reading by the elected officials.

Commentary

When elected officials sense that they are not being kept informed and they do not believe they know what is going on -- when they feel they are not on top of things -- or when they sense that some know and others do not -- the relationship between them and the manager/administrator can become contentious. Communications must be uniform and consistent. Otherwise, the elected officials who believe they are being left out of the communications loop will seek or receive information, perhaps inaccurate information, through other channels. Effective, timely reporting can strengthen the elected officials' confidence in the manager/administrator. It can also reduce the length of meetings. For the manager/administrator responsible for being in touch with what happens within the municipality on a day-to-day basis, it fosters a discipline that requires that he/she sort through and reflect upon the activities of the week, and put them into perspective.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS

(Continued)

Standard No. 6

The manager/administrator and governing body members do not permit problems, concerns, or disagreements to fester or go unspoken or unresolved.

Commentary

If the relationship between elected officials and the person charged with handling day-to-day activity is to flourish, issues and concerns must be dealt with in a fair, firm and forthright manner. The manager/administrator should know the will of the governing body and recognize when it is dissatisfied. He/she, on the other hand, must be frank with elected officials on what can and can not be accomplished within his/her areas of responsibility -- not promise what cannot be delivered.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR:  THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS
(Continued)

Standard No. 7

If it becomes necessary to dismiss the manager/administrator, it is done with sensitivity to the personal, emotional, and financial costs associated with the dismissal action, and with the least public embarrassment possible.

Commentary

The legislative body and the manager/administrator should recognize that terminations, while unfortunate, are sometimes unavoidable. Consequently, a termination should be accomplished in a manner which minimizes ill will and avoids antagonism for all parties concerned.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT   I

FACTOR: THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS (Continued)

Standard No. 8

The governing body should define the role the manager/ administrator plays in the policy process. Most frequently, the elected officials expect him/ her to support their policy-making role by providing needed information, developing options and indicating a recommended course of action. Once the manager/ administrator has fulfilled his/ her role, final decisions are left to the governing body.

Commentary

The governing body and the manager/ administrator both should recognize that they share responsibility for policy making and administration. The manager/ administrator, on a timely basis, should provide all of the elected officials with the information necessary to thoroughly evaluate the available options when problems and issues arise. Elected officials should be prepared to do the homework prior to meetings required to be conversant with such materials prior to participating in discussion and decision making. Neither the elected officials nor the manager should be concerned with "victory," but rather all should work towards a wise outcome whatever the problem and one that serves the interest of the larger community.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: THE GOVERNING BODY - MANAGER/ADMINISTRATOR RELATIONSHIPS
(Continued)

Standard No. 9

The manager/administrator supports the policy-making role of the elected officials by providing needed information, developing options and even indicating a preference for a particular course of action. Once this supporting role has been fulfilled, he/she yields to the decision of the elected officials.

Commentary

In today's complex governing environment, the governing body and manager/administrator recognize that they have a shared interest in policy and administration. To achieve outcomes beneficial to the common interest, members of the governing body and the manager/administrator focus on consensus-building and cooperation during decision-making discussions.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: MEETINGS OF THE GOVERNING BODY

Standard No. 1

The laws governing open meetings and open records are strictly observed.

Commentary

This standard supports openness in the process of government decision making, citizen participation in government and citizen access to public information. In addition, it helps provide a foundation for establishing trust in government. Pennsylvania's "sunshine law," like most other states, requires that all public meetings, special meetings and work sessions be open to the public. Pennsylvania law provides that some discussions may be held in private such as those related to real estate transactions, legal matters and personnel. The "open records" act requires that public documents and information be made available to members of the public on a timely basis and without inordinate cost. It is tempting for elected officials, sometimes, to look for wiggle room - ways to get around the law (i.e. Whisper so a conversation can not be heard by the public). It should be remembered that, in support of the common good, these laws honor the principle of transparency.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR:  MEETINGS OF THE GOVERNING BODY  (Continued)

Standard No. 2

The governing body has adopted rules of procedure governing the conduct of its meetings. These rules provide for an orderly process by which elected officials address agenda items, and the public may address the governing body and the business before it. The presiding officer conducts meetings in accordance with these rules.

Commentary

Roberts Rules of Order, or similar rules which establish orderly procedures for meetings, can do much to foster trust among members of the governing body, and between the governing body and the public. Well-drafted rules provide for fair treatment of all parties, help to maintain order and decorum, and permit the orderly flow of business. The rules of procedure, as appropriate, coincide with the sunshine law.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: MEETINGS OF THE GOVERNING BODY (Continued)

Standard No. 3

A formal agenda is prepared by the manager/administrator for each meeting, inclusive of regularly scheduled public meetings, special meetings, and executive sessions of the governing body. Except for work sessions where a department head or member of the governing body identifies the issues for discussion, the agenda is done in consultation with all members of the governing body, following an agreed-upon process.

Commentary

An established formal agenda is a critical element of a well-run meeting. It enhances both accountability and responsibility for elected and appointed officials since, by its nature, agenda preparation requires thought and planning, and signals to the public and elected officials what the business of the meeting will be. Where possible, to foster public understanding, a brief explanation of each agenda item should be included.

Rating Scale

Standard is:

1. ___ Met, and is effective. (____verified ____not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant   ____ No interest   ____ Lack resources
   ____ Lack administrative capacity/initiatives   ____ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: MEETINGS OF THE GOVERNING BODY (Continued)

Standard No. 4

There is an agreed-upon timetable and process which provides that the agenda be available to elected officials at least several days in advance of public meetings and executive sessions. Provided with the agenda are any materials, documents, or notes/commentary essential to understanding the business that will come before the governing body.

Commentary

It is the responsibility of each elected official to commit the time to fully understand the background, issues and rationale associated with agenda items. The manager/administrator is charged with the responsibility to see that each official has the information that is needed to discuss and vote intelligently on matters before the governing body.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR:  MEETINGS OF THE GOVERNING BODY  (Continued)

Standard No. 5

The agenda for each public meeting is available to the public before, and at, each meeting.

Commentary

To foster citizen interest, attendance and involvement in their local government, an effort should be made to inform the public in a timely manner of what is to be discussed at all regularly scheduled meetings of the governing body. Except for special meetings where public notice must be given in a newspaper of general circulation, agendas for meetings should be posted in an easily accessible and consistent location in the municipal building for public inspection. Posting meeting agendas on the municipality’s Internet website will also facilitate public access.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: MEETINGS OF THE GOVERNING BODY  (Continued)

Standard No. 6

Once established, the agenda is not amended except by majority vote of the governing body, accompanied by a public explanation of the need for the agenda to be changed.

Commentary

Responsible elected officials should not attempt to add new agenda items at the last minute or during the course of a meeting. The only justification would be unexpected business requiring action before the next public meeting. Otherwise, such action may be perceived as "politics"; an attempt to take official action without the prior knowledge of the public, or perhaps, without prior knowledge of certain elected colleagues.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT

FACTOR: MEETINGS OF THE GOVERNING BODY (Continued)

Standard No. 7

For issues or problems expected to generate more than normal interest and extensive discussion, the governing body, when time permits, schedules special meetings/public hearings.

Commentary

Not infrequently, "hot" issues, particularly those related to zoning/planning/development matters, can consume an entire evening. When such items are included as part of a regular agenda, all parties can be disadvantaged. Such meetings usually last too long and attention to the item can be diverted while regular business is transacted. Citizens interested in hearing about or addressing the issue become discouraged, particularly if it is scheduled for discussion at the end of the meeting. And, members of the governing body generally will be in a better position to consider options and vote if high interest agenda items receive concentrated attention at a special meeting.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR:  MEETINGS OF THE GOVERNING BODY  (Continued)

Standard No. 8

Meetings are run efficiently and in a manner that respects the time of elected officials and the public.

Commentary

Real skill by the head of the governing body must be exercised to draw a balance between the need for full discussion of the business before the governing body, and the normal tendency of some individuals to talk too much and/or bring up new items that are not part of the formal agenda. A well-run meeting requires self-discipline and a willingness to abide by rules governing the meeting. If meetings are running too long as compared to what being accomplished, elected officials should explore options and strategies that may move them along. A consent agenda may help expedite a meeting. It permits routine and non-controversial items to be approved by one motion.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
      ___ Not relevant  ___ No interest  ___ Lack resources  ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: INTERNAL ORGANIZATION OF THE LOCAL GOVERNMENT

Standard No. 1

The municipality has adopted an administrative code which establishes the government's internal organization, including the major functions and responsibilities of departments, boards, commissions and committees.

Commentary

The administrative code is a municipal ordinance which establishes the local administrative organization. It sets forth the administrative functions, programs or services to be performed by the local government and the organizational structure to perform them. It stands between or links the municipal charter/code and administrative/departamental operating procedures which are used to direct day-to-day operations.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: INTERNAL ORGANIZATION OF THE LOCAL GOVERNMENT  (Continued)

Standard No. 2

Written operating procedures have been developed for all major functions, programs and services provided by municipal departments, boards and/or commissions.

Commentary

Such written procedures provide performance standards for employees and appointed officials and specific procedures to direct the work of each group. They also define responsibility and accountability for all major functions and services. Generally, such procedures are developed by each department head, and by each established board and commission. Such rules and procedures should be approved by the manager/administrator and/or the governing body.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: INTERNAL ORGANIZATION OF THE LOCAL GOVERNMENT (Continued)

Standard No. 3

The municipality is in compliance with the provisions of the Americans with Disabilities Act.

Commentary

The Americans with Disabilities Act is a federal law which prohibits discrimination against individuals with disabilities and specifies responsibilities for the local government for compliance. The Act prohibits discrimination in the areas of employment, public transportation, public services, public accommodations, and telecommunications. To be in compliance, a municipality must develop and implement a plan designed to accommodate disabled individuals who seek municipal employment, attend meetings or use municipal facilities and participate in programs provided for the general public’s use. The plan must also include a grievance procedure for challenging alleged discriminatory conditions.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: INTERNAL ORGANIZATION OF THE LOCAL GOVERNMENT (Continued)

Standard No. 4

The local governing body, manager/administrator, and department heads periodically review municipal services and administrative functions to determine whether existing operating methods are the most efficient and effective way to provide services and activities.

Commentary

Periodic performance assessments by all municipalities, and especially those with smaller populations and/or those faced with shrinking revenue bases, should identify functions, services and programs which may benefit from alternate ways to deliver municipal services. Besides private contracting, the use of intergovernmental options such as councils of governments, regional service consolidation, or contracting with another local government may provide for more efficient and/or effective service delivery alternatives for a local government.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: SPECIAL APPOINTMENTS

Standard No. 1

When the municipality requires the services of special consultants such as attorneys, accountants, engineers, planners, financial advisers, or bond counsel, the governing body has established and follows a formal contracting procedure. This process includes: 1) the development of a scope of services for the work to be performed; 2) the use of a formal request for proposal (RFP); 3) public advertisement that proposals are being accepted; 4) review and evaluation of proposals in accordance with the pre-established criteria contained in the scope of services; and 5) award of a contract to the individual or firm with the best professional qualifications, able to do the work at the most efficient cost.

Commentary

Even the smallest community from time to time requires the services of professional consultants. When such a need arises, the goal should always be to employ the best qualified consultants at the least cost to the municipality. This is best achieved through an objective, open, competitive process as outlined in this standard.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
___ Not relevant ___ No interest ___ Lack resources
___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT

FACTOR: SPECIAL APPOINTMENTS  (Continued)

Standard No. 2

The governing body fills vacancies on boards, commissions, and committees such as zoning, planning, recreation, ethics, civil service, etc. through an open process. This includes informing the public when there are vacancies to be filled, and encouraging interested and qualified citizens to apply. The process should attempt to balance broad-based community representation with specific qualifications needed to ensure effective performance.

Commentary

Citizen boards, commissions and committee do important work. Members should be selected on the basis of high interest, qualifications for the work and/or a willingness to participate in training courses designed to further their understanding of the requirements and duties associated with their work. When there are vacancies on boards and commissions, the governing body should publicly advertise in newsletters and local newspapers its intent to fill positions, along with a listing of appropriate background qualifications.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT  I

FACTOR: SPECIAL APPOINTMENTS  (Continued)

Standard No. 3

All boards, committees and commissions have adopted bylaws or rules and regulations, approved by the governing body which, among other things, establish goals, fix responsibilities of members, provide for the orderly conduct of business, and set procedures for regularly reporting to the governing body on their work. Included in these procedures is a requirement for an annual report to the legislative body. Among other things, this report should review the work of the group, identify major issues, and discuss goals and objectives for the coming year.

Commentary

Too often, the work of boards and committees as established by the governing body does not proceed in an orderly or serious manner. Some become non-functional and should be reorganized or abandoned. Others function on an "as-needed" basis, such as civil service or zoning. The goal of this standard is to emphasize (1) the serious purpose and work of all such bodies, (2) the need for organized and systematic progress when work is undertaken and (3) the need for regular communication with the governing body so that it may understand and evaluate their work.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
GENERAL MUNICIPAL MANAGEMENT I

FACTOR: SPECIAL APPOINTMENTS (Continued)

Standard No. 4

The municipality has a designated spokesperson to coordinate the dissemination of information to the public via the media. (See also the section on the Management of Emergencies.)

Commentary

This standard recommends the designation of a specific individual as spokesperson to ensure effective, consistent communication with the public on major issues and circumstances. This responsibility is generally delegated to the manager/administrator or the president or chair of the governing body. This individual should be readily available and accessible on a daily basis and especially during local emergencies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
### SUMMARY: SECTION I. -- GENERAL MUNICIPAL MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: PERSONAL RESPONSIBILITIES OF ELECTED OFFICIALS</th>
<th>Met - Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt; All members of municipal governing bodies, upon initial election, complete a training course for newly elected officials. All officials, during their terms of office, participate in continuing education courses and conferences directed to enhancing the knowledge, skills and abilities associated with the responsibilities of public office. Municipal resources are sufficient to support training activities.</td>
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<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt; Elected officials assume as part of their role the responsibility for educating the public (and municipal employees) about the issues and choices facing the government. They help people to see the community as a total enterprise, not as a series of separate factions to be separately accommodated. This effort is assisted through providing periodic newsletters and annual reports which discuss and explain issues, and by distributing comprehensive meeting agendas to the public. Officials always are well prepared to discuss and explain agenda items.</td>
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<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt; The reputation of the municipal government is that of a well-run local government, as opposed to a government dominated by “politics” and self-interest. This reputation is confirmed by periodically surveying citizen attitudes about their local government services and programs, and through positive media coverage.</td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt; The governing body has adopted and adheres to a Code of Ethics that complies with the standards which appear in Section XIII of this workbook.</td>
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</tbody>
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### FACTOR: PROVIDING FOR COMPETENT MUNICIPAL MANAGEMENT

| Standard No. 1<br> The local governing body by resolution, ordinance, or home rule charter provision, hires and delegates general administrative/management responsibilities to a professional manager/administrator. The enacting legislation should designate the major responsibilities of this position to include financial management; management of departmental operations; and personnel management, inclusive of hiring and firing of employees; with or without, the consent of the governing body. | | |

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*Sum Sec I - 1*
### SUMMARY: SECTION I. -- GENERAL MUNICIPAL MANAGEMENT

#### FACTOR: PROVIDING FOR COMPETENT MUNICIPAL MANAGEMENT (Continued)

<table>
<thead>
<tr>
<th>Standard No. 2</th>
<th>Met - Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>The individual hired as manager/administrator has been educated or trained in the field of municipal management/administration, or a related field, or is qualified on the basis of equivalent experience. Such qualifications are established as part of the authorizing resolution, ordinance or home rule charter provision.</td>
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<thead>
<tr>
<th>Standard No. 3</th>
<th>Met - Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
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<tbody>
<tr>
<td>When a municipality lacks the financial resources to employ a full-time, professionally trained manager or administrator, the governing body has taken one of the following steps to provide for competent municipal management:</td>
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</table>

1. Requires the municipal secretary to complete, within a reasonable time limit, the in-service training to attain certification by the International Institute of Municipal Clerks or Pennsylvania Local Government Secretaries Association. (In this circumstance, the governing body provides financial support for the required in-service training.)

2. Employs a part-time, professionally trained municipal manager or administrator.

3. Arranges, through contract, to share the services of a professional manager or administrator with another municipality.

#### FACTOR: THE GOVERNING BODY - MANAGER/SECRETARY RELATIONSHIPS

<table>
<thead>
<tr>
<th>Standard No. 1</th>
<th>Met - Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
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</thead>
<tbody>
<tr>
<td>At the time of hiring, and on an annual basis thereafter, the governing body and the individual hired to be the municipal manager or administrator formally document the terms and conditions of employment. Areas to be addressed include duties and responsibilities, mutual goals and expectations, periodic formal evaluation of performance, the formal and informal processes for communication between the two parties, compensation and benefits, circumstances under which employment might be terminated, and severance provisions.</td>
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<thead>
<tr>
<th>Standard No. 2</th>
<th>Met - Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
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<tbody>
<tr>
<td>The governing body should clearly establish the lines of authority and communication between it and the municipal employees. Except for purposes of investigation and inquiries individual members of the governing body and/or its committees do not give direct orders to any municipal department head or other employee, either publicly or privately, or interfere with operational duties of such persons. The governing body should designate how its concerns/complaints/suggestions from the governing body related to day-to-day municipal operations are to be handled.</td>
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<tr>
<td><strong>SUMMARY: SECTION I. -- GENERAL MUNICIPAL MANAGEMENT</strong></td>
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<tr>
<td><strong>FACTOR: THE GOVERNING BODY - MANAGER/SECRETARY RELATIONSHIPS</strong> (Continued)</td>
<td><strong>Met - Effective</strong></td>
<td><strong>Met – In-effective</strong></td>
<td><strong>Not Met</strong></td>
</tr>
<tr>
<td><strong>Standard No. 3</strong></td>
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<tr>
<td>Members of the governing body do not put the manager/administrator in an 'impossible position' by giving conflicting orders and directions, and/or by involving him/her in partisan political disputes or personality clashes.</td>
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<tr>
<td><strong>Standard No. 4</strong></td>
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<tr>
<td>The governing body, at least yearly, formally, in writing, provides the manager/administrator with an evaluation of his/her performance. This evaluation is based upon predetermined, measurable goals and objectives -- expectations -- to which both parties previously have agreed.</td>
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<tr>
<td><strong>Standard No. 5</strong></td>
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<tr>
<td>A weekly (or periodic) &quot;administrative report&quot; is prepared by the manager/administrator for the elected officials which addresses what has taken place during the period: problems, things accomplished, emerging issues, progress on projects, personnel notes, financial matters, etc. This report is in a format which is easy for the manager to prepare and which allows for quick reading by the elected officials.</td>
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<tr>
<td><strong>Standard No. 6</strong></td>
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<tr>
<td>The manager/administrator and governing body members do not permit problems, concerns, or disagreements to fester or go unspoken or unresolved.</td>
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<tr>
<td><strong>Standard No. 7</strong></td>
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<tr>
<td>If it becomes necessary to dismiss the manager/administrator, it is done with sensitivity to the personal, emotional, and financial costs associated with the dismissal action, and with the least public embarrassment possible.</td>
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<tr>
<td><strong>Standard No. 8</strong></td>
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<tr>
<td>The governing body should define the role the manager/administrator plays in the policy process. Most frequently, the elected officials expect him/her to support their policy-making role by providing needed information, developing options and indicating a recommended course of action. Once the manager/administrator has fulfilled his/her role, final decisions are left to the governing body.</td>
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<tr>
<td><strong>Standard No. 9</strong></td>
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<tr>
<td>The manager/administrator supports the policy-making role of the elected officials by providing needed information, developing options and even indicating a preference for a particular course of action. Once this supporting role has been fulfilled, he/she yields to the decision of the elected officials.</td>
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</tbody>
</table>

*Sum Sec I - 3*
<table>
<thead>
<tr>
<th>FACTOR: MEETINGS OF THE GOVERNING BODY</th>
<th>Met - Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>The laws governing open meetings and open records are strictly observed.</td>
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<tr>
<td>Standard No. 2</td>
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<tr>
<td>The governing body has adopted rules of procedure governing the conduct of its meetings. These rules provide for an orderly process by which elected officials address agenda items, and the public may address the governing body and the business before it. The presiding officer conducts meetings in accordance with these rules.</td>
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<tr>
<td>Standard No. 3</td>
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<tr>
<td>A formal agenda is prepared by the manager, secretary or administrator for each meeting, inclusive of regularly scheduled public meetings, special meetings, and executive sessions of the governing body. Except for work sessions where a department head or member of the governing body identifies the issues for discussion, the agenda is done in consultation with all members of the governing body, following an agreed-upon process.</td>
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<tr>
<td>Standard No. 4</td>
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<tr>
<td>There is an agreed-upon timetable and process which provides that the agenda be available to elected officials at least several days in advance of public meetings and executive sessions. Provided with the agenda are any materials, documents, or notes/commentary essential to understanding the business that will come before the governing body.</td>
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<tr>
<td>Standard No. 5</td>
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<tr>
<td>The agenda is available to the public before, and at, each meeting.</td>
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<tr>
<td>Standard No. 6</td>
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<tr>
<td>Once established, the agenda is not amended except by majority vote of the governing body, accompanied by a public explanation of the need for the agenda to be changed.</td>
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<tr>
<td>Standard No. 7</td>
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<tr>
<td>For issues or problems expected to generate more than normal interest and extensive discussion, the governing body schedules special meetings/public hearings.</td>
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<tr>
<td>Standard No. 8</td>
<td></td>
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<tr>
<td>Meetings are run efficiently and in a manner that respects the time of elected officials and the public.</td>
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<tr>
<td>FACTOR: INTERNAL ORGANIZATION OF LOCAL GOVERNMENT</td>
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<td></td>
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<tr>
<td>Standard No. 1</td>
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<tr>
<td>The municipality has adopted an administrative code which establishes the government's internal organization, including the major functions and responsibilities of departments, boards, commissions and committees.</td>
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<tr>
<td>FACTOR: INTERNAL ORGANIZATION OF LOCAL GOVERNMENT (Continued)</td>
<td>Met - Effective</td>
<td>Met - In-effective</td>
<td>Not Met</td>
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<tr>
<td>---------------------------------------------------------------</td>
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<td>-------------------</td>
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<tr>
<td><strong>Standard No. 2</strong></td>
<td>Written operating procedures have been developed for all major functions, programs and services provided by municipal departments, boards and/or commissions.</td>
<td></td>
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<tr>
<td><strong>Standard No. 3</strong></td>
<td>The municipality is in compliance with the provisions of the Americans with Disabilities Act.</td>
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<tr>
<td><strong>Standard No. 4</strong></td>
<td>The local governing body, manager, administrator or secretary and department heads periodically review municipal services and administrative functions to determine whether existing operating methods are the most efficient and effective way to provide services and activities.</td>
<td></td>
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</tbody>
</table>

**FACTOR: SPECIAL APPOINTMENTS**

| Standard No. 1 | When the municipality requires the services of attorneys, accountants, engineers, planners, financial advisers, or bond counsel, the governing body has established and follows a formal contracting procedure. This process includes: 1) the development of a scope of services for the work to be performed; 2) the use of a formal request for proposal (RFP); 3) public advertisement that proposals are being accepted; 4) review and evaluation of proposals in accordance with the pre-established criteria contained in the scope of services; and 5) award of a contract to the individual or firm with the best professional qualifications, able to do the work at the most efficient cost. | | |
| **Standard No. 2** | The governing body fills vacancies on the zoning hearing board, planning, recreation, ethics and, civil service commissions, etc. through an open process which balances broad-based community representation with specific qualifications needed to ensure effective performance. | | |
| **Standard No. 3** | All boards, committees and commissions have adopted by-laws or rules and regulations, approved by the governing body which, among other things, establish goals, fix responsibilities of members, provide for the orderly conduct of business, and set procedures for regularly reporting to the governing body on their work. Included in these procedures is a requirement for an annual report to the legislative body to review the work of the group and identify major issues/topics for its consideration in the near future. | | |
| **Standard No. 4** | The municipality has a designated spokesperson to coordinate the dissemination of information to the public via the media (especially in emergency circumstances). | | |
FINANCIAL MANAGEMENT II

Municipal financial management includes five areas of activity: accounting, budgeting for operations and capital projects, cash management and investments, debt management and auditing. Minimum standards for each area are presented in the following pages. A brief description of each area is presented below:

- **accounting** - the process of creating and maintaining a consistent and readily accessible records system which represents all of the local government’s financial transactions;

- **budgeting** - the plan annually adopted by the legislative body which allocates revenues to support the local government’s spending priorities for services, programs and capital improvements;

- **cash management and investments** - the actions taken to accelerate the collection of revenues, to meet expenditure obligations in a timely manner and generate investment earnings on available cash until it is used to meet expenditure obligations;

- **debt management** - the use of long term borrowing by the municipality to finance capital improvements; and

- **auditing** - the annual review of the accounting records using generally accepted accounting practices to determine whether the municipality’s financial transactions conform to those permitted by municipal codes and charters and authorized in the annual budget.

The effects of a sound financial management system can be seen throughout the year. Beyond providing the data and information necessary to comply with external reporting and oversight requirements, it acts as a foundation for local decision and policy making processes. A fundamental understanding of what constitutes minimum performance for a financial management system will permit local officials to develop reasonable expectations about how it should function as well as what information it should provide.
FINANCIAL MANAGEMENT II

FACTOR: THE MUNICIPAL BUDGET: THE PROCESS

Standard No. 1

Budget preparation is the responsibility of an appointed official who has a general understanding of, or who has been trained, in the area of budgeting and municipal financial management practices.

Commentary

It is inappropriate to believe that anyone can prepare the municipal budget. Skill and knowledge on the part of the budget preparer are essential if elected officials are to have a budget that will provide accurate information, in a format that will clearly let them assess the fiscal condition of the municipality and set spending priorities. Spending and revenue projections, based on incomplete or faulty information or data, can rarely result in good decisions.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR: THE MUNICIPAL BUDGET: THE PROCESS  (Continued)

Standard No. 2

The annual budget contains a budget message which, among other things, draws attention to positive financial circumstances as well as areas of concern.

Commentary

For areas of financial concern such as a reduction in revenues, the need for a tax rate increase, or staff or service expenditures for which funds are not available, the budget message should call attention to the problem(s), provide a discussion of the circumstances which contribute to the problem, and identify alternatives for resolving the problem(s) together with specifics on which option has been incorporated into the proposed budget. The budget document should be presented in a format that is clearly understandable by government officials, the public, and the media.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR:  THE MUNICIPAL BUDGET: THE PROCESS  (Continued)

Standard No. 3

The budget is comprehensive, covering all governmental, proprietary and fiduciary funds for each fiscal year. The budget, as an essential element of financial planning, control, and evaluation, presents projected revenues and expenditures for both capital and operating areas for all funds.

Commentary

This comprehensive approach to budgeting is essential for monitoring the fiscal health of the municipality and communicating the municipality’s priorities. Any other approach can result in an inaccurate and incomplete picture of expenditures and revenues and, thus, hinders good financial planning. Projected expenditures for the capital budget and associated funding strategies should be drawn from the multi-year capital improvements plan.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: THE MUNICIPAL BUDGET: THE PROCESS (Continued)

Standard No. 4

There are established procedures, including a budget calendar, which guide budget preparation and adoption. The procedures include a stipulation that at least one public hearing on the budget be held, after the budget is advertised as publicly available, and is at least one week prior to adoption.

Commentary

Adoption of the annual budget is one of the local governing body's most significant responsibilities. Elected officials and those preparing the budget and the local citizens should have the opportunity to interact as the budget is being deliberations. Discussion should focus on the issues facing the municipality and how the proposed budget addresses them. A budget calendar can help to formalize the procedure. The call for a public hearing in advance of adoption, although not required by the municipal codes, is essential not only to build and maintain public trust, but to gain public input in time to give it serious consideration before the budget is adopted.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: THE MUNICIPAL BUDGET: THE PROCESS (Continued)

Standard No. 5

For each expenditure area of the budget, the responsible municipal official(s)/
department head(s) present a commentary to substantiate their expenditure
requests. The substantiation should conform to a prescribed format which includes
a statement of need, the volume and nature of work to be performed and supporting
data for estimated costs and possible benefits to be achieved.

Commentary

Supporting data should be provided for any changes or unusual/extraordinary problems
which will affect the expenditure side of the budget. The budget request document
provides an opportunity for those most familiar with each budget area to explain and
justify specific objectives and performance measures/targets. It also affords the
opportunity to explain the impact of policy changes on operations, service levels and/or
revenue requirements.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   __ Not relevant __ No interest __ Lack resources
   __ Lack administrative capacity/ initiatives __ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR: THE MUNICIPAL BUDGET: THE PROCESS  (Continued)

Standard No. 6

The budget format displays all revenues and expenditures for the immediate past three to five years, the estimated actual total revenues and expenditures for the current year and projections for the coming year.

Commentary

Trend data are extremely helpful, if not essential, to the decision-makers. Such data can help to raise questions and alert officials to real or potential problems in order to formulate contingency plans. The budget is a dynamic process that requires constant changes and adaptations to changing circumstances.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: THE MUNICIPAL BUDGET: THE PROCESS (Continued)

Standard No. 7

Revenue and expenditure projections are realistic and based on valid support data.

Commentary

Any local government which attempts to balance its budget with unrealistic revenue projections or nonexistent revenues is setting the stage for financial distress. It is best to tackle the budget balancing problem up front--when the budget is adopted. Where can expenditures be cut? What new revenue sources are available? What adjustments in tax rates will be needed?

Similar to revenue projections, expenditure control throughout the fiscal year represents a critical factor as to whether the budget will be in or out of balance. Policy-makers are often guilty of cutting budgets at the time of preparation and not following through during the course of the fiscal year which ultimately results in a deficit by year end.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   __ Not relevant  __ No interest  __ Lack resources
   __ Lack administrative capacity/initiatives  __ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MULTI-YEAR CAPITAL IMPROVEMENTS PLANNING

Standard No. 1

The municipality has prepared and is implementing a multi-year capital improvements plan. It identifies the estimated cost, starting and completion dates for each project, the amount of money to be spent each year, the method of financing each project, and the impact each capital project will have upon the operating budget.

Commentary

The multi-year capital improvements plan is prospective in nature and generally extends for a period of five years in the future. It is the principal means by which a municipality prioritizes and presents capital equipment, facilities and other infrastructure needs and the financing plans to support the expenditures. The preparation of the plan frequently precedes the development of the annual operating budget. To adequately define the nature and the cost of construction of major capital projects, the municipality may seek engineering, architectural and other professional advice, as appropriate.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MULTI-YEAR CAPITAL IMPROVEMENTS PLANNING (Continued)

Standard No. 2

The multi-year financial planning process includes projections of current revenue and expenditure programs. These projections are based upon various assumptions as to the future local environment.

Commentary

Multi-year projections of current revenues and expenditures will enable municipal officials to identify future operating budget needs and concerns and to develop ways and means to address them. To give the process validity and meaning, it is critical that a variety of data be gathered to support economic, social and demographic assumptions that are used to create the projections.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MULTI-YEAR FINANCIAL PLANNING (Continued)

Standard No. 3

Current operating and capital financial decisions for the annual budget are based upon appropriate sections of the multi-year financial plan.

Commentary

If financial planning is to be a meaningful policy and management tool, its proposals, where appropriate, must be implemented. The logical ways to implement these proposals is to use them in developing current revenue and expenditure plans.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MULTI-YEAR FINANCIAL PLANNING (Continued)

Standard No. 4

As part of the annual capital plan preparation, there is at least one public hearing at which the public can express its view on capital needs.

Commentary

The public hearing ought to be scheduled after the multi-fiscal plan has been drafted and made available for review by the public. Enough information should be provided to allow the public to understand the problems and proposed solutions as well as how the projects will be financed. The public should be encouraged to comment not only in regard to the proposed projects, but to identify areas of projects which may have been addressed in the capital budget.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR:  MULTI-YEAR FINANCIAL PLANNING  (Continued)

Standard No. 5

Decisions with respect to long-term borrowing or other means of capital financing are made in accordance with the provisions in the municipality's financial plan.

Commentary

Frequently, a municipality must finance expensive capital projects via short-term loans and longer term bonded debt. In planning for the implementation of a multi-year plan, the local government's actions related to the issuance of long term debt should be based on those outlined in the plan.

To minimize the cost involved with the debt issuance process, if a municipality does not issue capital debt on an annual basis, it may opt to fund two or three years worth of capital projects through one bond issue or large capital note.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)

Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR:  MULTI-YEAR FINANCIAL PLANNING (Continued)

Standard No. 6

Detailed schedules of debt service requirements are presented in the annual capital budget.

Commentary

If capital projects are to be debt financed, the estimated cost of the repayment of interest and principal on the debt should be presented at the time the multi-year financial plan is made available for review by the governing body and the public. Commentary should also be included concerning the capacity of the municipality to raise new, or allocate existing, revenues to pay the debt service for the term of the loan or bond issue.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
      ___ Not relevant  ___ No interest  ___ Lack resources
      ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MULTI-YEAR FINANCIAL PLANNING (Continued)

Standard No. 7

Bond maturity schedules are designed so that they do not exceed the expected life of the projects financed by such bonds.

Commentary

Part of the multi-year fiscal planning process should be to estimate how long the proposed projects will last or provide service to the community. State laws which govern municipal borrowing require that the projects financed with debt proceeds exist or have a "useful life" for at least as long as it takes to totally repay the loan or bond issue.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason: 
   ___ Not relevant   ___ No interest   ___ Lack resources 
   ___ Lack administrative capacity/initiatives   ___ Other 

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MULTI-YEAR FINANCIAL PLANNING (Continued)

Standard No. 8

Funds borrowed for longer than one year are used to finance capital projects, not current operating expenses.

Commentary

Along with this standard, it is recommended that the municipality provide a definition of what constitutes a "capital project." Any item not meeting this definition, should not be financed by borrowed money. The definition of a capital item most often reflects a dollar amount or the useful life of an item. For example: Capital expenditures for equipment with a useful life of three years shall be part of the operating budget. Or, equipment or projects which cost $5,000 or more will be included in the capital improvement budget.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: THE MULTI-YEAR FINANCIAL PLANNING (Continued)

Standard No. 9

The replacement and maintenance of municipal equipment, vehicles or facilities is to be in accordance with a formal schedule. This plan is used for planning and in preparing the annual operating budget.

Commentary

If a municipality has a replacement and maintenance schedule which encompasses all of its infrastructure -- facilities, equipment and vehicles -- it can be used for the multi-year planning of major expenditures. Also, new capital facilities and equipment over the long term generally result in additional operating costs related to preventative maintenance and parts replacement. These new or additional costs should be projected at the same time the capital projects are considered since they will require an allocation in future annual operating budgets.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION

Standard No. 1

During peak revenue flows, moneys are deposited on the day of receipt by the responsible collector. In other periods revenues are to be deposited at least weekly.

Commentary

The timely deposit of monies on behalf of the municipality not only protects against the loss of funds but maximizes the opportunity to earn interest through the investment of all available funds. The frequency of the deposit and transfer of funds from those responsible for collections should be stipulated by the local governing body.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION (Continued)

Standard No. 2

There are established procedures to ensure that all businesses and individuals liable for payment of Act 511 taxes are on the tax rolls.

Commentary

The governing body should institute an occupancy permit process to identify changes in owner-occupants as well as rental unit tenants for use in the updating of taxpayer rolls. A computerized master housing and business directory maintained by the municipality is also an excellent means for maintaining tax rolls.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION (Continued)

Standard No. 3

Real estate tax and utility rolls are audited annually to ensure accuracy and completeness.

Commentary

All individuals liable for a tax should be on the tax rolls, both for the sake of fairness and to assure that the municipality is getting the maximum revenue from its tax levies. The municipality should work closely with the real estate tax assessor to provide information on new construction or renovations that should be considered for tax purposes. The occupancy permit process is also a way to review the accuracy of utility account listings. Those responsible for utility billing should be continuously notified of new owners or tenants.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION (Continued)

Standard No. 4

The municipality has established an annual verification program to selectively audit Act 511 tax returns.

Commentary

Many non-property taxes, such as, the earned income and net profits, amusement, mercantile and business privilege, are to a large extent self-assessing levies. That is, those who are liable for one or more of these types of taxes report that fact to the imposing jurisdiction, identify the nature and scope of their liabilities, and pay taxes based on those reported liabilities.

These self-assessing and reporting characteristics make these types of tax levies most susceptible to taxpayers either under-reporting or not reporting their true tax liabilities. Under-reporting or non-reporting of tax liabilities has two impacts they reduce yields and play havoc with the concepts of horizontal equity, since equals are not being treated equally. To address this issue, municipalities should adopt tax verification programs which require audits of taxpayers' records to substantiate their tax liabilities and tax payments.

Rating Scale

Standard is:

1. ___ Met, and is effective. (_verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant ____ No interest ____ Lack resources
   ____ Lack administrative capacity/initiatives ____ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION (Continued)

Standard No. 5

Interest and penalty charges on taxes and fees conform to current law and are adequate to encourage prompt payment.

Commentary

The local governing body should periodically review the state law concerning the interest and penalty which may be applied to delinquent tax and fee payments. Not only should local governments authorize the charge of the maximum allowable interest and penalty values on overdue accounts, it should institute policies against the waiver of such charges by those who collect the revenues without the legislative body's formal authorization.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION (Continued)

Standard No. 6

The municipality periodically analyzes tax delinquencies and has a program in place which aggressively attempts to collect these delinquent taxes.

Commentary

With an effective program, a municipality should be able to collect about 95-98 percent of its real property taxes and greatly improve the collection of non-property taxes. Delinquent tax accounts should be turned over to the delinquent tax collector on a timely basis. The municipality should expect the delinquent tax collector to vigorously pursue overdue accounts and use whatever means inclusive of property liens, and pay attachment and magisterial actions. Sheriff sales of chronically delinquent properties or for those which have reached a delinquency of a predetermined minimum value should be authorized by the local governing body.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: REVENUE COLLECTION (Continued)

Standard No. 7

The local government has taken steps to adopt an ordinance and developed rules and regulations to implement the “Local Taxpayers Bill of Rights.”

Commentary

The “Local Taxpayers Bill of Rights” or Pennsylvania Act 50, enacted in 1998, requires that municipalities which levy certain non-property taxes adopt rules and regulations for the practice, procedures and administration in the audit, assessment, and appeal of many non-property taxes. The taxing body must notify the taxpayers of their rights as part of the audit process. The act also requires the payment of interest on refunds made to taxpayers.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR:  REVENUE COLLECTION  (Continued)

Standard No. 8

Where fees and service charges have been established, they are adequate to recoup all direct and indirect costs of providing these services.

Commentary

Municipalities that impose fees for services or utilities should strive to set a fee schedule that encompasses all of the personnel, contractual and materials/supplies costs and indirect costs dealing with overhead, depreciation and return on investment charges related to the provision of the service. This will alleviate the need to subsidize the cost of providing the service from general fund tax revenues. It will also enable the municipality to determine whether the service is being provided on a cost-efficient basis.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: CASH MANAGEMENT AND INVESTMENTS

Standard No. 1

The municipality has a cash management plan which projects and displays both expected revenues and disbursements on a monthly, weekly or daily basis, as appropriate.

Commentary

The primary purpose of a cash management plan is to permit the municipality to know at any time what money is available for investment. The municipality needs to keep track of those times during the year when it knows what revenues will be received and in what amount, and how much of that revenue will be required to pay bills at on a monthly or bi-weekly basis. A cash management plan will help the municipality to invest its available cash for the longest time possible without limiting its ability to pay current expenditure obligations.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: CASH MANAGEMENT AND INVESTMENTS (Continued)

Standard No. 2

All revenues are combined for investment purposes and an audit trail is maintained for each revenue source.

Commentary

To facilitate the investment of available cash, the municipality monitors the receipts within each of its funds on a daily basis. Any money not required to pay bills is invested. In order to purchase certificates of deposit of a value which may garner a higher rate of interest, the municipality should combine money from its various funds for investment purposes. Interest earned is allocated on a proportionate basis to the respective funds from which the money was drawn.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
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MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: CASH MANAGEMENT AND INVESTMENTS (Continued)

Standard No. 3

Investment responsibilities are vested in a single individual, ideally an administrative employee, within the local government.

Commentary

To assure the prudent investment of municipal funds, the local governing body has appointed an investment officer who is capable of making informed decisions regarding the safety, liquidity and yield of instruments available to local governments. To do so, the individual should be trained and knowledgeable of prevailing provisions of state statutes or municipal codes regarding investments, the principles associated with sound governmental investment practices, and the considerations used to develop the municipality's investment policies and/or annual investment objectives.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
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   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR:  PURCHASING POLICY AND PROCEDURES

Standard No. 1

All policies and procedures pertaining to the purchase of goods and services are to be in writing and designed to provide the municipality with a cost-effective purchasing system which conforms to laws governing the purchase of materials and services. The local governing body has formally approved the purchasing policies and procedures.

Commentary

Responsibility for municipal purchasing should be delegated officially by the local legislative body to a specific individual – either a public official or municipal employee. For such individuals to be accountable for their actions, they must be authorized to implement the adopted municipal purchasing controls without interference. An important part of this individual’s assignment is providing personal assurance in writing that purchased goods and services have been received, inspected and meet prescribed standards. The duties, responsibility and authority of the municipal purchasing agent should be written and be adopted by the governing body.

A manual should be adopted in order to achieve status as the official municipal purchasing policies and procedures. A copy of the manual should be available for inspection by vendors and the public at the office of the municipality.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: PURCHASING POLICY AND PROCEDURES (Continued)

Standard No. 2

There is a system governing inventory and inventory control.

Commentary

An inventory control system is viewed as necessary when any of the following conditions apply:
- materials are purchased in large quantities to secure better prices
- materials are used in more than one department
- materials are used for both maintenance and construction activities
- materials are vital to maintain service and care must be exercised to avoid an oversupply or out-of-stock condition

Although there are these benefits to be gained from an inventory control system, it must be recognized that the system’s establishment and maintenance is a cost to the administration. It is a cost which should be avoided, but without sacrificing any benefits.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check “Reason” and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MUNICIPAL ACCOUNTING

Standard No. 1

The municipality has an accounting system based upon generally accepted accounting principles (GAAP). The responsibility for the accounting function rests with an individual who has had training in accounting procedures and processes, and who understands generally accepted accounting principles. Jurisdictions whose annual expenditure programs are less than $500,000 may design an accounting system which may not be as comprehensive as the one above, but one which permits jurisdictions to ascertain their true fiscal positions on an annual basis.

Commentary

There are often complaints to the effect that a good, formal system of accounting is too expensive and too difficult for a small municipality. However, Philip Dearborn, Consultant to the U.S. Advisory Commission on Intergovernmental Relations, has noted, “Our work indicates that when a municipality has a financial emergency, it usually does not have good accounting. If you’re too small to do decent accounting and reporting, you probably should consolidate, merge, or go out of business.” (The standards below reflect essential elements of responsible accounting.) When laws or other contractual requirements and generally accepted accounting principles conflict, governmental officials should prepare financial statements in conformity with generally accepted accounting principles and use supporting schedules to demonstrate compliance with legal requirements.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MUNICIPAL ACCOUNTING

Standard No. 2

Regular interim reports of actual revenues and expenditures, as compared to budgeted amounts, are prepared and presented to the governing body on a periodic basis, accompanied by commentary from the preparer to highlight extraordinary circumstances and concerns.

Commentary

The budget represents projected revenues and expenditures based on supporting data. As the fiscal year unfolds, those projections need to be closely monitored in order for policy-makers to take corrective actions to ensure that the budget remains in balance. The local governing body should receive the reports on an interim basis (monthly or quarterly in smaller communities). They should be reviewed and acknowledged by the governing body at a public meeting.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MUNICIPAL ACCOUNTING (Continued)

Standard No. 3

An internal control system exists and provides for both administrative and accounting controls. The benefits of the intended controls exceed the costs associated with establishing and maintaining the system.

Commentary

At a minimum, these controls should:

a. segregate responsibilities, where possible, so the same person is not responsible for all parts of a financial transaction.
b. establish clear authorization for all expenditures and contractual obligations in the minutes, with approval date noted on bills/invoices.
c. adopt mechanisms to establish audit trails such as the use of pre-numbered receipts.
d. limit access to assets by requiring daily bank deposits, locking up check signature stamps and keeping cash in a safe.
e. confirmation of records against each other from time to time – For example, duplicate copies of receipts should be compared to bank deposit slips.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:

___ Not relevant ___ No interest ___ Lack resources
___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT   II

FACTOR:   MUNICIPAL ACCOUNTING  (Continued)

Standard No. 4

The local governing body has, by formal action, adopted policies and procedures governing the establishment and use of petty cash accounts within the general, or other appropriate fund. At a minimum, these policies and procedures: fix administrative responsibilities for these accounts, determine the amounts of cash to be maintained in various accounts, identify types of records and documents to be maintained for these accounts, and designates uses for the accounts.

Commentary

Almost every local government requires petty cash to handle small disbursements when it is impractical to use the formal purchasing system. Nevertheless, since it is public money that is involved, the petty cash account must be managed in a manner that will establish accountability for the use of funds however small in magnitude.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant    ___ No interest    ___ Lack resources
   ___ Lack administrative capacity/initiatives    ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MUNICIPAL AUDITING

Standard No. 1

The annual audit is conducted by an independent, professional auditor or auditing firm in accordance with generally accepted governmental auditing standards. Local governments whose annual expenditure programs are less than $500,000 should have professional audits at least once in every five years regardless of whether the municipality has elected auditors.

Commentary

The primary objective of the audit is to receive an independent opinion as to the fairness of presentation of the financial statements and results of operations according to generally accepted accounting principles. In addition, a significant objective of governmental auditing is to determine whether a governmental unit has complied with applicable legal requirements in obtaining and spending public monies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT  II

FACTOR: MUNICIPAL AUDITING (Continued)

Standard No. 2

The most recent annual financial report contains an independent auditor's unqualified opinion ("clean opinion").

Commentary

With an unqualified opinion, the auditor states that the financial statements present fairly the government's financial position and operating results in accordance with generally accepted accounting principles applied on a consistent basis.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FINANCIAL MANAGEMENT II

FACTOR: MUNICIPAL AUDITING (Continued)

Standard No. 3

An exit conference between the auditor and local officials takes place at the conclusion of the audit.

Commentary

The purpose of the exit conference is to provide an opportunity to discuss in detail the audit findings in conjunction with other management recommendations. Greater understanding of financial management practices as well as possible corrective actions can be identified, as appropriate, through participation in such meetings.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
### SUMMARY: SECTION II. – FINANCIAL MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: THE MUNICIPAL BUDGET: THE PROCESS</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;Budget preparation is the responsibility of an appointed official who has a general understanding of, or who has been trained, in the area of budgeting and municipal financial management practices.</td>
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<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;The annual budget contains a budget message which, among other things, draws attention to positive financial circumstances as well as areas of concern.</td>
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<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;The budget is comprehensive, covering all governmental, proprietary and fiduciary funds for each fiscal year. The budget, as an essential element of financial planning, control, and evaluation, presents projected revenues and expenditures for both capital and operating areas for all funds.</td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;There are established procedures, including a budget calendar, which guide budget preparation and adoption. The procedures include a stipulation that at least one public hearing on the budget be held, after the budget is advertised as publicly available, and is at least one week prior to adoption.</td>
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<tr>
<td><strong>Standard No. 5</strong>&lt;br&gt;For each expenditure area of the budget, the responsible municipal official(s)/department head(s) present a commentary to substantiate their expenditure requests. The substantiation should conform to a prescribed format which includes a statement of need, the volume and nature of work to be performed and supporting data for estimated costs and possible benefits to be achieved.</td>
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<tr>
<td><strong>Standard No. 6</strong>&lt;br&gt;The budget format displays all revenues and expenditures for the immediate past three to five years, the estimated actual total revenues and expenditures for the current year and projections for the coming year.</td>
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<tr>
<td><strong>Standard No. 7</strong>&lt;br&gt;Revenue and expenditure projections are realistic and based on valid support data.</td>
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</tbody>
</table>

**Sum:** Sec II - 1
### SUMMARY: SECTION II. – FINANCIAL MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: MULTI-YEAR CAPITAL IMPROVEMENTS PLANNING</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;The municipality has prepared and is implementing a multi-year capital improvements plan. It identifies the estimated cost, starting and completion dates for each project, the amount of money to be spent each year, the method of financing each project, and the impact each capital project will have upon the operating budget.</td>
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<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;The multi-year financial planning process includes projections of current revenue and expenditure programs. These projections are based upon various assumptions as to the future local environment.</td>
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<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;Current operating and capital financial decisions for the annual budget are based upon appropriate sections of the multi-year financial plan.</td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;As part of the annual capital plan preparation, there is at least one public hearing at which the public can express its view on capital needs.</td>
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<tr>
<td><strong>Standard No. 5</strong>&lt;br&gt;Decisions with respect to long-term borrowing or other means of capital financing are made in accordance with the provisions in the municipality’s financial plan.</td>
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<tr>
<td><strong>Standard No. 6</strong>&lt;br&gt;Detailed schedules of debt service requirements are presented in the annual capital budget.</td>
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<tr>
<td><strong>Standard No. 7</strong>&lt;br&gt;Bond maturity schedules are designed so that they do not exceed the expected life of the projects financed by such bonds.</td>
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<td><strong>Standard No. 8</strong>&lt;br&gt;Funds borrowed for longer than one year are used to finance capital projects, not current operating expenses.</td>
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<tr>
<td><strong>Standard No. 9</strong>&lt;br&gt;The replacement and maintenance of municipal equipment, vehicles or facilities is to be in accordance with a formal schedule. This plan is used for planning and in preparing the annual operating budget.</td>
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<tr>
<td>FACTOR: REVENUE COLLECTION</td>
<td>Met – Effective</td>
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<tr>
<td><strong>Standard No. 1</strong></td>
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<td>During peak revenue flows, moneys are deposited on the day of receipt by the responsible collector. In other periods revenues are to be deposited at least weekly.</td>
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<td><strong>Standard No. 2</strong></td>
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<td>There are established procedures to ensure that all businesses and individuals liable for payment of Act 511 taxes are on the tax rolls.</td>
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<td><strong>Standard No. 3</strong></td>
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<td>Real estate tax and utility rolls are audited annually to ensure accuracy and completeness.</td>
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## SUMMARY: SECTION II. – FINANCIAL MANAGEMENT

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<tr>
<th>FACTOR: PURCHASING POLICY AND PROCEDURES</th>
<th>Met – Effective</th>
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<tr>
<td>All policies and procedures pertaining to the purchase of goods and services are to be in writing and designed to provide the municipality with a cost-effective purchasing system which conforms to laws governing the purchase of materials and services. The local governing body has formally approved the purchasing policies and procedures.</td>
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<tr>
<td><strong>Standard No. 2</strong></td>
<td></td>
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<tr>
<td>There is a system governing inventory and inventory control.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>FACTOR: MUNICIPAL ACCOUNTING</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>The municipality has an accounting system based upon generally accepted accounting principles (GAAP). The responsibility for the accounting function rests with an individual who has had training in accounting procedures and processes, and who understands generally accepted accounting principles. Jurisdictions whose annual expenditure programs are less than $500,000 may design an accounting system which may not be as comprehensive as the one above, but one which permits jurisdictions to ascertain their true fiscal positions on an annual basis.</td>
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<tr>
<td><strong>Standard No. 2</strong></td>
<td></td>
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<tr>
<td>Regular interim reports of actual revenues and expenditures, as compared to budgeted amounts, are prepared and presented to the governing body on a periodic basis, accompanied by commentary from the preparer to highlight extraordinary circumstances and concerns.</td>
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<tr>
<td><strong>Standard No. 3</strong></td>
<td></td>
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</tr>
<tr>
<td>An internal control system exists and provides for both administrative and accounting controls. The benefits of the intended controls exceed the costs associated with establishing and maintaining the system.</td>
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<tr>
<td><strong>Standard No. 4</strong></td>
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<tr>
<td>The local governing body has, by formal action, adopted policies and procedures governing the establishment and use of petty cash accounts within the general, or other appropriate fund. At a minimum, these policies and procedures: fix administrative responsibilities for these accounts, determine the amounts of cash to be maintained in various accounts, identify types of records and documents to be maintained for these accounts, and designates uses for the accounts.</td>
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<tr>
<td>FACTOR: MUNICIPAL AUDITING</td>
<td>Met – Effective</td>
<td>Met – In-effective</td>
<td>Not Met</td>
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<tr>
<td>-----------------------------</td>
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</tr>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;The annual audit is conducted by an independent, professional auditor or auditing firm in accordance with generally accepted governmental auditing standards. Local governments whose annual expenditure programs are less than $500,000 should have professional audits at least once in every five years regardless of whether the municipality has elected auditors.</td>
<td>Met – Effective</td>
<td>Met – In-effective</td>
<td>Not Met</td>
</tr>
<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;The most recent annual financial report contains an independent auditor's unqualified opinion (“clean opinion”).</td>
<td>Met – Effective</td>
<td>Met – In-effective</td>
<td>Not Met</td>
</tr>
<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;An exit conference between the auditor and local officials takes place at the conclusion of the audit.</td>
<td>Met – Effective</td>
<td>Met – In-effective</td>
<td>Not Met</td>
</tr>
</tbody>
</table>
PERSONNEL MANAGEMENT  III

INTRODUCTION

“If you’re going to take out a long-term car loan, don’t buy a short-term car.”

This piece of advice comes from The One-Minute Manager by Blanchard and Johnson (Blanchard and Johnson Berkley Books, 1981). For local governments the message is this: The largest portion of any municipal budget goes to support employees' salaries and benefits. Once hired, whether through merit or patronage, most employees will be with the municipality for the long-term. Building a case for dismissal is difficult. Unionized environments provide protection. Once hired, court decisions make it illegal to dismiss most "political" appointments, except for cause related to performance. The personnel management goal, then, should be to hire "winners" in the first instance. The standards which follow establish the foundation that is needed to do this. It should be noted, however, that meeting these standards is much dependent on meeting the standards of General Municipal Management - Section I.

It is hard to overstate the importance of personnel management. The ability of a local government to provide quality services, to respond to issues, and to resolve its problems rests squarely upon its ability and willingness to attract and retain "winners," and to motivate and utilize this human talent to achieve goals. Each employee must be seen as an investment. Local governments which do not pursue the investment strategy, and which give deference to immediate political preferences, risk not having the personnel competence that is needed to carry out the responsibilities of a local government at a high level, and in an ever-increasing complex and competitive society.

The following topics are covered in this section:

- Job analysis
- Personnel recruitment, selection and promotion
- Compensation
- Performance evaluation
- Personnel records
- Probationary period
- Employee discipline and grievance procedures
- Training

Taken as a whole, the standards which follow:

1. Support competence through implementation of merit selection, promotion, and retention.
2. Put in place personnel practices which are needed to meet the major mandates established by the U.S. Supreme Court, other courts and legislation in the areas of recruitment, selection, promotion, performance appraisal, and retention.
3. Recognize that the best productivity takes place in an environment that promotes fairness, and which respects the dignity, rights, and abilities of individuals.
PERSONNEL MANAGEMENT III

FACTOR: JOB ANALYSIS

Standard No. 1

1. For all municipal jobs there has been an analysis which seeks answers to such questions as: a) Where and how does the employee get information used in performing the job? b) What reasoning, decision making, planning, and information processing activities are involved? c) What physical activities are performed and what tools or devices are used? d) What kinds of relationships with other people are involved? e) What is the physical and social environment? f) What would be the impact if there are mistakes - if the job is not done well?

Commentary

Job analysis is the first in a series of sequential steps essential to personnel management:

(5) Job Compensation
   Determine pay on the basis of worth/equity.

(4) Job Classification
   Arrange jobs in terms of worth.

(3) Job Evaluation
   Determine the relative worth of each job.

(2) Job Description
   Describe it.

(1) Job Analysis
   Find out what each job involves.

Job analysis should apply to all jobs: union, non-union; classified or unclassified. Also, it is through job analysis that local governments are able to meet the legal mandates that job selection, promotion, and performance appraisal be job related. The specific factors which follow provide further clarification. It should be noted that, initially, installing the system above is time-consuming, and requires some special expertise. Small municipalities, particularly those without a professional manager, should seek assistance from a personnel specialist.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check “Reason” and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION

Standard No. 1

All positions to be filled are openly and publicly advertised in a manner which will reach a maximum number of potential applicants.

Commentary

The principles of fairness and non-discrimination are fundamental to a merit selection process which should be the standard for all local governments. These principles undergird the moral and ethical precepts that all public jobs should be open to those who meet the basic requirements. Local government jobs are not the property of local officials.

Under Pennsylvania law, police and fire personnel in those class cities, boroughs and first class townships with more than three full-time such personnel, are required to publicly advertise for these positions. This standard extends this requirement to all positions in all jurisdictions. Encouraging applications for all positions is the first step in hiring the brightest and best for public service, and furthering the "investment strategy."

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION (Continued)

Standard No. 2

All qualifications/requirements for positions to be filled are job-related.

Commentary

Federal law requires that any job qualification (age, education, height/weight, non-smoker, etc.) be related to the job. If a job requirement is challenged by an applicant, the burden will fall to the municipality to establish that it is essential for the job. The municipality will find it difficult to establish its case if it has not engaged in a formal job analysis, as called for in the earlier standard.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION (Continued)

Standard No. 3

For all positions to be filled, candidates compete on the basis of an examination(s), written and/or oral, which is job-related and fairly tests for the knowledge, skills and abilities needed for the position.

Commentary

In Pennsylvania, under Code law, the only legal requirement for competitive examinations lies with the hiring of police and fire personnel in third class cities, boroughs and first class townships with three or more full-time officers. This standard extends the requirement to all hiring. With the business of government growing more complex and important, and with the need to make each tax dollar count, the effort must be to consider each hire as a long-term investment. Competitive examinations, and hiring from among those who do best, is an accepted personnel practice. The least acceptable practice is to hire friends, relatives and political supporters who have not demonstrated their competence through a competitive examination process. It is an acceptable practice to fill some top management positions through a process of non-competitive, unassembled examinations where candidates are considered on the basis of such factors as education, experience, and other factors considered relevant and essential for the position.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT   III

FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION  (Continued)

Standard No. 4

Job descriptions, based on an analysis of each job, are the basis for setting principal job requirements, and for structuring examinations. (Standard No.1)

Commentary

The law requires that all examinations, whether written and/or oral (assembled), or unassembled (based on factors such as experience and education) be job-related. If a job applicant challenges the appropriateness of an examination, the best defense for a municipality is a job description which has been developed on the basis of an analysis of the job. Even small local governments should seek assistance in initiating this foundation of a personnel management system. It supports not only recruitment and testing, but also performance evaluation and disciplinary actions, as noted in other parts of this section.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION (Continued)

Standard No. 5

As a final step in the selection process candidates undergo a physical examination and a background investigation.

Commentary

Before offering a position to a candidate it should be established that he or she has no physical disability that would interfere with the successful performance of the job. The physical should include any special tests, such as a physical agility test or a psychological examination if they are job related. The background investigation is important to determine if there is any criminal record or other problems that would detract from the successful performance of the job.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION (Continued)

Standard No. 6

The municipality has made appropriate changes in its employment policies and procedures and working environment to meet the requirements of the Americans With Disabilities Act.

Commentary

The provisions of this act are far-reaching and touch areas related to the filling of job vacancies and the selection/retention process. Municipal officials, through consultation with the solicitor and participation in periodic training, should keep current with the provisions of this Act.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
       ___ Not relevant ___ No interest ___ Lack resources
       ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR:  COMPENSATION PLAN

Standard No. 1

The local government's compensation plan, for similar positions, is competitive with those of other municipalities in the region, and with the private sector.

Commentary

What a local government pays in wages/ salaries and fringe benefits is, of course, dictated by what it is able to afford. This limitation must be coupled with the reality that highly qualified, productive employees are the municipality's greatest asset. A fair and competitive compensation plan is a strong factor in attracting such personnel.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: COMPENSATION PLAN (Continued)

Standard No. 2

The basis for the salary/wage paid for each position is a classification plan which distinguishes and evaluates each job on factors such as complexity, responsibility, discretion exercised and working conditions.

Commentary

It is understood that the municipal compensation plan will be governed in part by existing union contracts. However, the goal should be to work for a plan that is fair and equitable. As the standard above seeks external equity, this standard is concerned with internal equity. The position classification plan called for in this standard is developed from the job analysis noted in the section on recruitment and selection. If the municipality is paying the janitor more than the librarian, or a police officer more than the public works director, such action needs to be justified on the basis of job evaluation. If the job evaluation does not justify such differences, the goal should be to make adjustments over time. (Seniority and meritorious performance sometimes can justify the differences noted in the above examples.)

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.) 
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: PERFORMANCE EVALUATION

Standard No. 1

The municipality has a formal performance evaluation plan which provides for the evaluation of all employees at least annually. The plan is performance-based, as opposed to a person or trait-based method, and the plan's purposes and uses are clearly identified.

Commentary

Performance evaluation plans generally are used for determining pay increases and/or providing feedback to employees. Municipalities should be cautious in using evaluations for determining pay increases (merit pay) until the plan is widely accepted as fair, and fairly administered. Feedback from evaluation of performance serves two important functions: (1) it provides the opportunity to give excellent employees a "pat on the back," and also the opportunity to identify employees who are ready for more responsibility; and (2) for employees performing at an average or below-average level, the evaluation process provides the opportunity to discuss problems, agree on steps to improve performance, and provides documentation if disciplinary action becomes necessary.

If a performance evaluation system is adopted, the municipality must be able to validate its job relatedness, i.e., standards are based on critical job elements (performance-based). Person-based systems which assess personality traits, characteristics and attitudes often lead to subjective assessments and are subject to challenge unless it can be established that such traits are job related. Again, the job analysis, mentioned earlier, is the base for a performance-based system.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (**verified **not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: PERFORMANCE EVALUATION (Continued)

Standard No. 2

Employees are involved in the development of the performance evaluation plan.

Commentary

Performance evaluation plans "handed down from on high" generally will not be well received by those being evaluated. The plan must be based on mutual trust. Employees should have the right to be heard on the process, the factors identified for evaluation, and how the evaluated will be used.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: PERFORMANCE EVALUATION  (Continued)

Standard No. 3

All supervisors responsible for evaluating personnel have received training on the evaluation process and how to do a proper and fair employee evaluation.

Commentary

Once an evaluation system is in place, every effort should be made to have it taken seriously, and have it effectively and fairly administered. This is accomplished by training/briefing on the part of those who will administer the system, and by the employee participation mentioned earlier. No employee should be evaluated by a supervisor who is not well familiar with the performance of the individual.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: PERFORMANCE EVALUATION (Continued)

Standard No. 4

Performance evaluation reports are maintained as a part of each employee's personnel record.

Commentary

Like other personal records, performance evaluation reports are confidential. See the PERSONNEL RECORDS FACTOR, Standard 2, which follows.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: PERFORMANCE EVALUATION  (Continued)

Standard No. 5

The results of the performance evaluation are reviewed with the employee. If he/she expresses concern about the results, they are noted on the evaluation form.

Commentary

The formality of noting employee challenges to his or her evaluation, in writing, supports the concept of fairness and becomes part of the employee’s formal record.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: PERSONNEL RECORDS

Standard No. 1

A comprehensive file is maintained on each employee which includes such documents as: original application, record of hire, job changes, promotions, recommendations, disciplinary actions, performance evaluations, and training.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: PERSONNEL RECORDS (Continued)

Standard No. 2

The municipality has established, in writing, policy governing such areas as security of records, access by employees to their record and provisions for their challenge of items in the record, and purging of records.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR:  PROBATIONARY PERIOD

Standard No. 1

The governing body has a policy which provides that all newly employed and promoted employees serve a probationary period (usually six months or one year) before a permanent appointment is offered.

Commentary

Although it is not generally seen as such, the probationary period is the final step in the selection and promotion process. Properly used, it provides the appointing authority with the best opportunity to assess whether or not the newly selected or promoted individual is able to perform to standard. Pennsylvania civil service law governing the hiring and promotion of police and fire personnel provides that a permanent appointment is not offered to an individual until a probationary period has been satisfactorily completed. This standard extends this provision to all newly hired or promoted employees. The exception might be employees hired “at-will” and who are not part of the competitive merit system.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: PROBATIONARY PERIOD (Continued)

Standard No. 2

There are formal, periodic, performance evaluations of newly appointed and promoted employees during the probationary period which form the basis for retention. The appointing authority is provided copies of such evaluations.

Commentary

This standard suggests that the use of the probationary period be taken very seriously. Once given a permanent appointment most employees will be with the municipality for a long period of time. Again, they represent the municipality's most important investment. Newly promoted employees may not be able to handle effectively the responsibilities of the new position. The probationary period affords the best opportunity to assess potential, and to determine whether or not an employee should be given a permanent appointment.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)  
2. ___ Met, but is not effective. (comment below)  
3. ___ Not met. (Check "Reason" and provide comment below.)  
   Reason:  
   ___ Not relevant ___ No interest ___ Lack resources  
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR:  PROBATIONARY PERIOD  (Continued)

Standard No. 3

During the probationary period newly hired and promoted personnel are provided careful supervision, and, as part of the evaluation process, there is constructive feedback.

Commentary

No employee should be dismissed or demoted unless there has been an effort to correct deficiencies, including appropriate training if this need is identified.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR:  EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES

Standard No. 1

Standards governing employee conduct and performance are clearly stated, in writing, and communicated to each employee.

Commentary

Such standards should be included in a "Handbook for Employees," by whatever name. This document should be provided to each employee at the time the employee is hired, and discussed as part of an orientation.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES (Continued)

Standard No. 2

Lines of authority and responsibility within the municipal organization are clearly established for all employees.

Commentary

Each employee needs to know to whom he/she is immediately responsible and accountable for his/her conduct and productivity. While there will always be an informal communications network, established organizational theory provides that each person have one, and only one, "boss." It is this individual who has responsibility for the supervision and development of the employee. The worse situation can occur in those local governments - large and small - where employees get conflicting orders from individual elected officials and supervising personnel. The administrative code of the municipality should provide for the lines of authority and responsibility, and this should be confirmed as part of job analysis and writing of job descriptions.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   Not relevant   No interest   Lack resources
   Lack administrative capacity/initiatives   Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES (Continued)

Standard No. 3

The "philosophy" governing the disciplinary system is positive rather than negative - directed to the correction of inadequate performance or inappropriate conduct. The step of discharge is taken only after attempts to correct inadequate performance have failed. The exception would be a particularly serious offense where immediate discharge is called for.

Commentary

"Progressive Discipline" is the system most often in use in local governments, where a formal system exists - oral warning, written warning, suspension, discharge. It is argued by some that the premise upon which this system rests - if you treat people progressively worse they will get progressively better - is wrong. This standard suggests that there be intervention in the progressive discipline system and specific steps taken to find the root cause of problems, and a course set for resolution. Again, it is argued here that, once hired, each employee represents a substantial investment on the part of the municipality and every effort should be made to develop each person to his/her full potential. It should be noted, too, that should disciplinary action, including discharge, be challenged by the employee, the position of the municipality will be strengthened by fulfillment of this standard.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES (Continued)

Standard No. 4

The municipality has in place a formal procedure Governing the documentation of disciplinary actions, including the use of standard forms, and a process for notifying employees of inappropriate conduct or performance.

Commentary

Part of every supervisor’s training and responsibility should include following carefully drafted procedures for documenting any employee misconduct or poor performance which might lead to disciplinary action. Having such documentation is essential if a disciplinary action is challenged. Also, properly used, the procedure can offer the opportunity for dialogue between the employee and supervisor, with the potential for helping an employee to meet standards and expectations.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___ verified ___ not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR:  EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES  (Continued)

Standard No. 5

"Due process" is afforded to all employees as part of disciplinary actions involving dismissal. At a minimum, the employee is notified, orally or in writing, of the charges against him/her, is provided with an explanation of the employer's evidence, and is provided an opportunity to respond to the charges -- tell his or her side of the story.

Commentary

The Fourteenth Amendment to the United States Constitution prohibits states and their local governments from depriving a person of "life, liberty, or property without due process of law. A number of significant court cases in recent years have brought clarification to this language as it pertains to employee rights and employer obligation. The assumption now is that once an employee has passed the probationary period, and has had satisfactory performance ratings, there is a legitimate expectation of continued employment as long as the job exists. In other words, the job, as interpreted by the court, is the "property" of the employee and the government cannot act to deprive the individual of it in an arbitrary or capricious manner. The due process called for in the standard is the minimum that the court will accept. Where there is a formal merit/civil service system in place, there is most often a fuller due process procedure involving rules of evidence, right to legal counsel, and a formal hearing by an impartial board.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR:  EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES  (Continued)

Standard No. 6

A grievance procedure is in place covering all employees, both union and non-union.

Commentary

Disciplinary actions are employer-initiated. Such actions are the mechanism by which the employer tells the employee that he or she has not met employer expectations or standards. Grievances, on the other hand, are employee initiated -- complaints by employees concerning unfair treatment. Typically, union contracts provide a formal procedure whereby employees can grieve employer actions. This standard provides that such procedures be available to all employees.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)  
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)  
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources  
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: TRAINING

Standard No. 1

Training for all employees and officials is encouraged by the governing body and top management and opportunities for training, both on and off the job site, are made available to all personnel, both during and off working hours.

Commentary

Again, it is emphasized that personnel represent the municipality's most important investment. A highly trained work force should result in greater competence and performance. Training also provides the opportunity for employees to stay abreast of new ideas and techniques - essential as local government operations become more complex and demanding; it helps to establish a network for informal consultation/assistance. This standard recognizes that ongoing training is not a "luxury," but an essential element of everyone's job (including the job of council/board members).

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT III

FACTOR: TRAINING (Continued)

Standard No. 2

The municipality annually budgets for training of employees and other officials. This includes monies to attend professional conferences for appropriate personnel.

Commentary

See above commentary.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:

___ Not relevant ___ No interest ___ Lack resources
___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:


LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

**FACTOR: TRAINING** (Continued)

Standard No. 3

Training needs and opportunities are periodically surveyed and evaluated by management.

Commentary

This process is aided by an effective performance appraisal system where needs are identified and acknowledged.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

   **Reason:**
   ___ Not relevant  ___ No interest  ___ Lack resources  ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PERSONNEL MANAGEMENT  III

FACTOR: TRAINING  (Continued)

Standard No. 4

Personnel are trained in safety procedures which are in place for the work to be performed. Supervisors have responsibility for seeing that such procedures are monitored. All personnel have safety equipment appropriate for their activities.

Commentary

Far too often, municipal governments are reluctant to spend resources to prevent a problem before it occurs. This is frequently the case with work related injuries or losses due to human negligence. Safety procedures and policies reverse this dilemma and attach a priority to prevention rather than reaction.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
### SUMMARY: SECTION III. – PERSONNEL MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: JOB ANALYSIS</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For all municipal jobs there has been an analysis which seeks answers to such questions as: a) Where and how does the employee get information used in performing the job? b) What reasoning, decision making, planning, and information processing activities are involved? c) What physical activities are performed and what tools or devices are used? d) What kinds of relationships with other people are involved? e) What is the physical and social environment? f) What would be the impact if there are mistakes - if the job is not done well?</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>FACTOR: PERSONNEL RECRUITMENT, SELECTION, AND PROMOTION</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
<td></td>
<td></td>
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<tr>
<td>All positions to be openly and publicly advertised in a manner which will reach a maximum number of potential applicants.</td>
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<tr>
<td>Standard No. 2</td>
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<tr>
<td>All qualifications/requirements for positions to be filled are job-related.</td>
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<tr>
<td>Standard No. 3</td>
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<tr>
<td>For all positions to be filled, candidates compete on the basis of an examination(s), written and/or oral, which is job-related and fairly tests for the knowledge, skills and abilities needed for the position.</td>
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<tr>
<td>Standard No. 4</td>
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<tr>
<td>Job descriptions, based on an analysis of each job, are the basis for setting principal job requirements, and for structuring examinations. (Standard No.1)</td>
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<tr>
<td>Standard No. 5</td>
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<tr>
<td>As a final step in the selection process candidates undergo a physical examination and a background investigation.</td>
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<tr>
<td>Standard No. 6</td>
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<tr>
<td>The municipality has made appropriate changes in its employment policies and procedures and working environment to meet the requirements of the Americans With Disabilities Act.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>FACTOR: COMPENSATION PLAN</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
<td></td>
<td></td>
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<tr>
<td>The local government's compensation plan, for similar positions, is competitive with those of other municipalities in the region, and with the private sector.</td>
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<tr>
<td>Standard No. 2</td>
<td></td>
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<tr>
<td>The basis for the salary/wage paid for each position is a classification plan which distinguishes and evaluates each job on factors such as complexity, responsibility, discretion exercised and working conditions.</td>
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</tbody>
</table>
### SUMMARY: SECTION III. – PERSONNEL MANAGEMENT

#### FACTOR: PERFORMANCE EVALUATION

<table>
<thead>
<tr>
<th>Standard No. 1</th>
<th>The municipality has a formal performance evaluation plan which provides for the evaluation of all employees at least annually. The plan is performance-based, as opposed to a person or trait-based method, and the plan's purposes and uses are clearly identified.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 2</td>
<td>Employees are involved in the development of the performance evaluation plan.</td>
</tr>
<tr>
<td>Standard No. 3</td>
<td>All supervisors responsible for evaluating personnel have received training on the evaluation process and how to do a proper and fair employee evaluation.</td>
</tr>
<tr>
<td>Standard No. 4</td>
<td>Performance evaluation reports are maintained as a part of each employee's personnel record.</td>
</tr>
<tr>
<td>Standard No. 5</td>
<td>The results of the performance evaluation are reviewed with the employee. If he/she expresses concern about the results, they are noted on the evaluation form.</td>
</tr>
</tbody>
</table>

#### FACTOR: PERSONNEL RECORDS

<table>
<thead>
<tr>
<th>Standard No. 1</th>
<th>A comprehensive file is maintained on each employee which includes such documents as: original application, record of hire, job changes, promotions, recommendations, disciplinary actions performance evaluations, and training.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 2</td>
<td>The municipality has established, in writing, policy governing such areas as security of records, access by employees to their record and provisions for their challenge of items in the record, and purging of records.</td>
</tr>
</tbody>
</table>

#### FACTOR: PROBATIONARY PERIOD

<table>
<thead>
<tr>
<th>Standard No. 1</th>
<th>The governing body has a policy which provides that all newly employed and promoted employees serve a probationary period (usually six months or one year) before a permanent appointment is offered.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 2</td>
<td>There are formal, periodic, performance evaluations of newly appointed and promoted employees during the probationary period which form the basis for retention. The appointing authority is provided copies of such evaluations.</td>
</tr>
<tr>
<td>Standard No. 3</td>
<td>During the probationary period newly hired and promoted personnel are provided careful supervision, and, as part of the evaluation process, there is constructive feedback.</td>
</tr>
</tbody>
</table>
### SUMMARY: SECTION III. – PERSONNEL MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: EMPLOYEE DISCIPLINE AND GRIEVANCE PROCEDURES</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
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<tbody>
<tr>
<td>Standard No. 1</td>
<td></td>
<td></td>
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<tr>
<td>Standards governing employee conduct and performance are clearly stated, in writing, and communicated to each employee.</td>
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<td>Standard No. 2</td>
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<tr>
<td>Lines of authority and responsibility within the municipal organization are clearly established for all employees.</td>
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<tr>
<td>Standard No. 3</td>
<td></td>
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<tr>
<td>The &quot;philosophy&quot; governing the disciplinary system is positive rather than negative - directed to the correction of inadequate performance or inappropriate conduct. The step of discharge is taken only after attempts to correct inadequate performance have failed. The exception would be a particularly serious offense where immediate discharge is called for.</td>
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<tr>
<td>Standard No. 4</td>
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<td>The municipality has in place a formal procedure governing the documentation of disciplinary actions, including the use of standard forms, and a process for notifying employees of inappropriate conduct or performance.</td>
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<td>Standard No. 5</td>
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<td>&quot;Due process&quot; is afforded to all employees as part of disciplinary actions involving dismissal. At a minimum, the employee is notified, orally or in writing, of the charges against him/her, is provided with an explanation of the employer's evidence, and is provided an opportunity to respond to the charges – tell his or her side of the story.</td>
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<td>Standard No. 6</td>
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<td>A grievance procedure is in place covering all employees, both union and non-union.</td>
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### FACTOR: TRAINING

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<th>Standard No. 1</th>
<th>Training for all employees and officials is encouraged by the governing body and top management and opportunities for training, both on and off the job site, are made available to all personnel, both during and off working hours.</th>
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<td>Standard No. 2</td>
<td>The municipality annually budgets for training of employees and other officials. This includes monies to attend professional conferences for appropriate personnel.</td>
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<tr>
<td>Standard No. 3</td>
<td>Training needs and opportunities are periodically surveyed and evaluated by management.</td>
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<tr>
<td>Standard No. 4</td>
<td>Personnel are trained in safety procedures which are in place for the work to be performed. Supervisors have responsibility for seeing that such procedures are monitored. All personnel have safety equipment appropriate for their activities.</td>
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</table>
MUNICIPAL RECORDS MANAGEMENT  IV

INTRODUCTION

The administration of local government has grown steadily more complex in recent times. Public demands for increased efficiency, improved services, greater accountability and expanded reporting requirements from state and federal governments challenge local officials on a regular basis. Planning and dealing with the prospect and potential impact of manmade and natural disasters on public facilities in recent years have added to local responsibilities. To meet these demands, increasingly sophisticated techniques must be applied to the management of local government.

Local governments have long relied on the creation and use of data and information in many forms to support local decision making and operations. A municipality’s records are also of concern to its citizens whose legal and financial interests they protect. To a large extent, such information is collected and reported in the municipality’s own public records. Consequently, the effective management of such records is essential to the successful administration of local government.

According to the Pennsylvania Historical and Museum Commission, public records are any papers, books, maps, photographs or other documents regardless of physical form or characteristics made or received by an entity under law or in connection with the exercise of its powers and the discharge of its duties. Records management, then, is more than “just keeping records”; an effective municipal records management system recognizes that

- records must be accessible,
- record-keeping must be efficient, and
- practices and procedures concerning the retention and maintenance of public records must conform to existing state statutes.

A comprehensive records management program should encompass an array of the following considerations. I should

- save money by preventing the creation of unnecessary records, discouraging unnecessary copying, transferring inactive records from office space to storage facilities, destroying obsolete records; and permitting the recycling of file storage facilities and records storage equipment to reduce the purchases of new facilities and equipment;

- ensure that records are retained and available as long as needed for administrative, fiscal, legal, and historical and other purposes;

- save time by ensuring that records are well organized and maintained so that employees spend a minimal amount of time and effort in locating needed material;

- eliminate storage problems and possible fire hazards associated with large quantities of old records;
• protect the government by ensuring that contracts, agreements, and other records of the government’s legal rights and responsibilities are well organized, well protected and easily located when needed; and

• protect against loss from natural and/or manmade disasters or technological change.
MUNICIPAL RECORDS MANAGEMENT  IV

FACTOR: MUNICIPAL RECORDS

Standard No. 1

The municipality has adopted an ordinance creating a comprehensive records management program. The ordinance defines terms, assigns authority for the program and enumerates areas of responsibility.

Commentary

To be successful, any municipal records management program needs a firm operational basis to ensure its institutionalization and to guarantee that it will receive the cooperation of the various municipal officers. To achieve this end, the program should be established by municipal ordinance. It should clearly define the goals of the program, what “records” are to be managed, and the general methods by which the program will achieve its goals. Provision should be made in the ordinance for the naming of a records manager. The program head’s duties and authority should be well delineated in the ordinance.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT IV

FACTOR: MUNICIPAL RECORDS (Continued)

Standard No. 2

The municipality has established a records management board to advise the records management officer on the development and implementation of a comprehensive records management program.

Commentary

☐ A local records management advisory board comprised of municipal administrators not only serves as an advisory committee for the records management program but serves to demonstrate the government’s commitment to efficient and cost-effective records management.

☐ By representing principal offices within a local government, board members can communicate what they learn to their respective program staffs. The authority of the board members to direct the operations of local government should facilitate compliance with records management and archival practices throughout all the agencies of the local government.

☐ The board can promote the benefits of a records management program to those officials who allocate needed resources.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT IV

FACTOR: MUNICIPAL RECORDS (Continued)

Standard No. 3

The records manager has in place a correspondence control program designed to eliminate much of the paperwork and associated storage and management costs.

Commentary

Correspondence – letters to and from government and memoranda between people within the government – comprises a sizeable proportion of any municipality’s total records. A helpful way of conveying information, correspondence is costly to produce and even costlier to maintain.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check “Reason” and provide comment below.)

   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL RECORDS  (Continued)

Standard No. 4

The records manager has installed a reports control program designed to eliminate unnecessary reports and those which are poorly designed.

Commentary

Reports summarize and convey information needed by officials who use it to carry out their work, and by auditors, state and federal officials, and the general public. Reports should be well organized, clearly presented, and tailored to the needs of their intended audience. Having too few reports will mean that officials and the public will have too little information. Having too many reports will mean that important information will be scattered and difficult to locate and integrate.

Rating Scale

Standard is:

1. __ Met, and is effective.  (verified not verified)
2. __ Met, but is not effective. (comment below)
3. __ Not met. (Check "Reason" and provide comment below.)
   Reason:
   __ Not relevant  __ No interest  __ Lack resources
   __ Lack administrative capacity/initiatives  __ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT  IV

FACTOR: MUNICIPAL RECORDS  (Continued)

Standard No. 5

The municipality has a file management program including guides which govern the filing, removal and disposition of records and the acquisition of file management storage and equipment.

Commentary

File management is one of the most important components of records management. Disposition, the systematic removal of records from the office is viewed as a problem-solver because it results in immediately tangible benefits such as savings in space and equipment costs. On the other hand, file management has a positive effect on productivity. Productivity is enhanced when the arrangement of information, filing standards, and choice of storage equipment are approached thoughtfully. To improve file management, record managers must evaluate current needs and practices and consciously alter practices where necessary.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL RECORDS  (Continued)

Standard No. 6

A forms management control program has been instituted with the dual objectives of speeding information flows and cutting costs.

Commentary

Forms are useful information sources but they can also create problems. Local governments may create too many forms, use forms that require unnecessary or excessive information, or rely on forms that are poorly designed, confusing, or lack clear instructions. Forms are also expensive to print, process, handle and store. A forms management control program addresses all of these points. Today, with the growth of e-government, where possible, forms should be available in an electronic form to facilitate access and use by the public and municipal officials.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL RECORDS (Continued)

Standard No. 7

The municipality's records management program is in conformance with legal mandates contained in its municipal code or charter, and the State's Right to Know Law and Criminal History Records Information Act.

Commentary

The Pennsylvania Right to Know Law was enacted in 1957 and extensively amended in 2002. Amendments expanded definitions and addressed the handling and treatment of paper, electronic and other forms of documents. It guarantees citizen access to certain defined public records of governmental agencies, establishes guidelines related to citizen requests for records and an appeal process to the Court of Common Pleas when access to a public record has been denied. The 2002 amendments also set standards for redaction and the setting of fees related to the government’s production of records in response to citizen requests. Along with the Sunshine Act, the Open Records-Right to Know Act forms the legal basis for the citizen’s right to examine and inspect any public record of any government agency in order to gain knowledge of the activities of government.

Public access to criminal justice records is governed by the Criminal History Record Information Act. In general, public access is limited to the official criminal history record information, including identifiable descriptions, dates and notations of arrest, indictments, information or other formal criminal charges and any dispositions of those charges. Excluded are intelligence information, investigatory information or treatment information, including medical and psychological information. Court dockets, police blotters (chronological listings of arrests) and press releases are established as public records. The Act does not contain a provision for recourse where access to public records is denied. The proper course of action for the denied party is an appeal under the Right to Know Law.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT   IV

FACTOR:  MUNICIPAL RECORDS  (Continued)

Standard No. 8

The municipality adheres to the records retention and disposition schedule adopted by the Local Government Records Committee of the Pennsylvania Historical and Museum Commission. For the records not covered by this time table, the municipality has adopted a retention and disposition schedule based upon the administrative, legal, fiscal and historical value of the records.

Commentary

An effective records management program can reduce storage and retrieval costs and increase productivity. Recognition of the need for a workable local records management program in Pennsylvania led to the passage of the Municipal Records Act of 1968, and the creation of the Commonwealth’s Local Government Committee. The Committee’s primary responsibility is to develop records retention and disposition schedules for each municipal office. Municipal officers are authorized by the Municipal Records Act to dispose of records in accordance with schedules and guidelines which have been approved by the Committee. It is to be understood that the schedules authorize and recommend, but do not require the disposal of records after the expiration of approved retention Periods.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL RECORDS  (Continued)

Standard No. 9

The municipality's records management program includes a process designed to protect the jurisdiction's vital records, those which offer direct evidence of legal status, ownership, accounts receivable and the particulars of obligations incurred by a local government.

Commentary

Vital Records are those records which are irreplaceable, or copies of which do not have the same value as the originals. They are essential to the continuity of services during a calamity or the restoration of daily business if it has been interrupted. Developing a system which protects and preserves the vital records today is supported by a variety of relatively affordable technologies. The municipality should also have a process/ procedure in place for the recovery of vital records in the event they are damaged as a result of a natural or manmade disaster.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant  ____ No interest  ____ Lack resources
   ____ Lack administrative capacity/ initiatives  ____ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT  IV

FACTOR: MUNICIPAL RECORDS  (Continued)

Standard No. 10

The municipality has an ongoing program for determining when records go from an active to inactive status. To facilitate the implementation of this program, the records manager has developed a records center.

Commentary

Creating and operating or contracting with a records storage facility for the storage of inactive records is a significant part of a local government's records management program. The effectiveness of a facility, however, is directly dependent upon how soundly it is administered. Managing inactive records does not have to be an elaborate process, but needs to be systematic and consistent, with each phase clearly defined. The time table for the retention and disposition of municipal records is set by the Local Government Committee of the Pennsylvania Historical and Museum Commission. A copy of the Local Government Committee's latest retention and disposition policy and guidelines can be accessed via the Internet from the Pennsylvania Department of Community and Economic Development's publications site.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 11

The municipality has officially adopted guidelines to determine when it should translate paper records to microfilm, optically scanned or electronic records. In addition, microfilming, optically scanning or electronically recording of documents is done in accordance with standards promulgated by the Pennsylvania Historical and Museum Commission.

Commentary

The standards relate to the filming or transforming from paper records, processing, inspection, handling and storage of microfilm, optically scanned and electronic copies of select local government records. They must be included as part of the requirements in all microfilm, optical scanning or electronic service contracts. With minor exceptions, these standards are in strict conformance with American National Standards Institute (ANSI) and Association for Information and Image Management (AIIM) standards and practices.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT  IV

FACTOR: MUNICIPAL RECORDS  Continued)

Standard No. 12

The municipality has addressed the security problems associated with its computer system by the adoption of appropriate safeguards.

Commentary

Two types of security needs must be addressed: the access security issue and the physical safety issue of safeguarding the system. The former can be resolved through operating system software (user names/passwords) and Internet Security controls (Anti-virus/ Firewall programs), computer system locks and keys, computer system location, and policies which identify who is permitted to use the system and the extent of each individual's access. The physical safety aspect of computing equipment should be addressed by establishing proper environmental conditions and implementation of operating and system backup procedures.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT  IV

FACTOR:  MUNICIPAL RECORDS  Continued)

Standard No. 13

The municipality's records are easily accessible to government officials and the general public through the use of easily accessible paper or electronic indexes, systematic filing systems and/or electronic data bases.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL RECORDS (Continued)

Standard No. 14

The municipality has a policy which governs the creation, maintenance, use and disposition of electronic records.

Commentary

Electronic records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a micro, mini or mainframe computers inclusive of tapes, disks, and diskettes. Of particular importance is the development and adherence to a procedure which stipulates that records will be permanently accessible. Consequently, records will be verified or re-recorded at stated intervals (currently 10 years) or transferred to new media as technology changes to ensure against loss.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RECORDS MANAGEMENT IV

FACTOR: MUNICIPAL RECORDS (Continued)

Standard No. 15

The municipality has a policy which governs the creation, maintenance, use and disposition of electronic mail (e-mail) Systems

Commentary

With the growth in use of electronic mail (e-mail) as a communications mechanism between municipal officials and those who work on behalf of the municipality as well as between municipal officials and their constituents, the municipality should have a policy which integrates e-mail into the system for records retention, accessibility and disposition based on the function and content of the messages.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
### SUMMARY: SECTION IV. – MUNICIPAL RECORDS MANAGEMENT

<table>
<thead>
<tr>
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<tr>
<td><strong>Standard No. 1</strong> The municipality has adopted an ordinance creating a comprehensive records management program. The ordinance defines terms, assigns authority for the program and enumerates areas of responsibility.</td>
<td></td>
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<td><strong>Standard No. 2</strong> The municipality has established a records management board to advise the records management officer on the development and implementation of a comprehensive records management program.</td>
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<td><strong>Standard No. 3</strong> The records manager has in place a correspondence control program designed to eliminate much of the paperwork and associated storage and management costs.</td>
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<td><strong>Standard No. 4</strong> The records manager has installed a reports control program designed to eliminate unnecessary reports and those which are poorly designed.</td>
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<td><strong>Standard No. 5</strong> The municipality has a file management program including guides which govern the filing, removal and disposition of records and the acquisition of file management storage and equipment.</td>
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<td><strong>Standard No. 6</strong> A forms management control program has been instituted with the dual objectives of speeding information flows and cutting costs.</td>
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<td><strong>Standard No. 7</strong> The municipality's records management program is in conformance with legal mandates contained in its municipal code or charter, and the State's Right to Know Law and Criminal History Records Information Act.</td>
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<td><strong>Standard No. 8</strong> The municipality adheres to the records retention and disposition schedule adopted by the Local Government Records Committee of the Pennsylvania Historical and Museum Commission. For the records not covered by this time table, the municipality has adopted a retention and disposition schedule based upon the administrative, legal, fiscal and historical value of the records.</td>
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*Sum: Sec IV - 2*
MUNICIPAL RISK MANAGEMENT

The need for a comprehensive municipal risk management program has intensified over the last 25 years as the financial impact of manmade and natural disasters on private and public entities has grown and reliance on the justice system for dispute settlement has increased. For a local government, risk management is a process which identifies and controls risks related to the government’s responsibilities for the provision of public services and programs, ownership of real properties, participation in contractual arrangements, and from the collection, use and investment of public financial resources.

Even though risk management is a relatively new function for many local governments, local officials should make it an integral part of a local government’s administrative processes. Taking steps to reduce risks and insure against risks when they are beyond the municipality’s control should ultimately contribute to the community’s short and long term viability. Controlling risks also place the local government in a more favorable position to acquire and maintain affordable insurance coverages. Eighteen standards covering four areas: risk management policy, risk identification. Risk evaluation and risk treatment are presented in this section.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: MUNICIPAL RISK MANAGEMENT POLICY

Standard No. 1

The governing body has adopted a risk management policy which defines, at a minimum, identifies objectives and expectations for a risk management program, fixes responsibilities and establishes criteria for determining types of risks to be assumed.

Commentary

If the problems to be addressed by a risk management program are to be treated comprehensively and in a manner which relates to the particular government's needs, the officials of that government must develop a policy statement. Generally, a policy statement should address such areas as:

- risk management program objectives
- duties of the risk management officer
- types of records to be kept
- procedures for reporting and recording accidents, injuries and losses
- types of internal controls to be instituted and maintained
- types and comprehensiveness of insurance coverage
- process for obtaining insurance coverage

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: MUNICIPAL RISK MANAGEMENT POLICY  (Continued)

Standard No. 2

The municipality's risk management program is comprehensive in nature, involving risk identification, evaluation, control and allocation of sufficient funding to maintain necessary insurance coverages.

Commentary

The overall objectives of a risk management program are to minimize adverse economic and human costs associated with pure risk, an environment where there are no "winners" -- only "losers." Objectives of a program which focuses on coping with pure risk are:

● to protect a government's assets
● to provide a safe environment for employees and the general public who come into contact with public employees or use public facilities
● to minimize disruptions to public service programs; assure that exposures to financial loss are discovered and reduced
● to reduce the cost of employee accidents and injuries through effective and continuing safety programs
● to guard against the loss of revenue from income producing facilities

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
       ___ Not relevant  ___ No interest  ___ Lack resources
       ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Municipal Risk Management  V

Factor: Municipal Risk Management Policy (Continued)

Standard No. 3

The governing body has either created the position of risk management officer or, in cooperation with neighboring local governments, appointed an officer to serve several jurisdictions. In either situation, the officer is vested with the responsibility for the development and administration of a comprehensive risk management program.

Commentary

The standard suggests two options: the first is for the municipality to appoint its own risk management officer and the second is to undertake a program on an intergovernmental basis. The municipality should implement the option which will be the most cost effective.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

Municipality's Comments:

List items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK IDENTIFICATION

Standard No. 1

The nature and types of risks local governments generally encounter have been identified and analyzed by the municipality prior to adopting a comprehensive risk management program.

Commentary

There are five types of risks local governments must assess and address:

- loss of or damage to property -- real and/or personal
- loss of income generation capacity or increased costs resulting from loss or damage
- liability to others through injury to property or person
- liability connected with a contract violation
- liability in loss of productivity

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK IDENTIFICATION  (Continued)

Standard No. 2

A risk management records system is maintained so that the responsible municipal official may readily identify, measure and treat risks.

Commentary

Since risk management is an ongoing process and one where risks change, a risk management records system is essential. Unless incident records are created, maintained, and monitored for accuracy, risk identification, evaluation and control cannot be effectively undertaken.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT V

FACTOR: RISK IDENTIFICATION (Continued)

Standard No. 3

The governing body has adopted an incident reporting system to enable the municipality to identify all incidents, their causes and their remedies.

Commentary

After an incident is reported, a thorough investigation is necessary regardless of how minor the occurrence. Once the investigation is completed, a report should be given to the responsible official. The report should include the:

- names of supervisors and other public officials who should receive the report;
- details of the accident or loss, including time, date, and location;
- descriptions of public vehicles, equipment, or property involved in the loss;
- names of injured persons;
- names and addresses of witnesses;
- description of the loss or damage with estimated cost and how the amount of loss was determined;
- recommendations for preventing recurrences; and
- additional information which may be required by insurers or other governmental agencies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK EVALUATION

Standard No. 1

The municipality’s risk evaluation process involves techniques which measure degrees of loss based upon frequency and severity (cost). The potential degree of loss identified for each type of risk is used to determine the risk control means to be utilized.

Commentary

The risk evaluation process is complex and difficult, particularly the assignment of a monetary value to a loss. However, unless an evaluation is done, it is impossible for the municipality to develop rational control programs for the various risks which may be encountered.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK EVALUATION (Continued)

Standard No. 2

As part of its preparation for the renewal of its insurance policies, the municipality has an external audit conducted to determine compliance with its risk management program and to evaluate its effectiveness. The audit is performed by a professional risk manager appointed by the governing body and paid a fixed compensation.

Commentary

See Standard No. 3.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
     ___ Not relevant  ___ No interest  ___ Lack resources
     ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT

FACTOR: RISK EVALUATION (Continued)

Standard No. 3

The municipality's insurance renewal process includes a risk assessment, conducted by the risk management officer, to determine the nature and extent of any changes in municipal services and programs which may affect the municipality's risk exposures and its capacity to meet these new potential exposures.

Commentary

Risk management is a process of risk anticipation: an attempt to create a surprise free future. The anticipatory nature of the process suggests that it is dynamic – changing over time as federal and state legislation produces new mandates, as the judiciary expands or contracts the scope of tort liability, and as a particular unit of local government assumes and/or alters its public services and attendant service delivery system.

Given the changing nature of the risk management environment, a local government should periodically audit the adequacy of its existing risk management program and determine whether policies and procedures are adhered to. A twofold process is suggested. The first logical and meaningful step would be for the local government to periodically have an independent external audit of its risk management program. The second logical and meaningful step would be for the local government to establish a process impact analysis\(\text{whereby risk evaluation is a critical component in the decision-making process.}\)

When action is contemplated regarding program changes, accepting new assets or engaging in a new program, the cost of risk should be determined and viewed as one more cost that must be considered in the local decision-making process.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant  ____ No interest  ____ Lack resources
   ____ Lack administrative capacity/initiatives  ____ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK TREATMENT

Standard No. 1

The municipality's risk management program includes four approaches to risk control: avoidance, reduction, transfer and retention.

Commentary

The critical determinants in the selection of a risk control means are loss frequency and loss severity per identified potential risk.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT V

FACTOR: RISK TREATMENT (Continued)

Standard No. 2

Risk reduction activities are comprehensive in nature and include ways to minimize legal actions from tortuous acts, fraudulent actions, and the cost and frequency of accidents.

Commentary

The basic concern in this control area is the economical reduction of risk losses. This is one control area which is often ignored by local government officials, but it is one area where activity on their part can produce significant monetary savings.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT V

FACTOR: RISK TREATMENT (Continued)

Standard No. 3

An internal control system designed to protect the jurisdiction's assets and resources from loss due to waste, fraud and abuse has been adopted by the governing body and implemented by the municipal staff.

Commentary

Internal controls are procedures designed to protect a local government's revenue resources from embezzlement and to insure the reliability of the jurisdiction's fiscal records. Inasmuch as the existence and adequacy of internal controls are an important part of the auditing process, the municipality’s external auditors should participate in the design of the internal control system.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK TREATMENT  (Continued)

Standard No. 4

The jurisdiction's insurance coverages are based upon the basic objective of obtaining the lowest possible cost balanced against acceptable claims, service record, safety engineering services, an insurance company's fiscal capacity, and its depth of experience in insuring and servicing municipalities.

Commentary

Cost alone is not the critical key. The total package of cost and services is the important ingredient. Information on a company's service capabilities and its fiscal capacity can be obtained from various reference guides published by such private entities as the A.B. Best Company.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
       ___ Not relevant  ___ No interest  ___ Lack resources
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MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 5

The governing body has adopted and disseminated to appropriate personnel internal operating procedures for the risk management program. These include procedures governing claims reporting, contract review, safety and meeting deadlines and timetables.

Commentary

An appropriate means to inform personnel about the jurisdiction’s risk management program is to distribute a manual explaining it to them and detailing their responsibilities. The manual would also be a resource for a risk management training program.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
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MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK TREATMENT  (Continued)

Standard No. 6

The municipality has established an employee-employer loss control committee and vested it with the responsibility for developing and implementing safety training programs which are cost-effective and which are designed to reduce workers' compensation and tort liability claims. In addition, the committee has identified facilities, such as a rehabilitation center, for injured employees and has a process for monitoring the effectiveness of these facilities in the treatment of municipal employees.

Commentary

The creation of a loss control committee, representing a cross-section of management and labor is viewed as an effective way to develop a safety and loss prevention program. A loss control expert from the municipality's insurance carrier or a local university can lend expert staff assistance to the committee for the development of training programs.

Rating Scale

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
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MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
**MUNICIPAL RISK MANAGEMENT**

**FACTOR: RISK TREATMENT** (Continued)

**Standard No. 7**

Risk retention activities are structured on the least cost principle of securing maximum protection.

**Commentary**

By pooling insurance requirements and/or by the purchase of individual policies local governments can transfer their risks to other entities upon the payment of premiums. The appropriate transfer approach will depend upon a government's size, needs, services, and costs. In many instances, both transfer approaches probably should be utilized in a local government’s risk management program.

Risk transfer also can be accomplished by changing the mode of service delivery. In designing its delivery system, a local government has two basic choices. It may provide the required service by using its own employees and commodities. This is the force account approach. The other option available to a government is for it to contract for the delivery of the desired service. The contractual arrangement may involve another governmental unit, or as most likely to be the case, the contractual arrangement will involve a private sector entity. From a risk management perspective, the critical key in contracting is the extent to which the contractor assumes the sole responsibility arising from risk issues. If this responsibility transfer cannot be done, contracting for programmatic services should not be an important aspect of a risk management program.

Risk transfer by contractual arrangement occurs when the contract contains a hold-harmless agreement – where one party to a contract agrees to indemnify another party in a given situation.

Two types of risk losses are involved in risk retention: unexpected assumption loss caused by incorrect or too limited coverage, and expected assumption loss resulting from a policy setting forth the amount and type of loss to be assumed by the government and identified as the insurance deductible.
Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
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   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT

FACTOR: RISK TREATMENT (Continued)

Standard No. 8

Risk avoidance (or elimination) is a control means which the municipality uses only when the total costs (or estimated cost) of a program (proposed program) are (will be) prohibitively expensive, particularly when compared with the costs of providing other services.

Commentary

There may be instances where an existing municipal program must be discontinued or a new program not undertaken because of actual (or potential) high severity rates and high liability costs. The standard is not suggesting that the only reason for eliminating a service or for not engaging in a new service is the element of risk. Obviously, there are others: political, inefficiency, ineffectiveness, etc.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL RISK MANAGEMENT  V

FACTOR: RISK TREATMENT  (Continued)

Standard No. 9

The municipality's funding for its risk management program is structured so that the jurisdiction obtains the lowest reasonable direct cost for risk funding, that sufficient money is available (or access to it) to meet the worst possible loss, and that means exist to provide maximum stability of funding costs over time.

Commentary

All techniques available to a local government to finance its risk management program can be characterized as either risk retention operations or risk transfer operations. In the former, the jurisdiction assumes the loss. In the latter, another organization agrees to pay costs in exchange for a premium. In most instances, a combination of the two approaches is used.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
**SUMMARY: SECTION V. – MUNICIPAL RISK MANAGEMENT**

<table>
<thead>
<tr>
<th>FACTOR: MUNICIPAL RISK MANAGEMENT POLICY</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The governing body has adopted a risk management policy which defines, at a minimum, identifies objectives and expectations for a risk management program, fixes responsibilities and establishes criteria for determining types of risks to be assumed.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>Standard No. 2</strong></td>
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<td></td>
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<tr>
<td>The municipality's risk management program is comprehensive in nature, involving risk identification, evaluation, control and allocation of sufficient funding to maintain necessary insurance coverages.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>Standard No. 3</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The governing body has either created the position of risk management officer or, in cooperation with neighboring local governments, appointed an officer to serve several jurisdictions. In either situation, the officer is vested with the responsibility for the development and administration of a comprehensive risk management program.</td>
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<td></td>
</tr>
</tbody>
</table>

**FACTOR: RISK IDENTIFICATION**

| **Standard No. 1** |                |                   |         |
| The nature and types of risks local governments generally encounter have been identified and analyzed by the municipality prior to adopting a comprehensive risk management program. |                |                   |         |
| **Standard No. 2** |                |                   |         |
| A risk management records system is maintained so that the responsible municipal official may readily identify, measure and treat risks. |                |                   |         |
| **Standard No. 3** |                |                   |         |
| The governing body has adopted an incident reporting system to enable the municipality to identify all incidents, their causes and their remedies. |                |                   |         |

**FACTOR: RISK EVALUATION**

| **Standard No. 1** |                |                   |         |
| The municipality’s risk evaluation process involves techniques which measure degrees of loss based upon frequency and severity (cost). The potential degree of loss identified for each type of risk is used to determine the risk control means to be utilized. |                |                   |         |
| **Standard No. 2** |                |                   |         |
| As part of its preparation for the renewal of its insurance policies, the municipality has an external audit conducted to determine compliance with its risk management program and to evaluate its effectiveness. The audit is performed by a professional risk manager appointed by the governing body and paid a fixed compensation. |                |                   |         |
### SUMMARY: SECTION V. – MUNICIPAL RISK MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: RISK EVALUATION (Continued)</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;The municipality's insurance renewal process includes a risk assessment, conducted by the risk management officer, to determine the nature and extent of any changes in municipal services and programs which may affect the municipality’s risk exposures and its capacity to meet these new potential exposures.</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

### FACTOR: RISK TREATMENT

<p>| <strong>Standard No. 1</strong>&lt;br&gt;The municipality's risk management program includes four approaches to risk control: avoidance, reduction, transfer and retention. | | | |
| <strong>Standard No. 2</strong>&lt;br&gt;Risk reduction activities are comprehensive in nature and include ways to minimize legal actions from tortuous acts, fraudulent actions, and the cost and frequency of accidents. | | | |
| <strong>Standard No. 3</strong>&lt;br&gt;An internal control system designed to protect the jurisdiction's assets and resources from loss due to waste, fraud and abuse has been adopted by the governing body and implemented by the municipal staff. | | | |
| <strong>Standard No. 4</strong>&lt;br&gt;The jurisdiction's insurance coverages are based upon the basic objective of obtaining the lowest possible cost balanced against acceptable claims, service record, safety engineering services, an insurance company's fiscal capacity, and its depth of experience in insuring and servicing municipalities. | | | |
| <strong>Standard No. 5</strong>&lt;br&gt;The governing body has adopted and disseminated to appropriate personnel internal operating procedures for the risk management program. These include procedures governing claims reporting, contract review, safety and meeting deadlines and timetables. | | | |
| <strong>Standard No. 6</strong>&lt;br&gt;The municipality has established an employee-employer loss control committee and vested it with the responsibility for developing and implementing safety training programs which are cost-effective and which are designed to reduce workers' compensation and tort liability claims. In addition, the committee has identified facilities, such as a rehabilitation center, for injured employees and has a process for monitoring the effectiveness of these facilities in the treatment of municipal employees. | | | |
| <strong>Standard No. 7</strong>&lt;br&gt;Risk retention activities are structured on the least cost principle of securing maximum protection. | | | |</p>
<table>
<thead>
<tr>
<th>FACTOR: RISK TREATMENT (Continued)</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 8</strong>&lt;br&gt;Risk avoidance (or elimination) is a control means which the municipality uses only when the total costs (or estimated cost) of a program (proposed program) are (will be) prohibitively expensive, particularly when compared with the costs of providing other services.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Standard No. 9</strong>&lt;br&gt;The municipality's funding for its risk management program is structured so that the jurisdiction obtains the lowest reasonable direct cost for risk funding, that sufficient money is available (or access to it) to meet the worst possible loss, and that means exist to provide maximum stability of funding costs over time.</td>
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</tbody>
</table>
STANDARDS FOR POLICE MANAGEMENT VI

INTRODUCTION

The police standards which follow are basic. They center around the concept of viability—the minimum that is needed to function adequately and independently, and within the generally accepted framework for effective police management. Additionally, local police departments now must have the capability to function as part of an area-wide response team should there be a major emergency requiring a regional effort. (See Section IX.)

The importance of police to a community, particularly the QUALITY of personnel, is caught in an excerpt from the 1967 Task Force on Police as part of the work of the President's Commission on Law Enforcement and Administration of Justice:

Policemen deal with people when they are most threatening and most vulnerable, when they are angry, when they are frightened, when they are violent, or when they are ashamed. Every police action can affect in some way someone's dignity, or self-respect, or a sense of privacy, or constitutional rights. As a matter of routine, policemen become privy to, and make judgments about, secrets that most citizens guard jealously from their closest friends . . .

Another aspect of the police function and organizational structure also underscores the importance of this municipal operation. When a citizen faces a personal emergency of any kind, most often they do not call the mayor or a member of the governing body. They call the police (or other emergency personnel). When the doors of the municipal building close in late afternoon, the police, most often, are left as the representatives of the local government until the doors of city hall open in the morning. They are the officials available to the public 24-hours a day, seven days a week. They will be the first respondents to major community or area-wide emergencies.

Managing the police operation requires a delicate balance. On the one hand, police must be held accountable to the public for their actions and this accountability comes through the elected officials. What they do and how they do it (policies and procedures) requires political oversight. On the other hand, as law enforcement professionals, they must enforce the law impartially and without political interference.

Given the critical and far-reaching role of police, it is hard to overstating the importance of police selection and promotion, and the need to supply the police department with the equipment and other resources needed for effective performance. Above all, there must be competent leadership and management, and responsible oversight of all aspects of the police function. One of the most important appointments which officials will make is that of police chief.

The standards which follow express a minimum level which should be met by municipalities operating with their own department. Options and strategies should be developed to address those standards not met. This includes entering into more formal arrangements with surrounding governments, or other regional alternatives.
The police standards cover:

- Adequacy of police manpower.
- Communications.
- Records.
- Adequacy of police vehicles and other equipment.
- Distribution of manpower.
- Police personnel selection.
- Guidelines for police operations and the conduct of police personnel.
- Physical fitness and wellness programs.
- Police Training

Each standard is accompanied by commentary which seeks to explain the importance of the standard and/or refers the reader to resource materials. A companion document, Resource Manual for Police, is available from the Southwestern Pennsylvania Commission, and is designed to assist municipalities with implementation of standards not met, and with the assessment of present policies and procedures.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   __ Not relevant  __ No interest  __ Lack resources
   __ Lack administrative capacity/initiatives  __ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: ADEQUACY OF POLICE MANPOWER

Standard No. 1

The number of police officers is sufficient to provide police coverage and service seven days a week, 24-hours a day, whether through its own municipal police resources or by formal agreement with another local government or agency.

Commentary

To provide one officer on patrol on each of three shifts requires a minimum force of five full-time officers. The number of officers needed to provide ADEQUATE police coverage on each shift depends on many factors which each municipality will have to consider: crime activity; social and economic factors; the geography of the municipality. The Police Resource Manual provides assistance in calculating manpower needs, based on a model prepared by the International Association of Chiefs of Police.

If part-time officers are being used, it should be noted that, depending on local policy, it can take as many as four part-time officers to equal one full-time, in terms of availability and coverage. If part-time officers are working 32 hours a week, a straight calculation reduces the formula to 1.25 officers as the equivalent of a full-time person.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR: ADEQUACY OF POLICE MANPOWER (Continued)

Standard No. 2

There is capability for back-up support for officers on duty.

Commentary

This standard is essential for the safety of officers, and to support effective law enforcement. A plan-of-action for calling out back-up support should be prepared and available for the on-duty shift supervisor. If assistance includes, or relies upon, personnel from other municipalities, it should be by formal agreement, as opposed to informal arrangements – “I’ll help you, if you help me.” A sample "Mutual Aid Agreement" is included in the Police Resource Manual.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: ADEQUACY OF POLICE MANPOWER  (Continued)

Standard No. 3

There is capacity to provide response to emergencies in approximately six minutes.

Commentary

The quicker the response to an emergency call, the better the chances for an effective or positive resolution. With more serious crimes, it has been found that a response time of six minutes results in an apprehension in about 50 percent of the cases. Closely allied to this point, police departments, particularly busy departments, need the capacity to prioritize calls. National studies of police response time provide a useful measure. The data reveal a mean response time of 4.2 minutes for high priority calls; 17.1 minutes for intermediate priority calls; and 24.3 minutes for calls of the lowest priority -- no emergency/danger; no crime in progress. "Prioritizing" calls for effective training of personnel who handle communications.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (**verified **not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR: ADEQUACY OF POLICE MANPOWER (Continued)

Standard No. 4

There is capacity to handle investigations, both in terms of manpower availability and appropriate training of personnel in investigative work.

Commentary

A full-functioning police department should be able to support investigative needs. Specialized training is required for major crime areas such as homicide and rape. This part of the standard may be considered met if investigative personnel from another law enforcement agency are readily available to assist the local government. Equally important, however, all officers should have training in, and be routinely responsible for, general investigative work. An effective department needs to be more than just incident-driven.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT    VI

FACTOR: ADEQUACY OF POLICE MANPOWER (Continued)

Standard No. 5

The department has personnel trained and functioning in such specialized areas as juvenile and narcotics activities.

Commentary

In smaller municipalities this standard can be considered met if officers receive ongoing training in important specialized areas, and, as a matter of policy and practice, the officer's expertise is routinely called upon in cases requiring specialized knowledge. Intergovernmental arrangements are important ways which can be used to meet this standard.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: ADEQUACY OF POLICE MANPOWER  (Continued)

Standard No. 6

Manpower and other resources are sufficient for preventive crime work, and for enhancement of police-public relations directed to increasing trust, respect, and cooperation between citizens and the police.

Commentary

The standard recognizes that effective police work must be more than reacting to calls for assistance and other incidents. Viable police departments will also be proactive. They will have the capacity and initiative to engage in activities such as preventive patrolling. They will make deliberate efforts to involve and educate citizens in appropriate areas of police work.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

    Reason:
    ___ Not relevant  ___ No interest  ___ Lack resources
    ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: ADEQUACY OF POLICE MANPOWER (Continued)

Standard No. 7

The manpower of the police department is sufficient to permit the Chief of Police to adequately perform the role of supervisor and manager.

Commentary

It is important that the chief perform the normal police management functions associated with a viable department. This includes activities such as the police planning function, data analysis, the use and reporting of data, records’ management, and management of the police budget. Above all, there is a need for full-time general oversight of the department, including all of the activities associated with personnel—involvement in the selection process, supervision, development and discipline.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified  not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: ADEQUACY OF POLICE MANPOWER  (Continued)

Standard No. 8

The police department manpower is sufficient to permit officers to regularly attend in-service training programs and still have the community adequately covered.

Commentary

The critical and changing, nature of police work requires that a municipality be able to release personnel for in service training on a regular basis. In Pennsylvania all officers must be recertified every two years. Recertification requires completion of a minimum of 12 hours of in-service training each year. In addition, all officers must qualify on their weapon each year, and be recertified in CPR and first aid. Every department must have sufficient manpower to meet these obligations without seriously compromising safety and normal police operations.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR:  ADEQUACY OF POLICE MANPOWER  (Continued)

Standard No. 9

There are policies and procedures in place that guard against unnecessary and/or inappropriate absenteeism, such as abuse of sick leave and time in court. These policies and procedures are monitored by a qualified chief and other supervisors.

Commentary

It was pointed out in the Commentary accompanying Standard No. 1 that it requires five full-time officers to have one officer available on each shift. This takes into account factors such as regular days off, vacations, holidays, sick leave, and court time. If there is abuse in areas such as sick leave or time in court, or scheduling of days off, all shifts cannot be covered without costly overtime or use of part-time personnel. Regardless of the size of the police force, careful attention must be given to the number of officers actually available for duty and how this affects the adequacy of police manpower. The best control, of course, is a highly motivated department—officers who identify with the goals of the department and the municipality.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant    ___ No interest    ___ Lack resources
   ___ Lack administrative capacity/ initiatives    ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR:  COMMUNICATIONS

Standard No. 1

Whether as part of a county-wide 911 emergency communications network/center, or a system operated independently by the municipality or other regional arrangements, the call-taking and dispatch system serving the police department is in operation 24-hours a day, seven days a week.

Commentary

An efficient call-taking/ dispatch system supports the need for a rapid response to calls for assistance and other police-related matters. Citizens could be able to reach the dispatcher quickly and easily. The dispatcher, in turn, should be readily able to reach officers on patrol or other needed emergency personnel. Ideally, all municipalities should strive to be part of a county or regional-wide 911 system which puts in place appropriate standards for the emergency communications system. The Resource Manual for Police, which is part of this series, contains information on criteria and responsibilities for 911 operations in Pennsylvania – useful guidelines for all call-taking/ dispatch systems. There is also a sample agreement for contracting for dispatch service.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified  ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: COMMUNICATIONS (Continued)

Standard No. 2

All personnel dispatching police or other emergency personnel have had special training for this function which enables them to give pre-arrival instructions to the caller, and to prioritize dispatch when necessary.

Commentary

The importance of this standard becomes obvious if one can envision potential consequences when a call to police for help comes in to a call-taker/dispatcher who lacks the experience and training necessary to understand and handle whatever the call might bring; when the police operator is discourteous and/or disinterested; when the operator is unable to distinguish the importance of one call against another. Emergencies of any kind should not be placed with unqualified individuals. The State requires specialized training if police department personnel dispatch EMS equipment. If local governments lack the resources necessary to staff the communications system with professionally trained individuals, they should seek regional arrangements which can better provide the resources to do so.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: COMMUNICATIONS (Continued)

Standard No. 3

The number of call-takers/dispatch personnel is sufficient to answer at least 90 percent of all calls within ten seconds.

Commentary

This is the standard set for 911 systems in Pennsylvania. If municipalities cannot provide this kind of a rapid response, they should seriously consider other regional/911 arrangements.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: COMMUNICATIONS (Continued)

Standard No. 4

The communications system has two-way radio capacity, allowing for continuous communication between the Center and the officers on duty.

Commentary

This standard supports safety for police officers on patrol, as well as the need for effectively handling emergencies and other police matters.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: COMMUNICATIONS  (Continued)

Standard No. 5

A written directive establishes the authority and responsibilities of personnel assigned to the communications component, and procedures governing the handling of information obtained by telephone, radio, teletype and automated data systems, including matters of confidentiality.

Commentary

The communications operation should be overseen by the chief of police or his/her designee. The operation should be directly supervised by the shift commander, or by those of comparable rank in the host municipality of a regional system.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: COMMUNICATIONS (Continued)

Standard No. 6

The communications system provides for linkage to other local, state, and national criminal justice and emergency agencies/networks, including the National Crime Information Center, the State Emergency Management Agency and the Federal Emergency Management Agency, and the Federal Bureau of Investigation.

Commentary

The post 911 terrorist attack environment has moved the need for law enforcement communication networks far beyond the need to access information which may be essential to an investigation. There is now a mandated system in place directed to providing an immediate response on the part of police, fire, and other emergency personnel to an area-wide emergency. Again, this emphasizes the need for highly competent personnel at every level.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: COMMUNICATIONS  (Continued)

Standard No. 7

There is multi-channel mobile and portable radio equipment capable of two-way operation.

Commentary

This capability is necessary to provide coordination and deployment of forces in time of emergencies. It may range from car-to-car arrangements to interagency and statewide networks.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR:  COMMUNICATIONS (Continued)

Standard No. 8

The radio system is engineered to reproduce a 12-decibel or greater SINAD ratio to the radio receivers in 95 percent of the service area.

Commentary

The SINAD ratio is a measure of the relationship of the radio signal, noise, and distribution. It is the basis for estimating whether a receiver will respond to and reproduce a transmitted signal. Twelve decibel has been established as a minimum for satisfactory reception.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: COMMUNICATIONS (Continued)

Standard No. 9

There is an alternate source of electrical power sufficient to ensure continued operation of communications equipment.

Commentary

The very nature of police work - protection of life and property, and the ability to respond in emergencies at all times - mandates this standard.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR:  COMMUNICATIONS  (Continued)

Standard No. 10

There are established procedures for monitoring the status of officers on duty.

Commentary

All officers depend on the communications system (center) to recognize when they may be in danger. By monitoring the status of officers on duty the operator knows to where and for how long an officer has been out on a call. The operator also needs to know when, and which, cars are available for service.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified  not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
       ___ Not relevant  ___ No interest  ___ Lack resources
       ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR: COMMUNICATIONS  (Continued)

Standard No. 11

All calls for service are logged in. A written directive specifies the information to be reported at the time of a request for service, to include date and time of request; name and address of complainant (if possible); type of incident; location; time of dispatch/time of officer arrival; time of officer return to service, disposition or status.

Commentary

This is fundamental to a control system and a comprehensive field reporting program. This standard should extend to all requests, including those received by telephone, letter, in person, or officer initiated.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified  _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: RECORDS

Standard No. 1

There is written policy establishing procedures and responsibility for the police record-keeping function.

Commentary

There needs to be a formal records-keeping system in place to support the need for comprehensive and accurate data. Such data are basis for plotting trends, manpower needs and deployment, budget requirements, etc. The policy also needs to place clear responsibility for all aspects of the records-keeping function.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:

    ___ Not relevant  ___ No interest  ___ Lack resources
    ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR:  RECORDS  (Continued)

Standard No. 2

Either as part of a comprehensive records policy, or separately, there is a written
directive prescribing forms to be used in field reporting, procedures to be followed in
completing forms and reports, and policy regarding matters of confidentiality,
particularly legal requirements with respect to juvenile records. These forms and
procedures satisfy reporting requirements established by the FBI's Uniform Crime
Reporting System.

Commentary

Both this standard, and Standard No. 1, above, support the need for completeness and
uniformity if police records are to be useful in analysis, and useful in supporting police
actions and providing information.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
      ___ Not relevant  ___ No interest  ___ Lack resources
      ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR: RECORDS (Continued)

Standard No. 3

The maintenance of criminal history records on individuals, and access to such
records, is in compliance with the Criminal History Records Information Act,
471979PL/16, as amended.

Commentary

This act provides for proper collection, storage, dissemination, and use of criminal history
record information, as well as the conditions under which such records, including the
police blotter, can be reviewed by individuals. Excerpts from this legislation are included
with the materials in the Resource Manual for Police, a companion document to these
police standards.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: RECORDS (Continued)

Standard No. 4

There is routine supervisory review of field reports to ensure that an assignment has been satisfactorily completed and reported.

Commentary

A viable municipality must have the capability of supporting a police department large enough to permit supervisors the time to review field reports and other records, and to use data for planning and monitoring police operations as well as the performance of individual officers.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: RECORDS (Continued)

Standard No. 5

For all calls or visits reporting incidents or request for service, there is a written directive requiring the recording of such information as the date and time of initial reporting, name of citizen requesting service (if available), name of victim, and other pertinent data, including disposition.

Commentary

This supports other standards in this part.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: RECORDS (Continued)

Standard No. 6

An index is maintained of incidents by, type, by location, and by time, and day; as well as an index of stolen, found and recovered property.

Commentary

This type of information is essential for monitoring trends, manpower needs and deployment, etc., and for the compilation of regular reports to the governing body.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: RECORDS (Continued)

Standard No. 7

The department maintains a repository of records to include offense reports, on-view arrest reports, and traffic incidents.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR:  RECORDS  (Continued)

Standard No. 8

There is regular analysis during the year of police activity, based on records, and there is periodic reporting to elected officials, management, the media and citizens.

Commentary

Other standards in this part support this standard. Without a comprehensive and good records system, this standard cannot be met. Good, accurate reports not only provide needed information for the police department and elected officials, but also can be the basis for instilling trust and confidence in the department.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: POLICE VEHICLES, OTHER EQUIPMENT

Standard No. 1

Police vehicles, sufficient to support one- and/or two-person patrols, and investigative work, are always available, and in good working condition.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR:  POLICE VEHICLES, OTHER EQUIPMENT  (Continued)

Standard No. 2

Other police equipment necessary for the performance of police duties, and the safety of officers (firearms, protective clothing, etc.) is available and in good condition.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 3

Supervisory personnel have independent transportation to support their supervisory responsibilities.

No Commentary

The very nature of supervisory responsibility dictates that supervisors have the ability to move throughout the municipality, independent of the personnel they are to supervise.

Rating Scale

Standard is:

1. ___ Met, and is effective. ( __verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: POLICE VEHICLES, OTHER EQUIPMENT  (Continued)

Standard No. 4

A maintenance and replacement schedule for police vehicles, to assure high performance, safety, and cost-effectiveness, exists, and is part of an overall, formal, municipal policy governing maintenance and replacement.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
      ___ Not relevant   ___ No interest   ___ Lack resources
      ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: DISTRIBUTION OF POLICE PERSONNEL

Standard No. 1

When possible, the allocation of patrol personnel is based on an assessment of need, i.e. those areas with the highest concentration of problems receive a higher degree of police attention.

Commentary

The capacity to fulfill this measurement depends heavily on meeting the standards established for police records, communications, and reporting procedures. An analysis of the number of incidents – type, time of day, day of week – should constitute the basis for manpower allocation whenever possible.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason: ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT   VI

FACTOR: POLICE PERSONNEL SELECTION

Standard No. 1

Police selection is governed by a merit system, i.e., openings in the department are filled through an open and competitive process, and each selection is made from those individuals who are among the top scorers.

Commentary

The standards in the Personnel Section of this Standards Manual pertain to police personnel as well as all other municipal employees, and should be carefully reviewed. Certain areas are singled out in these police standards for emphasis since the State of Pennsylvania has placed most police personnel (and fire) with the framework of a merit system, setting forth procedures to be followed in selection, promotion, and discipline. Except for townships of the second class and home rule communities, local governments with at least three full-time officers are covered by these State procedures. This standard extends merit coverage to all classifications of municipalities. In those municipalities falling under the state-prescribed civil service framework, the authority for police selection, promotion, and disciplinary hearings (due process) lies with a lay civil service commission. This commission is charged not only with promulgating the rules governing these police personnel matters; it runs the system. The importance of these functions should signal to local governments the need to appoint well-qualified individuals to serve on the Civil Service Commission, as well as the need for general oversight and support by elected officials and municipal management. (See Standard No. 2.)

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR:  POLICE PERSONNEL SELECTION  (Continued)

Standard No. 2

Those responsible for police recruitment, conduct of written and oral examinations, preparation of eligibility lists, and other matters related to police selection/promotion/discipline, are qualified by education and/or experience and training to perform these functions. If not, resources are available to engage consultants to assist with the testing process.

Commentary

It is a mistake to think (or rationalize) that anyone can handle the responsibilities associated with this standard. As noted in the Resource Manual for Personnel, which is part of this series, the law now places restrictions and mandates with respect to these personnel functions. Costly litigation can result if mistakes are made in the recruitment and selection/testing process. Even oral interviews, now, must be structured, and all questions asked must be job related. Above all, the process must be seen as fair, and impartial/nonpartisan.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (**verified **not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: POLICE PERSONNEL SELECTION  (Continued)

Standard No. 3

Questions on both the written and oral examinations are job related, resulting from a job analysis of the position involved.

Commentary

Standards found in the personnel section of this Workbook expand and explain the importance of this standard.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: POLICE PERSONNEL SELECTION (Continued)

Standard No. 4

The civil service commission, or other authority charged with police recruitment/selection/promotion/discipline, has promulgated comprehensive rules and regulations governing the process. These have been adopted by the governing body and are regularly undated.

Commentary

The Resource Manual for Police Management which is part of this series provides some of the typical provisions that should be part of a comprehensive document governing the work of the Civil Service Commission or Personnel Board. These are drawn from Model Rules and Regulations for a Municipal Civil Service Commission, a publication of the Pennsylvania State Department of Community and Economic Development. See, also, Standard 5 which follows.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: POLICE PERSONNEL SELECTION  (Continued)

Standard No. 5

Among other things, the rules and regulations governing police, as called for in the previous standard, cover the following areas:

1. Before the hiring decision is made, a background investigation of each individual is conducted. (This is now required under the Police Training Law – Act 120, as well as under provisions of the Americans With Disabilities Act – ADA.) The investigation should be done by an individual(s) trained for this type of work.

2. Physical fitness and psychological examinations are conducted by qualified personnel. As with the background investigation, Act 120 and ADA now require that individuals hired as police officers undergo these examinations after the hiring decision is made, and prior to assuming their police duties.

3. Individuals who are candidates for supervisory or management positions have had, or are required to undergo, higher level training in police management prior to assuming their duties.

4. Candidates for both entry level and promotional positions are required to serve a probationary period.

5. Candidates for the position of Police Chief must meet higher standards with respect to education, managerial/leadership experience, and selection procedures. (The Resource Manual for Police provides an outline of a selection process for chief.)

6. The work performance of each probationary employee is formally evaluated during, and at the end of, the probationary period. A formal, written, assessment process is used rather than casual observation and comment. No candidate is offered a permanent position if, during this period, there are indications of problems or lack of ability to perform up to expected standards.

7. Causes for disciplinary action and the process by which disciplinary matters will be handled, including due process.

Commentary

Again, it is emphasized that the general standards for personnel management apply also to police, and they should be reviewed in making an assessment of the adequacy of police selection standards and other areas not covered here.
Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: GUIDELINES FOR POLICE OPERATIONS AND CONDUCT OF PERSONNEL

Standard No. 1

The police department has an up-to-date police operations manual which sets forth established policies and procedures governing the major operational aspects of departmental work. This includes delineating the responsibility and authority of departmental personnel, and expected conduct of officers, supervisors, and civilian employees.

Commentary

The Police Resource Manual which is part of this series offers illustrations of areas which should be covered in a comprehensive policies and procedures document. These policies and procedures should be adopted by the governing body. All officers should receive a copy and should acknowledge this in writing. Any policies and procedure’s manual should be developed with input from department personnel, and should be regularly reviewed and undated.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT VI

FACTOR: PHYSICAL FITNESS AND WELLNESS PROGRAMS

Standard No. 1

The municipality has in place policy requiring regular physical examinations for police officers, and which encourages participation in WELLNESS programs.

Commentary

The physical demands of police work require that officers remain physically fit for the position. Illustrative policy provisions are provided in the Resource Manual for Police.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
___ Not relevant ___ No interest ___ Lack resources
___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
STANDARDS FOR POLICE MANAGEMENT  VI

FACTOR: POLICE TRAINING

Standard No. 1

Police officers of all ranks are afforded the opportunity to attend in-service training courses, beyond the minimum required by the State of Pennsylvania. (See Standard No. 8 under "Adequacy of Police Manpower.") Such training is supported by a budget allocation.

Commentary

State mandated training is minimal, and by itself is not necessarily adequate to satisfy the need for exposure to new ideas and methods, new technologies, and the variety of specialized needs associated with police work.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
### SUMMARY: SECTION VI. – STANDARDS FOR POLICE MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: ADEQUACY OF POLICE MANPOWER</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The number of police officers is sufficient to provide police coverage and service seven days a week, 24-hours a day, whether through its own municipal police resources or by formal agreement with another local government or agency.</td>
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<tr>
<td><strong>Standard No. 2</strong></td>
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<tr>
<td>There is capability for back-up support for officers on duty.</td>
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<tr>
<td><strong>Standard No. 3</strong></td>
<td></td>
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<tr>
<td>There is capacity to provide response to emergencies in approximately six minutes.</td>
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<tr>
<td><strong>Standard No. 4</strong></td>
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<tr>
<td>There is capacity to handle investigations, both in terms of manpower availability and appropriate training of personnel in investigative work.</td>
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<tr>
<td><strong>Standard No. 5</strong></td>
<td></td>
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</tr>
<tr>
<td>The department has personnel trained and functioning in such specialized areas as juvenile and narcotics activities.</td>
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<tr>
<td><strong>Standard No. 6</strong></td>
<td></td>
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</tr>
<tr>
<td>Manpower and other resources are sufficient for preventive crime work, and for enhancement of police-public relations directed to increasing trust, respect, and cooperation between citizens and the police.</td>
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<tr>
<td><strong>Standard No. 7</strong></td>
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<tr>
<td>The manpower of the police department is sufficient to permit the Chief of Police to adequately perform the role of supervisor and manager.</td>
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<tr>
<td><strong>Standard No. 8</strong></td>
<td></td>
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<tr>
<td>The police department manpower is sufficient to permit officers to regularly attend in-service training programs and still have the community adequately covered.</td>
<td></td>
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<tr>
<td><strong>Standard No. 9</strong></td>
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<tr>
<td>There are policies and procedures in place that guard against unnecessary and/or inappropriate absenteeism, such as abuse of sick leave and time in court. These policies and procedures are monitored by a qualified chief and other supervisors.</td>
<td></td>
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</table>

### FACTOR: COMMUNICATIONS

| **Standard No. 1** |                |                   |        |
| Whether as part of a county-wide 911 emergency communications network/center, or a system operated independently by the municipality or other regional arrangements, the call-taking and dispatch system serving the police department is in operation 24-hours a day, seven days a week. |                |                   |        |
### SUMMARY: SECTION VI. – STANDARDS FOR POLICE MANAGEMENT

#### FACTOR: COMMUNICATIONS (Continued)

<table>
<thead>
<tr>
<th>Standard No. 2</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>All personnel dispatching police or other emergency personnel have had special training for this function which enables them to give pre-arrival instructions to the caller, and to prioritize dispatch when necessary.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 3</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>The number of call-takers/dispatch personnel is sufficient to answer at least 90 percent of all calls within ten seconds.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 4</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>The communications system has two-way radio capacity, allowing for continuous communication between the Center and the officers on duty.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 5</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>A written directive establishes the authority and responsibilities of personnel assigned to the communications component, and procedures governing the handling of information obtained by telephone, radio, teletype and automated data systems, including matters of confidentiality.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 6</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>The communications system provides for linkage to other local, state, and national criminal justice and emergency agencies/ networks, including the National Crime Information Center, the State Emergency Management Agency and the Federal Emergency Management Agency, and the Federal Bureau of Investigation.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 7</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is multi-channel mobile and portable radio equipment capable of two-way operation.</td>
<td></td>
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<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 8</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>The radio system is engineered to reproduce a 12-decibel or greater SINAD ratio to the radio receivers in 95 percent of the service area.</td>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 9</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is an alternate source of electrical power sufficient to ensure continued operation of communications equipment.</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 10</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>There are established procedures for monitoring the status of officers on duty.</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard No. 11</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>All calls for service are logged in. A written directive specifies the information to be reported at the time of a request for service, to include date and time of request; name and address of complainant (if possible); type of incident; location; time of dispatch/time of officer arrival; time of officer return to service, disposition or status.</td>
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</tbody>
</table>

**Sum: Sec VI - 2**
### SUMMARY: SECTION VI. – STANDARDS FOR POLICE MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: RECORDS</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;There is written policy establishing procedures and responsibility for the police record-keeping function.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;Either as part of a comprehensive records policy, or separately, there is a written directive prescribing forms to be used in field reporting, procedures to be followed in completing forms and reports, and policy regarding matters of confidentiality, particularly legal requirements with respect to juvenile records. These forms and procedures satisfy reporting requirements established by the FBI's Uniform Crime Reporting System.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;The maintenance of criminal history records on individuals, and access to such records, is in compliance with the Criminal History Records Information Act, 471979PL/16, as amended.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;There is routine supervisory review of field reports to ensure that an assignment has been satisfactorily completed and reported.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Standard No. 5</strong>&lt;br&gt;For all calls or visits reporting incidents or request for service, there is a written directive requiring the recording of such information as the date and time of initial reporting, name of citizen requesting service (if available), name of victim, and other pertinent data, including disposition.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Standard No. 6</strong>&lt;br&gt;An index is maintained of incidents by, type, by location, and by time, and day; as well as an index of stolen, found and recovered property.</td>
<td></td>
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</tr>
<tr>
<td><strong>Standard No. 7</strong>&lt;br&gt;The department maintains a repository of records to include offense reports, on-view arrest reports, and traffic incidents.</td>
<td></td>
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</tr>
<tr>
<td><strong>Standard No. 8</strong>&lt;br&gt;There is regular analysis during the year of police activity, based on records, and there is periodic reporting to elected officials, management, the media and citizens.</td>
<td></td>
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</tbody>
</table>

### FACTOR: POLICE VEHICLES, OTHER EQUIPMENT

| Standard No. 1<br>Police vehicles, sufficient to support one- and/or two-person patrols, and investigative work, are always available, and in good working condition. | | | |
| Standard No. 2<br>Other police equipment necessary for the performance of police duties, and the safety of officers (firearms, protective clothing, etc.) is available and in good condition. | | | |
SUMMARY: SECTION VI. – STANDARDS FOR POLICE MANAGEMENT

<table>
<thead>
<tr>
<th>FACTOR: POLICE VEHICLES, OTHER EQUIPMENT</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Continued)</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Standard No. 3</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Supervisory personnel have independent transportation to support their supervisory responsibilities.</td>
<td></td>
<td></td>
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<tr>
<td>Standard No. 4</td>
<td></td>
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<tr>
<td>A maintenance and replacement schedule for police vehicles, to assure high performance, safety, and cost-effectiveness, exists, and is part of an overall, formal, municipal policy governing maintenance and replacement.</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>FACTOR: DISTRIBUTION OF POLICE PERSONNEL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
</tr>
<tr>
<td>When possible, the allocation of patrol personnel is based on an assessment of need, i.e. those areas with the highest concentration of problems receive a higher degree of police attention.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FACTOR: POLICE PERSONNEL SELECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
</tr>
<tr>
<td>Police selection is governed by a merit system, i.e., openings in the department are filled through an open and competitive process, and each selection is made from those individuals who are among the top scorers.</td>
</tr>
<tr>
<td>Standard No. 2</td>
</tr>
<tr>
<td>Those responsible for police recruitment, conduct of written and oral examinations, preparation of eligibility lists, and other matters related to police selection/promotion/discipline, are qualified by education and/or experience and training to perform these functions. If not, resources are available to engage consultants to assist with the testing process.</td>
</tr>
<tr>
<td>Standard No. 3</td>
</tr>
<tr>
<td>Questions on both the written and oral examinations are job related, resulting from a job analysis of the position involved.</td>
</tr>
<tr>
<td>Standard No. 4</td>
</tr>
<tr>
<td>The civil service commission or other authority charged with police recruitment/selection/promotion/discipline, has promulgated comprehensive rules and regulations governing the process. These have been adopted by the governing body and are regularly undated.</td>
</tr>
</tbody>
</table>
SUMMARY: SECTION VI. – STANDARDS FOR POLICE MANAGEMENT

FACTOR: POLICE PERSONNEL SELECTION
(Continued)

<table>
<thead>
<tr>
<th>STANDARD NO. 5</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
</table>

Among other things, the rules and regulations governing police, as called for in the previous standard, cover the following areas:

1. Before the hiring decision is made, a background investigation of each individual is conducted. (This is now required under the Police Training Law – Act 120, as well as under provisions of the Americans With Disabilities Act – ADA.) The investigation should be done by an individual(s) trained for this type of work.

2. Physical fitness and psychological examinations are conducted by qualified personnel. As with the background investigation, Act 120 and ADA now require that individuals hired as police officers undergo these examinations after the hiring decision is made, and prior to assuming their police duties.

3. Individuals who are candidates for supervisory or management positions have had, or are required to undergo, higher level training in police management prior to assuming their duties.

4. Candidates for both entry level and promotional positions are required to serve a probationary period.

5. Candidates for the position of Police Chief must meet higher standards with respect to education, managerial/leadership experience, and selection procedures. (The Resource Manual for Police provides an outline of a selection process for chief.)

6. The work performance of each probationary employee is formally evaluated during, and at the end of, the probationary period. A formal, written, assessment process is used rather than casual observation and comment. No candidate is offered a permanent position if, during this period, there are indications of problems or lack of ability to perform up to expected standards.

7. Causes for disciplinary action and the process by which disciplinary matters will be handled, including due process.
<table>
<thead>
<tr>
<th>FACTOR: GUIDELINES FOR POLICE OPERATIONS AND CONDUCT OF PERSONNEL</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1 The police department has an up-to-date police operations manual which sets forth established policies and procedures governing the major operational aspects of departmental work. This includes delineating the responsibility and authority of departmental personnel, and expected conduct of officers, supervisors, and civilian employees.</td>
<td></td>
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<tr>
<td>FACTOR: PHYSICAL FITNESS AND WELLNESS PROGRAMS</td>
<td></td>
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</tr>
<tr>
<td>Standard No. 1 The municipality has in place policy requiring regular physical examinations for police officers, and which encourages participation in WELLNESS programs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FACTOR: POLICE TRAINING</td>
<td></td>
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</tr>
<tr>
<td>Standard No. 1 Police officers of all ranks are afforded the opportunity to attend in-service training courses, beyond the minimum required by the State of Pennsylvania. (See Standard No. 8 under &quot;Adequacy of Police Manpower.&quot;) Such training is supported by a budget allocation.</td>
<td></td>
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</tbody>
</table>
MUNICIPAL FIRE MANAGEMENT VII

INTRODUCTION

Fire protection is among the most basic of services provided by a local government. It is expected to be available to citizens seven days a week; 24-hours a day. There is no one model used for delivering fire protection. Large local governments can be expected to have a fully paid fire department, operating under the supervision of a municipal manager and/or elected officials. Small local governments most frequently, but not always, operate with all-volunteer fire companies. In between are models which have both paid and volunteer firefighters. Some have a paid driver and volunteers. In some cases two or more local governments may enter into a formal agreement to cooperate in providing fire service. Many times cooperation among municipal fire companies is informal. When additional help is needed, neighboring companies respond. Regardless of the method of delivery, every effort should be made to meet the basic standards for fire suppression and fire prevention which follow.

The fire standards are designed to accomplish the objectives of accountability, and an acceptable level of adequacy in the delivery of fire service. Several of the standards draw upon those developed by the National Fire Protection Association. Others reflect effective administrative practices.

Meeting fire management standards when volunteer companies are involved can present significant challenges to municipal officials. Often they function independent of regular municipal supervision and municipal processes. It is critical, then, that means, mutually acceptable to all parties, be established to facilitate communication, coordination, and cooperation among the parties. This need is especially important in establishing accountability when public money is involved in providing support to a volunteer company.

Since fire personnel are among the first responders in most emergencies, it is critical that the fire service, whether paid or volunteer, be fully integrated into the Emergency Management Plan of the municipality. The importance of this is more fully explained in Section IX of this publication – The Management of Emergencies.
MUNICIPAL FIRE MANAGEMENT  VII

FACTOR: BASIC FIRE STANDARDS

Standard No. 1

The municipality has received at least a mid-point rating of 5 (a rating of 6 for more rural municipalities) from the Insurance Services Office (ISO).

Commentary

The ISO regularly rates fire service delivery for each local government for the sole purpose of fire insurance rate-making. The rating is on a scale of 1 - 10. A Class 1 community is considered most capable of coping with a fire. A Class 10 municipality has no fire department or water supply meeting the Grading Schedule requirements of the ISO. Insurance rates on identical risks would normally be lower in a Class 1 local government and highest in Class 10. Since insurance rates for residents and businesses are affected by the ISO rating, local officials need to be knowledgeable about this rating and the factors which affect it. Water supply counts for 40% of the rating; equipment, 26%; personnel, 15%; alarm and dispatch, 10%; and training, 9%.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 2

All fire personnel, whether paid or volunteer, have received basic, certified, training in firefighting and have regular and mandatory in-service training and drills. Training goals are based on the standards set by the National Fire Protection Association (NFPA).

Commentary

The standards developed by the NFPA impact upon a local government, whether fire service is provided by volunteer or paid personnel. NFPA publishes standards covering a wide range of topics which are seen as essential safeguards against loss of life and property from fire, including training. NFPA Standard 1500, the Health and Safety Standard, places 100-plus requirements on fire departments, including volunteer companies. The International Association of Fire Fighters has established as a national goal total compliance with 1500.

In other words, NFPA requirements have become the standard for the industry. Although not mandatory upon local governments, the fact that they have been recognized nationally allows it to be argued that any equipment or operating procedure that does not comply is unsafe and substandard. Liability can then attach to a local government not meeting the standard. Compliance with these standards carries a financial impact, and raises the level of management and professionalism that are needed as fire service evolves from its traditional fire suppression role to one of involvement in a full range of emergency and life safety services, hastened by new and emerging federal and state mandates arising from the 9-11 attack and emerging homeland security efforts.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

    Reason:
    ___ Not relevant ___ No interest ___ Lack resources
    ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT  VII

**FACTOR:  BASIC FIRE STANDARDS**  (Continued)

Standard No. 3

Fire equipment is adequate, and suited to the needs/experience of the municipality. Basic fire apparatus, and personal equipment and clothing of firefighters, meet NFPA standards.

**Commentary**

Fire equipment needs will vary from local government to local government. Community characteristics, such as population size, land area, density, terrain, and type of structures, will have an effect of what is needed. Municipal officials should seek a briefing from fire officials on equipment needs, and ISO and NFPA standards. See, also, the Commentary for Standard 2, above.

**Rating Scale**

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   
   **Reason:**
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
**MUNICIPAL FIRE MANAGEMENT  VII**

**FACTOR: BASIC FIRE STANDARDS**  (Continued)

Standard No. 4

Water, and water pressure, and pumper capacity, always are sufficient to meet firefighting needs.

**Commentary**

Again, ISO and NFPA set standards for water supply. Municipal officials should inquire about these standards and be satisfied that the municipal water supply is adequate. Rural areas should establish dry hydrant sites whenever practical, and this should be done on a regional, cooperative basis.

**Rating Scale**

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   **Reason:**
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 5

The procedures and equipment used to dispatch fire equipment are adequate to support a rapid response to a fire call or other emergencies for which fire personnel are responsible.

Commentary

A rapid response to a fire is key to minimizing the loss of life and property. Procedures for reporting a fire should be simple and well understood by the public. At the other end, those who dispatch fire equipment should be well trained, and their dispatching equipment, to the extent possible, should be state-of-the-art. See, also, the next part of this section in Fire Suppression, and the standards for call-taking and dispatch.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT    VII

FACTOR: FIRE SUPPRESSION

Standard No. 1

Adequate firefighting service is available seven days a week, 24-hours a day.

Commentary

Meeting this standard generally is not a problem for a local government with a full-time, paid, department. For volunteer companies the standard may be more difficult to meet at times, particularly as these companies experience difficulty in recruiting volunteers. Particular attention should be paid to the ability of volunteer companies to cover, adequately, morning and afternoon hours.

The standard is met if the municipality and its volunteer companies have entered into formal mutual aid agreements with neighboring communities which can guarantee needed coverage.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT VII

FACTOR: FIRE SUPPRESSION (Continued)

Standard No. 2

Fire manpower is sufficient to provide a minimum of three persons on each apparatus responding to a fire.

Commentary

This manpower standard can be open to question, and may vary depending on a number of factors such as whether volunteers report directly to the fire scene. However, in weighing the adequacy of fire manpower, the following should be kept in mind. The NFPA standard calls for 4 persons on each apparatus. Both safety and the manpower requirements at the fire scene support this standard. For example, there are distinct and specialized duties which should be performed simultaneously to minimize loss of life and property – locate fire, plan attack, develop lines, raise ladders, rescue, ventilate, etc. For water flow of 150 GPH it takes two individuals to maneuver the hose line, and there needs to be an operator at the pumper. Two to 4 individuals are needed to raise ladders for rescue, depending on the length of the ladder.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT  VII

FACTOR:  FIRE SUPPRESSION  (Continued)

Standard No. 3

The response time to a first alarm is within approximately 8 minutes.

Commentary

The bottom line is whether or not firefighters and equipment arrive in time to minimize loss of life and property. A key factor is the time from ignition to flashover (simultaneous ignition of all combustibles), at which time the spread of the fire will increase dramatically. Studies show that the time to flashover in a structural fire varies from 5 to 9 minutes.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified  ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: FIRE SUPPRESSION (Continued)

Standard No. 4

If fire service is provided by volunteers, and more than one volunteer company services the municipality, these companies not only work cooperatively, but also have formal arrangements for assisting one another.

Commentary

When more than one company responds to a fire there should be well understood procedures governing, especially, when, and in what order, additional companies will be called, and command responsibilities (who is in charge). Otherwise, the fire scene can become confused, and firefighting inefficient. This standard is critical for liability protection for both the municipality and the fire companies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
___ Not relevant ___ No interest  ___ Lack resources
___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT VII

FACTOR: DISPATCHING FIRE EQUIPMENT

Standard No. 1

Whether as part of a county-wide 911 emergency communications network/center, or a system operated independently by the municipality/fire department or other regional arrangement, the call-taking and dispatch system serving the fire department is in operation 24-hours a day, seven days a week.

Commentary

An efficient call-taking and dispatch system supports the need for a rapid response to fire calls. Ideally, all municipalities should strive to be part of a county or regional 911 system which, in Pennsylvania, puts in place appropriate standards for the emergency communications system.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: DISPATCHING FIRE EQUIPMENT (Continued)

Standard No. 2

All personnel dispatching fire equipment are property trained and certified for this function.

Commentary

Ideally, dispatch personnel should seek certification from an appropriate agency such as the American Association of Public Communications Officers, and meet all of the appropriate standards established for 911 systems in Pennsylvania.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT  VII

FACTOR:  DISPATCHING FIRE EQUIPMENT  (Continued)

Standard No. 3

The number of call-takers/dispatch personnel is adequate to answer at least 90 percent of fire calls within ten seconds.

Commentary

This is the standard set for 911 systems in Pennsylvania. (See also the standards and commentary for Police Communications found in the Police Section of this Workbook.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT  VII

FACTOR:  FIRE PREVENTION

Standard No. 1

The municipality has adopted a nationally recognized fire code or the equivalent -- the latest edition.

Commentary

A comprehensive fire code is fundamental to public safety, and provides necessary standards for safety for both established and new construction. Examples of fire codes include that of the Building Officials and Code Administrators International, Inc. (BOCA), and of the National Fire Protection Association (NFPA).

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:  
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT VII

FACTOR: FIRE PREVENTION (Continued)

Standard No. 2

Responsibility for enforcement of the fire code has been placed with an individual certified by the State as a fire inspector, and the fire code is regularly enforced.

Commentary

The individual charged with fire code enforcement might be a general code enforcement officer, a fire Marshall, or other responsible individual.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:


LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT  VII

FACTOR:  FIRE PREVENTION  (Continued)

Standard No. 3

The fire code enforcement officer participates in the review of construction plans, at the initial/early stage, to provide input as to compliance with the fire code.

Commentary

In fairness to builders, it is important for them to know early-on whether or not their plans are in compliance with the fire code. It saves many problems later when it may be very costly to correct a mistake, or a code violation may be permitted to stand. If a municipal official cannot handle these duties, an outside contractor can accomplish the task for a fee.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT  VII

FACTOR:  FIRE PREVENTION (Continued)

Standard No. 4

Under the direction of the appropriate fire official, fire lanes and fire hydrant placement have been established in accordance with recognized professional standards.

Commentary

In municipalities with volunteer fire service, this standard requires close cooperation and communication between the appropriate fire official and municipal officials.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (**verified **not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT VII

FACTOR: FIRE PREVENTION (Continued)

Standard No. 5

There are regular inspections and fire drills in such areas as schools, hospitals, and other public buildings.

Commentary

Fire officials should schedule and conduct these tasks.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT VII

FACTOR: RECORDS

Standard No. 1

Whether fire service is provided by a full-time or volunteer staff, or combination of the two, the governing body has available to it on a regular basis information on the number, day and time of fires; property loss data, fire response time, fire prevention activities, training, etc.

Commentary

This standard is important, if not essential, in keeping municipal officials informed about the fire delivery service in the community. Good records also are a critical element in the ISO rating schedule. For example, as mentioned in an earlier standard, the ISO schedule equates the response of three volunteers to one paid firefighter. If fire companies have no records available, the grading schedule requires that the ratio of 6:1 be used to rate response time. Municipalities should be aggressive in ensuring that fire companies serving them participate in NFIRS (National Fire Incident Reporting System), administered through the State Fire Commissioner’s Office. This centralized reporting system is crucial to recording incident response, and establishes a permanent record of each company’s capabilities.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT    VII

FACTOR:  LIAISON ACTIVITIES AND ACCOUNTABILITY – VOLUNTEER COMPANIES

Standard No. 1

If fire service is provided by volunteer fire personnel, there are well established and effective lines of communication between municipal officials and the volunteers.

Commentary

Even though fire service may be provided by volunteers, and even though there may not be municipal funds involved in support of fire service, elected officials remain responsible for insuring that fire service is being effectively delivered. Periodic meetings with representatives of the volunteer companies not only helps officials assess the quality of fire service; it also helps to foster positive relationships with the volunteers. Ideally, the volunteer companies should be seen as part of the “municipal family.”

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL FIRE MANAGEMENT VII

FACTOR: LIAISON ACTIVITIES AND ACCOUNTABILITY – VOLUNTEER COMPANIES
(Continued)

Standard No. 2

If the municipality provides funding, directly or indirectly, to its volunteer fire companies, the municipality requires some kind of accountability from the companies. This accounting includes documentation as to how funds were spent, and written justifications for future budget requests.

Commentary

Volunteer fire companies provide an invaluable service for a municipality at little (or no) cost. Asking for accountability can be a sensitive undertaking. Yet, where municipal tax dollars are involved, accountability is essential. The relationship with the volunteer companies, at least where municipal support occurs, should be established through an ordinance or resolution. The ideal situation concerning municipal appropriations is for the local government to manage these funds on behalf of the volunteer company(s) not manage the company, only the funds. In this way the company is relieved of any subsequent reporting or audit requirements back to the local government.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   __ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
**SUMMARY: SECTION VII. – MUNICIPAL FIRE MANAGEMENT**

<table>
<thead>
<tr>
<th>FACTOR: BASIC FIRE STANDARDS</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;The municipality has received at least a mid-point rating of 5 (a rating of 6 for more rural municipalities) from the Insurance Services Office (ISO).</td>
<td></td>
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<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;All fire personnel, whether paid or volunteer, have received basic, certified, training in firefighting and have regular and mandatory in-service training and drills. Training goals are based on the standards set by the National Fire Protection Association (NFPA).</td>
<td></td>
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</tr>
<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;Fire equipment is adequate, and suited to the needs/experience of the municipality. Basic fire apparatus, and personal equipment and clothing of firefighters, meet NFPA standards.</td>
<td></td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;Water, and water pressure, and pumper capacity, always are sufficient to meet firefighting needs.</td>
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<tr>
<td><strong>Standard No. 5</strong>&lt;br&gt;The procedures and equipment used to dispatch fire equipment are adequate to support a rapid response to a fire call or other emergencies for which fire personnel are responsible.</td>
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<table>
<thead>
<tr>
<th>FACTOR: FIRE SUPPRESSION</th>
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<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;Adequate firefighting service is available seven days a week, 24-hours a day.</td>
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<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;Fire manpower is sufficient to provide a minimum of three persons on each apparatus responding to a fire.</td>
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<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;The response time to a first alarm is within approximately 8 minutes.</td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;If fire service is provided by volunteers, and more than one volunteer company services the municipality, these companies not only work cooperatively, but also have formal arrangements for assisting one another.</td>
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<table>
<thead>
<tr>
<th>FACTOR: DISPATCHING FIRE EQUIPMENT</th>
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</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;Whether as part of a county-wide 911 emergency communications network/center, or a system operated independently by the municipality/fire department or other regional arrangement, the call-taking and dispatch system serving the fire department is in operation 24-hours a day, seven days a week.</td>
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</table>
### SUMMARY: SECTION VII. – MUNICIPAL FIRE MANAGEMENT

#### FACTOR: DISPATCHING FIRE EQUIPMENT (Continued)

<table>
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<tr>
<th>Standard No.</th>
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<th>Met – In-effective</th>
<th>Not Met</th>
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</thead>
<tbody>
<tr>
<td>2</td>
<td>All personnel dispatching fire equipment are properly trained and certified for this function.</td>
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<tr>
<td>3</td>
<td>The number of call-takers/dispatch personnel is adequate to answer at least 90 percent of fire calls within ten seconds.</td>
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#### FACTOR: FIRE PREVENTION

<table>
<thead>
<tr>
<th>Standard No.</th>
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<th>Not Met</th>
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<tbody>
<tr>
<td>1</td>
<td>The municipality has adopted a nationally recognized fire code or the equivalent—the latest edition.</td>
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<tr>
<td>2</td>
<td>Responsibility for enforcement of the fire code has been placed with an individual certified by the State as a fire inspector, and the fire code is regularly enforced.</td>
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<tr>
<td>3</td>
<td>The fire code enforcement officer participates in the review of construction plans, at the initial/early stage, to provide input as to compliance with the fire code.</td>
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<tr>
<td>4</td>
<td>Under the direction of the appropriate fire official, fire lanes and fire hydrant placement have been established in accordance with recognized professional standards.</td>
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<tr>
<td>5</td>
<td>There are regular inspections and fire drills in such areas as schools, hospitals, and other public buildings.</td>
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#### FACTOR: RECORDS

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<tr>
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#### FACTOR: LIAISON ACTIVITIES AND ACCOUNTABILITY – VOLUNTEER COMPANIES

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<tr>
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**Sum: Sec VII - 2**
EMERGENCY MEDICAL SERVICES (EMS)  VIII

INTRODUCTION

The provision of emergency assistance to residents in need of medical attention is generally understood to be the primary task of emergency medical personnel (EMS). Residents expect such service to be available twenty-four hours a day, seven days a week. The EMS agency must be properly licensed and insured, and EMS personnel are expected to be certified, and capable of providing basic and/or advanced life support. Municipalities across the State have turned to a variety of ways to provide EMS service. For example, some municipalities provide the service “in-house”; they have an EMS “department.” Others enter into a formal contract with a private ambulance service. Some proceed to make medical service available on a more informal basis. Citizens pay a yearly modest fee to a private service which agrees to provide EMS service in the municipality. If the fee is not paid and service is needed, the individual pays the full cost for emergency treatment/transport. In some local governments, the service is provided by the fire department. Some EMS services are hospital based. Others enter into a formal, cooperative agreement with other municipalities to create a non-profit agency which supplies the service. Whatever the method, the municipality has the responsibility for seeing that the service is available and provided at an acceptable level as represented by the standards which follow.

The standards cover the following areas:

- Response time/communications,
- Quality and scope of emergency medical service, and
- Reporting and integration of emergency medical services.

The scope and importance of EMS today has broadened. Regardless the method of delivery, in times of an emergency or disaster, whether local, area-wide, county or regional, EMS personnel should be prepared to respond as part of the larger municipal response team. Such a team includes other key players of the municipality(s) involved elected officials, the emergency management coordinator of the municipality, the manager/administration, police and fire personnel. EMS personnel should, among other things, have regular communication with other municipal emergency management personnel. They should be familiar with the municipality=s emergency management plan. They should be part of joint training exercises such as those sponsored by the county and the Federal or Pennsylvania Emergency Management Agency (FEMA/PEMA). The following section more fully covers the broader area of the management of emergencies of which EMS is now a part.
EMERGENCY MEDICAL SERVICES   VIII

FACTOR: RESPONSE TIME/COMMUNICATIONS

Standard No. 1

The average response time to the scene of an emergency is eight minutes or less from receipt of a call to all priority one emergencies. There are specific response time standards governing other calls. The emergency medical service agency can document this response time.

Commentary

Pennsylvania Act 45 (the EMS Act) sets service standards for emergency medical service providers throughout the Commonwealth. The prevention and reduction of death and disability require that the EMS response time be minimized. An average response time of ten-twelve minutes supports this goal. Responsible municipal officials should seek verification from the agency providing EMS that it is consistently able to meet this standard. Because of geographic characteristics, more rural areas may not be able to meet these response-time standards.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MEDICAL SERVICES  VIII

FACTOR:  RESPONSE TIME/COMMUNICATIONS  (Continued)

Standard No. 2

The EMS agency has a written mutual aid agreement and plan with neighboring EMS agencies in order to provide for the necessary resources (vehicles and personnel) in times of disasters, multiple calls, and any other instance where "home"EMS agency resources do not permit an expeditious and appropriate response. In each case, the neighboring EMS agency is the closest appropriate service able to respond regardless of extrinsic factors.

Commentary

The provisions of this standard should be integrated into the Emergency Management Plan called for in Section IX on the management of emergencies.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MEDICAL SERVICES VIII

FACTOR: RESPONSE TIME/COMMUNICATIONS (Continued)

Standard No. 3

The EMS agency has a written policy which states that the closest appropriate EMS agency will be dispatched simultaneously if a "home" ambulance with appropriately certified personnel is not able to respond.

Commentary

Dependence on mutual aid, especially during daytime hours, has grown with the declining availability of volunteers in many communities. The existence of formal mutual aid agreements will assure a timely and skilled response to medical emergencies. In addition, as standards for emergency medical personnel and the cost of vehicles and equipment increase, a history of mutual aid may lay the foundation for cooperative provision of emergency medical services for communities that lack sufficient personnel or financial resources to provide EMS 24 hours a day, seven days per week.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
     ___ Not relevant   ___ No interest   ___ Lack resources
     ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: RESPONSE TIME/COMMUNICATIONS  (Continued)

Standard No. 4

The communications system serving the emergency medical service is adequate to support Standards one and two above, and also to directly link EMS personnel to the medical director/hospital supporting the EMS. The communications system meets the standards provided for in PA DOH Ambulance Licensure Manual. All calls for emergency medical assistance are answered by call takers who are trained and certified to provide pre-arrival instructions.

Commentary

Communications call taking/dispatch system minimum standards have been set by statute (Act 45) for medical emergencies in the Commonwealth of Pennsylvania. Central communication systems should (1) utilize emergency medical telecommunications screening to determine the appropriate emergency service response, (2) be accessible to the general public via a common phone number or a 911 system, and (3) provide for direct communications between emergency medical personnel and certified physicians, facilities, equipment and other emergency medical service systems. Act 78, as amended, the Public Safety Telephone Act (more commonly known as 911), requires that 90% of all emergency calls be answered within 10 seconds and that TDD/TYY services be available.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MEDICAL SERVICES  VIII

FACTOR:  QUALITY AND SCOPE OF EMERGENCY MEDICAL SERVICE

Standard No. 1

The emergency medical service, at a minimum, meets the requirements for a Basic Life Support (BLS) transport service. There is simultaneous dispatch of an Advanced Life Support (ALS) unit for calls determined by Medical Priority Dispatch standards to require this level of care. EMS are available seven days a week, 24-hours a day.

Commentary

As noted in the introduction, EMS can be provided in a number of different ways. If the ambulance service is licensed as Basic Life Support (BLS) where recognized minimum staffing, vehicle and equipment requirements have been met, municipal officials should be satisfied that residents are receiving adequate emergency medical service. The goal should be to work toward an Advanced Life Support system.

In Pennsylvania, the State Department of Health is charged with the responsibility for licensing and monitoring emergency medical services. For BLS, an ambulance must be staffed with two individuals with at least one meeting the qualifications of an emergency medical technician (EMT), emergency medical technician-paramedic (EMT-paramedic), or health care professional. The Pennsylvania Health Department also has set minimum standards for ambulance vehicles and equipment and uniform patient reporting requirements for BLS responders.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.

VIII - 6
EMERGENCY MEDICAL SERVICES  VIII

FACTOR: QUALITY AND SCOPE OF EMERGENCY MEDICAL SERVICE  (Continued)

Standard No. 2

There is capacity to provide emergency medical services at the advanced life support level (ALS). Where provided, ALS EMS services are available seven days a week, 24-hours a day.

Commentary

Where ambulance services are licensed as Advanced Life Support (ALS) services, recognized minimum staffing, vehicle and equipment requirements have been met. This higher level of emergency medical service represents a greater capacity for the prevention and reduction of death and disability.

For ALS, the ambulance must be staffed by two health care professionals, one health care professional and an EMT or EMT-paramedic, an EMT and EMT-paramedic with access to a medical director or two EMT-paramedics. Ambulance vehicles and equipment responding as ALS must also meet minimum performance standards as well as uniform patient reporting criteria.

To consistently provide emergency medical services at the ALS level, a municipality may have to participate in a multi-jurisdictional cooperative program or contract for such services.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 3

Personnel handling the call-taking and dispatch of emergency medical vehicles and EMS personnel are trained as emergency operators. All calls for emergency medical assistance are answered by call takers who are trained and certified to provide pre-arrival instructions, using an approved Medical Priority Dispatch system.

Commentary

Individuals trained as emergency operators are able to provide instructions to callers in medical emergencies prior to the arrival of medically certified personnel. They are also able to prioritize calls relative to their nature and severity in order to effectively dispatch personnel, vehicles and equipment.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MEDICAL SERVICES  VIII

FACTOR: QUALITY AND SCOPE OF EMERGENCY MEDICAL SERVICE  (Continued)

Standard No. 4

As part of the EMS system, the EMS agency has a physician / medical director who oversees medical care provided by EMS personnel and evaluates EMS personnel through a quality assurance/quality improvement process.

Commentary

While this standard is mandated for ALS systems by the Commonwealth of Pennsylvania, adherence to it is a beneficial resource to all emergency medical service agencies.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MEDICAL SERVICES     VIII

FACTOR: REPORTING AND INTEGRATION OF EMERGENCY MEDICAL SERVICE

Standard No. 1

The EMS agency reports at least yearly to the municipality(ies) served, regarding the number of calls received and handled, response time, and whether sufficient personnel were available to maintain BLS and/or ALS service 24-hours per day, seven days per week.

Commentary

Emergency medical services provide a critical function within local communities. To develop and maintain the confidence and support of municipal officials, emergency medical service agencies should provide monthly or quarterly activity reports. Information for such reports can be drawn from the uniform reports mandated by the Pennsylvania Department of Health and/or those stipulated by Act 78, as amended -- the Public Safety Telephone Act.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
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MUNICIPALITY'S COMMENTS:


LIST items to be incorporated in Action Plan.
EMERGENCY MEDICAL SERVICES   VIII

FACTOR:  REPORTING AND INTEGRATION OF EMERGENCY MEDICAL SERVICE
(Continued)

Standard No. 2

The EMS agency serving the municipality is fully integrated into the Emergency Management Plan covering the municipality and participates in any countywide or regional EMS response plan.

Commentary

See Section IX covering the Management of Emergencies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
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MUNICIPALITY'S COMMENTS:

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**FACTOR: QUALITY AND SCOPE OF EMERGENCY MEDICAL SERVICE**

<p>| <strong>Standard No. 1</strong>&lt;br&gt;The emergency medical service, at a minimum, meets the requirements for a Basic Life Support (BLS) transport service. There is simultaneous dispatch of an Advanced Life Support (ALS) unit for calls determined by Medical Priority Dispatch standards to require this level of care. EMS are available seven days a week, 24-hours a day. | | | |
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As part of the EMS system, the EMS agency has a physician/medical director who oversees medical care provided by EMS personnel and evaluates EMS personnel through a quality assurance/quality improvement process. | | | |

| FACTOR: REPORTING AND INTEGRATION OF EMERGENCY MEDICAL SERVICE |
|---|---|
| Standard No. 1  
The EMS agency reports at least yearly to the municipality(ies) served, regarding the number of calls received and handled, response time, and whether sufficient personnel were available to maintain BLS and/or ALS service 24-hours per day, seven days per week. | Met – Effective |
| Standard No. 2  
The EMS agency serving the municipality is fully integrated into the Emergency Management Plan covering the municipality and participates in any countywide or regional EMS response plan. | |
THE MANAGEMENT OF EMERGENCIES   IX

INTRODUCTION

Emergency management is a system. It brings together and coordinates all personnel and resources that enable a municipality to mitigate, prepare, respond and recover from natural and/or man made hazards and incidents.

The standards called for in the previous sections covering police, fire, emergency medical services, and public works suggest specified activities, equipment, systems and levels of competence which a viable local government should seek to maintain if it is to adequately provide for the public health and safety of the community. Since the September 11, 2001 attack and the events which have followed, there is a heightened awareness of the importance of coordination of all emergency activities. The need for leadership and competence of all personnel has been made abundantly visible. Every emergency hits at the local government level and local governments are first responders. In the event of an emergency or disaster which reaches beyond local boundaries and overwhems local resources, police, fire, and EMS personnel, and public works personnel must be able to fold seamlessly with emergency personnel from other municipalities, regions, state and federal agencies. Policies of the Homeland Security Department, the Federal Emergency Management Agency (FEMA), the Pennsylvania Emergency Management Agency (PEMA), and public health agencies impact the role and responsibility of local officials and public safety personnel. The responsibility and authority for emergency management always lies with the lowest level of government affected, and a unified incident command system is implemented that is all inclusive, yet does not usurp local authority.

It is not only local public safety personnel who must be prepared for this extended role. Local elected officials and municipal managers and department heads must assume a heightened responsibility for a total municipal operation that is alert and functioning at a high level at all times. (See Section I - General Management Standards, and Section III - Personnel). Managing emergencies requires planning and anticipation -- What will we do if...? If one waits for it to happen, it is too late.

The standards in this section cover basic elements of preparedness, communications, the Emergency Management Coordinator, training, chain of command, and overall coordination.

Additionally, elected officials, top management, and public safety personnel and all municipal employees must be familiar with the State and federal laws governing emergency management: Pennsylvania Consolidated Statutes, Title 35 (Emergency Management Services Code), which, among other things, imposes powers and duties on PEMA, the Department of Health, counties, and municipalities; PA Act 2002-227, the Counter Terrorism Planning and Preparedness Act; PA Act 1990-165 as amended, the Hazardous Material Emergency Planning and Response Act; and the Robert T. Stafford Disaster Relief and Emergency Assistance Act that pertains to federal assistance to municipalities and individuals for disaster recovery.
EMERGENCY MANAGEMENT IX

FACTOR: BASIC ELEMENTS OF PREPAREDNESS

Standard No. 1

Each municipality, in compliance with the Emergency Management Services Code (Title 35), has submitted to the County Emergency Agency, for forwarding to PEMA, notification that the municipal Emergency Operations Plan has been reviewed and updated.

Commentary

Municipalities in Pennsylvania are required to prepare and keep current an emergency operations plan which outlines actions to be taken to prepare and coordinate all locally available manpower, materials, supplies, equipment, facilities, and services necessary for emergency readiness, response and recovery. The plan may be done independently or in conjunction with other municipalities via an intergovernmental cooperation agreement. A review and update is required every two years. The best way to update and test the plan is through emergency drill and exercises.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT IX

FACTOR: BASIC ELEMENTS OF PREPAREDNESS

Standard No. 2

The municipality has established, equipped, maintains and exercised an Emergency Operations Center (EOC) where decision-making and coordination of emergency functions and activities can occur during disasters, emergencies and special events.

Commentary

A centralized emergency operations center is required by law. This center is to be coordinated with warning and communications systems to support government operations in emergencies. It is required to provide other essential facilities and equipment necessary to efficiently and effectively direct, coordinate and control an integrated response to an emergency or disaster.

Rating Scale

Standard is:

1. __ Met, and is effective. (verified not verified)
2. __ Met, but is not effective. (comment below)
3. __ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT  IX

FACTOR:  BASIC ELEMENTS OF PREPAREDNESS  (Continued)

Standard No. 3

The municipality has undergone a hazards and vulnerability analysis which includes the identification and analysis of natural and man-made conditions which could pose a danger to public health and safety and/or which expose the community to a major emergency such as terrorism. Municipal public works personnel, and representatives of critical infrastructure agencies, are part of the analysis team.

Commentary

The analysis called for in this standard is a precautionary measure. It is directed to mitigating the possible effects of a disaster or emergency. Public works and general services personnel need to be aware of the security needs for facilities and other systems under their jurisdictions – sewage and water collection, distribution, and treatment; schools; hospitals; transit stations; etc. A vulnerability analysis will assist in selecting the optimum way to protect important facilities, and how the municipality might recover if a facility was damaged or lost to use. Also, it should be noted that in order to be eligible and receive federal funds for mitigation projects, every municipality is required by the Disaster Mitigation Act of 2000 to either do their own Hazard Mitigation Plan, or adopt the County Hazard Mitigation Plan by resolution.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified  __not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: BASIC ELEMENTS OF PREPAREDNESS (Continued)

Standard No. 4

The municipality has developed a Mutual Aid Compact with adjacent local governments, including the county B an agreement to provide assistance in the event that an emergency overwhelms one government’s capacity to respond. The agreement addresses, among other things, the matter of financial management, resource lending (equipment and staff) and cost reimbursement which might become an issue depending on the nature of the emergency or disaster.

Commentary

Local governing bodies are required to enter into such mutual aid agreements. These agreements must be consistent with the plans and programs of the Pennsylvania Emergency Management Agency (PEMA) and the County Emergency Agency.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT IX

FACTOR: BASIC ELEMENTS OF PREPAREDNESS (Continued)

Standard No. 5

The municipality has budgeted adequate funds for the emergency management program.

Commentary

As part of its preparedness responsibility, municipalities should provide funding on an annual basis in order to maintain an emergency operations center and to allow for the appropriate planning, training, exercising and coordination of emergency response and recovery efforts. Financial responsibility may be moderated by provisions of formal mutual aid agreements, or by provisions or mandates established by state or federal emergency management agencies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: BASIC ELEMENTS OF PREPAREDNESS (Continued)

Standard No. 6

The municipality has developed and maintains a financial record keeping capacity which conforms to federal and state emergency management agency reimbursement guidelines. This is supported by a photographic record of areas and facilities which are more likely to be affected by a man-made or natural disaster.

Commentary

Adherence to this emergency preparedness standard enables the municipality to efficiently and effectively seek reimbursement from the state or federal government for all allowable expenses related to personnel, materials, equipment, and vehicles. Federal and state disaster recovery reimbursement policies and procedures are prescribed in the Robert T. Stafford Disaster Relief and Emergency Assistance Act.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: COMMUNICATIONS

Standard No. 1

There are clear guidelines for the sharing and disseminating information. The municipality has designated and trained a public information officer -- the individual who will be the focal point and the contact for providing information to the public and the media, and to other appropriate individuals and agencies regarding a disaster, emergency or other special event.

Commentary

Centralizing responsibility for dispersing information during a time of emergency can do much to facilitate timely, accurate, and consistent information to all concerned. Appropriate training for this individual is essential. Currently, Pennsylvania offers a voluntary certification program at the basic, advanced, and professional levels. The levels are based on a combination of training courses and experience.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT IX

FACTOR: COMMUNICATIONS (Continued)

Standard No. 2

The municipality has provided for, maintains, and exercised a communications network with other local governmental units (school district, sewer/water authorities, etc.) and the private sector in order to assure the availability of facilities and resources needed for evacuation or for other responses to an emergency or special event. The municipality is in compliance with PA 78 of 1990 - the Public Safety Emergency Telephone Act (911).

Commentary

The municipality is responsible for organizing, preparing and coordinating all local facilities, manpower and resources necessary for prompt and effective disaster response and recovery. The maintenance and operation of a communications network with other government units and the private sector are vital to the prompt utilization of facilities, manpower and resources during an emergency.

Rating Scale

Standard is:

1. ___ Met, and is effective. (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: COMMUNICATIONS (Continued)

Standard No. 3

The municipality has established and publicized a method for warning citizens of a pending or actual emergency/disaster, and for communicating to the public the circumstances associated with such an event.

Commentary

Each municipality should provide citizens with timely and accurate information regarding disasters, emergencies and special events through the use of locally available means inclusive of a cable television public access channel. When there is a widespread disaster or emergency, the County Emergency Management Agency will coordinate the dissemination of emergency public information with the municipalities.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
       ___ Not relevant ___ No interest ___ Lack resources
       ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: COMMUNICATIONS (Continued)

Standard No. 4

In addition to the communications capacity called for in the standards for police, fire and EMS, the municipality meets additional capacities which may be established PEMA.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT  IX

FACTOR: EMERGENCY MANAGEMENT COORDINATOR

Standard No. 1

The municipality has appointed an emergency management coordinator (EMC) who meets the requirements established by PEMA.

Commentary

In Pennsylvania, each municipality must have an emergency management coordinator who has been recommended by the governing body to the governor for appointment. The EMC must be professionally competent and capable of planning and effecting coordination among governments and operation of local emergency preparedness forces. In this position, he/she does not assume command of any emergency response group, but serves as “chief of staff” for the elected officials and is subject to the direction and control of the executive officer or governing body of the municipality.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT IX

FACTOR: EMERGENCY MANAGEMENT COORDINATOR (Continued)

Standard No. 2

The municipality's emergency management coordinator meets the training requirements established for this position by PEMA, and all applicable federal standards.

Commentary

In Pennsylvania, the EMC is mandated to meet the requirements of the Pennsylvania Emergency Management Agency. This includes an orientation session and participation in 75% of Quarterly Training Workshops conducted by the County Emergency Management Agency.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT IX

FACTOR: EMERGENCY MANAGEMENT TRAINING

Standard No.1

Locally conducted training and practical exercises are conducted for those designated as emergency responders by the municipality to insure prompt, efficient and effective disaster emergency services. These personnel also participate in joint training exercises involving other local governments and other levels of government.

Commentary

When other agencies and other governments come together at the site of an emergency it is important that they be familiar with one another’s capacity and practices. It is necessary that each individual who is assigned an emergency management function know his/her responsibilities and be familiar with the overall plan. It is now a federal and state requirement that training be completed, at all levels of government, in the National Incident Management System (NIMS). All municipalities are now required to adopt a resolution to institute the NIMS policies and procedures, and ensure that NIMS training is completed by elected officials and all personnel who have duties and responsibilities in emergency management.

Rating Scale

Standard is:

1. ___ Met, and is effective. (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: CHAIN OF COMMAND

During an emergency, it is understood that response and/or recovery actions will be implemented in accordance with clear lines of authority flowing downward from the highest municipal elected official or his/her designee, in accordance with the municipal Emergency Operations Plan, or in the case of a county or regional disaster or emergency, from the individual designated as the Incident Commander.

Commentary

At the scene of an emergency there should be no doubt as to who is in charge. The existence of clear lines of legal and administrative authority will eliminate confusion and duplication of efforts and provide for more effective coordination of emergency readiness, response and recovery activities. The emergency operations plan should contain an organization chart which shows the lines of authority. If a disaster takes municipal emergency personnel across borders, PEMA regulations dictate the chain of command and the designation of the incident commander.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources  ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT IX

FACTOR: OVERALL COORDINATION

Standard No. 1

The local governing body meets periodically with the Emergency Management Coordinator, together with other key personnel who would be involved in responding to an emergency or a disaster, for the purpose of reviewing the emergency management plan, response capability, and the role of elected officials vis-a-vis other members of the team.

Commentary

Periodic meetings where the focus is emergency management help to keep the topic fresh in the minds of elected officials and other members of the response team. Elected and appointed officials, in addition to completing NIMS training and certification, should participate in exercises and drills that test the emergency management plan, policies and procedures.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
EMERGENCY MANAGEMENT   IX

FACTOR:  OVERALL COORDINATION

Standard No. 2

At least annually, the subject of emergency management is placed on the regular meeting agenda. As part of the agenda item, the Emergency Management Coordinator discusses the plan with the public, to include the public warning process.

Commentary

Such meetings help to stress the importance of emergency management planning, and provide the public with the opportunity to become informed about the plan and response process.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant     ___ No interest     ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:


LIST items to be incorporated in Action Plan.
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<thead>
<tr>
<th>FACTOR: BASIC ELEMENTS OF PREPAREDNESS</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
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</thead>
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<td><strong>Standard No. 2</strong></td>
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<td>The municipality has established, equipped, maintains and exercised an Emergency Operations Center (EOC) where decision-making and coordination of emergency functions and activities can occur during disasters, emergencies and special events.</td>
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<td>The municipality has undergone a hazards and vulnerability analysis which includes the identification and analysis of natural and man-made conditions which could pose a danger to public health and safety and/or which expose the community to a major emergency such as terrorism. Municipal public works personnel, and representatives of critical infrastructure agencies, are part of the analysis team.</td>
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<td>The municipality has developed a Mutual Aid Compact with adjacent local governments, including the county B an agreement to provide assistance in the event that an emergency overwhelms one government’s capacity to respond. The agreement addresses, among other things, the matter of financial management, resource lending (equipment and staff) and cost reimbursement which might become an issue depending on the nature of the emergency or disaster.</td>
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<td>The municipality has budgeted adequate funds for the emergency management program.</td>
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<td><strong>Standard No. 6</strong></td>
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<td>The municipality has developed and maintains a financial record keeping capacity which conforms to federal and state emergency management agency reimbursement guidelines. This is supported by a photographic record of areas and facilities which are more likely to be affected by a man-made or natural disaster.</td>
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</table>

**FACTOR: COMMUNICATIONS**

| **Standard No. 1** |                |                   |        |
| There are clear guidelines for the sharing and disseminating information. The municipality has designated and trained a public information officer – the individual who will be the focal point and the contact for providing information to the public and the media, and to other appropriate individuals and agencies regarding a disaster, emergency or other special event. |                |                   |        |
**SUMMARY: SECTION IX. – THE MANAGEMENT OF EMERGENCIES**

<table>
<thead>
<tr>
<th>FACTOR: COMMUNICATIONS (continued)</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
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<td><strong>Standard No. 2</strong>&lt;br&gt;The municipality has provided for, maintains, and exercised a communications network with other local governmental units (school district, sewer/water authorities, etc.) and the private sector in order to assure the availability of facilities and resources needed for evacuation or for other responses to an emergency or special event. The municipality is in compliance with PA 78 of 1990 - the Public Safety Emergency Telephone Act (911).</td>
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</table>

**FACTOR: EMERGENCY MANAGEMENT COORDINATOR**

| Standard No. 1<br>The municipality has appointed an emergency management coordinator (EMC) who meets the requirements established by PEMA. | | | |
| Standard No. 2<br>The municipality's emergency management coordinator meets the training requirements established for this position by PEMA, and all applicable federal standards. | | | |

**FACTOR: EMERGENCY MANAGEMENT TRAINING**

| Standard No.1<br>Locally conducted training and practical exercises are conducted for those designated as emergency responders by the municipality to insure prompt, efficient and effective disaster emergency services. These personnel also participate in joint training exercises involving other local governments and other levels of government. | | | |

**FACTOR: CHAIN OF COMMAND**

<p>| Standard No.1&lt;br&gt;During an emergency, it is understood that response and/or recovery actions will be implemented in accordance with clear lines of authority flowing downward from the highest municipal elected official or his/her designee, in accordance with the municipal Emergency Operations Plan, or in the case of a county or regional disaster or emergency, from the individual designated as the Incident Commander. | | | |</p>
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**SUMMARY: SECTION IX. – THE MANAGEMENT OF EMERGENCIES**
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS

Standard No. 1

Responsibility for the public works function is placed with an individual trained and experienced in the major areas of public works and management.

Most areas of public works require technical knowledge. Standards governing public works cannot be met unless a competent administrator is charged with oversight. Whether the municipality is small or large, the quality of work and productivity, and the ability to respond to emergencies, very much depend on the management skills of the department head. This includes the ability to plan, and organize work, set priorities, monitor the quality of performance and productivity as well as a wise array of problems.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS (Continued)

Standard No. 2

Training is provided for all public works personnel on a regular basis. The training agenda is comprehensive in scope. It includes programs in the technical aspects of public works; employee safety policies, procedures and safety equipment, and management and supervision.

Commentary

Training courses offered on behalf of the Department of Community and Economic Development, and LTAP (Local Technical Assistance Program) are readily available at very little or no cost. They cover most technical areas of public works. A municipality's insurance providers also may be of assistance in the development of safety training programs.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:

___ Not relevant   ___ No interest   ___ Lack resources   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS (Continued)

Standard No. 3

Following the adoption of the annual budget, an implementation plan encompassing all public works operations including a system for monitoring goals and objectives is developed by the public works administrator in consultation with the municipal manager/administration.

Commentary

Even though emergencies and unexpected events may alter schedules, the plan helps to establish priorities, and make the best use of personnel and equipment.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 4

A comprehensive vehicle and equipment maintenance records system is used as a basis for the municipality’s replacement schedule for public works equipment and vehicles.

Commentary

A maintenance and replacement schedule for public works equipment should be part of an overall schedule for the municipality. There are some well established guidelines for such a system covering public works. It helps to assure that vehicles and equipment will be available when needed (minimize down-time), supports the use of safe vehicles and equipment, and, in the long run, is more cost-effective. The replacement and financing of major equipment and vehicles should be linked to the capital improvements plan and budget.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS  (Continued)

Standard No. 5

For all public works projects, there is a system for monitoring all projects in all phases of implementation by appropriate management personnel.

Commentary

This is essential for quality control and control over project work schedules. A monitoring program is also critical as a follow-up to determine conformance of curb and pavement cuts to municipal regulations, the release of performance bonds for completed public works projects and the use of street maintenance bonds to finance when appropriate street repair or restoration.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS (Continued)

Standard No. 6

Regular progress reports on the implementation of public works projects are provided to the manager/secretary and elected officials.

Commentary

This standard supports accountability. It also can be utilized to report on project change orders or other unusual occurrences relating to a project's completion.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS  (Continued)

Standard No. 7

Municipal facilities are maintained in accordance with policies and procedures designed to preserve these assets and to reduce injury and liability claims.

Commentary

The nature of municipal facilities as infrastructure and public buildings and the potential threat of lawsuits seeking damages resulting from a tortuous action suggest that a municipality should take action by adopting preventive policies and procedures. Municipal controls are needed in such areas as:

- pavement cuts in streets,
- maintenance and construction work on/in public works facilities and buildings,
- traffic flows in locations of construction or maintenance, and
- operation of municipal vehicles and equipment.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS  (Continued)

Standard No. 8

The responsibilities of the public works department in the event of a natural or man-made disaster have been identified as part of the municipality’s emergency management plan.

Commentary

The public works department becomes a valuable resource in the event of a natural or man-made emergency. As state and federal agencies create heightened demands and expectations for local governments, the role of the public works function should be evaluated. Training and education as well as the availability of reasonable human and material resources to assure response capability has become a new, but critical area for local action on a continuing basis. The responsibilities of the public works should be specified in the community’s emergency operations plan.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL STREETS

Standard No. 1

All municipal streets and appurtenances are well maintained and supported by a systematic, multi-year pavement management program which focuses on the maintenance, restoration and reconstruction of municipal streets and roads.

Commentary

In addition to safety and traffic factors, a local government is often judged by the condition and appearance of its streets. It is a primary indicator of a well-managed municipality. A systematic and planned approach in this public works area is also essential because of the jurisdiction's susceptibility to liability suits under the state's tort claims act related to unsafe streets.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified ___ not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: MUNICIPAL STREETS* (Continued)

Standard No. 2

The municipality has a multi-year plan which presents an assessment of the current condition of all municipal streets and highways and a schedule for resurfacing, restoration or reconstruction projects.

Commentary

Political influence and pressure should not be major factors in determining which streets receive first attention in a jurisdiction's annual maintenance program. The judgment of public works professionals should be relied upon in determining priorities such as school bus routes or the requirements of the Americans with Disabilities Act.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
   ____ Not relevant   ____ No interest   ____ Lack resources
   ____ Lack administrative capacity/ initiatives   ____ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.

*Note: The term @street is used as generic term and includes roads, cartways, lanes, etc.
MUNICIPAL PUBLIC WORKS MANAGEMENT  X

FACTOR: MUNICIPAL STREETS  (Continued)

Standard No. 3

State standards and mandates governing procedures, materials and specifications guide street and road construction, repair and resurfacing.

Commentary

In the long run, use of standards developed and tested by the state department of transportation=s engineers will be cost-effective as well as ensure that the municipality will be eligible for state funding subsidies.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (_, verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: MUNICIPAL STREETS (Continued)

Standard No. 4

Berms, catch basins and storm sewers associated with municipal streets and roads are cleaned on a regular basis. Catch basins and storm sewers are maintained in accordance with an adopted work schedule.

Commentary

This standard is important for environmental and safety reasons as well as serves to prolong the useful life of the storm water drainage system.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: **MUNICIPAL STREETS** (Continued)

**Standard No. 5**

All streets are signed. Street signs are aesthetically pleasing, well maintained, and located for maximum visibility.

**Commentary**

This standard is important for reasons of convenience -- the ability of people and businesses to find their way around the community. Equally important, like clean and well-maintained streets, attractive and well-maintained street signs give individuals a good first impression of a municipality. Signs used by the municipality conform to national requirements as to size and reflection capability.

**Rating Scale**

1. ___ Met, and is effective. (_verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   **Reason:**
   ___ Not relevant ___ No interest ___ Lack resources ___ Lack administrative capacity/initiatives ___ Other

**MUNICIPALITY’S COMMENTS:**

LIST items to be incorporated in Action Plan.
FACTOR: MUNICIPAL STREETS (Continued)

Standard No. 6

In accordance with traffic studies, all municipal regulatory signs are installed, well maintained, and are supported by appropriate ordinances.

Commentary

This standard supports factors of safety attractiveness and legality. It is also important in avoiding liability when signs are not maintained and accidents occur. The standard also requires studies to support the use and location of regulatory signs. Municipal police officers who have received training in various aspects of traffic control are good resource persons to make the suggested studies.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: MUNICIPAL STREETS (Continued)

Standard No. 7

Planning street maintenance for the winter months include three major program components:

1. Snow and ice control equipment is in good working condition in advance of the ice and snow season;

2. A current snow and ice control plan exists. It includes procedures for crew call-out, route coverage and priorities, salt/cinder stockpiles and access to additional resources in emergencies; and

3. A preseason snow and ice control training program for all public works personnel.

Commentary

Depending on the community, this standard would also include intermunicipal agreements with neighboring communities where streets cross municipal boundaries. It would also include coordinating the municipal snow and ice control plan with the county and state where their roads also run through the community.

Rating Scale

Standard is:

1. ___ Met, and is effective. (_verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: MUNICIPAL STREETS (Continued)

Standard No. 8

The municipal shade tree program is based upon a comprehensive plan which has been developed from an assessment of the condition of existing municipal trees and which has identifies needs, fixes priorities and proposes a means to finance the program.

Commentary

The purpose of the "tree plan" - at a minimum, is to identify what trees exist, their types and sizes and their conditions. The plan also addresses future priorities and needs. In the absence of a plan, it is difficult to imagine how a rational tree program could be planned and implemented.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: SOLID WASTE MANAGEMENT

Standard No. 1

Whether done by municipal employees, by contracting out, or by other arrangements, refuse collection is mandated for each household and business in the community, and such waste is properly collected, transported, and disposed of in accordance with state law.

Commentary

This standard is fundamental in an urban community to protect the public health and welfare. It is an essential element in controlling vermin, and basic to an attractive environment.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 2

Garbage, rubbish and trash are collected at least weekly to assure the public's health, safety and welfare. This includes arrangements for pick-up of bulk wastes, yard wastes and leaves and authorized recyclable materials.

Commentary

While it may be argued that this comprehensive pick-up (garbage as well as rubbish/trash) is an unnecessarily high standard, at least two points should be kept in mind: (1) in terms of competition, many local governments provide this standard of service; and (2) it is a basic standard in terms of meeting the goals coming from the comments under Standard 1, above.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 3

The municipality has written standards which require that routes are completed as scheduled, that households are not missed and that pickups are thorough and the areas left clean of solid wastes. The municipality has established written standards to assure this quality control and has a system in place for monitoring the quality of the refuse collection service.

Commentary

If the municipality contracts for collection, these standards are part of the contract specifications.

Rating Scale

Standard is:

1. __ Met, and is effective. (verified not verified)
2. __ Met, but is not effective. (comment below)
3. __ Not met. (Check "Reason" and provide comment below.)

   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT  X

FACTOR: SOLID WASTE MANAGEMENT  (Continued)

Standard No. 4

By municipal ordinance or through contract, policy is set which, among other things, stipulates the type of container, and limits the time when garbage/trash can be placed at the curb, and when emptied containers must be removed from the curb. Compliance is monitored.

Commentary

In the interest of public health and the community environment, it is important to restrict the time that garbage/trash and containers are permitted to be in a public area.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
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MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: SOLID WASTE MANAGEMENT (Continued)

Standard No. 5

Regardless of the current means which the municipality uses to collect refuse, management periodically makes an analysis of the system to determine whether it is the most cost-effective means to provide refuse service.

Commentary

The purpose of this standard is to ensure that other modes of garbage/trash collection and disposal service which may be more cost-effective are not being ignored.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
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MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: SOLID WASTE MANAGEMENT (Continued)

Standard No. 6

If collection is done by the municipality, there is a contractual arrangement with the owner of a disposal site which meets county or the appropriate state agency standards.

No Commentary

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant ___ No interest ___ Lack resources
   ____ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: LIQUID WASTE MANAGEMENT

Standard No. 1

If the municipality operates a sewage treatment plant, it is operated by properly certified and trained personnel.

Commentary

Treatment operators are certified by the State Department of Environmental Protection. Training for operator certification is provided by organizations authorized by the Department of Community and Economic Development.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: LIQUID WASTE MANAGEMENT (Continued)

Standard No. 2

The municipality has a preventive maintenance program for sanitary sewers under its jurisdiction.

Commentary

This standard can be met internally by municipal employees, contract, or through an intergovernmental agreement. To ensure that adequate funding is available for such a maintenance program, many municipalities levy a local charge upon the sewage bill, particularly if treatment is provided by an entity other than the municipality.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT  X

FACTOR: LIQUID WASTE MANAGEMENT (Continued)

Standard No. 3

Where inter-municipal transport of sewerage exists, there are up-to-date agreements in force for operation and maintenance.

Commentary

The agreement is important as it will identify maintenance responsibilities and establish liability responsibilities.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
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MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: LIQUID WASTE MANAGEMENT (Continued)

Standard No. 4

The municipality has adopted and enforces appropriate ordinances and regulations consistent with the requirements of Act 167.

Commentary

Art 167 does not specifically address existing localized flooding problems related to heavy rainfalls, nor does it cover flood control programs. Rather, it deals primarily with the control of storm water runoff from new developments or other earth-moving activities.

Rating Scale

Standard is:

1. ___ Met, and is effective. (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)

Reason:
  ___ Not relevant ___ No interest ___ Lack resources
  ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
MUNICIPAL PUBLIC WORKS MANAGEMENT

FACTOR: LIQUID WASTE MANAGEMENT (Continued)

Standard No. 5

The municipality has a sewage facilities plan which is kept current with changing conditions and if applicable, employs a sewage officer to enforce on-lot systems regulations.

Commentary

The Sewage Facilities Act (Act 537) contains three primary elements.

§ The Act requires that each municipality in Pennsylvania prepare a plan which addresses the sewage needs of that municipality over the next ten years.

§ The Act provides for regulation of the construction of on-lot facilities which discharge effluent into sub-surface areas.

§ The Act provides for the training and licenses of sewage enforcement officers who then are available to local governments for all regulatory matters dealing with on-lot systems.

Rating Scale

Standard is:

1. ___ Met, and is effective. (_, verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant ___ No interest ___ Lack resources
   ____ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
## SUMMARY: SECTION X. – MUNICIPAL PUBLIC WORKS MANAGEMENT

<table>
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<tr>
<th>FACTOR: OVERALL MANAGEMENT OF PUBLIC WORKS</th>
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<td><strong>Standard No. 1</strong></td>
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<td>Responsibility for the public works function is placed with an individual trained and experienced in the major areas of public works and management.</td>
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<td><strong>Standard No. 2</strong></td>
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<td>Training is provided for all public works personnel on a regular basis. The training agenda is comprehensive in scope. It includes programs in the technical aspects of public works; employee safety policies, procedures and safety equipment, and management and supervision.</td>
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<td>Following the adoption of the annual budget, an implementation plan encompassing all public works operations including a system for monitoring goals and objectives is developed by the public works administrator in consultation with the municipal manager/administration.</td>
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**FACTOR: MUNICIPAL STREETS**

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### FACTOR: SOLID WASTE MANAGEMENT

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| Standard No. 2<br>Garbage, rubbish and trash are collected at least weekly to assure the public's health, safety and welfare. This includes arrangements for pick-up of bulk wastes, yard wastes and leaves and authorized recyclable materials. | | | |
### SUMMARY: SECTION X. – MUNICIPAL PUBLIC WORKS MANAGEMENT

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<td><strong>Standard No. 2</strong>&lt;br&gt;The municipality has a preventive maintenance program for sanitary sewers under its jurisdiction.</td>
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<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;Where inter-municipal transport of sewerage exists, there are up-to-date agreements in force for operation and maintenance.</td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;The municipality has adopted and enforces appropriate ordinances and regulations consistent with the requirements of Act 167.</td>
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<tr>
<td><strong>Standard No. 5</strong>&lt;br&gt;The municipality has a sewage facilities plan which is kept current with changing conditions and if applicable, employs a sewage officer to enforce on-lot systems regulations.</td>
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</tr>
</tbody>
</table>

*Sum: Sec X - 3*
FACTOR: PLANNING COMMISSION/PLANNING AGENCY

Standard No. 1

The municipality has, by ordinance, either created a planning agency (a Planning Commission and/or a Planning Department), contracts with a county planning department or is a member of a multi-municipal planning commission as permitted by the provisions of the Pennsylvania Municipalities Planning Code (MPC). It has placed with this agency the powers and duties for physical planning and development, consistent with the provisions of the MPC.

Commentary

In Pennsylvania, the law (the MPC) grants municipalities the power to create a planning agency. The standard stresses the importance of placing planning and development activities with qualified individuals who can bring special expertise and attention to these critical functions, and who, then, serve as a source of expert advice to the governing body.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PLANNING, LAND USE CONTROL, AND CODE ENFORCEMENT XI

FACTOR: PLANNING COMMISSION/PLANNING AGENCY (Continued)

Standard No. 2

Members of the Planning Commission and/or employees of the Planning Department are selected on the basis of their interest in, and knowledge of, the planning and land use control functions.

Commentary

The areas of planning and land use control involve many elements and decisions which are both technical and legal in nature. Frequently, too, decisions have political, social, and economic impact and consequences. It is, then, especially important to have highly qualified individuals on the Planning Commission and/or in the Planning Department if elected officials are to have thoughtful, professional guidance in this important area.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
     ___ Not relevant  ___ No interest  ___ Lack resources
     ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: PLANNING COMMISSION/PLANNING AGENCY (Continued)

Standard No. 3

Planning Commission members and/or other planning personnel are encouraged to, and do, take advantage of appropriate training opportunities to enhance their knowledge and skills.

Commentary

In Pennsylvania such training is readily available through courses sponsored by state agencies such as the Department of Community and Economic Development as well as professional planning associations and non-profit organizations. Elected officials and municipal managers should ensure that planning agency members are made aware of training opportunities, and support their participation on a continuing basis.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:


LIST items to be incorporated in Action Plan.
PLANNING, LAND USE CONTROL, AND CODE ENFORCEMENT  XI

FACTOR:  PLANNING COMMISSION/PLANNING AGENCY  (Continued)

Standard No. 4

Sufficient municipal funds are annually budgeted to permit the planning agency to carry on its activities, including training for planning personnel.

Commentary

This standard indicates that the governing body understands the importance of the planning function and its ongoing commitment to adequately support the planning function.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: ZONING HEARING BOARD

Standard No. 1

A Zoning Hearing Board (ZHB) has been created, by ordinance, under the provisions of the Pennsylvania Municipalities Planning Code.

Commentary

In Pennsylvania, a Zoning Hearing Board is required in any municipality where a zoning ordinance has been adopted. The Zoning Hearing Board has responsibility in five major areas: it hears and decides appeals of the zoning officer’s decisions, challenges to the zoning ordinance or map; variances; special exceptions; and unified appeals.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PLANNING, LAND USE CONTROL, AND CODE ENFORCEMENT XI

FACTOR: ZONING HEARING BOARD (Continued)

Standard No. 2

Members of the Zoning Hearing Board are appointed on the basis of their interest and knowledge of the zoning function.

Commentary

The realm of zoning is sensitive and complex. ZHB members need to have some understanding of land use law or the interest and willingness to become knowledgeable in the zoning area. (However, this does not suggest that one must be an attorney to serve as a member of the ZHB.) The Board functions in a quasi-judicial capacity and once appointed, it operates independent of the municipal governing body. Because of the nature of decisions which the board will make, it is important in making appointments to be assured that there are no conflicts of interest which could result in biased decisions, not in the best interest of the municipality. Also, because of the strong pressures often exerted on Board members for zoning adjustments (bribes), the character and reputation of Board members should be above reproach.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
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   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTORS: ZONING HEARING BOARD (Continued)

Standard No. 3

Members of the Zoning Hearing Board are encouraged to, and do, take advantage of appropriate training opportunities to enhance their knowledge and skills.

Commentary

See the earlier commentary with respect to training for planning agency members.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___ verified ___ not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
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MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PLANNING, LAND USE CONTROL, AND CODE ENFORCEMENT XI

FACTOR: ZONING HEARING BOARD (Continued)

Standard No. 4

Sufficient funds are annually budgeted to cover the expenses associated with the functioning of the Zoning Hearing Board such as retention of independent legal counsel and special transcription services.

Commentary

See earlier commentary with respect to the Planning Commission/Agency.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
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   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: LAND USE POLICIES, PLANS AND REGULATIONS

Standard No. 1

The municipality has adopted a comprehensive plan. This plan includes, as a minimum, the following: an overall statement of objectives concerning the future development of the municipality; plans for land use, housing, transportation, community facilities and utilities, a statement of the interrelationships among various plan components, a statement of compatibility between the community’s existing and proposed plans and contiguous portions of neighboring municipalities or a statement indicating measures have been taken to provide buffers between disparate uses, a statement indicating that the existing and proposed development of the municipality is consistent with the objectives of the county’s comprehensive plan, the timing and character of proposed land use; a discussion of short and long-range implementation strategies, and a plan for the protection of natural and historic resources.

Commentary

The comprehensive plan is important not only as a guide to future development, but also as a document which supports the zoning ordinance as well as zoning and other land use decisions.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/initiatives   ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: LAND USE POLICIES, PLANS AND REGULATIONS (Continued)

Standard No. 2

The comprehensive plan is reviewed at least every ten (10) years and updated, as appropriate, and actively used to guide planning and land use activities.

Commentary

It is not unusual for a local government to adopt a comprehensive plan, particularly when "outside" funds are available to support its preparation, and then fail to reference it when important planning and land use decisions are to be made. Such plans can easily be forgotten and become out-of-date. The comprehensive plan needs to be a living document, regularly referenced and changed to meet changing circumstances.

Rating Scale

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   __ Not relevant   __ No interest   __ Lack resources   __ Lack administrative capacity/ initiatives   __ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: LAND USE POLICIES, PLANS AND REGULATIONS (Continued)

Standard No. 3

The municipality has adopted a comprehensive zoning ordinance which incorporates the purposes set forth in the Municipalities Planning Code, and which reflects the latest legal requirements in the zoning/land use areas. An official map is incorporated as part of the zoning ordinance.

Commentary

The zoning ordinance is the chief tool for land use control. It influences not only the character of the community, but also impacts on its social and economic well-being. Enacting such an ordinance is, almost always, a difficult and controversial task, evoking high emotions from citizens and interest groups. Yet, without good zoning, like the sands in the desert, communities will be shaped not by purpose but by fragmented and uncontrolled influences. Zoning decisions usually will test the leadership skills of the best public officials.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 4

Granting exceptions and variances to the zoning ordinance is the exception and not the rule on the part of the Zoning Hearing Board.

Commentary

Properly drafted zoning ordinances provide for flexibility: amendments, variances, special exceptions. The Municipalities Planning Code provides for this flexibility. In the case of variances, the MPC mandates that five findings be met before a variance is granted. The purpose of the standard is to stress that the regular/routine use of such devices can subvert the intent and vision intended by the ordinance as well as represent a violation of the MPC. It again underscores the importance of the standards set forth for the Zoning Hearing Board, stressing knowledge and commitment on the part of members. Any local government not meeting the above standard should rethink the zoning concept, and consider changing or repealing its zoning ordinance.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 5

The municipality has adopted a subdivision and land development ordinance.

Commentary

This ordinance provides guidance and control over such areas as the processing of plans; specifications for the layout and coordination of streets; proper grading; proper fire, sewage, and water facilities; the set-aside of land for public purposes; site development; etc. Along with the comprehensive plan, and the zoning ordinance, this document is an essential link in the land use and development chain.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Factor: Land Use Policies, Plans and Regulations (Continued)

Standard No. 6

A zoning officer has been appointed to administer the zoning ordinance, as required under the Municipalities Planning Code. The appointment of this individual is based on the knowledge, skills and abilities needed for the job, and selection is done through open and competitive means. This individual possesses the appropriate education and/or training for the position.

Commentary

The zoning officer, not the solicitor or an elected official, is charged with administering the zoning ordinance according to its literal terms. This individual is the person who interacts with the public with respect to interpretation of the zoning ordinance, and his/her decision will stand unless there is a judicial appeal or a clarifying amendment. In most municipalities applications and appeals are processed through the zoning officer. He/she may be authorized to institute civil enforcement proceedings. Appointment to this position should be taken very seriously.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity/ initiatives   ___ Other

Municipality's Comments:

LIST items to be incorporated in Action Plan.
FACTOR: LAND USE POLICIES, PLANS AND REGULATIONS  (Continued)

Standard No. 7

Responsibility for monitoring and enforcing land use regulations, particularly the zoning ordinance, is clearly fixed. Enforcement of these regulatory ordinances is stressed, and enforcement personnel are expected not only to investigate non-compliance complaints, but also to be pro-active, regularly monitoring the community for compliance.

Commentary

Enforcement is key to whether or not land use regulations are able to achieve their objectives, as set forth by the governing body. Members of the governing body, and management, must be committed to land use and development objectives, as expressed in the zoning ordinance and other land use law. In turn, this commitment must be communicated to enforcement personnel in terms of expectations. To be effective, enforcement personnel must share the goals set forth in land use policy.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: PROCEDURES, GOVERNING FEES AND PERMITS

Standard No. 1

There is a comprehensive fee schedule, available to the public, setting forth costs and related matters for required permits building, demolition, occupancy, grading, street openings, etc.; and for hearings before the governing body the Planning Commission or the Zoning Hearing Board for zoning amendments, conditional uses, subdivision approval, site plan approval sewer tap-ins, etc.

Commentary

The subjects for fees, and the amount of fees, will vary from municipality to municipality. It is important that the public know, in advance, of what charges to expect for actions such as are noted in the standard. Established fees should reflect only the municipality's cost of administration and monitoring.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 2

There is a comprehensive checklist available to citizens and contractors which outlines all needed permits and hearings, and other requirements, related to land development and construction activity.

Commentary

Those who plan to undertake any construction or land development should be able to secure, in advance, a listing of all requirements and responsibilities associated with a particular activity. Such information should be available in the form of a checklist or guide which outlines municipal policy. Such a checklist can lessen misunderstanding, and the possibility of violations, fines and stop orders.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 3

All permits and information related to local planning, building, zoning, and code enforcement are centralized in a single office, or with a designated staff person, easily accessible to the public.

Commentary

The “one stop shop” helps to facilitate the processing and authorization of various permits and other requirements for land development and construction. It fosters efficiency. It allows for more effective implementation of local regulatory ordinances. Equally important, it is helpful to residents and contractors when a “one stop shop” can provide all needed information and materials pertaining to construction, land development and code enforcement rather than have to seek information from a variety of offices and individuals.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant  ____ No interest  ____ Lack resources
   ____ Lack administrative capacity/initiatives  ____ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: BUILDING, PROPERTY MAINTENANCE, AND FIRE CODES

Standard No. 1

The municipality by ordinance has either opted to enforce the Uniform Construction Code locally except where municipal or the contracted service provider lack the certification necessary to approve plans and inspect commercial construction or opted to rely on the Pennsylvania Department of Labor and Industry or its designees to enforce Pennsylvania’s Uniform Construction Code which includes building, property maintenance, and fire code provisions.

Commentary

The Uniform Construction Code’s basic regulatory codes govern existing and new structures, and are designed to serve the common good – to provide a community environment that is safe and attractive. They are critical elements in keeping the municipality competitive in attracting and keeping residents and good commercial and industrial establishments. Such codes are needed to implement and support the community's planning objectives and policies. If a municipality wishes to adopt standards which meet or exceed those of the UCC, procedures for review and acceptance by the Pennsylvania Department of Labor and Industry have been authorized.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective.  (comment below)
3. ___ Not met.  (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: BUILDING, PROPERTY MAINTENANCE, AND FIRE CODES  (Continued)

Standard No. 2

Building, property maintenance and fire codes are periodically reviewed and updated, as necessary. As the recognized code, when the International Construction Code/ Pennsylvania’s Uniform Construction Code is updated, the municipality takes action to incorporate the revision into its code enforcement process.

Commentary

The state expects to adopt a revision to the UCC based on the ICC every three years. The municipality should take steps to implement the latest version of the ICC/ UCC adopted by the state on a timely basis.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: BUILDING, PROPERTY MAINTENANCE, AND FIRE CODES (Continued)

Standard No. 3

There are established procedures for receiving and following through on complaints concerning code violations.

Commentary

Taking and handling code violations should not be an informal process. Rather, all code violations should be noted on a prescribed form which provides such information as the nature of the complaint, time and day, the official assigned to investigate, the date and time of investigation, outcome/recommendations, etc. Such information provides the data needed for analysis of code enforcement activity, and for assessing the effectiveness of enforcement tools.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 4

There is an established and effective appeals process for individuals who are aggrieved by code enforcement actions.

Commentary

There will always be those who will wish to make a case as to why a particular regulation should not apply to them, or who feel that they have been unfairly treated by enforcement personnel. An appeals process, then, respects the concepts of fairness and individual rights.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: CODE ENFORCEMENT AND ENFORCEMENT PERSONNEL

Standard No. 1

All code enforcement personnel employed by the municipality or retained under a professional services contract are certified as prescribed by Pennsylvania law to enforce building, fire and/or property maintenance codes.

Commentary

Good codes are only as good as the quality of their enforcement. Pennsylvania’s adoption of the Uniform Construction Code emphasizes the importance of code enforcement and the need for expertise to enforce this function. Per state law, personnel need to be both professionally and technically qualified. Also, all regulatory functions are sensitive with respect to enforcement. There is usually easy opportunity for wrong-doing—overlooking code violations in exchange for favors (bribes)—since most enforcement takes place outside of field supervision. There is temptation for wrong-doing since, most often, the risks are not great.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
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MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 2

Codes are enforced, and the duties of code enforcement personnel are established in writing. These duties include procedures for reports and reporting, and professional responsibilities.

Commentary

See the commentary for Standard No. 1, above.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 3

The activities of code enforcement personnel are carefully monitored through reporting procedures and routine field supervision. Supervisory responsibilities are prescribed in writing.

Commentary

See the Commentary for Standard No. 1, above.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Code enforcement personnel (employees and those under service contract) meet and actively participate in training and development programs to maintain the state required certification to enforce the codes recognized by municipality.

Commentary

There are local, state and national governmental, educational, professional and trade associations which provide training programs for the initial certification and re-certification of those involved with code enforcement. The governing body should budget sufficient funds each year to support the training and education of code enforcement personnel.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
### SUMMARY SECTION XI. – PLANNING, LAND USE CONTROL, AND CODE ENFORCEMENT

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<thead>
<tr>
<th>FACTOR: PLANNING COMMISSION/ PLANNING AGENCY</th>
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_Sum: Sec XI - 1_
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<tr>
<td>The municipality has adopted a comprehensive plan. This plan includes, as a minimum, the following: an overall statement of objectives concerning the future development of the municipality; plans for land use, housing, transportation, community facilities and utilities, a statement of the interrelationships among various plan components, a statement of compatibility between the community’s existing and proposed plans and contiguous portions of neighboring municipalities or a statement indicating measures have been taken to provide buffers between disparate uses, a statement indicating that the existing and proposed development of the municipality is consistent with the objectives of the county’s comprehensive plan, the timing and character of proposed land use; a discussion of short and long-range implementation strategies, and a plan for the protection of natural and historic resources.</td>
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<tr>
<td>Standard No. 2</td>
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<tr>
<td>The comprehensive plan is reviewed at least every ten (10) years and up-dated, as appropriate, and actively used to guide planning and land use activities.</td>
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<tr>
<td>Standard No. 3</td>
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<tr>
<td>The municipality has adopted a comprehensive zoning ordinance which incorporates the purposes set forth in the Municipalities Planning Code, and which reflects the latest legal requirements in the zoning/land use areas. An official map is incorporated as part of the zoning ordinance.</td>
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<tr>
<td>Standard No. 4</td>
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<tr>
<td>Granting exceptions and variances to the zoning ordinance is the exception and not the rule on the part of the Zoning Hearing Board.</td>
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<tr>
<td>Standard No. 5</td>
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<tr>
<td>The municipality has adopted a subdivision and land development ordinance.</td>
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<tr>
<td>Standard No. 6</td>
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<tr>
<td>A zoning officer has been appointed to administer the zoning ordinance, as required under the Municipalities Planning Code. The appointment of this individual is based on the knowledge, skills and abilities needed for the job, and selection is done through open and competitive means. This individual possesses the appropriate education and/or training for the position.</td>
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<tr>
<td>Standard No. 7</td>
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<tr>
<td>Responsibility for monitoring and enforcing land use regulations, particularly the zoning ordinance, is clearly fixed. Enforcement of these regulatory ordinances is stressed, and enforcement personnel are expected not only to investigate non-compliance complaints, but also to be pro-active, regularly monitoring the community for compliance.</td>
<td></td>
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<tr>
<td>FACTOR: PROCEDURES, GOVERNING FEES AND PERMITS</td>
<td>Met – Effective</td>
<td>Met – In-effective</td>
<td>Not Met</td>
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<tr>
<td>-----------------------------------------------</td>
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<tr>
<td>Standard No. 1</td>
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<tr>
<td>There is a comprehensive fee schedule, available to the public, setting forth costs and related matters for required permits building, demolition, occupancy, grading, street openings, etc.; and for hearings before the governing body the Planning Commission or the Zoning Hearing Board for zoning amendments, conditional uses, subdivision approval, site plan approval sewer tap-ins, etc.</td>
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<tr>
<td>Standard No. 2</td>
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<tr>
<td>There is a comprehensive checklist available to citizens and contractors which outlines all needed permits and hearings, and other requirements, related to land development and construction activity.</td>
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<tr>
<td>Standard No. 3</td>
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<tr>
<td>All permits and information related to local planning, building, zoning, and code enforcement are centralized in a single office, or with a designated staff person, easily accessible to the public.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>FACTOR: BUILDING, PROPERTY MAINTENANCE, AND FIRE CODES</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1</td>
<td></td>
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<tr>
<td>The municipality by ordinance has either opted to enforce the Uniform Construction Code locally except where municipal or the contracted service provider lack the certification necessary to approve plans and inspect commercial construction or opted to rely on the Pennsylvania Department of Labor and Industry or its designees to enforce Pennsylvania’s Uniform Construction Code which includes building, property maintenance, and fire code provisions.</td>
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<tr>
<td>Standard No. 2</td>
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<tr>
<td>Building property maintenance and fire codes are periodically reviewed and updated, as necessary. As the recognized code, when the International Construction Code/ Pennsylvania’s Uniform Construction Code is updated, the municipality takes action to incorporate the revision into its code enforcement process.</td>
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<tr>
<td>Standard No. 3</td>
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<tr>
<td>There are established procedures for receiving and following through on complaints concerning code violations.</td>
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<tr>
<td>Standard No. 4</td>
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<tr>
<td>There is an established and effective appeals process for individuals who are aggrieved by code enforcement actions.</td>
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<tr>
<td>FACTOR: CODE ENFORCEMENT AND ENFORCEMENT PERSONNEL</td>
<td>Met – Effective</td>
<td>Met – In-effective</td>
<td>Not Met</td>
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<tr>
<td>--------------------------------------------------</td>
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</tr>
<tr>
<td><strong>Standard No. 1</strong>&lt;br&gt;All code enforcement personnel employed by the municipality or retained under a professional services contract are certified as prescribed by Pennsylvania law to enforce building, fire and/or property maintenance codes.</td>
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<tr>
<td><strong>Standard No. 2</strong>&lt;br&gt;Codes are enforced, and the duties of code enforcement personnel are established in writing. These duties include procedures for reports and reporting, and professional responsibilities.</td>
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<tr>
<td><strong>Standard No. 3</strong>&lt;br&gt;The activities of code enforcement personnel are carefully monitored through reporting procedures and routine field supervision. Supervisory responsibilities are prescribed in writing.</td>
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<tr>
<td><strong>Standard No. 4</strong>&lt;br&gt;Code enforcement personnel (employees and those under service contract) meet and actively participate in training and development programs to maintain the state required certification to enforce the codes recognized by municipality.</td>
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PARKS AND RECREATION  XII

INTRODUCTION

Parks and Recreation is an area of service which has considerable variability from one municipality to another. In communities where resources are limited, the service may be defined as the existence and maintenance of a playground or ball field. In municipalities with greater resources, Parks and Recreation may encompass a golf course or a community center with activities for all age groups staffed by full or part time municipal employees. Regardless of the level of service supported by the municipality, the sixteen standards presented in this section should be useful when assessing the viability of local park and recreation services. The standards represent minimum considerations related to the availability, maintenance and safety of land, facilities and equipment, policy governing the development and operation of a recreation board comprised of community volunteers, and the employment of parks and recreation staff.
PARKS AND RECREATION  XII

FACTOR:  AVAILABILITY OF PARKS AND RECREATIONAL ACTIVITIES

Standard No. 1

There is available to residents, within a reasonable distance, a wide range of recreational activities facilities and parks, serving all age groups.

Commentary

With many people having increased leisure time, with the interest in fitness, and with the special need for constructive leisure time activities for young people, providing parks and recreational activities is now generally accepted as a basic component of municipal service delivery. It is an essential element in assessing the total livability of a community, and is important for any local government as it competes for residents and business activity. It is not necessarily who provides the service (the municipality, the school district, the county, the private sector); rather, the important factor is that all citizens desiring leisure time activities have easy access. Municipal officials should assume responsibility for assessing the overall delivery of parks and recreational programs.

Rating Scale

Standard is:

1. ___ Met, and is effective. (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION  XII

FACTOR:  AVAILABILITY OF PARKS AND RECREATIONAL ACTIVITIES  (Continued)

Standard No. 2

An inventory of and information describing all parks/ playgrounds and facilities and other leisure time activities has been compiled and made generally available to all residents and households in the community.

Commentary

Regardless of who compiles such information, municipal officials should assume responsibility for seeing that it is done and distributed. In a larger community, a parks and recreation director and department would be responsible for developing and maintaining the inventory and information related to parks and recreation facilities and programs. A volunteer board can accomplish this task in smaller communities. The inventory should be kept as a database and updated as changes to land, facilities and equipment occur.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: AVAILABILITY OF PARKS AND RECREATIONAL ACTIVITIES  (Continued)

Standard No. 3

If the municipality offers a parks and recreation service, it periodically surveys residents to determine their satisfaction with the programs and activities, and solicits their views on how this service might be strengthened. This survey also gathers information on frequency of use of facilities and programs.

Commentary

Such surveys are essential to planning, and justifying municipal expenditures in the parks and recreation area. Some communities incorporate survey data into the municipality's comprehensive plan.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION XII

FACTOR: MAINTENANCE OF FACILITIES AND SAFETY

Standard No. 1

All recreation facilities and parks under the jurisdiction of the municipality are inspected regularly, and maintained in good, working condition. Immediate attention is given to facilities and equipment in need of repair. Equipment or facilities which cannot be made safe and useable are closed or removed from service.

Commentary

A local government should avoid acquiring park land unless it has the capacity to develop and maintain such resources. The same is true for all recreation facilities, including swimming pools, tennis courts, ball fields, tot lots and playgrounds. Deteriorating parks and facilities damage the image and appearance of a community, are often unsafe, and leave the municipality open to liability for injuries sustained on public property. A thorough inspection by the municipality's property and general liability insurance carrier is an effective method for managing this risk.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION  XII

FACTOR: MAINTENANCE OF FACILITIES AND SAFETY  (Continued)

Standard No. 2

Litter barrels and rubbish containers are provided in and around all parks and recreation facilities. Barrels and containers are emptied up on a regular basis, particularly during the spring and summer seasons when park and recreation facilities have greater use.

Commentary

Litter and trash removal from park and recreational facilities should be scheduled on a routine basis performed by municipal employees, contractors or volunteers.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified  not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION  XII

FACTOR: MAINTENANCE OF FACILITIES AND SAFETY  (Continued)

Standard No. 3

Temporary and permanent toilet facilities are regularly cleaned and disinfected.

Commentary

As with Standard No. 2, responsibility for this task should be clearly fixed, and there should be regular monitoring by supervisory personnel — daily during the times of most frequent use.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified  not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 4

Grass at parks and other facilities is cut at least once a week during the growing season.

Commentary

If municipal personnel are unable to meet this standard, the municipality should consider contracting for this service. See, also, the commentary for Standard No. 1 and No. 7.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant   ___ No interest   ___ Lack resources
   ___ Lack administrative capacity//initiatives   ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION  XII

FACTOR: MAINTENANCE OF FACILITIES AND SAFETY  (Continued)

Standard No. 5

Rules regarding conduct and use of recreational facilities, ball fields and equipment are posted where appropriate, and are enforced.

Commentary

This standard supports the responsibility of the municipality for the safety of those using municipal facilities, and can be helpful in reducing liability for injuries sustained while using publicly owned recreational property and equipment.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (___verified ___not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION  XII

FACTOR: MAINTENANCE OF FACILITIES AND SAFETY  (Continued)

Standard No. 6

Crime and vandalism policies have been developed and implemented for all park and recreation facilities, land and equipment. Routine police patrols of parks and other facilities are conducted to monitor and enforce the rules and regulations. Regular reports of crime and vandalism related to park and recreational facilities are provided to local elected and appointed officials.

Commentary

The local legislative body should adopt rules and regulations for the appropriate use and treatment of park and recreational facilities and equipment. Reports on crime and/ or other problems should be forwarded by police to the appropriate municipal officials and/ or the parks and recreation board/ commission.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION XII

FACTOR: MAINTENANCE OF FACILITIES AND SAFETY (Continued)

Standard No. 7

There is staff or volunteer supervision of all park and recreation land, facilities, equipment and programs under the jurisdiction of the municipality. This includes the monitoring of equipment safety, the conduct of those using facilities, and the capability to respond to emergency situations.

Commentary

The presence of staff or volunteer supervisors at local park and recreation facilities will act as deterrent. Cooperative programs with local school districts to assure the availability of staff or volunteer resources can help meet this standard.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY’S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: PERSONNEL SELECTION; SUPERVISION; TRAINING; REPORTING

Standard No. 1

In those local governments which employ full-time, professional staff to manage and operate a formal parks and recreation program, such personnel are selected on the basis of merit--through an open and competitive process which measures the knowledge, skills and abilities associated with the positions.

Commentary

Individuals responsible for a comprehensive parks and recreation program should be professionally trained and/or experienced in the field. This includes not only the specialized knowledge of the field, but also competence in the area of general management covering such areas as planning, finance and grantsmanship, and human resource management.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (__verified __not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant  ___ No interest  ___ Lack resources
   ___ Lack administrative capacity/ initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Standard No. 2

All parks and recreation personnel, whether part-time, full-time or volunteer, are provided with routine supervision.

Commentary

The nature of the work and tasks associated with parks and recreation programs can result in unsupervised personnel. Responsible officials should assure that all personnel receive supervision on a regular basis. This is important to assure quality of service, and to help protect the municipality from liability which might result from negligence on the part of employees and volunteers.

Rating Scale

Standard is:

1. ___ Met, and is effective.  (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: PERSONNEL SELECTION; SUPERVISION; TRAINING; REPORTING
(Continued)

Standard No. 3

All personnel responsible for the management and operation of parks and recreation programs are provided with the opportunity for training appropriate to their responsibilities.

Commentary

Like supervision (Standard No. 2), routine training helps to assure quality, and offers some liability protection in negligence claims where the issue centers on the appropriateness of the training received by the employee.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   __ Not relevant __ No interest __ Lack resources
   __ Lack administrative capacity/ initiatives __ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
Municipal officials receive regular reports on the status of parks and recreation programs and activities, whether the service is provided by municipal employees, a recreation board/commission, or a recreation authority.

Commentary

Even though the delivery of the parks and recreation service is placed with an agency or committee outside the direct line of authority of the municipality, elected officials and municipal management should assume oversight responsibility. Requiring regular reports of activities, expenditures/receipts, problems/issues, plans, and other related areas helps to maintain accountability, and facilitates the oversight function of elected officials and municipal management.

Rating Scale

Standard is:

1. ___ Met, and is effective. (_verified _not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ____ Not relevant   ____ No interest   ____ Lack resources
   ____ Lack administrative capacity/initiatives   ____ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
PARKS AND RECREATION  XII

FACTOR: THE RECREATION BOARD/COMMISSION/COMMITTEE

Standard No. 1

If a recreation board is appointed by elected officials, all members have a demonstrated interest and ability to fulfill the requirements and tasks delegated to this body.

Commentary

Recreation boards vary in the functions they perform. In some cases, the board has only an oversight function. In others, the board is actively involved in the delivery of programs and services. Before a recreation board is appointed, elected officials and municipal administrators should have a clear understanding of the responsibilities that delegated to the board. It is also critically important to appoint individuals to the recreation board who have backgrounds which correspond to the local governing body's expectations.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
       ___ Not relevant  ___ No interest  ___ Lack resources
       ___ Lack administrative capacity/initiatives  ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
FACTOR: THE RECREATION BOARD/COMMISSION/COMMITTEE  (Continued)

Standard No. 2

The governing body requires the recreation board to prepare bylaws for approval by the governing body which prescribe operating procedures to be followed by the board, and which set forth the full scope of responsibilities to be fulfilled by the board.

Commentary

Sound bylaws give meaning to the seriousness of the work and tasks assigned to the recreation board, and provide a mechanism for holding the board accountable for its mission. Bylaws should, among other things, state the goals and mission of the board, provide for how the board will be organized, establish frequency of meetings and attendance requirements, specifically list and amplify the tasks and activities to be assumed by board members, and set forth reporting requirements.

Rating Scale

Standard is:

1. ___ Met, and is effective. (verified not verified)
2. ___ Met, but is not effective. (comment below)
3. ___ Not met. (Check "Reason" and provide comment below.)
   Reason:
   ___ Not relevant ___ No interest ___ Lack resources
   ___ Lack administrative capacity/ initiatives ___ Other

MUNICIPALITY'S COMMENTS:

LIST items to be incorporated in Action Plan.
<table>
<thead>
<tr>
<th>FACTOR: AVAILABILITY OF PARKS AND RECREATIONAL ACTIVITIES</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Standard No. 1&lt;br&gt;There is available to residents, within a reasonable distance, a wide range of recreational activities facilities and parks, serving all age groups.</td>
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<td>Standard No. 2&lt;br&gt;An inventory of and information describing all parks/playgrounds and facilities and other leisure time activities has been compiled and made generally available to all residents and households in the community.</td>
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<td>Standard No. 3&lt;br&gt;If the municipality offers a parks and recreation service, it periodically surveys residents to determine their satisfaction with the programs and activities, and solicits their views on how this service might be strengthened. This survey also gathers information on frequency of use of facilities and programs.</td>
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<tr>
<th>FACTOR: MAINTENANCE OF FACILITIES AND SAFETY</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
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<tr>
<td>Standard No. 1&lt;br&gt;All recreation facilities and parks under the jurisdiction of the municipality are inspected regularly, and maintained in good, working condition. Immediate attention is given to facilities and equipment in need of repair. Equipment or facilities which cannot be made safe and usable are closed or removed from service.</td>
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<td>Standard No. 2&lt;br&gt;Litter barrels and rubbish containers are provided in and around all parks and recreation facilities. Barrels and containers are emptied up on a regular basis, particularly during the spring and summer seasons when park and recreation facilities have greater use.</td>
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<td>Standard No. 3&lt;br&gt;Temporary and permanent toilet facilities are regularly cleaned and disinfected.</td>
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<td>Standard No. 4&lt;br&gt;Grass at parks and other facilities is cut at least once a week during the growing season.</td>
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<tr>
<td>Standard No. 5&lt;br&gt;Rules regarding conduct and use of recreational facilities, ball fields and equipment are posted where appropriate, and are enforced.</td>
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<td>Standard No. 6&lt;br&gt;Crime and vandalism policies have been developed and implemented for all park and recreation facilities, land and equipment. Routine police patrols of parks and other facilities are conducted to monitor and enforce the rules and regulations. Regular reports of crime and vandalism related to park and recreational facilities are provided to local elected and appointed officials.</td>
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Sum: Sec XII - 1
### SUMMARY: SECTION XII. – PARKS AND RECREATION

<table>
<thead>
<tr>
<th>FACTOR: AVAILABILITY OF PARKS AND RECREATIONAL ACTIVITIES (Continued)</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
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<tr>
<td><strong>Standard No. 7</strong>&lt;br&gt;There is staff or volunteer supervision of all park and recreation land, facilities, equipment and programs under the jurisdiction of the municipality. This includes the monitoring of equipment safety, the conduct of those using facilities, and the capability to respond to emergency situations.</td>
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| FACTOR: PERSONNEL SELECTION; SUPERVISION; TRAINING; REPORTING |
|---|---|---|---|
| **Standard No. 1**<br>**Factor:** Full-time professional staff to manage and operate a formal parks and recreation program, such personnel are selected on the basis of merit through an open and competitive process which measures the knowledge, skills and abilities associated with the positions.| | | |

| Standard No. 2<br>All parks and recreation personnel, whether part-time, full-time or volunteer, are provided with routine supervision.| | | |

| Standard No. 3<br>All personnel responsible for the management and operation of parks and recreation programs are provided with the opportunity for training appropriate to their responsibilities.| | | |

| Standard No. 4<br>Municipal officials receive regular reports on the status of parks and recreation programs and activities, whether the service is provided by municipal employees, a recreation board/commission, or a recreation authority.| | | |

| FACTOR: THE RECREATION BOARD/COMMISSION/COMMITTEE |
|---|---|---|---|
| **Standard No. 1**<br>If a recreation board is appointed by elected officials, all members have a demonstrated interest and ability to fulfill the requirements and tasks delegated to this body.| | | |

| Standard No. 2<br>The governing body requires the recreation board to prepare bylaws for approval by the governing body which prescribe operating procedures to be followed by the board, and which set forth the full scope of responsibilities to be fulfilled by the board.| | | |

*Sum: Sec XII - 2*
A CODE OF ETHICAL STANDARDS AND CONDUCT FOR LOCAL GOVERNMENT OFFICIALS

INTRODUCTION

The adoption of a Code of Ethical Standards and Conduct (Ethics Code) is an important step for a local government committed to building a culture of excellence. It is a step by which elected officials take positive action to establish an operating climate within the local government which avoids conflict of interest and the appearance of wrong-doing. Conversely, adopting a Code of Ethics can be a meaningless gesture if it is done merely for “window-dressing,” to be put on a shelf and never heard of again. To advance a culture of excellence in a local government - any level of government - the Code of Ethics must be a living document and its provisions reflected in the way each local official exercises his or her public responsibilities. The provisions in the Code which follows are standard for such a document. Most such codes adopted by local governments across the country contain similar provisions. They arise from the practice of virtue - those actions or habits which pull behavior beyond the greedy and manipulative to behavior directed to serving the broader community good. Adopting, and honoring, an ethics code is an important step in gaining credibility and public trust.

Each provision of the Code is accompanied by commentary which seeks to provide a rationale for the “rule.” This section is arranged differently than the others of this Workbook. There is not a rating scale for each provision. Rather, there is a single rating scale for the entire section. Either the municipality has adopted a comprehensive ethics code or it has not.

By their very nature, Codes of Ethics have limitations in regulating the ethical conduct of public officials. While they address some of the most critical areas which surround the issue of public trust and confidence, it is not possible in a set of Code provisions to find guidance for each and every ethical question or problem that will be faced by a public official. Here, the official must rely on ethical reasoning skills which require a different kind of understanding/training in searching for the right thing to do. It should be noted, however, that both the provisions of ethics codes and ethical reasoning skills are grounded in three principles which are the foundation for evaluation of all moral systems. In looking for the right thing to do, when faced with an ethical dilemma, the public official should ask: (1) Who or what will be harmed if I do this? (2) Is what I am about to do fair and just to the parties involved? (3) Does my decision respect the dignity, rights and freedom of the individuals involved? Perhaps the greatest limitation in the effectiveness of ethics codes and in developing ethical reasoning skills lies with the fact that code provisions and any arguments for ethical reasoning are likely to be persuasive only to individuals of good character. A public official who finds guidance in such political philosophies as “Nice guys finish last.” “It’s only politics. Everybody does it.” “If it’s legal, it’s OK.” - is not likely to seek the high ground called for in a Code of Ethical Standards and Conduct and in ethical reasoning, generally.

Who will enforce the Ethics Code? Not included in the provisions of the Code which follows is an enforcement mechanism. Each local government, in consultation with its solicitor, will need to address this matter, noting that some of the prohibited activity addressed in the Code, like bribery and extortion, are criminal. Most often a local government will appoint a lay committee of interested and qualified citizens to take on the task of monitoring compliance with Code provisions and developing sanctions for non-compliance.
Once in place, it falls to elected officials to assume the overall responsibility for monitoring its compliance and reinforcing the ethical environment it seeks to establish. The provisions of the Code and its importance should be part of the orientation for all new employees. Above all, if an ethical environment and a culture of excellence is to prevail, elected officials must set the tone and example through their leadership style and behavior. The words of Mr. Justice Brandeis, years ago, make the point: “Our government is the potent, the omnipresent, teacher. For good or ill, it teaches the whole people by its example.”
DEFINITIONS

The following words and phrases when used in this code shall have, unless the context clearly states otherwise, the meanings as provided below:

Abuse of Authority - an arbitrary or capricious exercise of power by an official or employee that adversely affects the rights of any person, or that results in personal gain or advantage to himself or herself or to preferred other persons.

Appointed Office - any position or office held by an employee required to file an annual Statement of Financial Interests, with the exception of that of an elected official and any position on the boards, commissions and authorities.

Appointed Official - a municipal employee, with the exception of an elected official, required to file an annual State of Financial Interests, and all members of boards, commissions, and authorities.

Business - any corporation, partnership, sole proprietorship, firm, enterprise, franchise, association, organization, self-employed individual, holding company, joint stock company, receivership, trust or any legal entity organization for profit.

Business with which he or she is associated - any business in which the person or a member of the person’s immediate family is a director, officer, owner, employee or holder of stock.

Candidate or Candidates - any individual, individuals, or slate of individuals seeking any office, which is filled by the vote of the electorate.

Compensation - anything of economic value, however designated, which is paid, granted, given, donated or transferred, or to be paid, loaned, granted, given, donated or transferred for personal services to any person, official, employee, or the municipality.

Conflict of Interest - a violation of the public trust benefiting or appearing to benefit personal or private interests rather than the public interest.

Elected Official - the mayor, controller, treasurer, tax collector, and members of governing body.

Family Member - any spouse, child, grandchild, parent, grandparent, sibling, in-law, aunt, uncle, first cousin, niece, nephew, spouse or ex-spouse, stepparent, stepchild, half brother or half sister.

Gift - shall be considered any payment, favor, gratuity, thing of value, service or services, loan, promise, discount, admission, performance of an act or series of acts, entertainment, reward or promise of any of the preceding.

Governmental Body - any department, authority, commission, committee, council, board, bureau, division, service office, office, administration, legislative body or other establishment in the municipal government.
DEFINITIONS (Continued)

**Gross Waste of Funds** - unnecessary expenditure of substantial sums of money, or a series of instances of unnecessary expenditures of smaller amounts.

**Income** - any money or thing of value received or to be received as a claim on future services whether in the form of a fee, salary, expense, allowance, forbearance, forgiveness, interest, dividend, royalty, rent, capital gain or any other form of recompense or any combination thereof.

**Indirect Interest in Real Estate** - any business entity the assets of which are 80% or more in real property.

**Nepotism** - the selection of a municipal appointed official or employee by an appointing official or body on the basis of relationship rather than merit.

**Person** - any individual, union, association, committee, club or other organization or group of persons.

**Political Contribution** - any advance, conveyance, deposit, or distribution, transfer of funds, loan payment, pledge, purchase of a ticket, testimonial or similar fund-raising affair or subscription of money or anything of value.

**Privilege** - any exemption, consideration, special treatment or advantage.

**Public Employee** - any individual employed by the municipality, with the exception of public officials.

**Public Interest** - the collective good as would be perceived by a plurality of the population.

**Public Office** - any elected or appointed office or position in the local government.

**Public Official** - any elected or appointed official in the municipality.

**Whistle-blowing** - a disclosure of information, which evidences a violation of any law, the Charter, rule, regulation, or ordinance; or an abuse of authority; or waste; or a substantial risk to public health or safety.
ETHICAL STANDARDS

FACTOR: CONFLICT OF INTEREST

Standard No. 1

Confidentiality and Disclosure: No public official or employee shall disclose, or use for his or her own benefit, or the benefit of others, confidential information acquired by reason of his or her public position.

Commentary

The rationale for this rule rests with a concept of public service – that those who choose a public service career should not profit from their public position. Public officials and employees often have access to information not generally available to the public, the use of which can place them in a position to reap personal gain or profit. To act upon this knowledge for personal gain is, in fact, a form of graft – “the unscrupulous use of one’s position to derive profit or advantages.” The ethical official will always place public objectives and the public interest over personal objectives. This includes avoiding even the appearance of wrong-doing.

Standard No. 2

Gifts: No public official or employee shall accept a “gift” as defined in the definitions of this Code:
- from a person seeking to obtain a contract, grant, loan, employment, or any financial relationship from or within the municipality.
- from a person or business having a financial relationship with the municipality.
- from a person or business whose operations or activities are regulated or inspected by the municipality.
- from a principal and/or attorney in proceedings in which the municipality is an adverse party.
- from any person or business where the performance or non-performance of any official duty may be affected or influenced.

Exceptions

1. The acceptance of a gift from a “family member,” or close personal friend, when the circumstances make it clear that the motivation for the gift is due to the family relationship, or traditional practices among close friends, such as the exchange of birthday and Christmas gifts.

2. Acceptance of an award for meritorious achievement from a charitable, religious, professional, recreational, social, fraternal, public service or civic organization.

3. Acceptance of a plaque or memento of nominal value offered as a token of esteem or appreciation on the occasion of a speech or public appearance.

4. Small tokens or favors given to everyone attending a function or celebrating an occasion.
ETHICAL STANDARDS

FACTOR: CONFLICT OF INTEREST (Continued)

5. A legal political contribution made to, and reported by, a duly registered campaign committee.

Commentary

It is the intent of this standard to establish what is basically a “no gifts” policy for the municipality. It is intended to extend to such areas as accepting free meals from individuals doing business with the municipality, or hoping to do business. It is intended even to prohibit the free cup of coffee given by a business proprietor to municipal employees when others pay.

Gifts to public officials or employees are frequently offered in good faith, but just as often in the hope of obtaining some special benefit or consideration at the moment, or sometime in the future. There are many who will argue that “no one can bribe me with a free cup of coffee.” However, it is a fine line which separates the giving of a small gift or favor from bribery -- the act of giving money or a favor to an individual in a position of trust to influence his judgment or conduct. Once a public official or employee begins to accept gifts or favors not available to the general public, it can easily become the standard of conduct -- the “way we do things in public life.” That standard of conduct fails, not only when measured against the concept of public service ethics, but also in terms of the appearance of wrong-doing.

It is easy and tempting to dismiss small acts such as the free cup of coffee or the bottle of liquor at Christmas as inconsequential when measured against big rip-offs, and corruption involving large payoffs which all too often emerge as headlines. But small acts of impropriety often lead to larger acts of unethical conduct. The reinforcement of getting away with a small, questionable, activity encourages the next step. A free meal today, a “free” vacation tomorrow. Before long, the public official can find himself or herself “on the hook.”

Standard No. 3

Financial Disclosure: The requirements for disclosure of financial interests shall be those set forth in legislation of the State of Pennsylvania. All financial disclosure forms are filed by the required dates.

Commentary

In Pennsylvania, financial disclosure requirements are provided for in Act 93 of 1989. Financial disclosure statements are public information and offer the public a means of monitoring outside activities which may create a conflict of interest with an official's public position, or the appearance of a conflict with official duties. The Statement of Financial Interests provided for in Act 93 is required to be filed by a nominee and candidate for public office, and yearly by public officials and public employees as defined by the law. It covers such areas real estate and financial interests, creditors, sources of income, and gifts. The provisions of Act 93 are regularly monitored for non-compliance.
ETHICAL STANDARDS

FACTOR: CONFLICT OF INTEREST (Continued)

Standard No. 4

No public official or public employee shall engage in any business transaction or private employment, or shall have any financial or other private interest, direct or indirect, which are in conflict with the proper discharge of his or her official duties. Nor shall public officials or public employees use, or attempt to use, their position to obtain financial gain, a contract, license, privilege, or other private or personal advantage, either direct or indirect. Nor shall a public official or public employee attempt to influence the course of any proposed legislation in which he or she, or a family member or business associate, has a present or potential interest, direct or indirect.

Commentary

This standard reinforces the obligation of those in public life not to misuse their position, or their influence, for private gain. This includes activities or associations which, when viewed by the public, could cast doubt upon the motives and integrity of the official or employee. Those in responsible public positions should avoid personal dealings or financial relationships with agencies/businesses/persons doing business with the municipality. Rules governing conflict of interest cannot easily be cast in precise language and those in public life will frequently be called upon to use their best judgment as to whether or not a conflict does, or could, exist. If in doubt, ponder the intent of such restrictions. It should be remembered, too, that self-interest generates rationalization -- finding ways to convince one's self that it is "okay."

Standard No. 5

Every public official or public employee shall publicly disclose any direct or indirect financial or other private interest in any proposed legislation coming before the governing body, and public officials shall not participate in the vote for legislation in which they have such an interest.

Commentary

Having an interest in, and voting for, legislation which could result in personal gain for the public official or public employee, or members of their families or business associates, present a clear conflict of interest. The public has a right to know of this interest, and the official has an obligation to refrain from voting for the legislation.

It should be noted that this section does present a potential conflict with the Pennsylvania ethics legislation (Act 9 of 1989) -- the section on restricted activities. The Act permits an individual to vote after disclosure of a conflict if the governing body would be unable to take action because of the number of persons required to abstain from voting.
ETHICAL STANDARDS

FACTOR: PATRONAGE/NEPOTISM/EMPLOYMENT RESTRICTIONS

Standard No. 1

No public official or employee shall exert his or her influence to gain, or attempt to gain, preferential treatment on behalf of an applicant for municipal employment. And, after the effective date of this (Code), no family member of an elected official shall be permitted to obtain employment with the municipality, or any authority of the municipality or joint authority where the municipality is a member.

Exceptions:

1. Where the family member is employed by the municipality or authority prior to the elected official's obtaining office.

2. Where, after the official has obtained elected office, an individual employed by the municipality becomes a family member.

3. For good cause shown, as determined by the enforcement mechanism for this Code, where the municipality would suffer a hardship as a result of the prohibition.

Commentary

The intent of this standard is two-fold:

1. To prohibit patronage/nepotism – the awarding of public jobs to friends, relatives, and political supporters.

2. To establish hiring on the basis of merit – that jobs go only to those who are highly qualified, as determined by open, competitive hiring procedures. This standard, in general, undergirds and supports the performance standards set forth in the Personnel Section of this book.

Patronage has a long history in this country. Many will argue that it is needed to support the political process. However, when balanced against the needs of government for efficiency and effectiveness, and ethical precepts, such as fairness, patronage fails as a concept, and as an acceptable practice. The United States Supreme Court, reviewing the practice, concluded that patronage restrains freedom of belief and association, and also “breeds inefficiency, corruption, and ineffective administration.” It diminishes the ability of government to command the trust and respect of the people. Public offices are public trusts, and public jobs are not the “private property” of elected officials. Ethical conduct requires that the very best individuals be recruited and hired (and promoted) for public positions, and that the process be seen as fair and respectful of the rights and dignity of individuals.
ETHICAL STANDARDS

FACTOR: PATRONAGE/NEPOTISM/EMPLOYMENT RESTRICTIONS (Continued)

Standard No. 2

Municipal policy has established that full-time, paid, public officials and employees may engage in part-time, outside employment not exceeding (20) hours per week. They shall provide to their supervisor written notification of acceptance of a secondary position, noting the job classification and primary duties.

Commentary

While it is impractical to have a hard and fast rule against outside employment, the intent of this standard is to encourage a policy which assures that the attention and devotion of each employee is first and foremost to the municipality, and one which permits review and monitoring, and avoids conflict of interest.
ETHICAL STANDARDS

FACTOR: POLITICAL ACTIVITY RESTRICTIONS

Standard No. 1

No public employee, hired after the effective date of a Code, shall be a candidate for, or hold, any public office which is filled by the vote of the electorate, while employed by the municipality.

No public employee hired after the effective date of a Code shall campaign for or against any candidate for public office in the municipality, or engage in other campaign activities related to the election of such a candidate.

No public employee hired after the effective date of a Code shall solicit, collect, control, distribute or use political contributions; or sell tickets, chances, or raffles; or solicit services on behalf of any political party, political committee, or candidate for public office.

No public official shall solicit from any public employee any contributions, assessments, services, ticket or raffle sales, or other funds on behalf of himself or herself, or other candidates for public office.

No public official or public employee shall use any public property, materials or resources on behalf of any political party, political committee, or candidate for public office, or use his or her official authority or influence for the purpose of interfering with an election, or affecting the results thereof.

No public official shall engage in any type of political activity during working hours.

Commentary

The intent of this standard is to encourage the political neutrality of local government employees. Ethical conduct requires that public employees serve only the broad public interest by performing their jobs free from political pressure. To this end, they should not be actively involved in the election or reelection of candidates in their political jurisdiction, except through their vote at election time. Employees should not be viewed, or used, by elected officials as “built-in” campaign workers, there to serve political interests first, and the public’s second.

The provisions of this standard have been in place at the national level, and in many states, for many years. They are equally important at the local level, and are generally present with those local governments which have adopted a comprehensive ethics code. They are essential to the public trust issue, and to the efficiency and effectiveness of local government.
ETHICAL STANDARDS

FACTOR: “FEES FOR SERVICE” RESTRICTION

Standard No. 1

No public official or public employee shall, for a fee or other compensation, use the influence of his or her official position to provide a special service or favor to an individual.

Commentary

“Give me $; I’ll be glad to see what I can do for you.” This is an example of the kind of action – the misuse of the influence and prestige of public office – which this standard seeks to eliminate. Public officials should always avoid any action which might be perceived, or classified, as “taking a bribe,” or providing an unfair advantage to selected persons or businesses.
ETHICAL STANDARDS

FACTOR:  MISUSE OF PUBLIC PROPERTY

Standard No. 1

No public official or public employee shall use, request, or permit the use of municipal property, including motor vehicles, equipment, materials, or property, except for local government purposes, unless there is official permission to do so, approved at a public meeting.

Commentary

Using any government property for personal purposes is a form of theft, and unethical. This ranges from taking a postage stamp bought for municipal use, to the using of a municipal car for vacation travel, or having the public works crew come to pave a private driveway. All such activity is a misuse of public office, and unethical as well as illegal.
ETHICAL STANDARDS

FACTOR: EQUAL TREATMENT

Standard No. 1

No public official or employee shall grant, offer or provide any privilege beyond that which is available to every other person or business.

No public official or public employee shall in any manner receive benefit from the profits of any contract, job, work, or service for the municipality, or accept any service or thing of value directly or indirectly upon more favorable terms than those granted to the public generally, from any person, firm or corporation, having dealings with the municipality. Privileges granted by the municipality to public officials are exempted from the terms of this provision.

No public official or public employee shall solicit or receive any compensation, gratuity, or other thing of value for any act done in the course of public work.

Commentary

The nature of the public service often results in high visibility associations and friendships between elected officials and employees and private interests, both businesses and individuals. The first provision of the standard requires that elected officials not permit such friendships and associations to result in granting any person or business any special privilege or intervention which would be unfair, or perceived as unfair, by competing interests.

The acceptance of privileges other than those granted by the municipality through official action may affect, or appear to affect, a public official's or employee's ability to remain impartial, objective or neutral in the performance of this or her duties. In addition the acceptance of privileges by public officials or employees, such as free tickets to sporting or cultural events, creates the appearance of elitism and causes resentment which can undermine the trust and confidence of the public in government.
ETHICAL STANDARDS

FACTOR: WHISTLE-BLOWING

All public officials and employees should disclose any information which he or she believes evidences a violation of any law, rule or regulation.

All public officials and employees should disclose any information which he or she believes evidences a gross waste of funds, an abuse of authority or a substantial and specific danger to the public’s health or safety.

The identity of any complainant or whistle-blower should not be disclosed without his or her consent.

No public official or employee shall be penalized or punished for whistle-blowing, such as demotion, dismissal, or personal harassment.

No public official or employee shall use the whistle-blowing procedure as a way to achieve personal gain or favor.

No public official or employee shall use whistle-blowing procedure as a way to retaliate against any other public official or employee.

Commentary

The purpose of these rules is to provide public officials and employees with a mechanism to combat fraud, abuse and waste in government which they might observe. It is often comfortable and convenient to overlook small infractions and remain silent concerning major violations that are observed. This may be due to fear of being considered disloyal, fear of reprisal, or a feeling that nothing will be done to punish the perpetrators. Or, the whistle-blower may hesitate to cast doubt or suspicion on the government body which could cripple its effectiveness. These rules are intended to emphasize that whistle-blowing is a responsible expression of accountability.
RATING SCALE FOR THE SECTION ON ETHICAL STANDARDS

After reviewing the standards for ethical conduct, with careful attention to the commentary, complete the rating scale below.

_____ The municipality has adopted a local Code of Ethics (or Conduct) which covers all of the standards of this section.

_____ The municipality has adopted a local Code of Ethics which includes most of the standards of this section.

_____ The municipality has not adopted a local Code of Ethics.

Comments

________________________________________________________________________

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### FACTOR: PATRONAGE/ NEPOTISM/ EMPLOYMENT RESTRICTIONS

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1. Where the family member is employed by the municipality or authority prior to the elected official's obtaining office.
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<td>No public official shall engage in any type of political activity during working hours.</td>
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<td><strong>FACTOR: “FEES FOR SERVICE” RESTRICTION</strong></td>
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<tr>
<td><strong>Standard No. 1</strong></td>
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<tr>
<td>No public official or public employee shall, for a fee or other compensation, use the influence of his or her official position to provide a special service or favor to an individual.</td>
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<td><strong>FACTOR: MISUSE OF PUBLIC PROPERTY</strong></td>
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<td><strong>Standard No. 1</strong></td>
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<tr>
<td>No public official or public employee shall use, request, or permit the use of municipal property, including motor vehicles, equipment, materials, or property, except for local government purposes, unless there is official permission to do so, approved at a public meeting.</td>
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</table>
### SUMMARY: SECTION XIII. – ETHICAL STANDARDS

<table>
<thead>
<tr>
<th>FACTOR:</th>
<th>EQUAL TREATMENT</th>
<th>Met – Effective</th>
<th>Met – In-effective</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Standard No. 1</strong></td>
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<tr>
<td>No public official or employee shall grant, offer or provide any privilege beyond that which is available to every other person or business.</td>
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<tr>
<td>No public official or public employee shall in any manner receive benefit from the profits of any contract, job, work, or service for the municipality, or accept any service or thing of value directly or indirectly upon more favorable terms than those granted to the public generally, from any person, firm or corporation, having dealings with the municipality. Privileges granted by the municipality to public officials are exempted from the terms of this provision.</td>
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<tr>
<td>No public official or public employee shall solicit or receive any compensation, gratuity, or other thing of value for any act done in the course of public work.</td>
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<td><strong>FACTOR: WHISTLE-BLOWING</strong></td>
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<td>All public officials and employees should disclose any information which he or she believes evidences a violation of any law, rule or regulation.</td>
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<tr>
<td>All public officials and employees should disclose any information which he or she believes evidences a gross waste of funds, an abuse of authority or a substantial and specific danger to the public's health or safety.</td>
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<tr>
<td>The identity of any complainant or whistle-blower should not be disclosed without his or her consent.</td>
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<td>No public official or employee shall be penalized or punished for whistle-blowing, such as demotion, dismissal, or personal harassment.</td>
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<tr>
<td>No public official or employee shall use the whistle-blowing procedure as a way to achieve personal gain or favor.</td>
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<tr>
<td>No public official or employee shall use whistle-blowing procedure as a way to retaliate against any other public official or employee.</td>
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ACTION PLANNING:
Steps in the Process

REQUISITES FOR EFFECTIVE PROBLEM-SOLVING:

1. Have an open mind.
2. Check your motives.
3. Sharpen your negotiating skills.

ACTION STEPS:

1. What is the problem?
2. What are the issues?
3. Who are the stakeholders – those individuals/party involved with the problem and who will be affected by the decision or outcome.
4. Analyze Data/Prepare Discussion Paper
5. Discussion of Problem/Issue at Legislative Workshop
6. Authorize the Exploration of Alternatives for Resolving the Problem
7. Broaden Discussion of the Problem/Issue through a Public Hearing
8. Research/Identify Alternative Courses of Action
9. Develop Alternatives
10. Test Alternatives
11. Make a Decision
APPENDIX

ACTION PLANNING PROCESS

Local officials, after completing an assessment of their municipality, may find standards in one or more of the thirteen areas that are only partially met or not met at all. This appendix discusses an action planning process for the development of strategies to address deficiencies associated with municipal operations. Three action plans dealing with police staffing, employee performance assessment, and the installation of new street signs are provided as illustrations of the process. The police staffing plan is presented in segments as part of the general discussion. The others are presented in a format that can be used as a working guide and can be found at the end of this appendix.

Creating Strategies to Address Partially Met or Unmet Standards

The description of the action planning process is divided into four parts;

(a) identification of the problem(s),

(b) designation of the people primarily responsible for solving the problem,

(c) development of a timetable to resolve the problem/issue, and

(d) working through the eleven action steps.

Identification of the Problem Areas

Once an assessment of all the standards is complete, each section of the workbook should be reviewed by the governing body in consultation with the manager or administrator to decide which standards are only partially met or unmet. Rather than attempt to address each deficiency, the problem areas should be prioritized with consideration for urgency, budget impact and/or importance to the community. For best results, it is wise to choose only a few partially or unmet standards for action planning at one time.

Designation of Primary Responsibilities

After reaching consensus about which partially or unmet standards are the most urgent or important problems or issues, the governing body, with the manager or administrator and related department supervisors, should identify who will be primarily responsible and involved in the work necessary to resolve the problem(s). Depending on the nature of the problem(s), those having a primary responsibility will vary. For instance, determining how to provide police protection 24 hours/day, 7 days/week is a major policy choice and would warrant a higher degree of involvement by elected officials. In comparison, developing a design and cost estimate for a community-wide street sign program would require greater participation by the manager or administrator with input from police and public works personnel. In instances like the development of a zoning ordinance or comprehensive plan, the municipal officials may need professional assistance from a municipal planner, engineer or attorney. And, depending on the area under review, it may be appropriate to include recreation and planning commission members as primary participants.
Designation of Timetable

How much time will it take to thoroughly assess a problem or issue, identify and consider alternative courses of action, and select a solution for implementation? Effective problem solving requires the allocation of a sufficient amount of time over a period of weeks or months for the primary parties to gather, organize, refine and present relevant information. The manager or administrator, in conjunction with the governing body, should map out a schedule with deadlines noted for all of the steps in the action planning process. (See p. A-10 for an illustration.) Frequently, strategies to address partially met or unmet standards will have budgetary implications. Creating an action planning schedule that coincides with or concludes prior to budget deliberations may facilitate the resolution of a problem. Timetables, too, should be flexible but not so protracted that the parties involved have little incentive to complete their work. And, if an action planning process extends over several months, someone should be designated as the monitor to periodically provide progress reports.

Requisites for Effective Problem Solving

Decision makers can help strengthen solutions by recognizing how they may personally affect the action planning process. Effective solutions are fostered when the decision making atmosphere is characterized by open-mindedness, community rather than personal interest and keen negotiating skills. Requisites for effective problem-solving are more fully detailed below.

Have an Open Mind

Those involved in problem solving should guard against taking an adamant, unyielding position regarding how, or if, a problem should be resolved. “Absolutism” on the part of public officials usually results in an unwillingness to give serious attention to alternative courses of action. The world of public service is complex and “messy.” Frequently, honest, capable individuals can disagree on what action is in “the public interest.” For this reason, responsible officials must be willing to listen to the ideas of others from an open and objective perspective. When seeking solutions, your search should pursue balance, accommodation, and reconciliation. According to Tom Peters, author of several best selling management books, “....whether in government or the private sector,...there has never been an effective leader yet who has not devoted 90 percent of his [her] time to consensus building.”

• Check your motives.

This is particularly important when faced with politically sensitive problems and decisions. Fact gathering and analysis may clarify the course of action that will best resolve the problem. At the same time, some actions or decisions may be politically unpopular and may alienate constituents. This can be a defining moment for a public official, particularly if a reelection bid is at hand: Should you do the right thing and risk your political future or do what is politically popular with little personal risk. The ethical official will always be honest about his/her motives regarding a particular action. Placing personal interests ahead of the public interest is a breach of public obligation and responsibility, and is unethical. No amount of self-deception and self-justification will change this. Using a careful approach to problem solving like that illustrated in the action steps which follow will help place an official in a “win-win” position.
• Sharpen your negotiating skills.

Here, some of the best advice about effective negotiations comes from Roger Fisher and William Ury's book, *Getting To Yes*. Two points are especially important for public officials:

(a) Remember the goal in public decision making is to achieve a wise outcome, not claim “victory” for any one individual or faction.

(b) Separate the people from the problem. In a political setting, it is not uncommon for personalities and animosities to intrude or interfere with the problem at hand. There may be a lack of trust between “players.” All of this can lead to much misunderstanding and anger. Fisher and Ury in *Getting to Yes* advise “Be soft on the people; hard on the problem.” Often the basic problem in reaching an agreement regarding a solution is not so much sorting out conflicting positions as it is to acknowledge the needs, desires, concerns and fears of all parties (stakeholders) affected by a decision. For best results, when involved in decision making, local officials should be willing to withhold judgment until after “trying on the views of others.”

**Eleven Action Steps**

Eleven steps make up the action planning process. Discussion of each step is presented below. An example about a police staffing problem will be used to demonstrate how each step of the process works.

**STEP 1 - What is the Problem?**

A problem cannot be effectively dealt with until it is accurately defined, in writing, and understood. Someone must be assigned the task of documenting the problem and finding answers to questions such as: How and why did the problem occur? Over time, have changes in the community focused attention on the problem/issue? What effect does the problem/issue have on the community's well-being? The problem should be defined in such a way that reasonable people, although they may not like what they read and hear, will understand.

Who will be responsible for documenting the problem?

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<th>What is the target date for completing the task?</th>
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**Example**: A funding shortage in the operating budget has caused the furlough of four of ten full-time police officers.

**PROBLEM TO BE SOLVED**: A 40% reduction in staffing would cause the following standard to be unmet:

Police, Factor: Adequacy of police manpower, Standard No. 1, “The number of police officers is sufficient to provide police coverage and service seven days a week, 24 hours a day, whether through municipal resources or by formal agreement or contract with another local government or agency.”
To address the problem, municipal officials would have to determine:
(a) How and why the funding shortage occurred? (b) Over time, what
changes in the community have had an effect on the demand for police
protection and services? (c) What has been the impact of the police
manpower reduction, and can the impact be documented?

Who will be responsible for documenting the problem?

- The manager or administrator and the police chief would be assigned
  responsibility for documenting the problem.

What is the target date for completing the task?

- Two weeks.

**STEP 2 - What are the Issues?**

In order to fully appreciate and understand the problem to be solved, all critical
issues surrounding it should be identified, described and documented. This discussion
would include a review of the financial position of the municipality, the costs associated
with different service alternatives, existing contractual obligations, citizen demands and
expectations for service, and the capacity of the municipality to simultaneously maintain
competitive tax rates and good service levels.

Who will be responsible for identifying the issues?

- The manager or administrator, finance officer, municipal solicitor and police
  chief would likely have input in defining the issues and their implications.

What is the target date for completing the task?

- Two weeks.
**STEP 3 - Who are the Stakeholders?**

List all the individuals and/or groups within the community and municipal organization who have concern with or will be affected by a decision to resolve the problem or issue. Once the stakeholders have been identified, what is known about their concerns should be indicated.

Who will be responsible for listing the stakeholders and cataloging their concerns?

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**Example:** Because the problem of police staffing affects every member of the community, those included in any decision process are at minimum the citizens, elected officials, the police department, and members of the administrative staff. Depending on how well organized the community is, it may be appropriate to invite representatives of the Community Crime Watch, the public school system, chamber of commerce, senior citizens, churches, children and youth organizations, etc., to take part in the discussion.

Who will be responsible for listing the stakeholders and cataloging their concerns?

- The manager or administrator, police chief and elected officials who oversee public safety matters would compile a list of stakeholders and the types of concern each would have. Consultation with leaders of stakeholder groups might add insight to community concerns and reactions to the change in police staffing and the effects it may produce.

What is the target date for completing the task?

- Two weeks depending on whether discussions with community leaders will take place. This work could be done simultaneously with Step 2.

**STEP 4 - Analyze the Data and Prepare a Discussion Paper for Circulation to the Elected Officials.**

The information gathered from steps 1 - 3 should be compiled and circulated to the elected officials and other appropriate personnel for review before the formal discussion of the matter at a legislative workshop session.

Who will be responsible for preparing the discussion paper?

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**Example:** The work outlined in steps 1 - 3 would to some extent be done concurrently once the action was taken to furlough members of the police force.

Who will be responsible for preparing the discussion paper?
• The manager or administrator would draft the discussion paper in consultation with those who were responsible for gathering the information in steps 1 - 3.

What is the target date for completing the task?

• Two weeks after the work associated with steps 1 - 3 is completed, a draft of the discussion paper should be available for the elected and appointed officials to review.

**STEP 5 - Discussion of Problem/Issue at Legislative Workshop.**

This would be the first, structured, public discussion of the problem based on actual data and analysis. Especially since such workshops in Pennsylvania are open to the public, it is important that all officials have the benefit of solid information as a basis for their comments. It is at this step and the next that the initial views and positions of the elected officials will become known. At neither step should there be debate on a particular course of action. It is too soon.

Who will be responsible for leading the discussion or providing an overview of the problem/issue at the workshop meeting?

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<th>What is the target date for the first discussion?</th>
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**Example:** Who will be responsible for leading the discussion or providing an overview of the problem/issue at the workshop meeting?

In this situation, it would be appropriate for the chair or president of the legislative body to open the discussion and then delegate responsibility to the manager or administrator to outline the problem and actions taken thus far. Others involved in steps 1 - 3 ought to be present at the workshop to provide input as necessary.

What is the target date for the first discussion?

• As soon as feasible after the discussion paper is circulated, the matter should be discussed at a legislative workshop meeting.

**STEP 6 - Authorize the Exploration of Alternatives for Resolving the Problem.**

At a regular public meeting, the governing body should acknowledge the need to resolve the problem and indicate that a serious, objective effort to resolve it will be undertaken. It should be clear that elected officials and management have done their “homework” and can fluently discuss the matter. It is important at this stage to assure the public and other stakeholders that no particular course of action is favored; all feasible options will be examined. The group’s timetable for addressing the matter should also be reviewed. (When a problem concerns municipal employees, its acknowledgment may occur at a meeting attended by the affected employees or their representatives.)

Who will be responsible for researching alternatives?
What is the target date for completing the task?

**Example:** Given the nature of the police staffing reduction, it may be appropriate to provide for an interim problem solution. Some communities have utilized part-time police officers or officers from other municipal, county or state law enforcement agencies to provide temporary service until a longer term solution is implemented. At the same time the problem is acknowledged and plans for resolving it are announced, the public should be re-assured that police service will continue via temporary arrangements, etc.

Who will be responsible for researching alternatives?

- The manager or administrator and police chief should be authorized to research the alternatives on behalf of the community.

What is the target date for completing the task?

- Four-six weeks may be required to thoroughly investigate the available options. A sample timetable for the resolution of the police staffing problem appears on the following page.

**STEP 7 - Broaden Discussion of the Problem/Issue Through a Public Hearing.**

Before solutions are formalized, the public should be given the opportunity through a special public hearing to provide comment to the governing body. The governing body's role at such a session is to listen, not argue for or against a particular point-of-view. The public hearing should begin with a summary of the problem, based on the previously developed discussion paper. Information from the public hearing should be channeled into the next two steps, 8 and 9. (Again, when a problem concerns municipal employees, a review of prospective solutions would occur at a meeting attended by the affected employees or their representatives.)

Who will present a summary of the problem?

**Example:** Who will present a summary of the problem?

- The chair or president of the legislative body should conduct the hearing. While it is critical that the person leading the discussion be fully informed about the problem and all actions to date, he/she should be able to call on specific members of the group involved in steps 1 - 3 during the course of the public hearing for input.

What is the target date for the first public hearing?

- If the community is very concerned about the situation it may be helpful to schedule a public hearing while alternatives are being researched as a way to indicate to the public that their interests are important.
STEP 8 - Research/Identify Alternative Courses of Action.

By the time this step is reached, the problem has been identified as clearly and objectively as possible. The task, at this time, is to address possible solutions. Avoid viewing alternatives in dichotomous terms: either you do this or that. At this stage, list every course of action which can be identified.

Identifying alternatives involves:

(a) a brainstorming session where all options are placed on the table,

(b) touching base with agencies which have knowledge of and experience with local governments which have taken new and innovative approaches to service provision or administrative and operating processes, and

(c) compiling from item b, useful strategies, methods, options.

Who will compile this information?

What is the target date for completing the task?

Example: To address the police staffing problem, the list of options to be researched would include:

- consolidation of the police department with a neighboring department via a joint powers agreement, contracting with a neighboring jurisdiction for police services,

- seeking police service from the state,

- seeking police services from the county,

- formal mutual aid agreements with neighboring municipalities,

- cross-training of police/fire or police/public works employees, etc.,

- reconstituting the police by increasing taxes and/or cutting services in other areas, and

- continuing under current operating circumstances.

Other options may be identified through discussions among the elected officials, staff and representatives of agencies which have knowledge of and experience with new and innovative approaches to police services. Available outside resources would include agencies like the Pennsylvania Economy League, the Southwestern Pennsylvania Commission, the State Department of Community Economic Development, the International City/County Management Association and the International Association of Chiefs of Police.

Who will compile information about the potential strategies to resolve the problem?
The manager or administrator would be primarily designated to research the alternatives and prepare a report of his/her findings.

What is the target date for completing the task? Four-six weeks

**STEP 9 - Develop Alternatives.**

For decision making to be effective, you must be able to substantiate why a choice has been made. Consequently, before any prospective alternatives are rejected, it is important to document the positive and negative consequences for each alternative. Examining strengths and weaknesses involves asking critical questions. Answering questions, such as those noted below, may require additional research to assess the feasibility of each option.

(a) How will the stakeholders view this alternative?
(b) Who might be harmed by this option?
(c) How does the cost of the option compare to the cost of the present service?
(d) Are there any insurmountable barriers which make this alternative infeasible? What are they?
(e) If this solution has been tried elsewhere, how well has it worked? What have been the positive as well as negative effects on service?
(f) Is the alternative a short or long term solution?

Who will be responsible for researching and developing alternative courses of action?

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<th>What is the target date for completing the task?</th>
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**Example:** All of the questions noted above are applicable to the police staffing problem. Each option identified in step 8 should be evaluated against all of the questions. To create greater understanding, verifiable examples from other local government experiences should be presented to illustrate the possible successes and risks associated with each option.

Who will be responsible for researching and developing alternative courses of action?

• The manager or administrator would be primarily designated to develop the alternatives and prepare a report of his/her findings.

What is the target date for completing the task?

• Some of this work can be done simultaneously with the action noted in step 8. Further research may be required as preliminary reviews of the options are undertaken by the legislative body.
STEP 10 - Test Alternatives.

Informally contact key stakeholders for their reactions to the various alternatives. Hold a second public hearing to review the results of the assessment of the alternatives and again seek public comment. (A similar review meeting would be held with employee groups or representatives, if the problem were internal to the organization.)

Who will prepare and present the summary?

What is the target date for the second public hearing?

Example: Who will prepare and present the summary?

• The administrative staff would prepare the materials for presentation at the public hearing. Individuals would be given responsibility for informally contacting key stakeholders to gauge their reactions to available alternatives.

What is the target date for the second public hearing?

• The second public hearing should be held as soon after the alternatives have been evaluated against the questions posed in step 9.

STEP 11 - Make a Decision.

After all of the above steps have been completed, a decision should be made. By the time the vote is cast or an alternative is selected, each member of the governing body should be comfortable with his/her vote. Each official should develop a statement about why he/she has voted for or against the chosen option and consider whether his/her choice would change if held up to public scrutiny.

Example: The alternative selected by the governing body should provide police coverage 24 hours per day/7 days per week, maintain adequate safety and security within the community, and at a cost the municipality can afford.

Other Action Plan Illustrations

The final part of the appendix contains two other action plan illustrations. One concerns the development and application of a formal performance evaluation process for municipal employees. In this instance, the manager or administrator would develop the action plan for review and adoption by the governing body. The plan would strengthen the community's personnel management function by setting goals, objectives and measures for employee performance. While public understanding and acceptance are critical in the illustration dealing with police staffing, this one focuses on gaining employee participation and support and the elected officials' commitment to an objective performance evaluation process. A sample performance-based evaluation format for a municipal manager or administrator is included on pages 14-15.
The last illustration is operational and essentially non-controversial. Basically, the staff would be responsible for the creation of an action plan to install new street signs throughout the municipality. The governing body's review and approval would be necessary because implementation of a plan like this typically requires the allocation of substantial financial resources. This plan is similar to the first example because it highlights the importance of careful problem assessment and the definition of the steps necessary to attain a good outcome. It can be found on pages 16-17.

These illustrations should serve as guides to address standards across the areas covered in the workbook. They also indicate that finding appropriate solutions for most municipal issues and problems requires a reasonable commitment of time and resources by elected and appointed officials to thoroughly review a matter and all available options before a decision is made or a corrective action is undertaken.
**ILLUSTRATION:** Timetable for implementation of the Police Staffing Action Plan

<table>
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<tr>
<th>STEP</th>
<th>WEEK</th>
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<td>1</td>
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<td>1-Problem Definition</td>
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<td>2-Issue Identification</td>
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<td>3</td>
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<td>3-Stakeholder Identification</td>
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<td>4-Develop Discussion Paper</td>
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<td>5-Workshop Discussion</td>
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<td>6-Authorize Exploration of Alternatives</td>
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<td>7</td>
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<td>7-Public Hearing</td>
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<td>9</td>
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<td>9-Research Alternatives</td>
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<td>10</td>
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<td>10-Test Alternatives/Public Hearing</td>
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<td>11-Make a Decision</td>
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Illustration 2

An Action Plan for Implementing Standards Not Met

Standard not met: The municipality has adopted a formal performance evaluation plan which provides for the evaluation of all employees at least annually.

Goal: To install a formal performance evaluation system within one year which, in addition to meeting the board standard above, also meets all of the other standards called for in the performance evaluation section. (These standards and commentary should be reviewed.)

Action steps:

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<tr>
<th>Step No.</th>
<th>Description of Action</th>
<th>Responsibility</th>
<th>Time Period</th>
<th>Projected Cost</th>
<th>Objective Met</th>
<th>Commentary</th>
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<tr>
<td>1.</td>
<td>At a workshop session of the governing body, gain the approval of elected officials to proceed with development of a plan.</td>
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<td>2.</td>
<td>Gather data on personnel evaluation systems. This would include a literature review, a review of court decisions, and commentary on experiences of local governments using a performance evaluation system.</td>
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<td>3.</td>
<td>Based on this research, develop a statement of purpose that will govern a proposed evaluation system.</td>
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<td>4.</td>
<td>Based on the above research, develop two or three options for an evaluation system that are seen as satisfactory for the municipality, and which meet the standards called for in the Workbook: performance based, involves employee participation. Each option should discuss advantages and disadvantages. (This should evolve as a tentative plan.)</td>
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<tr>
<td>Step No.</td>
<td>Description of Action</td>
<td>Responsibility</td>
<td>Time Period</td>
<td>Projected Cost</td>
<td>Objective Met</td>
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<td>5.</td>
<td>Discuss concept, purpose, and proposed options with department heads and other key staff.</td>
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<td>6.</td>
<td>Make any necessary revisions to statement of purpose and options. Narrow options, if possible.</td>
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<td>7.</td>
<td>Discuss proposal with all employees directly, and with the employee union(s), if appropriate.</td>
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<td>8.</td>
<td>Make revisions. Narrow options to one or a proposed system.</td>
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<td>9.</td>
<td>Discuss the proposed system (in the form of a general plan) with elected officials. This stage should note very specifically all opposition and concerns expressed by staff and employees, and how important reservations about the proposals might be overcome, or why they are not appropriate.</td>
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<td>10.</td>
<td>Make necessary revisions needed to gain approval of the governing body.</td>
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<td>11.</td>
<td>Develop an evaluation system. This should take the form of a Performance Evaluation Handbook. It would include the evaluation form, schedule for evaluation, how the evaluation will be used, areas of responsibilities, etc.</td>
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<td>12.</td>
<td>Distribute the Handbook to all employees.</td>
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<td>13.</td>
<td>Meet with employees to answer questions; handle concerns.</td>
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<td>14.</td>
<td>Hold training sessions with all supervisors to instruct them on their responsibilities, how to do an effective evaluation, etc.</td>
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<tr>
<td>Step No.</td>
<td>Description of Action</td>
<td>Responsibility</td>
<td>Time Period</td>
<td>Projected Cost</td>
<td>Objective Met</td>
<td>Commentary</td>
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<td>15.</td>
<td>Implement system for a one-year trial period. This will include careful monitoring by the manager, and keeping elected officials informed on how the system is working.</td>
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<td>16.</td>
<td>Gain feedback from employees and supervisors. Make the necessary changes.</td>
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<td>17.</td>
<td>Create a time-line; fully implement the system.</td>
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Chart 2 page 2, Mgt. guide 6  
D 5/30/90, 6/11/90  
Implementing Goals & Standards
### Illustration 3

**An Action Plan for Implementing Standards Not Met**

**Standard not met:** All municipal streets are signed. Street signs are aesthetically pleasing, well maintained, and located for maximum visibility.

**Goal:** To completely re-sign the municipality within two years, beginning January 20___.

**Action Steps:**

<table>
<thead>
<tr>
<th>Step No.</th>
<th>Description of Action Needed</th>
<th>Responsibility</th>
<th>Time Period</th>
<th>Projected Cost</th>
<th>Objective Met</th>
<th>Commentary</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
<td>Document the problem</td>
<td></td>
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<td></td>
<td><em>Number of street signs down/vandalism</em></td>
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<td></td>
<td><em>Signs rusted/bent</em></td>
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<td></td>
<td><em>Signs poorly placed for visibility</em></td>
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<td></td>
<td><em>Streets never signed, etc.</em></td>
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<td>2.</td>
<td>Tasks before cost and manpower needs can be determined</td>
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<td></td>
<td><em>Estimate the number of new signs needed and old signs to be removed</em></td>
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<td></td>
<td><em>Location of all new signs</em></td>
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<td></td>
<td><em>New equipment that might be needed</em></td>
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<td></td>
<td><em>Projected time needed to accomplish each task, etc.</em></td>
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<td>3.</td>
<td>Examine alternatives with respect to:</td>
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<td></td>
<td><em>Size and color of signs available</em></td>
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<td></td>
<td><em>Respective cost of each alternative.</em></td>
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<td>4.</td>
<td>Examine alternatives for accomplishing goal:</td>
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<tr>
<td></td>
<td>a. In-house. Is there available manpower?</td>
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<td></td>
<td><em>Does the municipality have the needed equipment and materials?</em></td>
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<td></td>
<td><em>If not, estimate costs.</em></td>
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<td></td>
<td>b. Contract out. Since this is prior to bidding, projected costs might be had by contacting communities which have contracted for resigning</td>
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<td></td>
<td><em>Determine availability and reputation of prospective contractors.</em></td>
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<td></td>
<td>c. Combination of in-house and contracting</td>
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<td></td>
<td>d. Other: Special assessment</td>
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<td></td>
<td><em>Adopt-a-street, etc.</em></td>
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<td>5.</td>
<td>Project overall cost to accomplish goal:</td>
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<td></td>
<td>a. Budget allocation needed</td>
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<td></td>
<td>b. Programmatic statement to support budget allocation</td>
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<td>6.</td>
<td>a. Seek input from others in the public works department and others in the municipal family whose input/support would be important for goal accomplishment.</td>
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<td></td>
<td>b. Revise plan.</td>
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<td>7.</td>
<td>Present plan (revised) to elected officials for approval</td>
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<td></td>
<td>a. Workshop agenda item for discussion</td>
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<td></td>
<td>b. Public meeting for presentation to public, public input, and formal approval.</td>
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<td>8.</td>
<td>Revise plan as necessary. For example, because of costs it might be necessary to phase in the resigning plan over a longer period. Citizens may present ideas and testimony warranting revision of the plan.</td>
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<td>9.</td>
<td>Implement the plan.</td>
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